

EFFECTIVE COMPLIANCE AUDIT

"Mastering the Processes, Tools, and Techniques for High-Impact Regulatory and Internal Audits"

Schedule

Date	Venue	Fees (Face-to-Face)
04 - 08 May 2026	London, UK	USD 3495 per delegate

► **Available delivery methods:** Face-to-Face & Online Training

Introduction

Compliance audits are critical tools to ensure that organizations operate within regulatory frameworks, manage risk, and maintain internal control effectiveness. Whether for legal, financial, or operational compliance, well-structured audits can protect corporate reputation, improve systems, and drive continuous improvement.

This course provides a comprehensive roadmap for designing and conducting effective compliance audits aligned with international standards (ISO 37301, ISO 19011, COSO). Participants will learn how to plan, execute, and report on compliance audits across functions, manage auditor roles and ethics, and drive meaningful corrective actions in response to audit findings.

Objectives

By the end of this course, participants will be able to:

- Design a structured compliance audit framework aligned with ISO and industry standards
- Plan and execute end-to-end audit cycles—from scoping to reporting
- Use risk-based approaches to focus audits on critical compliance areas
- Conduct interviews, collect audit evidence, and document findings professionally
- Recommend actionable corrective actions and follow-up plans

Why Attend

- Gain hands-on tools to conduct effective, risk-based compliance audits
- Understand the roles, responsibilities, and ethics of auditors
- Identify non-conformities and develop root cause-based recommendations
- Learn how to report audit findings in a clear, business-relevant format
- Ensure alignment with internal controls, policies, and legal requirements

Target Audience

This program is designed for:

- Internal auditors and compliance officers
- Risk management professionals
- Quality and governance professionals
- Legal and regulatory affairs teams
- Anyone involved in audit, monitoring, or assurance activities

Individual Benefits

Key competencies that will be developed include:

- Audit scoping, checklists, and evidence collection techniques
- Risk-based audit planning and prioritization
- Interviewing skills and report writing
- Corrective and preventive action (CAPA) formulation
- Understanding of compliance frameworks (ISO, SOX, COSO, etc.)

Organizational Benefits

Upon completing the training course, participants will demonstrate:

- Improved ability to detect and prevent compliance failures
- Standardized audit processes across departments or locations
- Enhanced risk mitigation and internal control performance
- Stronger reporting credibility with regulators and senior management
- Support for governance, transparency, and accountability initiatives

Instructional Methodology

The course follows a blended learning approach combining theory with practice:

- Strategy Briefings - International audit standards and regulatory frameworks
- Case Studies - Audit failure investigations and best practices
- Workshops - Develop checklists, audit plans, and final reports
- Peer Exchange - Audit experiences, challenge resolution, and success stories
- Tools - Risk registers, audit templates, evidence logs, scoring models

Course Outline

Training Hours: 7:30 AM - 3:30 PM Daily Format: 3-4 Learning Modules | Coffee breaks: 09:30 & 11:15 | Lunch Buffet: 01:00 - 02:00

Day 1: Compliance Auditing Fundamentals

- Module 1: Purpose and Types of Compliance Audits (07:30 - 09:30) • Legal, regulatory, internal, third-party, and operational audits
- Module 2: Audit Standards and Frameworks (09:45 - 11:15) • ISO 37301, ISO 19011, COSO, SOX, internal audit standards
- Module 3: Auditor Roles, Ethics, and Competencies (11:30 - 01:00) • Impartiality, confidentiality, independence, conflict of interest
- Module 4: Workshop - Map Your Compliance Audit Universe (02:00 - 03:30) • Identify audit areas, risks, and resource allocation

Day 2: Risk-Based Planning and Preparation

- Module 5: Risk Identification and Prioritization (07:30 - 09:30) • Heat maps, likelihood-impact analysis, regulatory risk
- Module 6: Developing the Audit Program and Checklist (09:45 - 11:15) • Criteria, scope, objectives, sampling methods
- Module 7: Planning and Scheduling the Audit (11:30 - 01:00) • Resources, timelines, stakeholder communication
- Module 8: Workshop - Draft an Audit Plan and Checklist (02:00 - 03:30) • Build a plan for an actual or hypothetical audit

Day 3: Audit Execution and Evidence Gathering

- Module 9: Conducting Fieldwork and Interviews (07:30 - 09:30) • Questioning techniques, note-taking, observation
- Module 10: Collecting and Validating Audit Evidence (09:45 - 11:15) • Document reviews, walkthroughs, sampling
- Module 11: Identifying Non-Conformities and Issues (11:30 - 01:00) • Major vs. minor findings, significance assessment
- Module 12: Workshop - Practice Interview and Evidence Evaluation (02:00 - 03:30) • Simulated audit walkthrough with mock findings

Day 4: Reporting, Follow-Up, and Improvement

- Module 13: Writing Effective Audit Reports (07:30 - 09:30) • Clarity, structure, tone, executive summaries
- Module 14: Developing Corrective Actions (09:45 - 11:15) • Root cause analysis, action tracking, accountability
- Module 15: Audit Closure and Follow-Up (11:30 - 01:00) • Verification procedures, escalation protocols
- Module 16: Workshop - Draft an Audit Report (02:00 - 03:30) • Write findings and recommendations for a sample audit

Day 5: Practical Application and Integration

- Module 17: Integrating Compliance Audits into Governance (07:30 - 09:30) • Board-level reporting, audit committees, risk alignment
- Module 18: Continuous Improvement in the Audit Function (09:45 - 11:15) • QA reviews, auditor calibration, stakeholder feedback
- Module 19: Final Audit Simulation (11:30 - 01:00) • Role-play a complete audit process in teams
- Module 20: Final Workshop - Build a Compliance Audit Toolkit (02:00 - 03:30) • Create templates and tools for immediate application

Certification

Participants will receive a Certificate of Completion in Effective Compliance Audit, validating their ability to conduct risk-based audits, identify gaps, report findings, and enhance internal compliance assurance programs in line with international best practices.

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