

REGULATORY COMPLIANCE AUDIT: ENSURES COMPLIANCE WITH INDUSTRY-SPECIFIC REGULATIONS AND STANDARDS

“Auditing Governance, Risk, and Compliance for Regulatory Readiness and Assurance”

Schedule

Date	Venue	Fees (Face-to-Face)
18 - 22 May 2026	London, UK	USD 3495 per delegate

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

Introduction

In today’s heavily regulated environment, organizations must comply with an expanding array of laws, frameworks, and industry standards—ranging from GDPR and HIPAA to ISO, SOX, and financial sector rules. Failure to comply can result in fines, operational disruptions, and reputational damage.

This intensive course equips audit, compliance, and risk professionals with the skills to plan, execute, and report on regulatory compliance audits. Participants will learn to interpret regulatory requirements, assess internal controls, identify non-compliance, and ensure alignment with frameworks such as ISO 27001, COBIT, NIST, and more. Real-world examples, checklists, and audit simulations reinforce hands-on application.

Objectives

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

- Understand global and sector-specific regulatory requirements
- Design and implement regulatory compliance audit programs
- Evaluate internal controls against applicable laws and standards
- Identify non-compliance, document findings, and recommend remediation
- Support organizational readiness for external audits and inspections
- Align compliance audits with enterprise risk and governance initiatives

Why Attend

- Build confidence in leading and contributing to compliance audits
- Learn to interpret key regulatory standards and audit expectations
- Develop audit tools and templates tailored to your industry
- Strengthen internal accountability and assurance reporting
- Gain insights from real compliance failures and lessons learned

Target Audience

This program is designed for:

- Internal and IT Auditors
- Compliance and Risk Officers
- GRC Managers and Legal Advisors
- Control Owners and Department Heads
- Anyone responsible for regulatory compliance and internal audits

Individual Benefits

Key competencies that will be developed include:

- Planning and executing regulatory audits
- Control testing and compliance validation
- Interpreting legal and standards-based requirements
- Gap analysis and compliance risk reporting
- Communication with regulators, executives, and audit committees

Organizational Benefits

Upon completing the training course, participants will demonstrate:

- Higher levels of regulatory compliance across business units
- Fewer audit findings and external penalties
- Stronger integration of compliance and risk governance
- Improved transparency and readiness for external reviews
- Structured documentation and continuous improvement of compliance programs

Instructional Methodology

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

- Strategy Briefings - Key frameworks, regulatory drivers, audit scopes
- Case Studies - Real audit failures and remediation efforts
- Workshops - Compliance checklists, risk registers, testing plans
- Peer Exchange - Industry-specific compliance challenges
- Tools - Compliance audit templates, controls catalogues, gap analysis 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: Understanding Regulatory Frameworks

- Module 1: Introduction to Regulatory Compliance Auditing (07:30 - 09:30) • Scope, types, and importance of compliance audits
- Module 2: Overview of Global Regulations and Standards (09:45 - 11:15) • GDPR, HIPAA, SOX, ISO, PCI-DSS, NIST, COBIT
- Module 3: Governance, Risk, and Compliance (GRC) Integration (11:30 - 01:00) • Linking compliance with governance and enterprise risk
- Module 4: Workshop - Map Applicable Regulations to Your Organization (02:00 - 03:30) • Build a regulation-department-control matrix

Day 2: Compliance Audit Planning and Scoping

- Module 5: Developing a Compliance Audit Plan (07:30 - 09:30) • Risk-based planning, objective setting, stakeholder inputs
- Module 6: Scoping and Documentation Requirements (09:45 - 11:15) • Regulatory mapping, document requests, audit trails
- Module 7: Roles and Responsibilities in Compliance Audits (11:30 - 01:00) • Lines of defense, oversight committees, coordination
- Module 8: Workshop - Draft a Compliance Audit Charter (02:00 - 03:30) • Define scope, purpose, and authority

Day 3: Control Assessment and Testing

- Module 9: Designing Control Tests and Sampling Plans (07:30 - 09:30) • Test of design vs test of effectiveness
- Module 10: Performing Evidence-Based Testing (09:45 - 11:15) • Logs, records, walkthroughs, interviews
- Module 11: Identifying and Classifying Non-Compliance (11:30 - 01:00) • Severity, root cause, frequency, control gaps
- Module 12: Workshop - Simulate a Compliance Test (02:00 - 03:30) • Review sample controls and gather audit evidence

Day 4: Reporting and Remediation

- Module 13: Writing Compliance Audit Reports (07:30 - 09:30) • Structure, clarity, risk ratings, actionable findings
- Module 14: Communicating with Executives and Regulators (09:45 - 11:15) • Briefings, dashboards, documentation packages
- Module 15: Remediation Planning and Follow-Up (11:30 - 01:00) • Action tracking, control redesign, timeline oversight
- Module 16: Workshop - Draft a Compliance Report Summary (02:00 - 03:30) • Write findings and recommendations for a case study

Day 5: Sector-Specific Considerations and Continuous Monitoring

- Module 17: Industry Use Cases: Financial, Healthcare, Tech (07:30 - 09:30) • Sectoral compliance expectations and audit insights
- Module 18: Automation and Compliance Monitoring Tools (09:45 - 11:15) • GRC platforms, dashboards, continuous auditing
- Module 19: Case Study - Major Compliance Failure (11:30 - 01:00) • Analyze root causes, lessons, and corrective actions
- Module 20: Final Workshop - Prepare a Compliance Audit Plan (02:00 - 03:30) • Teams create a 12-month risk-based compliance audit plan

Certification

Participants will receive a Certificate of Completion in Regulatory Compliance Audit, validating their capability to plan, conduct, and report on compliance audits aligned with industry regulations, organizational policies, and global standards.

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