

# Advanced Certificate in Governance, Risk and Compliance

Compliance and Governance



**Virtual**



**17 hours**



**USD 2,220**



Registration Deadline

**5-Mar-2025**

## Course Description:

As the world of compliance changes at an ever-increasing pace, this course will help delegates to gain specialist knowledge and practical skills to manage regulatory risk, both now and in the future, understand how excellent regulatory compliance management protects your firm and enhances its competitive advantage in addition to boost professional profile by gaining an internationally recognised qualification.

## Target Audience:

- Compliance employees
- Those who have recently been given or aspire to be given compliance responsibilities
- Those employees with management responsibility for compliance employees

## Course Objectives:

By the end of the course, delegates should be able to:

- To learn why do we need regulation and how has it changed over time?
- What do we need to understand about regulation?
- To Understand governance, risk and compliance (GRC)
- To learn about Practical aspects of GRC
- To learn how to manage compliance and regulatory risks
- To recognise the core GRC topics: financial crime, ESG, conduct risk, data

## Course outline

### Module 1: Knowledge and Understanding

#### Unit 1: Why do we have to do what we do?

- Why do we need regulation?
- What are the objectives of regulation?
- How and why has regulation developed over time?
- Our regulated environments
- Consumer and investor protection – and new developments

#### Unit 2: What do we need to understand about regulation?

- Making markets work well
- Understanding what regulators do
- The risk-based approach
- Global regulatory structures
- Understanding different regulatory approaches
- Regulatory methodologies – their powers

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- Influencers and influences – the international dimensions
- Reactive or proactive – responding to regulation
- Appendices:
  - Case study of a regulator
  - Regulatory objectives review
  - Risk based regulation

### **Unit 3: Understanding governance, risk and compliance**

- What is GRC?
- The relationships between governance, risk and compliance
- Why is this so important?
- Appendix – some illustrations and examples

### **Module 2: Application**

#### **Unit 4: Practical GRC**

- Effective GRC in action
- The role of compliance – what we do, why we do it...
- The compliance professional
- Different roles
- Skills and qualities
- Why relationship management is so important
- Some practical applications
- Links between GRC, culture and ethics
- Appendix: Compliance activities – a case study scenario

#### **Unit 5: Managing compliance and regulatory risks**

- The links between risk and compliance
- Managing risks effectively
- Why do we need to do this?
- Benefits and consequences
- Examples of failure – case studies

#### **Unit 6: practical compliance and core GRC subjects**

- The regulatory requirement to manage the risks of financial crimes
- Anti money laundering
- Other financial crime examples
- The rise in the significance of ESG
- Conduct risk and conduct risk management
- Data protection
- Prudential compliance
- Appendix – case studies

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## Learner journey

Delegates receive booking confirmations with the following details:

- Delegates' ID
- Username and password to access course materials.
- Course schedule

## Self-study-reading the course manual

- The Advanced Certificate in Governance Risk and Compliance course manual is a comprehensive review and insight into key compliance, risk and governance subjects that impact on the roles and responsibilities of the compliance professional. It is designed to both raise and consolidate existing knowledge gained through experience to date, and to point to practical application of this knowledge and understanding.
- Completion of the manual reading is very important. Learners will find the VC session far more beneficial if they have completed reading the manual before the first class.
- Students must be fully aware they are highly unlikely to pass the course examination by attending the VCs only. The required studying for this qualification includes both the course manual and the VCs.

## Introduction session

Session is designed to introduce delegates to course format and examination

### Virtual Session 1

Throughout the virtual session, the trainer will present key themes and topics covered, and engage in questions and answers throughout the session. The session also involves group exercises to put knowledge into practice.

At the end of VC1, students should:

- An overview of the regulatory environment
- Have a better understanding of the reasons for regulation.
- Definition of ethics and organizational governance
- Recognise and operate within a regulated environment.
- Identify the core objectives of regulation.
- Key characteristics of the more recently announced holistic regulatory changes and new legislature.

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## Virtual Session 2

Throughout the virtual session, the trainer will present key themes and topics covered, and engage in questions and answers throughout the session. The session also involves group exercises to put knowledge into practice.

At the end of VC2, students should:

- Discuss why regulators do what they do.
- Be able to identify different regulatory structures & Approaches.
- Recognise the powers or methodologies they use.
- Main types of risk classes that Firms face and must cope with
- Effective Management of Compliance Risks
- Identify the influences on regulation in their jurisdiction.

## Virtual Session 3

Throughout the virtual session, the trainer will present key themes and topics covered, and engage in questions and answers throughout the session. The session also involves group exercises to put knowledge into practice.

At the end of VC3, students should:

- Review the role of the compliance function/ department.
- The corporate governance and its impact on compliance function
- Board of director's responsibilities and the committees
- Building an effective, holistic governance, risk and compliance model across an organization
- The Role of Public Disclosure and Transparency Requirements
- Examine effective ways of dealing with problems.

## Virtual Session 4

Throughout the virtual session, the trainer will present key themes and topics covered, and engage in questions and answers throughout the session. The session also involves group exercises to put knowledge into practice.

At the end of VC4, students should:

- Reviewed the risk-based compliance approach.
- Identified the components of risk management methodologies.
- Understood the role of compliance in preventing financial crimes.
- Build an understanding of examples of financial crimes (including ML)
- Fraud prevention, detection and investigation
- Internal Control policy and procedures

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## Examination

This is a 2-hour online examination consisting of 50 questions with equal representation of the different question types:

1. 50% standalone factual questions testing knowledge and recall.
2. 50% case study type questions testing comprehension, application, analysis and evaluation.

Candidates will be graded based on the following rules:

- Pass - 50% -59%
- Merit - 60% -69%
- Distinction – 70% and above

## Multiple Choice Questions examination

A multiple-choice exam will ask candidates to recognise a correct answer among a set of options rather than asking them to write out a correct answer entirely from their knowledge.

Delegates will be able to download Certificates upon successful completion of examination.

**The course content can be accessed from 15<sup>th</sup> March 2024**

**Examination (2 hours-Online) 22<sup>nd</sup> April 2025 11am Egypt time /9 am UK time**

## Course Language:

English

## Fees:

In case of nominating 3 participants , the cost per participant will be **USD 2,120**.

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## Instructor Bio:

### Dr. Gihan Gamal

An International Financial Consultant and tutor with over more than 25 years of Financial experience. She is Board Director of International Compliance & Anti-Money Laundering Society ( ICAS ) in UK, Member Board of International Financial institute Society ( IFIS ) in UK financial consultant of Chartered international for Accounting & Auditing ( CIAA ) in USA, and certified tutor of international compliance association ( ICA ) in UK, as well of Global Compliance Institute ( GCI ) in Australia specializing in compliance and financial crimes.

She has headed SATech Consultant Center which is specialized in providing Consultation and Training Courses in Financial studies to Banks, Capital market Authorities, Financial institutions, Listed companies, Medical Organization, Insurance companies and Oil & Gas companies.

She has designed and delivered several training programs covering Compliance, Anti Money laundering, Governance, finance, Banking & stock market Studies, Auditing, Risk Management, Budgeting, Financial analysis, Fraud and Financial Crimes Prevention, GRC, CMA, CRS, VFM, PMP, PBA.

- UK ( ICA – ICAS – PWC – Walden burg - Hose of Borsa – Glomacs & Anderson Academy ) : Compliance , AML, Financial Crimes Prevention & Risk Management – Oil & Gas Financial training courses.
- KSA ( CMA – SAMA- Dallaha – Mepco- Abo Dawood- SAMBA Bank - SAGIA- KAFALAH- IOF – National Bank – Samba -Fransi – SABIC – Mobily -Yanbu Cement- Archen consultant ) : Compliance – AML – Governance,Risk Management- Auditing – Digital Products - Financial Analysis – IPOs - Risk Management.
- UAE ( SCA – ADNOC – ADNB- NBD- ADGM- Ministry of interior – Dubai & Ajman Municipality- Dubai Municipality ) : Compliance –AML - Risk Management - Budgeting – Auditing - Costing – Financial Analysis.
- Kuwait ( Ministry of Commerce & industry ( AML Dept.)- Kuwait Stock Market – CMA- Commercial chamber of Commerce- Union of Investment Companies KIB -Gulf Bank- Union Bank - WARPA -KPC – KAMCO – KHORAFY – ZAIN -,,, ) : Compliance – AML- Budgeting – Credit Risk Management - Feasibility Study- Finance- Internal Auditing.
- Bahrain (Central Bank - HSBC): AML- Risk Management – Financial analysis.
- Qatar (HSBC – Central Bank - CMA): AML- Risk Management - Compliance
- Oman ( State Audit institution in the Sultanate- Oman Oil & Gas - Oman Oil Refineries & Petroleum Industries Company): Compliance – fraud - AML.
- Lebanon (Audi – HSBC – Credit Bank): AML- Risk Management – Compliance.
- Hong Kong (HSBC -ICA): AML- Compliance
- Malaysia (University of Malaya-Integrity and Governance DepartmentMalaysian Anti-Corruption Commission): AML- Risk Management – PPP.
- Kenya (Kenya Road Board - PWC): VFM – VFMA.
- Ethiopia ( Bunna International Bank ) : Governance- VFM.
- Uganda (Uganda Revenue Authority Staff SACCO): Governance – financial Management.
- Italy (The Italian Chamber of Commerce): Business Management – Risk Management.
- Egypt ( AUC- Cairo university- ESLASC - Salam Hospital - Abu Qir Fertilizers Company ) : AML- Risk Management – IPOs - Financial analysis.

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She was selected by Egyptian Government to implement the national project for Egyptian Youth (2004) to train fresh graduate from accounting, finance, and economic collages in field of business skills, also she was selected as an advisor in National Council for Women in Egypt to be Registered Member in Economic Committee For evaluation policies and rules for women empowerment economically. Also, she was selected as financial expert to implement Economic development projects with Johns Hopkins University, USA 2003 and to be the Certified instructor from Walden burg international college, UK.

Gihan is the Winners of the Medal of Excellence of the Most Influential Figures in the World 2012 and 2014 in field of training and development, also she is The Winners of the Medal of Excellence of the Most Influential Figures in stock market in Egypt declared by experts of stock market. Awarded Money Expert Honor: for consultations & services delivered in field of awareness for Youth in Arab Countries. Awarded Commerce & Industry Chamber of Kuwait Honor: for delivering training in Compliance, Anti-Money Laundering and Governance for Regulators, Financial institutions, and Banks in Kuwait (2014 till present). She is Peace Ambassador of International Council of Human Rights, Arbitration, Politics and Strategic Studies ICHAPA- 2016.

Across her training and consulting career, she joined in training board members of some of the prominent Egyptian and Middle East Public and Private financial institutions. She is General Secretary for Arab Federation for Financial Analyst, providing training program in Financial analysis all over the Arab countries.

She is a holder of, a bachelor's degree from the Faculty of economic and political science Cairo University (Economic Major). Also, a PHD degree in Economics from the University of Michigan, USA, in addition she holds international certificates in Compliance, Anti-Money Laundering and Governance from university of Michigan, UK, as well specialized certificates in field of banking and finance, such as Portfolio Management Certificate, Risk Management and Financial analysis Certificates, managing executive diploma from Continuing education classes in managerial skills from AUC.

She is the author of number of books in field of stock market and finance, World of Stock Market - 2007, Financial Crisis 2008, Strategies in Trading In Stock Market 2009, Egyptian Stock Market 2010. Professional Investor 2012. Money laundering 2017, Governance 2019 and AML compliance 2020.