Datastat Research
Building Capacity in Training and Research

DATASTAT TRAINING IN

OFFICIAL COURSE PROSPECTUS

Center for Advanced Research & Professional Development

Nairobi Training Center • Global Virtual Academy • Corporate On-Site

ACCOUNTING AND FINANCE

Enterprise Compliance Risk Management for Financial Institutions Training Course

Comprehensive Course Syllabus, Practical Modules & Upcoming Schedules

PROGRAM SPECIFICATIONS & HIGHLIGHTS

DURATION
10 Days Practical Hands-on

DELIVERY MODES
In-Person Class & Live Virtual

CERTIFICATION
Accredited Certificate of Completion

INTAKES / DATES
Multiple Cohort Schedules Included

PREPARED FOR:

Valued Participant

Email: training@datastatresearch.org | Issued: November 25, 2026

Academic & Professional Training Year: 2026

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Enterprise Compliance Risk Management for Financial Institutions Training Course

Accounting and Finance • 10 Days Intensive • Accredited Certification

Course Overview

Enterprise Compliance Risk Management for Financial Institutions Training Course equips participants with advanced knowledge and practical skills to identify, assess, monitor and mitigate regulatory compliance risks across banking institutions, insurance companies, microfinance institutions and other financial services organisations.

Key Skills & Software Tools Covered

MS Word • Microsoft Excel • RSA Archer • and MetricStream

Upcoming Training Schedules

Confirmed cohort intakes and venues. Both physical in-person classroom and live virtual online seats are available.

TRAINING DATES	LOCATION / VENUE	FORMAT / DURATION	INVESTMENT (FEE)
7 Dec 2026 – 18 Dec 2026	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
21 Dec 2026 – 1 Jan 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
4 Jan 2027 – 15 Jan 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
18 Jan 2027 – 29 Jan 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
1 Feb 2027 – 12 Feb 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
15 Feb 2027 – 26 Feb 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
1 Mar 2027 – 12 Mar 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
15 Mar 2027 – 26 Mar 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
29 Mar 2027 – 9 Apr 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
12 Apr 2027 – 23 Apr 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
26 Apr 2027 – 7 May 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
10 May 2027 – 21 May 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
24 May 2027 – 4 Jun 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
7 Jun 2027 – 18 Jun 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
21 Jun 2027 – 2 Jul 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
5 Jul 2027 – 16 Jul 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
19 Jul 2027 – 30 Jul 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
2 Aug 2027 – 13 Aug 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
16 Aug 2027 – 27 Aug 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
30 Aug 2027 – 10 Sep 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
13 Sep 2027 – 24 Sep 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
27 Sep 2027 – 8 Oct 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**

11 Oct 2027 – 22 Oct 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
25 Oct 2027 – 5 Nov 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
8 Nov 2027 – 19 Nov 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
22 Nov 2027 – 3 Dec 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**
6 Dec 2027 – 17 Dec 2027	Nairobi	Classroom / 10d	**$3,000 USD / KES 220,000**

* Corporate discounts and customized cohort scheduling are available for teams of 3 or more participants.

Course Curriculum & Modules

Enterprise Compliance Risk Management for Financial Institutions Training Course

Introduction

Enterprise Compliance Risk Management for Financial Institutions Training Course equips participants with advanced knowledge and practical skills to identify, assess, monitor and mitigate regulatory compliance risks across banking institutions, insurance companies, microfinance institutions and other financial services organisations. The course explores enterprise-wide compliance frameworks, regulatory governance, risk-based compliance management, financial crime prevention, anti-money laundering, counter-terrorist financing, fraud risk management and regulatory reporting. Participants gain insights into emerging compliance technologies, artificial intelligence-driven risk monitoring, data analytics, internal controls and global regulatory standards, including Basel Committee principles, Financial Action Task Force recommendations and International Organization for Standardization risk management frameworks.

The training further examines how financial institutions can strengthen corporate governance, improve regulatory accountability and establish sustainable compliance cultures while responding to evolving financial regulations, digital banking risks and operational vulnerabilities. Through international case studies, practical exercises and institutional scenarios, participants will develop strategies for integrating compliance risk management into enterprise risk management systems, enhancing regulatory resilience, preventing financial misconduct and supporting strategic decision-making. The programme provides actionable approaches to regulatory change management, compliance assurance, risk assessment, board oversight and continuous improvement in increasingly complex financial markets.

Course Objectives

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

- Develop comprehensive enterprise compliance risk management frameworks.
- Identify and evaluate emerging regulatory and compliance risks.
- Strengthen corporate governance and regulatory accountability.
- Apply risk-based compliance assessment methodologies.
- Enhance anti-money laundering and counter-terrorist financing controls.
- Implement effective financial crime prevention strategies.
- Strengthen internal controls and compliance monitoring systems.
- Manage regulatory changes and reporting obligations.
- Integrate compliance into enterprise risk management.
- Apply data analytics and artificial intelligence in compliance surveillance.
- Improve compliance audits and assurance programmes.
- Strengthen board-level compliance oversight and accountability.
- Establish sustainable compliance cultures and regulatory resilience.

Organizational Benefits

- Reduced regulatory breaches, penalties and financial losses.
- Improved enterprise-wide risk visibility and accountability.
- Stronger corporate governance and internal controls.
- Enhanced customer protection and institutional reputation.
- Improved anti-money laundering and fraud prevention.
- More effective regulatory reporting and compliance monitoring.
- Greater operational efficiency through automated compliance processes.
- Improved preparedness for regulatory inspections and audits.
- Stronger stakeholder confidence and institutional resilience.

- Sustainable compliance practices aligned with international standards.

Target Audiences

- Chief Compliance Officers and compliance directors.
- Enterprise Risk Management professionals.
- Bank managers and financial institution executives.
- Internal auditors and external auditors.
- Regulatory affairs and governance officers.
- Anti-money laundering and fraud investigators.
- Insurance and microfinance compliance professionals.
- Financial analysts and risk management consultants.

Course Duration: 10 days

Course Modules

Module 1: Enterprise Compliance Risk Management Fundamentals

- Principles and scope of enterprise compliance risk management.
- Regulatory compliance frameworks and institutional obligations.
- Compliance risk identification and classification.
- Integration with enterprise risk management.
- Compliance governance structures and responsibilities.
- Case Study: Wells Fargo account fraud scandal and enterprise compliance failures.

Module 2: Global Financial Regulatory Frameworks

- Basel Committee regulatory principles and requirements.
- Financial Action Task Force recommendations.
- International Organization for Standardization risk management standards.
- National financial regulations and supervisory expectations.
- Cross-border regulatory compliance challenges.
- Case Study: European Union General Data Protection Regulation implementation.

Module 3: Compliance Governance and Board Oversight

- Board responsibilities in compliance risk management.
- Three Lines Model and accountability structures.
- Compliance committees and reporting mechanisms.
- Executive oversight and regulatory accountability.
- Governance performance evaluation.
- Case Study: HSBC governance and compliance reforms.

Module 4: Enterprise Compliance Risk Assessment

- Compliance risk identification techniques.
- Risk scoring, prioritisation and risk mapping.
- Inherent and residual compliance risk assessment.
- Key Risk Indicators and compliance dashboards.
- Risk appetite and tolerance frameworks.
- Case Study: Danske Bank money laundering scandal.

Module 5: Anti-Money Laundering and Counter-Terrorist Financing

- Anti-money laundering regulatory requirements.
- Customer Due Diligence and Enhanced Due Diligence.
- Suspicious transaction monitoring and reporting.
- Sanctions screening and transaction surveillance.
- Beneficial ownership verification.
- Case Study: Standard Chartered Bank anti-money laundering enforcement actions.

Module 6: Financial Crime, Fraud and Corruption Risk

- Internal and external financial fraud detection.
- Bribery, corruption and misconduct prevention.
- Insider threats and employee fraud.
- Whistleblowing and investigation procedures.
- Financial crime risk mitigation strategies.
- Case Study: Wirecard accounting fraud and governance breakdown.

Module 7: Regulatory Change Management

- Monitoring emerging regulatory developments.
- Regulatory impact assessments.
- Compliance policy updates and implementation.
- Regulatory obligation registers.
- Change management and institutional accountability.
- Case Study: European Union Markets in Financial Instruments Directive implementation.

Module 8: Compliance Monitoring and Internal Controls

- Designing effective compliance monitoring programmes.
- Internal control testing and evaluation.
- Compliance testing methodologies.
- Control deficiencies and remediation.
- Continuous compliance assurance.
- Case Study: JPMorgan Chase internal control and risk management lessons.

Module 9: Digital Banking and Technology Compliance Risks

- Digital financial services regulatory requirements.
- Cybersecurity and information security compliance.
- Data privacy and customer information protection.
- Third-party technology and outsourcing risks.
- Artificial intelligence and automated compliance monitoring.
- Case Study: Capital One data breach and regulatory compliance implications.

Module 10: Regulatory Reporting and Disclosure

- Regulatory reporting obligations and timelines.
- Accuracy and integrity of financial disclosures.
- Reporting suspicious activities and transactions.
- Regulatory documentation and evidence management.
- Supervisory communication and examination readiness.
- Case Study: Credit Suisse regulatory scrutiny and reporting challenges.

Module 11: Compliance Auditing and Assurance

- Risk-based compliance audit planning.
- Audit procedures and compliance testing.
- Audit findings and corrective action plans.
- Independent compliance assurance.
- Audit documentation and reporting.
- Case Study: LIBOR manipulation investigations and compliance audit lessons.

Module 12: Compliance Culture and Employee Conduct

- Building an ethical compliance culture.
- Employee compliance training and awareness.
- Conduct risk and accountability.
- Conflict-of-interest management.
- Ethics reporting and whistleblower protection.

- Case Study: Wells Fargo sales culture and employee misconduct.

Module 13: Third-Party and Outsourcing Compliance Risk

- Vendor due diligence and risk assessment.
- Outsourcing governance and contractual obligations.
- Third-party regulatory compliance monitoring.
- Supply chain and service provider vulnerabilities.
- Continuous vendor performance reviews.
- Case Study: Bangladesh Bank cyber heist and third-party security lessons.

Module 14: Compliance Technology, Data Analytics and Automation

- RegTech solutions for financial institutions.
- Artificial intelligence-driven compliance surveillance.
- Machine learning for suspicious transaction detection.
- Automated regulatory reporting and workflow management.
- Compliance dashboards and predictive analytics.
- Case Study: Global banks adopting automated anti-money laundering monitoring systems.

Module 15: Enterprise Compliance Strategy and Continuous Improvement

- Developing enterprise compliance strategies.
- Compliance performance measurement and reporting.
- Regulatory resilience and institutional preparedness.
- Compliance maturity assessments.
- Continuous improvement and strategic implementation.
- Case Study: Singapore banking sector regulatory resilience and compliance transformation.

Training Methodology

- Expert-led presentations and interactive discussions.
- Practical compliance risk assessment exercises.
- International financial institution case study analysis.
- Group assignments and regulatory simulation exercises.
- Demonstrations of compliance monitoring and RegTech tools.
- Role-playing, peer learning and institutional action planning.

Register as a group from 3 participants for a Discount

Send us an email: info@datastatresearch.org or call +254724527104

Certification

Upon successful completion of this training, participants will be issued with a globally- recognized certificate.

Tailor-Made Course

We also offer tailor-made courses based on your needs.

Key Notes

a. The participant must be conversant with English.

b. Upon completion of training the participant will be issued with an Authorized Training Certificate

c. Course duration is flexible and the contents can be modified to fit any number of days.

d. The course fee includes facilitation training materials, 2 coffee breaks, buffet lunch and A Certificate upon successful completion of Training.

e. One-year post-training support Consultation and Coaching provided after the course.

f. Payment should be done at least a week before commence of the training, to DATASTAT CONSULTANCY LTD account, as indicated in the invoice so as to enable us prepare better for you.

Certification & Learning Methodology

- Hands-on practical delivery with real-world datasets, case studies, and lab exercises.
- Post-training mentorship, access to class resources, and customized follow-up support.
- Participants who successfully complete the course receive an accredited Datastat Certificate of Completion.

How to Enroll & Reserve Your Seat

1. Online Registration: Visit https://datastatresearch.org/courses/enterprise-compliance-risk-management-for-financial-institutions-training-course to register online.
2. Email Booking: Send participant details to training@datastatresearch.org for official invoice & reservation.
3. Support & Assistance: Inquire via phone +254 724 527 104 | +254 734 969 612.