MERCURY

# Financial Compliance for Strategic Finance Governance

25 – 29 January 2027
Rome (Italy)



Dubai - UAE: +971 4 450 5697
Istanbul - Türkiye: +90 539 599 1206
Amman - Jordan: +962 79 712 3347

# Financial Compliance for Strategic Finance Governance

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## Introduction

The Financial Compliance for Strategic Finance Governance course develops an understanding of how compliance requirements support sound financial governance and strategic decision-making. It examines financial regulations, internal controls, reporting obligations, risk management, audit readiness, and ethical financial practices within modern organizations. Participants explore how finance leaders can integrate regulatory compliance into planning, budgeting, performance management, and long-term governance processes. The program addresses compliance risk, financial reporting accuracy, fraud prevention, accountability, and control effectiveness across finance functions. It emphasizes interpreting requirements, designing practical controls, monitoring compliance performance, and responding to identified weaknesses. Participants connect financial compliance management with organizational resilience, transparency, stakeholder confidence, and sustainable strategic finance governance.

## Targeted Groups

This Financial Compliance for Strategic Finance Governance training targets professionals seeking knowledge and skills:

- Finance managers strengthening financial governance and compliance.
- CFOs improving strategic oversight and accountability.
- Controllers managing reporting accuracy and controls.
- Internal auditors evaluating financial control risks.
- Compliance officers monitoring regulatory obligations.
- Risk managers assessing financial exposure and weaknesses.
- Accounting professionals supporting compliant financial reporting.
- Senior executives overseeing financial integrity and governance.

## Course Objectives

Participants will achieve the following objectives by completing the Financial Compliance for Strategic Finance Governance course:

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- Explain financial compliance principles and strategic governance requirements.
- Analyze regulatory obligations affecting financial operations and reporting.
- Evaluate internal controls supporting accurate and compliant finance processes.
- Assess compliance risks using structured risk identification and prioritization methods.
- Interpret financial policies, procedures, and delegated authority frameworks.
- Examine regulatory reporting requirements and disclosure responsibilities.
- Apply control monitoring approaches to identify gaps and exceptions.
- Analyze fraud risks and strengthen preventive and detective controls.
- Evaluate financial audit readiness, documentation, and evidence quality.
- Develop approaches for managing compliance breaches and corrective actions.
- Integrate compliance considerations into budgeting and financial planning.
- Support ethical decision-making, accountability, transparency, and financial integrity.
- Use compliance indicators to strengthen management reporting and oversight.
- Align financial governance practices with strategic organizational objectives.

## Targeted Competencies

Participants will gain the following competencies during the Financial Compliance for Strategic Finance Governance program:

- Interpret financial regulations and obligations.
- Evaluate governance and accountability structures.
- Assess internal control effectiveness.
- Identify compliance, reporting, and fraud risks.
- Review audit documentation and evidence.
- Monitor compliance using key indicators.
- Investigate control and reporting exceptions.
- Recommend corrective compliance actions.
- Strengthen financial policies and controls.
- Integrate compliance into financial planning.

## Real-world Case Studies

In this Financial Compliance for Strategic Finance Governance training, participants develop skills through the following cases:

- A multinational organization reviews reporting controls after disclosure errors and evaluates governance gaps.
- A finance team assesses compliance risks before market entry and prioritizes reporting requirements.
- An internal audit function investigates transactions and strengthens preventive controls.
- A CFO evaluates a compliance breach and develops corrective actions aligned with governance objectives.

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# Course Content

## Unit 1: Financial Compliance and Strategic Governance

- Define financial compliance and distinguish it from financial governance.
- Examine regulations affecting finance, accounting, reporting, and decisions.
- Clarify governance principles, accountability, authority, and responsibilities.
- Assess compliance's role in transparency, integrity, and stakeholder confidence.
- Map regulatory obligations to finance processes and controls.
- Identify penalties, losses, reputational risks, and operational impacts.
- Align compliance with finance strategy, risk, and performance objectives.

## Unit 2: Regulatory Compliance and Financial Reporting

- Identify reporting, disclosure, recordkeeping, and control requirements.
- Examine accounting policies that support accurate, compliant information.
- Analyze risks from errors, omissions, misclassification, and poor documentation.
- Evaluate disclosure controls for accuracy, completeness, and timeliness.
- Review reporting responsibilities, approvals, submissions, and evidence.
- Assess links between tax compliance, accounting, and governance.
- Strengthen reporting through ownership, reviews, escalation, and accountability.

## Unit 3: Internal Controls, Risk, and Fraud Prevention

- Explain controls across revenue, expenditure, payroll, treasury, and procurement.
- Assess segregation of duties, approvals, reconciliations, and access controls.
- Identify compliance risks using likelihood, impact, and control effectiveness.
- Examine fraud risks, conflicts of interest, and financial manipulation.
- Evaluate preventive, detective, and corrective controls.
- Develop indicators for exceptions, unusual transactions, and recurring deficiencies.
- Integrate financial risk assessment with enterprise risk management.

## Unit 4: Audit Readiness, Monitoring, and Remediation

- Explain audit readiness for records, controls, evidence, and assertions.
- Evaluate documentation, audit trails, evidence, and retention practices.
- Analyze audit findings and identify governance weaknesses.
- Establish monitoring through risk indicators, testing, and exception reporting.
- Assess root causes and prioritize compliance remediation.
- Design corrective actions with responsibilities, deadlines, and verification.
- Support continuous improvement through reviews and lessons learned.

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## Unit 5: Strategic Finance Governance and Compliance Leadership

- Integrate compliance into planning, budgeting, forecasting, and investment decisions.
- Evaluate dashboards using compliance, financial, risk, and control indicators.
- Strengthen executive oversight through transparent, evidence-based reporting.
- Examine ethical finance, conflicts of interest, and compliance culture.
- Coordinate finance, audit, risk, legal, and business functions.
- Assess compliance pressures from digital finance, automation, and regulation.
- Balance compliance, performance, resilience, growth, and long-term value.

## Final Insights & Key Takeaways

Financial compliance strengthens financial governance by connecting regulatory requirements, internal controls, risk management, reporting accuracy, and accountability. Strategic finance leaders can use effective compliance practices to protect organizational value, improve decision-making, and support sustainable performance.