MERCURY

# Risk-Based Audit (RBA) Approach/Governance, Risk, and Compliance

27 – 31 December 2026
Dubai (UAE)



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

# Risk-Based Audit (RBA) Approach/Governance, Risk, and Compliance

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## Introduction:

Organizations face many risks in today's evolving business that can impact their operations and success. The Risk-Based Audit RBA approach is a framework that aligns auditing practices with an organization's governance, risk management, and compliance GRC efforts. By prioritizing the identification and assessment of risks, RBA enables auditors to focus their resources on areas of greatest concern, thereby enhancing the audit process.

The RBA approach thoroughly evaluates the organization's risk environment, allowing auditors to understand the business. Fosters an auditing strategy that addresses existing vulnerabilities and anticipates potential risks. In this Risk-Based Audit RBA Approach/Governance, Risk, and Compliance training integrating GRC principles, the RBA approach ensures compliance requirements are met while supporting the organization's strategic objectives.

Ultimately, the Risk-Based Audit approach is vital for organizations to improve their governance frameworks, mitigate risks, and ensure compliance with applicable laws and regulations. This Risk-Based Audit RBA Approach/Governance, Risk, and Compliance course delves into the RBA approach's concepts and methodologies, equipping participants with the knowledge and skills to implement audit strategies aligned with their organization's goals and risk appetite.

The Risk-Based Audit RBA Approach/Governance, Risk, and Compliance course integrates tools and frameworks into an audit strategy. Participants explore the RBA methodology, which assesses risks systematically to prioritize audit resources where they can have an impact. Concepts covered the steps involved in the risk-based audit approach, such as identifying and analyzing risks, applying audit techniques, and implementing RBA frameworks.

This Risk-Based Audit RBA Approach/Governance, Risk, and Compliance course delves into the definition of governance, risk, and compliance GRC, highlighting the benefits of adopting a GRC approach and the best practices for creating a robust GRC framework. Participants will understand what a risk-based audit entails, the meaning and definition of the RBA approach, and how this method enhances compliance efforts.

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## Targeted Groups:

- Internal Auditors are professionals responsible for assessing organizational processes and controls.
- Compliance Officers are individuals tasked with ensuring adherence to laws, regulations, and internal policies.
- Risk Managers Experts focused on identifying, analyzing, and mitigating organizational risks.
- Corporate Executives and Leaders are involved in strategic decision-making and risk management.
- Governance Professionals and Stakeholders overseeing corporate governance frameworks and practices.
- Finance and Accounting Team Personnel manage financial reporting and compliance activities.
- IT Security Personnel Specialists ensure the integrity and security of information systems.
- Consultants and Advisors External experts guiding risk management and auditing practices.
- Regulatory Bodies Entities are enforcing compliance and governance standards within industries.

## Course Objectives:

At the end of this Risk-Based Audit RBA Approach/Governance, Risk, and Compliance course, the participants will be able to:

- Understand the principles and concepts of the Risk-Based Audit RBA approach.
- Identify and assess key risks that impact organizational performance and compliance.
- Integrate governance, risk management, and compliance GRC frameworks into auditing practices.
- Develop effective audit plans that prioritize high-risk areas.
- Enhance data analysis skills to support risk assessment and audit findings.
- Improve communication strategies for reporting audit results to stakeholders.
- Foster a culture of continuous improvement in risk management and compliance efforts.
- Apply ethical standards and integrity in auditing processes.
- Utilize tools and techniques to evaluate the effectiveness of internal controls.
- Equip participants with the skills to provide value-added insights to organizational leadership.

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## Targeted Competencies:

By the end of this Risk-Based Audit RBA Approach/Governance, Risk, and Compliance training, the participant's competencies will:

- Risk Assessment Skills.
- Audit Methodology Knowledge.
- Compliance Awareness.
- Governance Framework Understanding.
- Data Analysis Proficiency.
- Effective Communication Skills.
- Problem-Solving Abilities.
- Critical Thinking and Decision-Making.
- Stakeholder Engagement.
- Ethical Judgment and Integrity.

## Course Content:

### Unit 1: Introduction to Risk-Based Audit RBA:

- Define the Risk-Based Audit RBA approach.
- Explain the importance of RBA in modern auditing practices.
- Discuss the differences between traditional auditing and RBA.
- Outline the benefits of implementing RBA in organizations.
- Explore the role of RBA in enhancing governance, risk, and compliance GRC.
- Review case studies illustrating successful RBA implementation.

### Unit 2: Understanding Governance, Risk, and Compliance GRC:

- Define governance, risk management, and compliance.
- Examine the interrelationship between GRC components.
- Discuss frameworks and standards for effective GRC.
- Identify key roles and responsibilities in GRC processes.
- Analyze the impact of regulatory requirements on GRC practices.
- Explore the challenges organizations face in integrating GRC.

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## Unit 3: Risk Assessment Methodologies:

- Identify different risk assessment techniques.
- Discuss qualitative vs. quantitative risk assessment methods.
- Explain how to conduct a risk assessment workshop.
- Outline the steps for identifying and evaluating risks.
- Review tools for risk analysis and prioritization.
- Analyze risk appetite and tolerance levels within organizations.

## Unit 4: Planning and Executing RBA:

- Develop an audit plan based on identified risks.
- Set objectives and scope for risk-based audits.
- Discuss resource allocation for effective audit execution.
- Examine techniques for collecting and analyzing audit evidence.
- Explore reporting structures and formats for audit findings.
- Review best practices for conducting follow-up audits.

## Unit 5: Enhancing the Audit Process and Continuous Improvement:

- Identify opportunities for improving audit efficiency and effectiveness.
- Discuss the role of technology in the audit process.
- Explore methodologies for continuous monitoring of risks.
- Analyze feedback mechanisms for audit performance evaluation.
- Review strategies for fostering a culture of compliance and accountability.
- Discuss the importance of training and development in audit practices.