MERCURY

Professional Internal Control & Compliance Practices

10 – 14 May 2027
Madrid (Spain)



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Istanbul - Türkiye: +90 539 599 1206
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Introduction

The Professional Internal Control & Compliance Practices course forms the foundation of reliable governance, disciplined operations, and sustainable business performance. This course explains how control systems support accountability, reduce exposure to error, and strengthen organizational integrity across daily activities. Participants will learn how internal control, compliance management, risk monitoring, and policy enforcement work together to protect business objectives. The program clarifies how control responsibilities are shared across departments, managers, and operating teams. It builds an understanding of preventive controls, detective controls, and corrective actions in a structured business environment. Learners will support a culture of compliance, improve the effectiveness of controls, and strengthen oversight in professional settings.

Targeted Groups

This Professional Internal Control & Compliance Practices training targets professionals seeking knowledge and skills:

- Internal control staff.
- Compliance officers.
- Risk management teams.
- Audit and assurance personnel.
- Finance and accounting professionals.
- Operations supervisors.
- Governance and policy teams.
- Managers are responsible for control oversight.

Course Objectives

Participants will achieve the following objectives by completing the Professional Internal Control & Compliance Practices course:

- Explain the role of internal control in organizational performance.
- Identify core compliance requirements and control responsibilities.
- Distinguish preventive, detective, and corrective control measures.
- Assess control weaknesses and common compliance gaps.
- Apply practical methods for policy compliance and monitoring.
- Recognize the link between risk control and business governance.
- Support stronger documentation, reporting, and accountability.
- Strengthen day-to-day decision-making in controlled environments.

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Targeted Competencies

Participants will gain the following competencies during the Professional Internal Control & Compliance Practices program:

- Control awareness.
- Compliance discipline.
- Risk identification.
- Policy interpretation.
- Monitoring judgment.
- Reporting accuracy.
- Process accountability.
- Governance support.
- Escalation awareness.

Studying Scenarios

In this Professional Internal Control & Compliance Practices training, participants develop skills through the following scenarios:

- Investigating a control failure in a routine operational process and identifying its underlying causes.
- Managing a policy breach that requires timely escalation and appropriate corrective action.
- Reviewing a compliance assessment involving missing records and incomplete documentation.
- Assessing a risk event that affects operational controls and business processes.
- Addressing repeated process deviations by evaluating control weaknesses and recommending improvements.

Course Content

Unit 1: Foundations of Internal Control and Compliance

- Understand the purpose of internal control in modern organizations.
- Review the relationship between control, compliance, and governance.
- Define control objectives in operational and administrative settings.
- Examine the control environment and its role in behavior.
- Identify why clear authority and accountability matter.
- Distinguish between formal rules and practical control of execution.
- Explore how control practices support business continuity.

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Unit 2: Core Control Principles and Compliance Structure

- Study the main elements of an internal control framework.
- Learn how compliance policies are built and communicated.
- Review the importance of segregation of duties.
- Explain authorization, verification, and approval controls.
- Identify documentation standards for compliance tracking.
- Examine how control activities reduce errors and misuse.
- Connect policy compliance with consistent operating discipline.

Unit 3: Risk Control, Monitoring, and Issue Detection

- Recognize common compliance risks in business processes.
- Identify exposure points in manual and digital workflows.
- Study how monitoring supports early issue detection.
- Review indicators of weak control design.
- Understand the value of exception reporting.
- Explore how recurring issues reveal weaknesses in the process.
- Learn how risk control protects operational reliability.

Unit 4: Control Testing, Reporting, and Corrective Action

- Understand the purpose of control testing and review.
- Identify evidence needed to confirm control performance.
- Examine how to evaluate control exceptions and findings.
- Learn how to document issues clearly and objectively.
- Study the steps for corrective and preventive action.
- Review how reporting supports management oversight.
- Explore how follow-up strengthens long-term compliance.

Unit 5: Building a Sustainable Compliance Culture

- Understand how leadership influences compliance behavior.
- Review methods for reinforcing responsibility across teams.
- Study the role of awareness, training, and communication.
- Examine how ethics supports control reliability.
- Identify practices that improve consistency and discipline.
- Learn how governance structures sustain control maturity.
- Explore how strong internal control supports trust and performance.

Final Insights & Key Takeaways

Professional internal control and compliance practices help organizations reduce risk, improve discipline, and maintain reliable oversight across critical processes. Strong control systems, clear accountability, and consistent monitoring create a safer and more trustworthy operating environment.