



Consulting and Training | Reach New Heights

Course Name

Compliance Monitoring and Reporting Techniques

Sector Name

Audit, Risk and Governance

Document Type

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Compliance Monitoring and Reporting Techniques

Course Introduction

The Compliance Monitoring and Reporting Techniques course is designed to provide participants with the knowledge and practical tools required to assess the effectiveness of compliance programs and ensure ongoing adherence to regulatory and internal requirements.

The program focuses on how organizations monitor compliance risks, detect issues early, and provide accurate, timely information to management, boards, and regulators.

Over five intensive days, participants will explore monitoring frameworks, testing methodologies, data-driven compliance oversight, and structured reporting mechanisms. The course emphasizes practical application, enabling professionals to design, implement, and continuously improve compliance monitoring activities that support transparency, accountability, and informed decision-making.

Compliance Monitoring and Reporting Techniques

Target Audience

- ✓ Legal & Corporate Governance Staff
- ✓ Finance & Banking Professionals involved in compliance oversight
- ✓ Operational Risk Officers

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Compliance Monitoring and Reporting Techniques

Learning Objectives

- Understand the purpose and scope of compliance monitoring and reporting within an organization.
- Design and implement risk-based compliance monitoring plans and schedules.
- Apply monitoring and testing techniques to assess compliance control effectiveness.
- Develop clear, meaningful compliance reports for different stakeholders.
- Use monitoring results to drive corrective actions and continuous improvement.

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Compliance Monitoring and Reporting Techniques

Course Outline

✓ DAY 01

Compliance Monitoring Foundations and Frameworks

- ✓ Definition and objectives of compliance monitoring and reporting
- ✓ Regulatory expectations and standards related to monitoring and oversight
- ✓ Relationship between compliance monitoring, audits, and assurance functions
- ✓ Risk-based approach to compliance monitoring
- ✓ Roles, responsibilities, and governance structures for monitoring activities

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Course Outline

✓ Day 02

Designing Compliance Monitoring Plans and Tools

- Identifying compliance obligations and key risk areas
- Developing annual and periodic compliance monitoring plans
- Selection of monitoring techniques (reviews, testing, sampling, walkthroughs)
- Documentation standards for monitoring activities
- Use of technology and automation in compliance monitoring

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Course Outline

✓ Day 03

Control Testing and Issue Identification

- Testing design and operating effectiveness of compliance controls
- Sampling methodologies and evidence collection
- Identifying control gaps, weaknesses, and breaches
- Root cause analysis for compliance issues
- Escalation criteria and issue severity classification

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Course Outline

✓ Day 04

Compliance Reporting and Communication

- Principles of effective compliance reporting
- Designing compliance dashboards, KPIs, and KRIs
- Reporting to senior management, boards, and committees
- Regulatory reporting requirements and disclosures
- Communicating findings, risks, and recommendations clearly

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Course Outline

✓ Day 05

Remediation, Follow-Up, and Continuous Improvement

- Developing corrective and preventive action plans
- Tracking remediation actions and accountability
- Follow-up reviews and validation of corrective measures
- Continuous improvement of monitoring and reporting processes
- Leveraging monitoring insights to strengthen compliance culture

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Confirmed Sessions

FROM	TO	DURATION	FEES	LOCATION
June 7, 2026	June 11, 2026	5 days	4250.00 \$	KSA , Riyadh
July 6, 2026	July 10, 2026	5 days	4250.00 \$	UAE , Dubai
Nov. 15, 2026	Nov. 19, 2026	5 days	2150.00 \$	Virtual , Online
March 29, 2027	April 2, 2027	5 days	4950.00 \$	Austria , Vienna

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