**Monitoring course content:**

* Compliance Monitoring fits in as an element of the compliance process, a brief explanation of the compliance process and the development of Compliance Risk Management Plans (CRMPs).
* An overview of compliance monitoring, the need and objectives as well as consequences of noncompliance.
* Explaining the risk‐based compliance monitoring approach with controls.
* Types of Compliance Monitoring
* Monitoring Tools
* The Compliance Monitoring process

**Outline of the Compliance Monitoring course:**

* The methodology for the monitoring of compliance by regulators
* The methodology for compliance monitoring by management
* The methodology for compliance monitoring by the compliance officer
* The starting point of compliance monitoring o Independent monitoring
* Effectiveness reviews
* Materiality Sampling
* Statistical sampling and non-statistical sampling
* Working papers
* The compliance report
* Recommendations that should be addressed in the compliance report
* The review process and the relevant role players
* Issues Log
* The review process to evaluate the implementation of the Compliance Risk Management Plans throughout your organisation