



AUDITING AND GOVERNANCE RISK AND COMPLIANCE | AGRC-035

Regulatory Compliance Monitoring and Testing

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Course content

Why Attend

Compliance monitoring and testing provide evidence that controls are working and regulatory obligations are met. Regulators expect a risk-based, documented monitoring programme rather than ad hoc checks.

This Aractech course covers designing a compliance monitoring programme, risk-based planning, test design, sampling, data analytics, documentation, issue management, reporting and coordination with internal audit. Participants build a monitoring plan and test scripts.

Course Methodology

- Programme design workshop
- Test script exercises
- Case studies
- Analytics lab
- Group discussions

Course Objectives

- Design a risk-based compliance monitoring programme
- Plan monitoring activities
- Design compliance tests and scripts
- Apply sampling and analytics
- Manage and track compliance issues
- Report monitoring results

Target Audience

- Compliance officers
- Compliance monitoring and testing teams

Course content

- Risk managers
- Internal auditors

Course outline

Detailed course outline

Day-by-day outline for Regulatory Compliance Monitoring and Testing.

Day 1 - Monitoring Programmes

- 09:00-09:39 | Purpose of monitoring
- 09:39-10:18 | Regulatory expectations
- 10:18-10:57 | Monitoring versus audit
- 10:57-11:00 | Programme components
- 11:00-11:30 | Coffee break
- 11:30-12:05 | Programme components (continued)
- 12:05-12:43 | Governance
- 12:43-14:00 | Exercise: Programme review

Day 2 - Risk-Based Planning

- 09:00-09:39 | Compliance risk assessment
- 09:39-10:18 | Prioritisation
- 10:18-10:57 | Annual plans
- 10:57-11:00 | Resources
- 11:00-11:30 | Coffee break
- 11:30-12:05 | Resources (continued)
- 12:05-12:43 | Coverage
- 12:43-14:00 | Workshop: Monitoring plan

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Day 3 - Test Design

- 09:00-09:39 | Test objectives
- 09:39-10:18 | Test scripts
- 10:18-10:57 | Sampling
- 10:57-11:00 | Evidence
- 11:00-11:30 | Coffee break
- 11:30-12:05 | Evidence (continued)
- 12:05-12:43 | Analytics
- 12:43-14:00 | Exercise: Writing test scripts

Day 4 - Issues Management

- 09:00-09:39 | Rating issues
- 09:39-10:18 | Root causes
- 10:18-10:57 | Action plans
- 10:57-11:00 | Tracking
- 11:00-11:30 | Coffee break
- 11:30-12:05 | Tracking (continued)
- 12:05-12:43 | Escalation
- 12:43-14:00 | Case study: Compliance breach

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| Day 5 - Reporting

- 09:00-09:45 | Reporting to management
- 09:45-10:30 | Board reporting
- 10:30-11:00 | Trends
- 11:00-11:30 | Coffee break
- 11:30-11:45 | Trends (continued)
- 11:45-12:30 | Coordination with audit
- 12:30-13:15 | Improvement
- 13:15-14:00 | Capstone: Monitoring programme

Seminar dates

Available seminar dates

Live dates and pricing for Regulatory Compliance Monitoring and Testing generated from the course details page.

Date	Location	Format	Fee
2 - 6 November 2026	Barcelona	Classroom	€2,815
21 - 25 December 2026	Paris	Classroom	€3,825
18 - 22 January 2027	Rome	Classroom	€3,460
15 - 19 February 2027	Geneva	Classroom	€4,315
15 - 19 March 2027	Amsterdam	Classroom	€2,830
19 - 23 April 2027	London	Classroom	€2,315
17 - 21 May 2027	Istanbul	Classroom	€1,978
21 - 25 June 2027	Cape Town	Classroom	€1,625
19 - 23 July 2027	Barcelona	Classroom	€2,815
16 - 20 August 2027	Paris	Classroom	€3,825

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2 - 6 November 2026	Online / Live	Online / Live	€1,815
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