QUEST
Professional Center

PROFESSIONAL TRAINING COURSE

Course No. 1422

Compliance Auditing & Monitoring Training Course

COMPLIANCE, AML & FINANCIAL CRIME
FINANCE, INVESTMENT & BANKING

DURATION **5 Days**	DELIVERY **Classroom**
LOCATION **Doha, Qatar**	DATES **8 – 12 Mar 2027**

Scheduled Event Details

CITY	Doha, Qatar
DATE	8 – 12 Mar 2027
DELIVERY TYPE	Classroom
COURSE FEE	€4,400

Course Overview

In an increasingly complex regulatory environment, organizations are expected to demonstrate not only compliance with applicable laws, regulations, and internal policies but also the effectiveness of their compliance programs. Regulatory authorities, stakeholders, and governing bodies demand greater transparency, accountability, and assurance that compliance risks are properly identified, monitored, and managed. As a result, compliance auditing and monitoring have become essential components of effective governance, risk management, and regulatory compliance frameworks.

Compliance auditing provides an independent and systematic approach to evaluating whether organizational activities, processes, controls, and practices comply with regulatory requirements, industry standards, and internal policies. Compliance monitoring, on the other hand, serves as an ongoing mechanism for assessing compliance performance, identifying emerging risks, and detecting potential issues before they develop into significant regulatory or operational concerns. Together, these functions help organizations maintain regulatory integrity and strengthen organizational resilience.

The Compliance Auditing & Monitoring Training Course is designed to provide participants with a comprehensive understanding of compliance auditing methodologies, monitoring techniques, risk-based compliance assessments, control evaluations, and reporting practices. The course examines how organizations can establish effective compliance assurance programs that support continuous improvement and regulatory readiness.

Participants will gain practical knowledge of planning and conducting compliance audits, developing monitoring frameworks, assessing control effectiveness, evaluating compliance risks, and implementing corrective action processes. The course also explores the integration of compliance auditing and monitoring within broader governance, risk management, and internal control systems.

Through practical workshops, case studies, audit simulations, and interactive discussions, participants will develop the skills necessary to evaluate compliance performance, identify areas for improvement, strengthen organizational controls, and support a culture of accountability and continuous compliance improvement.

Objectives

- Analyze the role of compliance auditing and monitoring in supporting governance and regulatory compliance.
- Evaluate the effectiveness of compliance programs, controls, and monitoring activities.
- Apply risk-based auditing methodologies to assess compliance performance.
- Develop compliance audit plans aligned with organizational objectives and regulatory requirements.
- Design monitoring frameworks that support continuous compliance oversight.
- Implement audit testing procedures to evaluate compliance controls and processes.
- Assess compliance risks and identify areas requiring corrective action.
- Improve reporting mechanisms for communicating audit findings and compliance issues.
- Strengthen organizational capabilities in monitoring regulatory obligations and compliance performance.
- Align compliance auditing activities with enterprise risk management and governance frameworks.
- Develop practical recommendations to enhance compliance effectiveness and control environments.
- Evaluate organizational readiness for regulatory reviews, inspections, and compliance assessments.

Who Should Attend

This course is designed for compliance officers, compliance managers, internal auditors, governance professionals, risk managers, regulatory affairs specialists, legal advisors, and professionals responsible for compliance oversight and assurance activities.

The program is particularly beneficial for managers and specialists working within compliance departments, internal audit functions, risk management units, governance offices, quality assurance teams, regulatory compliance divisions, and control functions responsible for monitoring adherence to policies and regulations.

It is also highly relevant for executives, department heads, public sector officials, regulators, banking professionals, financial services personnel, oil and gas compliance teams, and decision-makers seeking to strengthen compliance assurance, improve monitoring capabilities, and enhance organizational accountability.

Learning Outcomes

- By the end of this course, participants will be able to:
- Explain the principles and objectives of compliance auditing and monitoring.
- Conduct risk-based compliance assessments and audit planning activities.
- Evaluate the effectiveness of compliance controls and governance processes.
- Develop compliance monitoring programs and performance indicators.
- Perform compliance testing and evidence-gathering procedures.
- Identify compliance gaps, weaknesses, and regulatory vulnerabilities.
- Prepare professional audit reports with practical findings and recommendations.
- Implement monitoring techniques to detect emerging compliance risks.
- Track corrective actions and evaluate remediation effectiveness.
- Integrate compliance auditing with risk management and internal control frameworks.
- Support organizational compliance culture through effective assurance practices.
- Develop action plans to strengthen compliance monitoring and audit effectiveness.

Course Outline

DAY 01

Foundations of Compliance Auditing and Monitoring

- Principles and objectives of compliance auditing
- The role of compliance monitoring in regulatory compliance
- Compliance governance and assurance frameworks
- Relationship between compliance, risk management, and internal controls

DAY 01 — CONTINUED

> **PRACTICAL DISCUSSION**
> Common compliance challenges and assurance expectations

DAY 02

Risk-Based Compliance Audit Planning

- Compliance risk assessment methodologies
- Developing risk-based audit plans
- Defining audit scope, objectives, and criteria
- Audit planning, scheduling, and resource allocation

> **PRACTICAL APPLICATION**
> Building a compliance audit plan

DAY 03

Conducting Compliance Audits and Evaluating Controls

- Audit fieldwork and evidence collection techniques
- Compliance testing methodologies
- Evaluating control effectiveness and compliance performance
- Identifying findings, root causes, and compliance gaps

> **PRACTICAL WORKSHOP**
> Compliance audit case study and control assessment

DAY 04

Compliance Monitoring and Reporting

- Designing effective compliance monitoring programs
- Key compliance indicators and monitoring metrics
- Monitoring tools, techniques, and data analytics

DAY 04 — CONTINUED

- Reporting compliance issues and escalation procedures

PRACTICAL EXERCISE

Developing compliance monitoring dashboards and reports

DAY 05

Corrective Actions and Continuous Improvement

- Managing corrective and preventive actions
- Tracking remediation and compliance improvement initiatives
- Preparing for regulatory inspections and reviews
- International best practices in compliance auditing and monitoring

FINAL WORKSHOP

Developing a compliance auditing and monitoring improvement plan

Register or Request More Information

Course page: https://quest-training.com/courses/compliance-auditing-monitoring-training-course
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