



COMPLIANCE  
INSTITUTE  
SOUTHERN AFRICA

## Compliance monitoring

### Training outline - 2025

Cost per person Incl. vat	CPD Points and Accreditation	Accreditations/Partnerships /Memberships	Method of Delivery / Format	Duration
Refer to the latest advertised events for current rates or as quoted	12 hours	n/a	Virtual via Microsoft Teams	3 days (4 hours training per day with breaks)

#### What is compliance monitoring?

Compliance monitoring forms the final phase in the compliance risk management process. Monitoring closes the loop which completes the compliance cycle, it provides feedback on the effectiveness of the management of compliance risks and identifies areas of weakness that need to be improved or enhanced.

**Kindly note** that reflective, assessment questions will be presented during the session to gauge the learning experience and as a learning intervention. It is imperative that you are attentive and avoid all distractions during the training.

#### Key take-aways

- Understand compliance monitoring best practice and where applicable, legislated requirements.
- Know how to identify the primary objectives of compliance monitoring.
- Understand the form and methods of monitoring and which methods to use in different scenarios.
- Know how to identify the key role-players and their respective monitoring focus areas.
- Understand the concept of combined assurance and how this may impact on compliance monitoring.

#### Who should attend:

The course is specifically recommended for those who want to understand the compliance management environment, what compliance is and what compliance is practically.

- Individuals preparing the CPrac (SA) designation exam or Occupational Qualification: Compliance Officer exam
- Individuals responsible for compliance in their organisation and compliance specialists

- Compliance officers tasked with compliance monitoring
- Compliance administrators
- Compliance monitoring specialists
- Consultants advising clients on managing their compliance risk
- Individuals that are new to compliance and seek to understand compliance risk management processes
- Risk managers
- Internal auditors
- Individuals wanting a refresher in compliance monitoring practices

### Preparation for the course

Given that monitoring is a specialised function, it is highly recommended that individuals should have completed the Introduction to Compliance Management, Compliance Risk Management Plans and Control identification and risk assessment courses before registering for this course. Alternatively, that the attendee has a comprehension of the principles, standards and practices in the compliance management processes that precede monitoring according to the GACP.

We also recommend that you appraise yourself of **the following before** attending this course:

- The Generally Accepted Compliance Practice © (GACP) Framework 2024 version
- Control identification and risk assessment practices
- CRMP's

### CPD

- 12 hours

### What is my investment?

For ticket rates – refer to the tickets on the event.

For inhouse training enquire at [enquiries@compliancesa.com](mailto:enquiries@compliancesa.com) or complete this [inhouse enquiry form](#)

### Included in the training:

- Slide deck
- Other reference material or templates provided during the event (if applicable)

### What is your next?

The compliance training programme consists of the following courses (in order of sequence, unless you are looking for a refresher of understanding in something specific):

- GACP (If you have not already attended)
- Control identification and risk assessment (If you have not already attended)
- Any of the advanced compliance courses

### NOTE:

1. CISA will make every effort to host the specified training on the date / s as advertised. However, should unforeseen circumstances arise or an extenuating circumstance that is out of our control, we reserve the right to cancel or postpone the training. In event of CISA cancelling and or postponing the session, communication will follow in writing for next steps.
2. No AI readers are permitted.

## Detailed course outline

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
- Independent monitoring
- Effectiveness reviews
- Materiality Sampling
- Statistical sampling and non-statistical sampling
- Working papers
- The compliance reports
- 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 organization