



**INSTITUTE OF
CHARTERED COMPLIANCE OFFICERS**

Programme Prospectus

ICCO Certificate in Monitoring and Surveillance

Programme Structure

The course will be conducted via a one day 6-hour virtual learning workshop facilitated by experienced compliance trainers.

Content Outline

The following topics will be covered in the programme:

- ✓ Compliance monitoring
- ✓ Annual compliance plan
- ✓ Compliance testing
- ✓ Documentation
- ✓ Corrective actions and enhancements

Programme Objectives and Outcomes

At the end of the programme, learners will be able to:

- ✓ Monitor compliance to regulations, standards and controls
- ✓ Establish an annual compliance plan to ensure regular monitoring of compliance risks
- ✓ Conduct compliance testing using appropriate tools and methodologies
- ✓ Document monitoring and surveillance findings
- ✓ Recommend corrective actions and enhancements to strengthen internal controls