

Compliance Monitoring Programme

Course Details

Price

£215.00

Start date

12 October 2026

Length

Half day (09:30-12:30)

CPD Points

3.00

Course Overview

An effective Compliance Monitoring Programme will be risk based and provide the company with assurances that the policies and procedures are being adhered to, identify any areas for remediation, report on findings and track remediation. This course will look at how you can establish and maintain an appropriate monitoring programme to meet regulatory obligations.

Content

- The regulatory environment relative to monitoring
- Compliance obligations
- Development of the compliance monitoring programme
- Testing
- Requirement to update
- How to report on the outcomes

- Dealing with remediation

Benefits

This course will be of most benefit to those working within compliance and audit who are responsible for the establishment and/or maintenance of a compliance monitoring programme, as well as being suitable for those new to monitoring.

In attending this course you will come to fully understand:

- The regulatory environment in relation to monitoring
- The importance of monitoring
- How to develop a compliance monitoring programme
- How to prepare reporting and track remediation

Next Steps

If you would like to book a place on this course please click on the **'Book Course'** button to the right of this page and login or register for a user account to complete your booking(s). Any queries please do not hesitate to contact us via admin@gta.gg or call us on 01481 244570.

If no date is scheduled for this course at the present time please click on the **'Register Interest'** button and login or register for a user account so that we can add you to our course interest register. This register allows us to contact our tutors and finalise dates for a course as soon as we have a few people who have expressed their interest, so the more delegates who register their interest, the sooner we can schedule a particular course.

Course Tutor

Sharon Alvarez

Sharon Alvarez is a Director of Resolve Partners Ltd. Prior to setting up Resolve Sharon was a Director of a large Guernsey fund administrator. She held the position of Group Head of Risk and Compliance with responsibility for Guernsey, London, Luxembourg and Jersey compliance, governance and risk management. She is a qualified accountant and Chartered Secretary. Sharon has over 30 years' experience of accounting, administration and compliance/governance including many years at board level on companies in multiple jurisdictions (including regulated General Partner boards). She has significant experience in leading licensed entities through complex and problematic situations including GP/Advisor divorce, mediation, regulatory issues and regulator onsite inspections

including PRISM. Sharon enjoys all aspects of compliance, governance, company secretarial and risk management and since setting up Resolve has worked with clients from the fiduciary, fund, banking and insurance sectors.