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# Compliance Risk Register and Monitoring Plan Training Course

3 – 14 January 2027
Manama

# Compliance Risk Register and Monitoring Plan Training Course

**Ref:** 673_25105 **Date:** 3 – 14 January 2027 **Location:** Manama **Fees:** 8000 GBP

Compliance Risk Register and Monitoring Plan is a 2-week advanced training course for compliance and risk officers in mid-size corporates, who build a combined compliance risk register and monitoring plan. Obligations multiply faster than control budgets, so boards expect evidence that each obligation is scored, owned, tested and reported against an agreed appetite. Jupiter Prime Training delivers this Compliance Risk Register and Monitoring Plan course for practitioners.

## Why Compliance Risk Register and Monitoring Plan Matters Now

Three forces shape this work: a steady flow of new and amended obligations, boards asking for one view of conduct exposure rather than separate compliance and risk reports, and audit committees expecting tested controls instead of policy statements. Organisations that connect obligations to appetite spot breaches early and spend testing effort where exposure is highest; those that keep separate spreadsheets miss overlaps and report late. The course rests on ISO 37301 compliance management systems, ISO 31000 risk management guidelines, the COSO Enterprise Risk Management framework COSO ERM and the Institute of Internal Auditors Three Lines Model IIA Three Lines.

## Who Gains Most from Compliance Risk Register and Monitoring Plan

- Officers who maintain the obligations inventory and interpret new rules for the business
- Risk specialists who score exposures and track them against board tolerance
- Second-line staff who design and run assurance testing of key controls
- Officers who triage breaches, near misses and whistleblowing reports
- Analysts who prepare conduct and exposure reports for senior committees

A compliance function and its enterprise risk counterpart gain most when several members attend together and leave with one shared register structure.

## Compliance Risk Register and Monitoring Plan Capabilities

Participants turn scattered obligations into scored, owned and tested entries with a monitoring rhythm that committees can read.

- Map obligations to processes, owners and controls — the scope decision for the register
- Calibrate inherent and residual ratings against stated tolerance — the board appetite discussion
- Design control tests with sampling and evidence rules — the second-line assurance schedule
- Build key risk indicators with thresholds and escalation paths — the early-warning decision
- Classify and root-cause breaches and near misses — the remediation priority call
- Communicate exposure trends in a concise dashboard — the audit and risk committee

## Key Compliance Risk Register and Monitoring Plan Terms

- Obligations inventory — A maintained list of every legal, contractual and voluntary requirement the organisation must meet, each linked to an accountable owner.
- Risk appetite statement — A board-approved description of the amount and type of exposure the organisation accepts in pursuit of its objectives.
- Inherent rating — The score of a compliance exposure before any control is considered, based on likelihood and impact.
- Residual rating — The score that remains after existing controls are taken into account and their tested effectiveness is applied.
- Key risk indicator — A measurable signal with thresholds that warns when an exposure is moving outside tolerance.
- Breach log — A record of incidents, near misses and reported concerns, with classification, root cause and remediation status.

## Compliance Risk Register and Monitoring Plan Day by Day

### Day 1: Obligations Landscape and Forces

- Horizon Scanning Of New And Amended Rules — Register Change Triggers
- Obligations Inventory Structure And Sources — Scope Of Coverage
- ISO 37301 Compliance Management Clauses — System Design Choices
- Stakeholder Expectations From Boards And Auditors — Reporting Priorities
- Mid-Size Corporate Resource Constraints — Proportionate Coverage Decisions

### Day 2: Linking Obligations to Appetite

- COSO ERM Strategy And Objective Setting — Appetite Alignment
- Drafting Compliance Appetite Statements — Zero Tolerance Versus Tolerated Areas
- Tolerance Thresholds Per Obligation Family — Escalation Limits
- Structured Director Interviews — Evidence For Appetite Statements
- Appetite Cascade To Business Units — Local Accountability

### Day 3: Register Architecture

- Register Fields And Data Dictionary — Consistent Entries Across Functions
- Obligation To Process To Control Mapping — Ownership Clarity
- ISO 31000 Risk Assessment Steps — Identification Discipline
- Taxonomy For Conduct, Bribery And Data Exposures — Aggregation Logic
- Version Control And Audit Trail — Defensible Register History

### Day 4: Rating Inherent and Residual Exposure

- Likelihood And Impact Scales — Comparable Scoring
- Impact Dimensions For Fines, Licence And Reputation — Severity Weighting
- Control Effectiveness Ratings — Residual Score Adjustment
- Calibration Sessions With Risk Owners — Bias Reduction
- Heat Maps Against Tolerance Lines — Priority Ranking

## Day 5: Control Design and the Three Lines

- IIA Three Lines Roles — Testing Responsibility Split
- Preventive, Detective And Corrective Controls — Control Mix Choices
- Control Narratives And Key Control Selection — Testing Focus
- Segregation Of Duties Matrices — Conflict Detection
- Automated Versus Manual Control Evidence — Assurance Reliability

## Day 6: Controls Testing Methods

- Risk-Based Testing Frequency — Annual Assurance Calendar
- Sampling Methods And Sample Sizes — Conclusion Confidence
- Walkthroughs And Reperformance — Design Versus Operating Effectiveness
- Test Scripts And Evidence Standards — Repeatable Results
- Exception Grading And Retesting — Control Rating Updates

## Day 7: Indicators and Early Warning

- Key Risk Indicator Selection — Leading Versus Lagging Signals
- Threshold Bands Of Green, Amber And Red — Escalation Timing
- Data Sources From Finance And Operations Systems — Indicator Reliability
- Continuous Monitoring Rules — Exception Volumes
- Indicator Ownership And Review Cadence — Accountability For Signals

## Day 8: Incident and Breach Reporting

- Breach Classification Matrix — Severity And Notification Route
- Root Cause Techniques Such As Five Whys — Remediation Depth
- Whistleblowing Intake And Triage — Confidential Case Handling
- Regulator Notification Decision Trees — Timely Disclosure
- Lessons Learned Feedback Into Ratings — Register Recalibration

## Day 9: Reporting to Committees

- Compliance Dashboard Design — Committee Attention
- Trend Narratives For Residual Exposure — Board Challenge Questions
- Assurance Map Across Three Lines — Coverage Gaps
- Examples From Manufacturing And Healthcare — Sector Contrast
- Annual Compliance Effectiveness Review — System Improvement Decisions

## Day 10: Practising the Combined Register and Monitoring Plan

- Populating Entries From A Case Obligations Set — Register Completeness
- Rating And Calibrating Case Exposures — Appetite Fit
- Scheduling Tests And Indicators For The Case — Monitoring Rhythm
- Peer Challenge Of Case Ratings — Defensibility Before Committees
- Completing The Combined Compliance Risk Register And Monitoring Plan — Adoption Roadmap

## Applying Compliance Risk Register and Monitoring Plan After the Course

- Run calibration interviews with five obligation owners and re-rate their residual exposure against the agreed tolerance lines.
- Pilot three key risk indicators with amber and red thresholds for the highest residual entries and report the first month of readings.

## Compliance Risk Register and Monitoring Plan Questions FAQ

### What is a compliance risk register and monitoring plan and why does it matter now?

It is one structured record of obligations, their rated exposure, owners and controls, paired with a schedule of tests and indicators. It matters now because obligations keep changing and boards expect tested evidence against a stated appetite rather than separate reports.

### Which roles gain most from compliance risk register and monitoring plan skills?

Compliance officers, risk specialists and second-line testers gain most. You benefit when you maintain obligations, score exposures, test controls or report breaches, and when your compliance and risk colleagues need one shared view for committees.

### How does compliance risk register and monitoring plan training differ from a crisis management course?

It focuses on routine obligation scoring, controls testing and breach reporting rather than crisis escalation and response teams. You work at practitioner depth on the register and its assurance calendar, not on business continuity or crisis command structures.

### What do you bring back from compliance risk register and monitoring plan training?

You bring back a combined register and monitoring plan built on a case set. It holds rated entries, tolerance lines, a testing calendar, key risk indicators and a breach reporting route that you can adapt to your own organisation.

## Compliance Risk Register and Monitoring Plan: The Way Forward

The combined compliance risk register and monitoring plan first informs which obligations receive testing effort this year. Compliance officers, risk owners and the audit committee use it to see residual exposure against tolerance. After the first quarter of readings, revisit the indicator thresholds and control ratings, because early breach data usually shows where the original scoring was too generous or too strict.