

Certified Compliance Officer Level 2 (Compliance Monitoring, Surveillance and Testing)

Compliance officers play a vital role in their respective organizations. That role has traditionally been to ensure that financial institutions operate with integrity and adhere to applicable laws, regulations, and internal policies. In recent years, there has been a drive to expand the mandate and expectations of a compliance officer and to better balance its role as an advisor to the front line with its role of providing challenge and independent oversight. Challenge and control responsibility is supported by robust compliance monitoring, surveillance, and controls programs.

This programme will equip participants with skills to develop and implement effective and efficient monitoring, surveillance, and controls programs aligned with the organizational strategy, relevant regulations and standards. Participants will be able to assess the need and propose an adequate technological solution to facilitate monitoring, surveillance and control activities and establish and evaluate mechanisms to track effectiveness and efficiency of monitoring, surveillance, and controls outcomes and results to identify system, process, and control gaps; propose enhancements in order to remediate and strengthen the organization's control framework.

Curriculum

All sessions are interactive including teaching, case studies, group break outs and discussions and assessments are similarly designed to ensure skills learnt are thoroughly understood and grasped in practice and can be applied to work life circumstances. Participants must complete 5 compulsory modules:

1. Compliance Risk and Compliance Culture
2. Compliance Strategy, Policy and Advice
3. Financial Crime Regulation
4. Compliance Monitoring, Surveillance & Controls
5. Compliance/Regtech & Project Management

Fees & Funding

The programmes are accredited under Institute of Banking and Finance Standard Training Scheme (IBF-STs) and Singaporeans and Permanent Residents (PR) are eligible for enhanced fee subsidies.

	Fees before Subsidy (incl. of GST)	Fees <u>after</u> IBF Subsidy (incl. of GST)			
		Singaporean Age Below 40 / PR (70%* IBF-STs Funding)		Singaporean Age 40 & Above (90%* IBF-STs Funding)	
		Company-Sponsored	Self-Sponsored	Company-Sponsored	Self-Sponsored
Module 1,2,3	S\$2,782	S\$962	S\$834.60	S\$442	S\$278.20
Module 4,5	S\$2,782	S\$1,508	S\$1,508	S\$988	S\$988

*Terms and conditions apply

Contact Us

For more details or to register, please email us at govaccred@wmi.edu.sg