

Compliance Auditing Course

Understand how to conduct audits focused on regulatory, contract, grant, and quality compliance using structured approaches.

Group classes in Washington, DC and onsite training is available for this course.

For more information, email onsite@graduateschool.edu or visit: <https://sdfm.graduateschool.edu/courses/compliance-auditing>



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Course Outline

Module 1: The Basics

- Define the nature and purpose of compliance audits.
- Describe the defining attributes of compliance audits.
- Distinguish between noncompliance and fraud.
- Understand the importance of compliance auditing in government.
- Identify approaches for conducting compliance audits.

Module 2: Relevant Finding Elements

- Understand the structure and importance of finding elements.
- Differentiate among criteria, condition, cause, and effect in audit findings.
- Analyze real-world examples to strengthen findings development.
- Discuss how evidence supports findings in compliance audits.

Module 3: Objectives: Key to Successful Audits

- Develop audit objectives based on authoritative requirements.
- Distinguish between objectives for compliance and performance audits.
- Link objectives to planning, execution, and reporting phases.

Module 4: Designing the Audit

- Plan audit work that addresses compliance objectives.
- Select suitable methodologies and evidence collection techniques.
- Design procedures that align with audit objectives.

Module 5: Reporting the Audit Results

- Understand reporting formats for compliance audit findings.
- Write clear, concise, and supported audit reports.
- Communicate limitations, conditions, and recommendations effectively.