



RISK, COMPLIANCE AND AML TRAINING

Regulatory Examinations and Supervisory Engagement

2 day course

Classroom, online or in-house

Course overview

A supervisory examination is not an audit, and organisations that treat it as one produce defensive answers, lose credibility early and spend the following two years under closer attention. This course covers handling it well. Delegates work through what supervisors are actually assessing and how their risk based approach decides who gets examined, preparation including document requests and the state of the evidence, and the conduct of interviews and site visits. Managing the examination itself is covered, including how to answer a question you cannot answer. Findings, responses and remediation planning follow. The course closes on enforcement, on the relationship between examinations, and on the ongoing engagement that shapes how the next one begins.

What you will learn

- Explain what supervisors assess and how they select who to examine
- Prepare documentation and evidence ahead of a request
- Conduct interviews and site visits credibly
- Answer a question you cannot fully answer without losing credibility
- Respond to findings and build a remediation plan that holds
- Manage the escalation from finding to enforcement
- Maintain ongoing engagement between examinations

Who should attend

- Compliance officers and heads of compliance
- Executives who meet supervisors
- Internal auditors preparing for examinations
- Legal counsel supporting regulated entities
- Supervisory staff seeking the regulated view

Course outline

- 01 An examination is not an audit
- 02 What supervisors assess
- 03 Risk based selection
- 04 Preparation and document requests
- 05 Interviews and site visits
- 06 Answering under examination
- 07 Findings, responses and remediation
- 08 Enforcement and ongoing engagement

Upcoming dates

Dates	Venue	Format	Fee per delegate
15 to 16 October 2026	Online	Online	R6,500
10 to 11 December 2026	Accra, Ghana	Classroom	USD 795
9 to 10 February 2027	Windhoek, Namibia	Classroom	R11,950
3 to 4 March 2027	Durban, South Africa	Classroom	R11,950



Fees and how to register

This 2 day course is **R6,500** per delegate online, **R11,950** in the classroom in South Africa, Botswana, Namibia, Lesotho and Eswatini, and **USD 795** in the classroom elsewhere in Africa. In-house training is quotation on request. Book 2 or more delegates on this course and save 10%.

To register or request an in-house proposal, visit www.afrisciencegroup.com, email info@afriscience.co.za, or WhatsApp us on **+27 63 479 1136**.

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