

AUDITING AND GOVERNANCE RISK AND COMPLIANCE | COURSE BROCHURE

Compliance Auditing and Regulatory Inspections

5 days | Classroom training | English

SMART HORIZON

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Course content

Why attend

Compliance audits verify that organisations meet legal, regulatory and internal requirements, and help prepare for regulatory inspections. This course covers compliance audit planning, obligation mapping, testing approaches, evidence, reporting, managing regulator inspections and remediation tracking.

Regulatory inspections can lead to fines if gaps are found. This course helps you identify and fix compliance gaps proactively.

Professional Problems This Course Is Designed to Solve

• Difficulty translating subject knowledge into practical workplace decisions.
• Inconsistent approaches to the activities covered in the course outline.
• Lack of a structured plan for applying and reviewing new skills.

Course methodology

The course uses obligation mapping exercises, testing workshops, inspection simulations and case studies.

Course objectives

By the end of this course, participants will be able to:
• Plan risk-based compliance audits
• Map regulatory obligations to controls
• Test compliance and gather evidence
• Report compliance findings
• Prepare for and manage regulatory inspections
• Track remediation

Target audience

This course is suitable for:
• Compliance officers
• Internal auditors
• Quality and regulatory affairs professionals
• Risk managers
• Operations managers in regulated sectors



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Target competencies

Participants will develop competencies in:

- Compliance audit planning
- Obligation mapping
- Compliance testing
- Evidence management
- Inspection readiness
- Remediation tracking

Course outline

Day 1: Compliance Auditing

09:00–09:54	Purpose and scope
09:54–10:48	Regulatory landscape
10:48–11:00	Risk-based planning
11:00–11:30	**Coffee break**
11:30–12:12	Risk-based planning (continued)
12:12–13:06	Roles
13:06–14:00	Exercise: Audit universe

Day 2: Obligation Mapping

09:00–09:54	Identifying obligations
09:54–10:48	Mapping controls
10:48–11:00	Gap analysis
11:00–11:30	**Coffee break**
11:30–12:12	Gap analysis (continued)
12:12–13:06	Prioritisation
13:06–14:00	Workshop: Obligation register



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Day 3: Testing and Evidence

09:00–09:54	Testing approaches
09:54–10:48	Sampling
10:48–11:00	Evidence
11:00–11:30	**Coffee break**
11:30–12:12	Evidence (continued)
12:12–13:06	Documentation
13:06–14:00	Exercise: Compliance testing

Day 4: Regulatory Inspections

09:00–09:54	Inspection preparation
09:54–10:48	Managing inspectors
10:48–11:00	Document requests
11:00–11:30	**Coffee break**
11:30–12:12	Document requests (continued)
12:12–13:06	Responding to findings
13:06–14:00	Simulation: Regulatory inspection

Day 5: Reporting and Remediation

09:00–09:54	Reporting
09:54–10:48	Root causes
10:48–11:00	Action tracking
11:00–11:30	**Coffee break**
11:30–12:12	Action tracking (continued)
12:12–13:06	Continuous monitoring
13:06–14:00	Capstone: Compliance audit plan

The timings provided are estimates and may vary depending on the number of participants and the discussions taking place during the



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sessions. They are indicative only and do not constitute a binding commitment.

Dates, venues and fees

Current published course plans. Fees are per participant in GBP, excluding unconfirmed taxes.

Venue	Start date	End date	Fee (GBP)
Singapore Confirmed dates	9 Nov 2026	13 Nov 2026	**£2,820.–**
Online Confirmed dates	9 Nov 2026	13 Nov 2026	**£1,250.–**
Rome Confirmed dates	16 Nov 2026	20 Nov 2026	**£2,450.–**
Online Confirmed dates	16 Nov 2026	20 Nov 2026	**£1,250.–**
London Confirmed dates	23 Nov 2026	27 Nov 2026	**£2,450.–**
Online Confirmed dates	23 Nov 2026	27 Nov 2026	**£1,250.–**
Dubai Confirmed dates	7 Dec 2026	11 Dec 2026	**£3,150.–**
Online Confirmed dates	7 Dec 2026	11 Dec 2026	**£1,250.–**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Frankfurt Confirmed dates	14 Dec 2026	18 Dec 2026	**£2,650.-**
Online Confirmed dates	14 Dec 2026	18 Dec 2026	**£1,250.-**
Kuala Lumpur Confirmed dates	11 Jan 2027	15 Jan 2027	**£1,450.-**
Online Confirmed dates	11 Jan 2027	15 Jan 2027	**£1,250.-**
Paris Confirmed dates	25 Jan 2027	29 Jan 2027	**£2,860.-**
Online Confirmed dates	25 Jan 2027	29 Jan 2027	**£1,250.-**
Istanbul Confirmed dates	8 Feb 2027	12 Feb 2027	**£2,650.-**
Online Confirmed dates	8 Feb 2027	12 Feb 2027	**£1,250.-**
Barcelona Confirmed dates	15 Feb 2027	19 Feb 2027	**£2,840.-**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Online Confirmed dates	15 Feb 2027	19 Feb 2027	**£1,250.-**
Amsterdam Confirmed dates	22 Feb 2027	26 Feb 2027	**£2,540.-**
Online Confirmed dates	22 Feb 2027	26 Feb 2027	**£1,250.-**
Singapore Confirmed dates	8 Mar 2027	12 Mar 2027	**£2,820.-**
Online Confirmed dates	8 Mar 2027	12 Mar 2027	**£1,250.-**
London Confirmed dates	22 Mar 2027	26 Mar 2027	**£2,450.-**
Online Confirmed dates	22 Mar 2027	26 Mar 2027	**£1,250.-**
Dubai Confirmed dates	12 Apr 2027	16 Apr 2027	**£3,150.-**
Online Confirmed dates	12 Apr 2027	16 Apr 2027	**£1,250.-**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Cape Town Confirmed dates	19 Apr 2027	23 Apr 2027	**£1,890.–**
Online Confirmed dates	19 Apr 2027	23 Apr 2027	**£1,250.–**
Frankfurt Confirmed dates	26 Apr 2027	30 Apr 2027	**£2,650.–**
Online Confirmed dates	26 Apr 2027	30 Apr 2027	**£1,250.–**
Kuala Lumpur Confirmed dates	10 May 2027	14 May 2027	**£1,450.–**
Online Confirmed dates	10 May 2027	14 May 2027	**£1,250.–**
Paris Confirmed dates	24 May 2027	28 May 2027	**£2,860.–**
Online Confirmed dates	24 May 2027	28 May 2027	**£1,250.–**
Rome Confirmed dates	7 Jun 2027	11 Jun 2027	**£2,450.–**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Online Confirmed dates	7 Jun 2027	11 Jun 2027	**£1,250.–**
Istanbul Confirmed dates	14 Jun 2027	18 Jun 2027	**£2,650.–**
Online Confirmed dates	14 Jun 2027	18 Jun 2027	**£1,250.–**
Amsterdam Confirmed dates	21 Jun 2027	25 Jun 2027	**£2,540.–**
Online Confirmed dates	21 Jun 2027	25 Jun 2027	**£1,250.–**
Singapore Confirmed dates	12 Jul 2027	16 Jul 2027	**£2,820.–**
Online Confirmed dates	12 Jul 2027	16 Jul 2027	**£1,250.–**
London Confirmed dates	26 Jul 2027	30 Jul 2027	**£2,450.–**
Online Confirmed dates	26 Jul 2027	30 Jul 2027	**£1,250.–**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Dubai Confirmed dates	9 Aug 2027	13 Aug 2027	**£3,150.-**
Online Confirmed dates	9 Aug 2027	13 Aug 2027	**£1,250.-**
Vienna Confirmed dates	16 Aug 2027	20 Aug 2027	**£2,940.-**
Online Confirmed dates	16 Aug 2027	20 Aug 2027	**£1,250.-**
Frankfurt Confirmed dates	23 Aug 2027	27 Aug 2027	**£2,650.-**
Online Confirmed dates	23 Aug 2027	27 Aug 2027	**£1,250.-**
Kuala Lumpur Confirmed dates	13 Sept 2027	17 Sept 2027	**£1,450.-**
Online Confirmed dates	13 Sept 2027	17 Sept 2027	**£1,250.-**
Paris Confirmed dates	20 Sept 2027	24 Sept 2027	**£2,860.-**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Online Confirmed dates	20 Sept 2027	24 Sept 2027	**£1,250.–**
Istanbul Confirmed dates	11 Oct 2027	15 Oct 2027	**£2,650.–**
Online Confirmed dates	11 Oct 2027	15 Oct 2027	**£1,250.–**
Cape Town Confirmed dates	18 Oct 2027	22 Oct 2027	**£1,890.–**
Online Confirmed dates	18 Oct 2027	22 Oct 2027	**£1,250.–**
Amsterdam Confirmed dates	25 Oct 2027	29 Oct 2027	**£2,540.–**
Online Confirmed dates	25 Oct 2027	29 Oct 2027	**£1,250.–**
Singapore Confirmed dates	8 Nov 2027	12 Nov 2027	**£2,820.–**
Online Confirmed dates	8 Nov 2027	12 Nov 2027	**£1,250.–**



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Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
London Confirmed dates	22 Nov 2027	26 Nov 2027	**£2,450.-**
Online Confirmed dates	22 Nov 2027	26 Nov 2027	**£1,250.-**
Dubai Confirmed dates	6 Dec 2027	10 Dec 2027	**£3,150.-**
Online Confirmed dates	6 Dec 2027	10 Dec 2027	**£1,250.-**
Frankfurt Confirmed dates	13 Dec 2027	17 Dec 2027	**£2,650.-**
Online Confirmed dates	13 Dec 2027	17 Dec 2027	**£1,250.-**



Course content

Plan your next step

Dates, availability, exact venue, taxes, inclusions and payment terms require written confirmation. This brochure is not a quotation, registration, booking confirmation or visa invitation. Participants receive a Smart Horizon UK certificate of attendance; programmes are not externally accredited and do not award a professional qualification or designation. Confirm arrangements before booking travel.

For group or in-house training, contact our learning team to discuss your objectives and delivery arrangements.

Contact Smart Horizon

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