CONCEPT

RegTech and SupTech: Compliance Automation and Digital Supervision

17 – 21 May 2027
London - Central London four-star



RegTech and SupTech: Compliance Automation and Digital Supervision

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Introduction:

RegTech and SupTech promise faster onboarding, sharper financial crime detection, cleaner regulatory returns and earlier warning of weak institutions, yet many compliance teams and supervisory units still buy tools one problem at a time. Poor data, unexplained alert models and vendor lock-in then erode the expected savings. This Core Concept course gives practitioners a working method to select, govern and deploy regulatory and supervisory technology across eKYC, screening, reporting and supervisory analytics. Participants leave with a RegTech or SupTech Use-Case Business Case and Implementation Roadmap for their own organisation.

Course Objectives:

- Map RegTech and SupTech use cases across onboarding, financial crime, reporting, surveillance and supervision, and score the organisation's current automation maturity
- Configure regulatory change management and horizon scanning workflows that link new rules to obligations, owners and system changes
- Design eKYC, transaction monitoring and sanctions screening automation with tuned thresholds, alert triage and documented rationale
- Automate regulatory reporting and supervisory data collection using data lineage, validation rules and common data standards
- Apply data governance, model risk and explainability controls to rule-based and machine learning compliance and supervisory tools
- Build a RegTech or SupTech use-case business case, vendor selection scorecard and phased implementation roadmap for approval

Target Audience:

- Managers responsible for compliance monitoring, financial crime controls and customer due diligence operations
- Managers who produce regulatory returns, prudential reports and supervisory data submissions
- Risk and model validation managers who oversee analytics, scoring and alerting models
- Technology, data and architecture managers who integrate compliance platforms and data pipelines
- Supervisory and inspection managers at authorities who run off-site monitoring, data collection and risk assessment
- Innovation and transformation managers who shortlist and procure regulatory technology vendors

Course Outline:

Day 1: RegTech and SupTech Landscape and Automation Maturity

- RegTech and SupTech Definitions, Market Segments and Solution Categories
- Use-Case Inventory: Onboarding, Financial Crime, Reporting, Surveillance and Supervision
- Cost of Compliance Baseline: Manual Effort, Error Rates and Rework Mapping
- Regulatory Change Management Workflow and Horizon Scanning Tool Features
- Compliance Automation Maturity Scorecard for a Financial Institution or Authority

Day 2: Technology Architecture for Compliance and Supervision

- RegTech Reference Architecture: Data Ingestion, Rules Engines, Case Management and APIs
- Machine-Readable Regulation and Rule Taxonomy Mapping to Controls
- Regulatory Data Standards: Common Identifiers, Taxonomies and Granular Reporting Templates
- SupTech Data Collection Platforms: Push, Pull and API-Based Submission Models
- Cloud Deployment, Data Residency and Cybersecurity Requirements for Compliance Platforms

Day 3: Applying Automation to eKYC, Screening and Reporting

- eKYC Journey Design: Document Verification, Biometric Matching and Liveness Checks
- Transaction Monitoring Scenario Design, Threshold Tuning and Alert Triage
- Sanctions and Adverse Media Screening: Fuzzy Matching, False Positive Reduction and Audit Trail
- Regulatory Reporting Automation: Data Lineage, Validation Rules and Reconciliation Controls
- Conduct and Communications Surveillance at Overview: Lexicons, Voice Analytics and Case Review

Day 4: SupTech Analytics, Model Risk and Vendor Governance

- Supervisory Early-Warning Indicators and Risk Dashboards for Off-Site Monitoring
- AI-Assisted Supervision: Network Analysis, Text Mining and Anomaly Detection
- Model Risk Management and Explainability Tests for Machine Learning Alerting Models
- Data Governance Controls: Data Quality Dimensions, Ownership and Over-Reliance on Historic Data
- Vendor Due Diligence and Selection Scorecard, Proof of Concept and Regulatory Sandbox Entry at Overview

Day 5: Case Work: Use-Case Business Case and Roadmap

- Bank Case Study: Alert Backlog Reduction Through Screening and Monitoring Automation
- Supervisory Authority Case Study: Replacing Spreadsheet Returns With a Data Collection Platform
- Benefit Quantification Model: Efficiency Gains, Risk Reduction and Total Cost of Ownership
- Phased Implementation Roadmap With Change, Testing and Parallel-Run Milestones
- Use-Case Business Case Presentation and Peer Challenge Panel

Skills You Will Gain:

- Use-Case Prioritisation
- Regulatory Change Tracking
- Screening Threshold Calibration
- Reporting Data Lineage
- Supervisory Analytics
- Model Explainability Testing
- Vendor Evaluation
- Automation Business Case Modelling

Why Attend This Course:

- Return with a RegTech or SupTech Use-Case Business Case and Implementation Roadmap drafted for your own organisation and tested by peers
- Question vendors on data, model transparency and integration effort before a contract is signed
- Cut the noise in screening and monitoring alerts without weakening the audit trail supervisors expect to see
- Compare automation practice with compliance officers, reporting teams and supervisors from different institutions and countries

Conclusion:

Regulatory and supervisory technology pays back only when each use case starts from a measured problem, runs on governed data and uses models whose outputs can be explained to an auditor or inspector. The course moves from the RegTech and SupTech landscape and architecture, through eKYC, screening, reporting and surveillance automation, to supervisory analytics, model risk and vendor governance. The final day turns this material into a use-case business case and phased roadmap ready for an investment or steering committee.