

# COMPLIANCE BY DESIGN

## NAVIGATING SCALE & COMPLEXITY



Compliance By Design / Navigating Scale & Complexity / Course Overview / Investment Fund Case Study

### REGULATORY THEMES AND BUSINESS FUNCTIONS

Businesses are organized by functional lines and rely on processes to consistently deliver the outcomes their customers want.

Regulatory documents are thematic and involve the analysis of technical rules to identify the precise requirements for each functional area.

Compliance By Design provides step-by-step process-flows that are cross linked to regulatory requirements to create Standard Operating Procedures that connect the activities performed by the Operations, Management and Governance Teams.

The objective is to deliver what regulated businesses want – easy to follow Standard Operating Procedures with built in compliance.

### COURSE OVERVIEW

Compliance by Design is supported by a series of training courses that provide you with the knowledge and skills to connect enterprise-wide regulatory requirements to the processes followed by each business function to consistently deliver products and services to customers.

The first training course in the series, Navigating Scale and Complexity, uses an Investment Fund case study to outline the Regulatory Framework in which a Financial Services businesses operate.

It introduces the main functions within the Investment Fund Operating Model and identifies the role that Standard Operating Procedure play in ensuring consistent outcomes.

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“Each Regulated Entity should review the regulatory responsibilities placed on it and should identify precisely under which function each regulatory obligation falls”

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The process centric approach allows you to trace each requirement from a line in the source regulatory document to the operational activities performed and the documents that you will rely on to demonstrate compliance.

#### Course Objective

The objective of the course is to introduce the main components in Compliance By Design. Candidates will have access to several online resources used by Business Analysts and will navigate through a regulatory rules case study for an Investment Fund.

The course is designed to help Finance and Technology Professionals gain an insight into the scale and complexity of regulatory requirements and business operations. It introduces a proven methodology and a solution designed for the needs of businesses operating in Regulated industries.

The knowledge gained will allow you to implement an effective first line of defense to ensure that operational practices comply with regulatory rules. An approach that can be applied to any regulatory rule requirements and business operating model.



## Flexible Delivery

The Navigating Scale and Complexity training course has been designed to offer flexible delivery.

**Public Training Course.** As a one-day public training course delivered by [PAT FinTech](#).

**Self-directed Training Course.** As an online self-directed training course supported by instructional videos with exercise feedback reviews.

**Training the Trainer.** For in-house training teams, as a train the trainer course supported by a Facilitators Guide and learning aids.

**On site and Remote.** The Navigating Scale and Complexity training course can be facilitated in a single location or remotely to meet flexible working requirements.

## Fund Elements

<http://www.fundelements.io/training>

## Target Audience

Strategic and Operations Leaders (C-Suite) and Governance Team Members who want to adopt an enterprise-wide approach to managing the scale and complexity of operating a Regulated Entity.

Finance and Technology Professionals who want to broaden their knowledge of the regulatory environment and how to connect regulatory obligations to day-to-day operational activities.

## Training Resources

Candidates will navigate through several online resources that have been setup for the requirements in the case study.

- **Rules Index.** A list of in-scope regulatory rules, linked to source documents, that apply to the operation of an Investment Fund.
- **Dependency Analysis.** A tree view to allow you navigate the scale and complexity of the regulatory requirements.
- **Rules Library.** A library linked to the entry in the Rules Index that captures the rule requirements for the case study.
- **Impact Assessment.** A data table that captures the results of the impact analysis for the case study requirements.
- **Compliance Rules Matrix.** A report used to demonstrate compliance linking the regulatory rules, documents, and processes for the case study.

## LEARNING OBJECTIVES

**Regulatory Requirements.** Identify the main rule requirements that apply to the operation of an Investment Fund.

**Business Functions.** Identify the main areas of functional activity within the Operating Model of an Investment Fund

**Governance, Management Operations.** Distinguish between the activities performed by the Governance, Management and Operations teams in an Investment Fund.

**Role of Standard Operating Procedures.** Identify the role played by Standard Operating Procedures in supporting the functional areas of an Investment Fund.

**Characteristics of Standard Operating Procedures.** Describe the main characteristics of high quality Standard Operating Procedures.

**Regulatory Change.** List the main stages in the implementation of industry wide Regulatory Change programme.

**Implementing Regulatory Requirements.** Identify the main steps involved in the implementation of a Regulatory Change project for a Regulated Entity.

**Compliance By Design.** Describe the role played by each of the main components in Compliance By Design.