

COMPLIANCE BY DESIGN

APPLIED REGULATORY ANALYST



Applied Regulatory Analyst / Course Overview

BUSINESS ANALYST SKILLSET

Skills to convert complex regulatory rule requirements into easy-to-follow operating procedures.

Proven Business Analysis methodology.

Case studies for the main regulatory themes with structured exercise to achieve expected results.

DevOps skills to enable Operations and Technology teams to work effectively to deliver digital transformation projects in Regulated Entities.



COURSE OVERVIEW

The Applied Regulatory Analyst training course teaches you the skills used by a Business Analyst to build Standard Operating Procedures that integrate complex regulatory rules into day-to-day business processes.

Course Objective

At the end of the course, you will have built Standard Operating Procedures using a case study for a current regulatory requirement. Your objective is to create a matrix report that proves compliance by cross-referencing each regulatory obligation to a business process.

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

The course objective is to provide you with the skills to complete the following outcomes:

- Baseline Regulatory Requirements
- Conduct an Impact Assessment
- Complete a Dependency Analysis
- Construct end to end Process-flows
- Build a Compliance Rules Matrix

Target Audience

The Applied Regulatory Analyst Training Course targets operationally focused Finance and Technology Professionals who want to develop a Business Analyst skillset when working with Regulatory requirements and experienced Business Analysts who want to learn a proven process-centric methodology.

It supports the development of skills for two key competencies¹:

- **Regulatory Compliance.** Develop, enforce, implement, and practice regulatory compliance activities to ensure compliance to legislative and regulatory requirements.

¹ (Source: [Skills Framework for Financial Services](#))



Flexible Delivery

The Applied Regulatory Analyst 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.

Train 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 Applied Regulatory Analyst training course can be delivered on-site in a training room or remotely to meet flexible working requirements.

- **Standard Operating Procedures Development.** Implement and develop Standard Operating Procedures (SOPs) and enforce compliance with SOPs.

Standard Operating Procedures

The Standard Operating Procedures you create during the training course will consist of easy-to-follow process-flows that clearly define the job roles responsible for each activity. They are used by Regulated Entities:

- As requirements for training
- As functional specifications to select or build systems
- As evidence of compliance with regulatory obligations
- To define deliverables and service level agreements for delegates
- To connect Governance, Management and Operations Teams

The skills acquired will allow you to create high quality Standard Operating Procedures that can be used by a regulated entity to cross reference operational activities to rule requirements for any regulatory theme.

LEARNING OBJECTIVES

Baseline Rule Requirements. Create a rules library linked to regulatory source documents to accurately capture the rule requirements.

Impact Assessment. Identify each document impacted by the rule requirements.

Document Definition. Create an index to define each document identified in the impact assessment.

Dependency Analysis. Create a dependency tree to connect each rule requirement to the document relied on to demonstrate compliance.

Business Process Definition. Define the process that creates each document in the document index.

End-to-end Process-flows. Create an end-to-end process-flow to connect the governance, management, and operations activities for each deliverable.

Process Decomposition. Create sub-processes to provide more detailed instructions for each of the process definitions.

Compliance Rules Matrix. Connect each entry in the rule's library to the relevant process definition in the end-to-end process-flow.

SKILL TRANSFER

Applied Regulatory Analyst is a best practice training course. Candidates will complete a series of structured exercises on a cloud-based Business Analysis App that has been designed for businesses operating in regulated industries.

The skills acquired during the course can be applied on many Apps including Microsoft Visio, PowerPoint, and SharePoint.

To find out more, go to:

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