COMPLIANCE BY DESIGN

COMPLIANCE REPORTING ANALYST

Compliance Reporting Analyst / Course Overview

DEMONSTRATING COMPLIANCE

Finance and Technology Professionals will need to respond to internal and external requests to demonstrate compliance with Regulatory obligations across a wide range of regulatory themes.

The way you respond can build trust and enhance your reputation.

It is a choice between a pro-active approach to create a center of excellence or a tick the box approach to create the appearance of compliance.

COURSE OVERVIEW

The Compliance Reporting Analyst training course teaches you the skills you need to respond to internal and external reviews to demonstrate compliance with Regulatory obligations.

The course uses case studies to examine the types of information that Finance, and Technology Professionals need to provide to demonstrate compliance with a range of Regulatory requirements.

Course Objective

At the end of the course, you will have developed your analysis skills using several case studies that require you to structure and collate information to respond to a range of Regulatory compliance requests.

The objective of the course is to teach you the skills to create content that is easy to share with Team members so that you can collect and maintain the information required to answer questions about a Regulated Entities compliance.

The course focuses on developing content that is easy to maintain and can be reused across many compliance themes. It uses relational database design principles to show you how to structure and maintain lists of records that are easy to cross reference to provide matrix reports to satisfy many regulatory requests.

Target Audience

The Compliance Reporting Analyst training course targets Finance and Technology Professionals who are responsible for providing information to internal and external parties to answer questions about how a Regulated Entity is complying with Regulatory obligations.

It supports the development of skills for the following competencies[1]:

- **Regulatory Compliance**. Develop, enforce, implement, and practice regulatory compliance activities to ensure compliance to legislative and regulatory requirements.
- **Business Continuity Planning**. Develop and implement business continuity plans for organisational preparedness of disruptive events.

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

Flexible Delivery

The Compliance Reporting 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 Compliance Reporting Analyst training course can be delivered on-site in a training room or remotely to meet flexible working requirements.

To find out more, go to:
http://www.fundelements.io/training

- **Compliance Mindset Development**. Design and deliver training materials on regulatory compliance topics to spread awareness and encourage adoption of a compliance mindset and behaviours.

LEARNING OBJECTIVES

Multi-fund Reporting. Create indexes to record the legal entities that make up the fund structure, including all registrations, authorizations and appointments held.

Roles and Responsibilities. Create indexes to record the people that have been appointed by each legal entity within the fund structure to show the assignments to business and regulatory roles.

System Access Management. Create indexes to identify each system, the user accounts assigned, and permissions granted including any production, development, and quality assurance environments.

Outsourcing. Create indexes to identify all outsource arrangements for each legal entity in the fund structure.

Business Continuity Management. Create indexes to record the business functions and services provided by each legal entity within the fund structure and expected recover times.

Record Retention. Create a documents index and a record retention process to include document backup, archiving and recovery processes.

Individual Accountability. Create an oversight process with Governance, Management and Operation team member involvement that clearly identifies the individuals responsible and accountable for each activity.

Operational Risk. Create a data table to enable Team members to identify operational risks including assessment, prioritization, and action planning as part of a risk mitigation program.

Thematic Reviews. Create a plan to undertake a thematic inspection in line with the requirements established by a Regulatory Authority.

Due Diligence. Record evidence of initial and periodic due diligence performed on the effectiveness of appointed service providers.

Regulatory Enforcement. Identify actions to be undertaken to review internal controls resulting from enforcement action published by a Regulatory Authority.

SKILL TRANSFER

Compliance Reporting Analyst is a best practice training course. Candidates will complete a series of structured exercises on a cloud 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, Teams, and SharePoint.