

# COMPLIANCE BY DESIGN

## ENTERPRISE REGULATORY ARCHITECT



Enterprise Regulatory Architect / Course Overview

### ENTERPRISE REGULATORY ARCHITECTURE

Global Operations focus on the efficient delivery of products and services to customers.

In each country, this involves complying with local Regulatory requirements.

Regulatory requirements that are continually evolving with scale, complexity, and precision in each jurisdiction.

Operating globally and complying locally requires a universal approach. It needs an architecture that identifies similarities while recognizing important local differences.

### COURSE OVERVIEW

Enterprise Regulatory Architect is a training course that teaches you the skills you need to develop and implement an architecture to effectively manage all your Regulatory requirements.

The course will teach you how to design a Regulatory architecture that is appropriate for your business. The approach can be applied to a single Regulated Entity operating in a one jurisdiction and is scalable for the needs of global businesses operating many Regulated Entities across multiple jurisdiction.

The course uses a bespoke case study based on your specific requirements and is designed to teach the skills required and deliver the key components of your architecture.

### Course Objective

At the end of the course, you will have built the key components in an Enterprise-wide Regulatory Architecture based on a case study aligned to the needs of your business.

The course will deliver the following components of the architecture:

- **RULES Index.** An index that identifies all the Regulatory requirements for a selected jurisdiction.
- **RULES Library.** A document in the RULES library for a selected Regulatory theme.
- **DOCUMENTS Index.** An index of the documents that are relied on to demonstrate compliance for the selected theme.
- **Dependency Tree.** An expandable tree view that connects each Operational document to the Regulatory obligations for the selected theme.
- **Standard Operating Procedure.** A process-flow that provides easy to follow instructions on how to create each Operational document.
- **Compliance Rules Matrix.** A matrix that connects each Regulatory obligation in the RULES Library to the process in the Standard Operating Procedure.

### Target Audience

The Enterprise Regulatory Architect training course targets C-Suite Finance and Technology Professionals who are responsible for the implementation and automation of Regulatory requirements. It is suitable for Global, Regional and Thematic Leaders.





### Flexible Delivery

The Enterprise Regulatory Architect training course has been designed to offer flexible delivery.

#### One Day Training Course

As a single day one-to-one intensive training course.

#### Self-directed Training Course

As an online self-directed training course supported by facilitator lead feedback reviews.

#### On site and Remote

The Enterprise Regulatory Architect training course can be delivered on-site or remotely to meet flexible working requirements.

It also suitable for Finance and Technology Professionals who are Team Leaders and want to gain a wider understanding of the Regulatory Framework and the important role the Regulatory architecture plays in ensuring a consistent approach to managing and automating Regulatory requirements.

## LEARNING OBJECTIVES

**Architectural Components.** Identify the main components in Enterprise-wide Regulatory Architecture.

**Rules Index.** Create an index linked to regulatory source documents to define the scope of Regulatory requirements for a country in which your business operates.

**Stakeholder Analysis.** Allocate the key stakeholders for each of the Regulatory requirements in your Rules Index.

**Rules Library.** Create a document in the Rules Library for set of Regulatory requirements that apply to your business for the selected country.

**Legal Entity Index.** Create an index and identify the type of Regulatory authorization that applies to each legal entity.

**Countries Index.** Create an index to identify each country where local Regulatory requirements apply for the Regulated Entities.

**Statutory Authorities Index.** Create an index that contains a record for each Regulatory Authority for the selected country.

**Documents Index.** Create an index defines each Operational document that will be relied on for compliance with the document in the RULES Library.

**Documents Dependency Tree.** Build a dependency tree that links the Operational documents to the Regulatory obligations in the RULE Library.

**Standard Operating Procedures.** Create a process-flow to show the processes to follow to deliver each operational document.

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

**Functional Requirements.** Outline the main functional requirements for an application to manage Enterprise Regulatory Architecture.

To find out more, go to:

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