



**GLOBAL
COMPLIANCE
INSTITUTE**

RCS **REGULATORY COMPLIANCE SPECIALIST**

SYLLABUS

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Competencies

➤ Regulators

➤ The International Context

- Bank for International Settlements (BIS)
- Basel Committee on Banking Supervision
- Wolfsberg Group
- Federal Reserve System
- Australian Regulatory Agencies
- Reserve Bank of Australia (RBA)
- The Australian Prudential Regulation Authority (APRA)
- Australian Securities and Investments Commission (ASIC)
- The Treasury
- The Organisation for Economic Co-operation and Development (OECD)
- International Chamber of Commerce
- European Data Protection Act (General Data Protection Regulation - GDPR)
- How the Compliance Officer Deals with International and Regional Laws and Organisations

Understanding
the Role of the
Regulatory
Bodies



Understanding
the
International
Context of the
Regulatory
Bodies



Competencies

➤ The Compliance Function within Financial Institutions (Practical Aspect)

Understanding the Compliance Function

➤ Compliance with Direct Regulatory Bodies' Instructions

Knowing How to Comply with Direct Regulatory Bodies' Instructions

➤ Compliance with Laws and Indirect Regulatory Bodies' Instructions

Knowing How to Comply with Laws and Indirect Regulatory Body Instructions

➤ Compliance with Internal Policies

Knowing How to Comply with Internal Policies

➤ Compliance Department Location within the Institution's Organisational Structure

Understanding Where Compliance Fits Within the Organisational Structure

➤ Relationship of the Compliance Department with Other Departments within the Institution

- Relationship of the Compliance Department with Internal Audit
- Relationship of the Compliance Department with the Legal Department
- Relationship of the Compliance Department with the Risk Department
- Relationship of the Compliance Department with the Anti-Money Laundering Department
- Relationship of the Compliance Department with the Chief Executive Officer (CEO)
- The Relationship of the Compliance Department with the Board of Directors and its Committees

Understanding How the Compliance Department Relates to Other Departments



➤ Organisational Structure

Understanding How the Organisation Should be Structured



➤ Compliance Policy

- The Scope and Purpose of the Policy
- Determining the Tasks of the Board of Directors
- Determining the Tasks of the Compliance Committee
- Determining the Responsibilities of the Executive Management Team for Monitoring Compliance
- Determining the Tasks and Qualifications of the Compliance Department
- Tasks of the Institution's Staff Regarding Compliance
- Communication with Regulatory Bodies

Understanding
How to Create
a Compliance
Policy



➤ Compliance Monitoring and Examination Process

- First: Monitoring Simple Requests
- Second: The Monitoring of Periodic Reporting to Regulators
- Third: Compliance Role in Work Procedures and Providing Advice
- Fourth: The Compliance Monitoring of Regulatory Requirements

Knowing
Compliance
Monitoring and
Examination
Processes



Competencies

➤ A Risk-Based Approach to Compliance Examinations

Applying a Risk-Based Approach to Compliance Examinations



➤ The Risk Assessment Process

Understanding Risk Assessment Processes



➤ Control Type & Function
• Multiple Controls

Knowing the Control Type & Function



➤ Determining the Date of the Next Examination

How To Determine the Date of the Next Examination



➤ Issuing Regulatory Compliance Reports

Knowing How To Issue Regulatory Compliance Reports



Competency Types:

