

**SKILLS FRAMEWORK FOR FINANCIAL SERVICES
TECHNICAL SKILLS AND COMPETENCIES (TSC) REFERENCE DOCUMENT**

TSC Category	Risk Management, Governance and Regulatory Compliance					
TSC	Compliance Mindset Development					
TSC Description	Design and deliver training materials on regulatory compliance topics to spread awareness and encourage adoption of a compliance mindset and behaviours					
TSC Proficiency Description	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6
			FSE-LDD-3024-1.1	FSE-LDD-4024-1.1	FSE-LDD-5024-1.1	
			Assist in preparation and execution of compliance training and mindset development	Oversee development of compliance training programmes, compliance mindset development activities and perform training gap analyses	Lead changes made to the organisation's compliance framework to introduce and cultivate the culture of compliance	
Knowledge			<ul style="list-style-type: none"> • Key success factors of an effective compliance training programme • Basic requirements of a compliance training programme • Compliance principles within industry • Laws and regulations within financial services • Common compliance vulnerabilities 	<ul style="list-style-type: none"> • Methods for training gap analyses • Appropriate techniques to deliver an effective compliance training programme • Facilitation techniques • Latest trends and practices within compliance training and education 	<ul style="list-style-type: none"> • General regulatory landscape of the industry • Organisation's compliance policies and frameworks • Organisation's compliance strategies • Methods for training gap analyses • Training delivery techniques 	
Abilities			<ul style="list-style-type: none"> • Identify and explain basic requirements to organise, design and deliver a compliance training programme for the organisation • Identify key success factors of effective compliance training programme and compliance mindset development activities • Plan and prepare training materials to support the delivery of training by 	<ul style="list-style-type: none"> • Perform training gap analyses using appropriate tools and techniques • Identify compliance training needs across the organisation • Design appropriate training programmes and/or mindset development activities • Determine appropriate training and development techniques • Provide guidance for the development of 	<ul style="list-style-type: none"> • Remain aware of regulatory changes and their impact on the business • Develop organisational compliance training strategies • Identify organisational-wide and senior-management training gaps for compliance mindset • Oversee updates of the organisation's compliance policies to include compliance 	

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			<p>senior compliance officials</p> <ul style="list-style-type: none"> • Co-facilitate training under senior compliance officials' direction and supervision • Practice compliance in day-to-day activities 	<p>compliance mindset development activities</p> <ul style="list-style-type: none"> • Deliver compliance training to the business through appropriate use of communication, problem solving and negotiation skills • Facilitate compliance educational activities 	<p>mindset and behaviour awareness</p> <ul style="list-style-type: none"> • Facilitate training and mindset development activities for senior management • Propose recommendations for improving compliance training and development activities based on feedback 	
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