

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

<b>TSC Category</b>	Risk Management, Governance and Regulatory Compliance					
<b>TSC</b>	Risk and Compliance Reporting					
<b>TSC Description</b>	Develop regulatory documents required to meet regulatory reporting requirements and obligations					
<b>TSC Proficiency Description</b>	<b>Level 1</b>	<b>Level 2</b>	<b>Level 3</b>	<b>Level 4</b>	<b>Level 5</b>	<b>Level 6</b>
		<b>FSE-AUD-2018-1.1</b>	<b>FSE-AUD-3018-1.1</b>	<b>FSE-AUD-4018-1.1</b>	<b>FSE-AUD-5018-1.1</b>	
		Gather and compile information into standard reporting templates for routine internal reporting activities	Identify, gather and organise information and data needed according to reporting requirements and prepare initial drafts for regulatory submissions	Oversee collation of information and development of reporting deliverables required for regulatory submissions and ensure alignment to requirements and standards	Drive accurate reporting of risk and compliance matters and regulators, and translate and communicate updates on risk and compliance reports to internal and external stakeholders	
<b>Knowledge</b>		<ul style="list-style-type: none"> <li>Risk and compliance reporting templates</li> <li>Report writing techniques</li> <li>Business reporting requirements</li> <li>Documentation systems</li> </ul>	<ul style="list-style-type: none"> <li>Regulatory reporting requirements</li> <li>Different types of reporting and relevant formats</li> <li>Regulatory reporting procedures</li> <li>Reporting escalation process</li> <li>Sources of information and data required for reporting</li> </ul>	<ul style="list-style-type: none"> <li>Reporting timelines</li> <li>Regulatory reporting requirements and standards</li> <li>Regulatory reporting framework</li> <li>Risk and Compliance principles</li> <li>Risk and compliance reporting systems</li> </ul>	<ul style="list-style-type: none"> <li>Risk and compliance frameworks</li> <li>Regulatory reporting requirements and standards</li> <li>Financial and organisational factors relating to risks and compliance</li> <li>Organisational compliance strategies</li> <li>Approaches for defining Key Performance Indicators (KPIs)</li> </ul>	
<b>Abilities</b>		<ul style="list-style-type: none"> <li>Coordinate and accept submission of regular internal risk and compliance reports from business line</li> <li>Collect and enter data into standard reporting templates</li> <li>Submit routine reports to relevant stakeholders for review</li> <li>Input standard reports into documentation</li> </ul>	<ul style="list-style-type: none"> <li>Collect and document data and evidence required based on regulatory reporting frameworks and compliance standards</li> <li>Verify completeness of information collected according to regulatory reporting requirements</li> <li>Organise information and data into defined</li> </ul>	<ul style="list-style-type: none"> <li>Determine types of information required based on reporting objectives</li> <li>Identify regulatory reporting needs and timelines for submissions</li> <li>Determine operational plans and reporting system requirements to ensure adherence to reporting timelines</li> </ul>	<ul style="list-style-type: none"> <li>Develop regulatory reporting frameworks aligned to organisational processes and structures</li> <li>Ensure changes in regulations and/or reporting requirements are captured within organisational reporting frameworks</li> <li>Define KPIs for risk and compliance reporting</li> </ul>	

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		<p>systems for regularly internal reporting</p> <ul style="list-style-type: none"> <li>Organise and maintain documentation system to allow for ease of information retrieval</li> </ul>	<p>templates and/or meaningful categories</p> <ul style="list-style-type: none"> <li>Draft regulatory documentation for review by senior team members</li> <li>Identify and suggest improvements to improve risk and compliance reporting process</li> </ul>	<ul style="list-style-type: none"> <li>Guide preparation of reports on risks and compliance</li> <li>Highlight areas of concern, changes, emerging threats and opportunities.</li> <li>Review prepared reports for accuracy and validity according to reporting frameworks</li> <li>Manage continuous improvement activities for reporting processes and reporting systems</li> </ul>	<ul style="list-style-type: none"> <li>Conduct periodic reviews for accuracy of reports for submission or communication to senior stakeholders and regulators</li> <li>Present and communicate information captured within risks and compliance regulatory reports</li> </ul>	
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