GLOBAL COMPLIANCE INSTITUTE

RCS CANDIDATE HANDBOOK

THE REGULATORY COMPLIANCE SPECIALIST PROGRAM OFFERS A COMPREHENSIVE APPROACH TO UNDERSTANDING REGULATORY COMPLIANCE MANAGEMENT, EQUIPPING INDIVIDUALS WITH THE NECESSARY SKILLS TO ENSURE REGULATORY ADHERENCE AND MINIMIZE COMPLIANCE RISKS THROUGH EFFECTIVE RISK ASSESSMENT TECHNIQUES.

YOU WILL LEARN WHAT SHOULD BE WITHIN THE SCOPE OF THE COMPLIANCE DEPARTMENT. THE DIFFERENCE BETWEEN INTERNAL AUDIT REVIEW AND COMPLIANCE EXAMINATION. WHERE THE COMPLIANCE FUNCTION SHOULD BE LOCATED WITHIN AN ORGANISATIONAL CHART.

HOW TO BUILD A REGULATORY COMPLIANCE PROGRAM AND CONDUCT RISK-BASED COMPLIANCE EXAMINATIONS.

AND MUCH MORE

© 2026 GCI INSTITUTE ALL RIGHTS RESERVED.

+44 203 488 6913 www.gci-ccm.org info@gci-ccm.org

ABOUT GCI

GCI is an international Financial Crime Prevention and Compliance Training Institute dedicated to strengthening Financial Crime Prevention and Compliance capabilities across the global financial sector. We specialise in AML, CTF, and the full spectrum of financial-crime disciplines, including KYC, sanctions and embargoes, regulatory compliance management, FATCA, and CRS. Our programs are designed to equip professionals with practical, industry-aligned skills that meet today's evolving regulatory expectations.

CPD MEMBER
The CPD Certification Service

GCI is a recognised independent accreditation institute compatible with global CPD principles.

OUR MISSION

Delivering anti-financial crime training to compliance and AML professionals across the globe. Providing the latest expertise through our cutting-edge, hassle-free learning platform. Helping students boost their careers through study programs that fit around their schedule, giving them the confidence and practical know-how to apply their expertise in their workplace and protect their business.



LEARNING OBJECTIVES

The International Context

- Understand the role and significance of international regulatory bodies such as the Bank for International Settlements (BIS), Basel Committee on Banking Supervision (BCBS), and Wolfsberg Group.
- Gain awareness of different international regulatory frameworks.
- Identify the importance of international and regional laws in shaping regulatory compliance.

Risk-Based Approach & Compliance Monitoring

- Learn about compliance with direct regulatory bodies' instructions and the importance of adhering to regulatory requirements.
- Understand the concept of legal compliance and the significance of complying with internal policies.
- Explore the independence of the compliance department and its location within the organizational structure.
- Gain knowledge of the organizational structure and its impact on regulatory compliance.
- Understand how a compliance department can be structured and its relationships with other departments within the institution, including Internal Audit, Legal, Risk, and the Chief Executive Officer (CEO).



- Identify the board's responsibilities in relation to corporate culture, values, risk appetite, management, control, and oversight of senior management.

Compliance Policies

- Understand what should be included in a compliance policy and its importance in guiding compliance activities.
- Learn about the scope and purpose of a compliance policy and its role in defining compliance expectations.
- Explore the executive management's role in terms of compliance and their responsibilities in ensuring compliance culture.
- Analyse the compliance personnel qualifications and the skills required for effective compliance management.

Compliance Monitoring and Examination Process

- Understand the five stages of the compliance monitoring and examination process.
- Learn about the first stage: Request for Information (RFI), and its purpose in gathering necessary compliance-related information.
- Explore the second stage: Periodic Regulatory Reports and their significance in reporting compliance status.
- Familiarize yourself with the third stage: Regulatory Inventory Matrix (RIM) and its role in assessing regulatory compliance requirements.



- Understand the fourth stage: Regulatory Control Matrix (RCM) and its importance in mapping control activities.
- Learn about the fifth stage: Compliance Examination and its role in evaluating the effectiveness of compliance measures.

Compliance Risk Assessment

- Understand the purpose of a risk assessment in regulatory compliance.
- Learn about the frequency of risk assessments and the importance of conducting them regularly.
- Identify who should conduct the risk assessment and the role of various stakeholders in the process.
- Explore compliance risk assessments in practice and the methods used to assess and mitigate compliance risks.
- Gain knowledge of control types and functions and their significance in managing compliance risks.
- Define the concept of multiple controls and their role in strengthening regulatory compliance.

SYLLABUS

CHAPTER ONE: THE INTERNATIONAL CONTEXT.

- Bank for International Settlements (BIS)
- Basel Committee on Banking Supervision (BCBS)
- Wolfsberg Group
- European Data Protection Act (General Data Protection Regulation - GDPR)
- International and Regional laws

CHAPTER TWO: THE PRACTICAL ASPECT OF THE COMPLIANCE FUNCTION

- Compliance with Direct Regulatory Bodies' Instructions
- Compliance with Internal Policies
- Independence of the Compliance Department and its Location within the Institution's Organisational Structure
- How Might a Compliance Department be Structured?
- Relationship of the Compliance Department with Other Departments Within the Institution
- Corporate Culture and Values
- Risk Appetite, Management and Control
- Oversight of Senior Management
- Organisational Structure

Chapter Three: Compliance Policies

- Compliance Policy
- Compliance Personnel Qualifications
- New Product or Business Implementation Project Stakeholder
- Participating in Regulatory Examinations and Audit Discussions

CHAPTER FOUR: COMPLIANCE MONITORING AND EXAMINATION PROCESS

- FIRST: REQUEST FOR INFORMATION (RFI)
- SECOND: PERIODIC REGULATORY REPORTS
- THIRD: REGULATORY INVENTORY MATRIX (RIM)
- FOURTH: REGULATORY CONTROL MATRIX (RCM)
- FIFTH: COMPLIANCE EXAMINATION

CHAPTER FIVE: COMPLIANCE RISK ASSESSMENT

- PURPOSE AND FREQUENCY OF A RISK ASSESSMENT
- COMPLIANCE RISK ASSESSMENTS IN PRACTICE
- CONTROL TYPE AND FUNCTION
- MULTIPLE CONTROLS
- NEXT EXAMINATION DATE
- REGULATORY COMPLIANCE REPORTS
- CONCLUSION



TARGETED CANDIDATES

REGULATORY COMPLIANCE OFFICERS IN THE FOLLOWING INDUSTRIES

- Banking
- Insurance and reinsurance Companies
- Brokerage agencies
- Leasing and Microfinance Companies
- Lending Firms
- Exchange Houses and Money Service Business
- Other Financial Institutions

EMPLOYEES OF THE REGULATORY AND SUPERVISORY AUTHORITIES E.G:

- Central Banks
- Financial Sector Regulatory Authorities
- Financial Intelligence Units FIUs
- Related Ministries and government bodies
- More

COMPLIANCE MANAGEMENT SOLUTIONS PROVIDERS

EXAMINATION PROCESS

GCI's examination process is set to the highest standards, allowing the candidate to schedule their exam with a click of a button at a time that suits them.

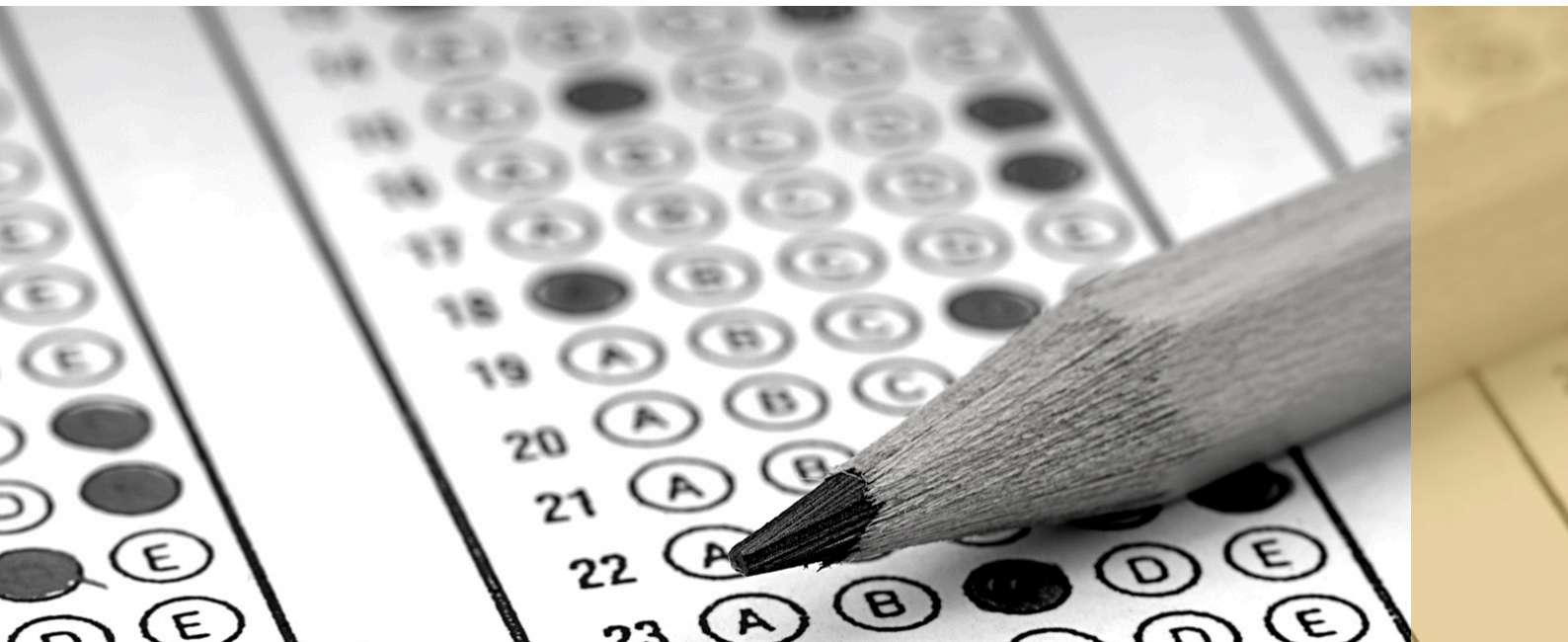
Online proctored exam at home or office

Exam Duration: 60 Minutes

Practice questions that simulate the actual exam.

Number of EXAM Questions: 50 Question

Pass Mark: 75%





EXAM PREPARATION

Candidates have two options to register in any of the GCI programs:

Option 1: Self-Study
Take the online proctored exams at home.

GCI's examination process is set to the highest standards. Our students gain access to our easy-to-navigate online portal, where they can download their certificate study guide (e-book) in their selected language. undertake the practice questions as much as needed.

Once the candidate is ready to sit the assessment, they can schedule their online proctored exam with a click of a button through their membership area and undertake the exam any time and anywhere. Our assessment platform is usually available 24/7.

- *Anticipated reading hours: 12 Hours*
- *Anticipated Studying hours: 24 Hours*

Option 2: Instructor-led program by a GCI-accredited trainer or training centre.

GCI could arrange an instructor-led program for groups (10+ participants), whether virtually or in person (as available), by our faculty members and our accredited training centres around the globe.

- *Training hours: 14 Hours*
- *Anticipated Studying hours: 18 Hours*

EXAM PREPARATION

The RCS exam covers five chapters, each accounting for an approximate percentage of the exam questions.

CHAPTER		PERCENTAGE
CHAPTER 1	The International Context	17%
CHAPTER 2	The Practical Aspect of the Compliance Function	40%
CHAPTER 3	COMPLIANCE POLICIES	12%
CHAPTER 4	Compliance Monitoring and Examination Process	12%
CHAPTER 5	Compliance Risk Assessment	19%
TOTAL		**100%**



AFTER THE EXAM

ONCE YOU PASS THE EXAM YOU WILL RECEIVE:



01. Digital Badge

Your digital badge is a web-enabled version of your certification and learning outcome, which can be verified in real-time online by your employer, friends and colleagues. It shows the skills you have and how did you earn them. You can also share it easily on professional networking platforms like LinkedIn and else.

02. E-Certificate



GLOBAL COMPLIANCE INSTITUTE



Australia Office
International Tower One
100 Barangaroo Avenue
Sydney NSW 2000, Australia
+61 2 8114 4434

United Kingdom Headquarters
Level 18, HQ3
40 Bank Street, Canary Wharf
London E14 5NR, United Kingdom
+44 203 488 6913

United States Office
108 W. 13th Street
Wilmington, DE 19801
County of New Castle, Delaware,
USA

Contact Information
Email: info@gci-ccm.org
Website: www.gci-ccm.org

