QUEST
Professional Center

PROFESSIONAL TRAINING COURSE

Course No. 1104

Regulatory Reporting & Supervisory Compliance

BANKING GOVERNANCE, AUDIT & REGULATORY FRAMEWORKS
FINANCE, INVESTMENT & BANKING

DURATION	DELIVERY
5 Days	**Classroom**

Course Overview

Regulatory Reporting & Supervisory Compliance is a comprehensive professional training course designed to equip banking executives, regulatory reporting specialists, compliance officers, finance professionals, risk managers, internal auditors, governance professionals, and supervisory liaison teams with the strategic knowledge and practical skills required to meet evolving regulatory reporting obligations and supervisory compliance requirements. As financial institutions operate under increasingly stringent regulatory frameworks and heightened supervisory expectations, timely, accurate, and transparent regulatory reporting has become essential for maintaining financial stability, strengthening institutional credibility, and ensuring regulatory compliance.

The course provides participants with a comprehensive understanding of regulatory reporting frameworks, supervisory expectations, reporting governance, regulatory data management, reporting controls, submission processes, and regulatory communication. Participants will explore the regulatory reporting lifecycle, data quality management, reporting accuracy, reconciliation processes, supervisory inspections, regulatory reviews, documentation requirements, and governance mechanisms that support effective reporting and compliance within financial institutions.

The program further explores the relationship between Regulatory Reporting & Supervisory Compliance and Corporate Governance, Enterprise Risk Management (ERM), Basel III and Basel IV, Internal Controls, Internal Audit, Financial Reporting, Capital Adequacy, Liquidity Management, Anti-Money Laundering (AML), Counter-Terrorist Financing (CTF), Operational Risk Management, Data Governance, Digital Banking Transformation, Cybersecurity, Information Technology (IT) Governance, Environmental, Social, and Governance (ESG) reporting, and organizational resilience. Participants will strengthen their ability to establish integrated reporting frameworks that improve regulatory readiness, enhance transparency, and support informed supervisory engagement.

Through interactive workshops, regulatory reporting case studies, reporting validation exercises, supervisory review simulations, data quality assessments, governance evaluations, compliance monitoring activities, and implementation planning sessions, participants will develop practical capabilities to improve reporting accuracy, strengthen regulatory compliance, enhance governance, and reduce regulatory risk. By the end of the course, participants will be equipped to establish sustainable regulatory reporting practices that support supervisory confidence, operational excellence, and long-term institutional performance.

Objectives

- Analyze Regulatory Reporting & Supervisory Compliance requirements and evaluate their impact on governance, regulatory compliance, and organizational performance by the end of the course.
- Develop regulatory reporting frameworks aligned with supervisory expectations and international regulatory standards.
- Evaluate reporting governance, reporting controls, data quality, and regulatory submission processes.
- Apply best practices for preparing, validating, and submitting accurate regulatory reports.
- Design reporting governance structures that strengthen accountability, transparency, and regulatory compliance.
- Improve regulatory decision-making through effective reporting controls, reconciliation processes, and supervisory communication.
- Strengthen governance by integrating AML controls, CTF measures, Basel requirements, enterprise risk management, and internal controls into regulatory reporting processes.
- Implement Key Performance Indicators (KPIs), Key Risk Indicators (KRIs), reporting quality metrics, and compliance performance measures to evaluate reporting effectiveness.
- Assess the impact of Digital Banking Transformation, cybersecurity, artificial intelligence, ESG reporting, and emerging technologies on regulatory reporting obligations.
- Align regulatory reporting and supervisory compliance initiatives with organizational strategy, regulatory requirements, governance objectives, and sustainable institutional growth before course completion.

Who Should Attend

This course is designed for Regulatory Reporting Managers, Compliance Managers, Risk Managers, Finance Managers, Financial Controllers, Internal Auditors, Governance Managers, Regulatory Affairs Professionals, Treasury Managers, Data Governance Specialists, AML Professionals, Operational Risk Managers, Chief Risk Officers, Chief Financial Officers, Senior Executives, and professionals responsible for regulatory reporting, supervisory compliance, governance, and financial reporting within financial institutions.

The program is equally valuable for professionals working in central banks, financial supervisory authorities, ministries, government entities, commercial banks, investment banks, Islamic banks, insurance companies, financial technology organizations, consulting firms, and decision-makers responsible for regulatory compliance, supervisory engagement, financial governance, risk management, and institutional performance.

Learning Outcomes

- By the end of this course, participants will be able to:
- Develop effective regulatory reporting frameworks aligned with supervisory expectations.
- Evaluate reporting governance, reporting controls, and regulatory reporting processes.
- Apply best practices for preparing accurate, complete, and timely regulatory reports.
- Strengthen data quality management and reporting validation processes.
- Integrate Basel requirements, AML, CTF, enterprise risk management, and internal controls into reporting activities.
- Utilize KPIs, KRIs, reporting quality indicators, and compliance metrics to measure reporting effectiveness.
- Assess regulatory reporting risks associated with Digital Banking Transformation, cybersecurity, artificial intelligence, and emerging technologies.
- Prepare professional regulatory reporting documentation and supervisory communications.
- Support executive management during supervisory inspections and regulatory reviews.
- Develop a practical implementation roadmap that strengthens reporting governance, improves regulatory compliance, enhances reporting quality, reduces regulatory risk, supports supervisory readiness, and promotes sustainable institutional excellence.

Course Outline

DAY 01

Foundations of Regulatory Reporting and Supervisory Compliance

- Regulatory reporting principles and objectives
- Supervisory expectations and regulatory frameworks
- Governance of regulatory reporting
- Roles and responsibilities across reporting functions

DAY 01 — CONTINUED

> **PRACTICAL APPLICATION OR DISCUSSION**
> Assessing regulatory reporting maturity within a financial institution

DAY 02

Reporting Governance and Data Quality

- Regulatory reporting lifecycle
- Data governance and data quality management
- Reporting controls and reconciliation processes
- Documentation and record management

> **PRACTICAL APPLICATION OR DISCUSSION**
> Evaluating reporting data quality and governance

DAY 03

Compliance, Risk, and Supervisory Engagement

- Regulatory compliance management
- Basel III and Basel IV reporting considerations
- AML, CTF, and financial crime reporting
- Supervisory inspections and regulatory reviews

> **PRACTICAL APPLICATION OR DISCUSSION**
> Preparing for a supervisory examination

DAY 04

Technology, Reporting Performance, and Operational Resilience

- Digital Banking Transformation and regulatory reporting
- IT governance and reporting automation

DAY 04 — CONTINUED

- KPIs, KRIs, reporting quality indicators, and compliance dashboards
- Operational resilience and reporting continuity

PRACTICAL APPLICATION OR DISCUSSION

Developing an executive regulatory reporting dashboard

DAY 05

Building a Sustainable Regulatory Reporting Framework

- Enterprise-wide reporting governance
- Regulatory change management
- Emerging trends in supervisory compliance and regulatory reporting
- Continuous improvement and reporting assurance

FINAL WORKSHOP

Developing a comprehensive Regulatory Reporting & Supervisory Compliance implementation roadmap that includes reporting governance, data quality management, reporting controls, Basel reporting, AML and CTF reporting, supervisory engagement, internal control integration, KPI and KRI measurement, reporting automation, governance reporting, organizational change management, regulatory readiness, and continuous improvement initiatives to strengthen reporting accuracy, enhance regulatory compliance, improve supervisory confidence, reduce regulatory risks, support operational resilience, and achieve sustainable institutional excellence.

Register or Request More Information

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