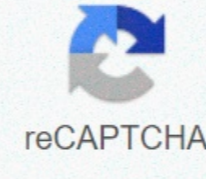




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Bank compliance training programs

By Chron Contributor Updated January 19, 2021 Many banks differ in how they operate, but one thing they have in common is a compliance department. The compliance department acts as a bank's internal police force. It is the unit that ensures that a financial institution complies with applicable laws, regulations and rules, and it plays an essential role in helping to preserve the integrity and reputation of the bank. The compliance department's ultimate goal is to ensure that a bank does not cross the lines drawn by legislators, regulators or its board of directors, according to my ABCM. Since banks' activities vary, duties also vary, but each bank should clearly and specifically have the responsibilities for its compliance department outlined. Common tasks include monitoring the bank's activities and controls and identifying and analyzing risk areas. This may include assessing and testing the adequacy of the bank's policies and equipment, such as security and risk assessment tools. The compliance team may also design and implement solutions to address any identified risks, develop compliance programs for new regulations, and oversee employee training programs. A bank compliance department must extend its focus beyond the bank, its policies and its employees. This unit also bears the responsibility for ensuring that the bank's clients act within the law and don't use the bank for illegal activities, such as money laundering, evading taxes or funding terrorism. If clients or potential clients do so, the compliance department must ensure the bank takes proper action or it can be held liable. For example, U.S. banks are not allowed to process transactions from countries or individuals that the United States has sanctioned. Even if the bank blocks an attempt, it must go further and report it. The Office of Foreign Assets Control warns that if a bank's compliance program falls short of meeting the full requirement, and it is discovered, the bank is in trouble. There isn't a prescribed structure for a compliance department. Each is designed to meet the needs of the bank it serves. Small banks may only require a small unit with a few staff members to oversee their operations, and this may be done from a single location. Larger banks, especially those that engage in international transactions or have international branches, may find it necessary to have multiple compliance units with dozens of staff members who are dispersed in various regions. A compliance department can be an expensive unit to operate, but non-compliance can be more costly, especially since non-compliance fees have been rising since 2009, according to McKinsey & Company. To help ensure that the unit is effective and exists for more than its namesake, the compliance department be independent and allotted adequate resources. Although it is the bank's internal enforcement unit, it should not be above scrutiny and therefore should be subject to periodic, independent review. If you prefer a program with a more scientific approach, consider enrolling in a personal trainer certification course from NASM. It's heavily grounded in science and sports medicine, as they place a heavy emphasis on injury prevention and integrating corrective exercise into regular training. NASM's flagship Optimum Performance Training (OPT) training system is in its 30th year. This system is based on scientific, evidence-based research, and was developed to concurrently improve all functional abilities, including flexibility, core stabilization, balance, strength, power, and cardiorespiratory endurance. You can choose from four different kinds of programs depending on your schedule, ranging from a basic Self-Study program, which lets you learn at your own pace and has no set schedules, to an All-Inclusive program, which provides guided support, weekly assignments, and mentoring. Within the last 10 years alone, NASM has successfully certified over 190,000 personal trainers. Approximate cost: \$500-1400 International Sports Sciences Association (ISSA) Home > Neurology and Neurosurgery > Education & Training A mandatory annual compliance training course instructs a bank employee on various regulations to which a bank must conform in its operations. A bank compliance department's staff typically coordinates training programs throughout the year. Training sessions may be offered on the company's premises, at an academic institution or as part of a professional seminar. A compliance course provides an attendee with tools needed to abide by regulatory requirements. For example, a senior customer service manager at a New York-based investment bank may learn about the Federal Reserve's (Fed) secure Web portal and how an institution reports daily reserve amounts. A training session also may show a participant how the bank manages financial risks in its activities, such as credit risk procedures, and techniques used to assess market risk in securities exchanges' transactions. A compliance course coordinator may offer training sessions online, at corporate headquarters, on campus or at a professional event. To illustrate, consider a compliance manager who wants to learn about credit risk assessment procedures and how they may affect operating losses. She may log onto a secure website to take relevant courses and receive a pass/fail score or attend a local college's three-month summer program. Alternatively, the manager may participate in a training session organized by the bank's human resources staff or attend a Fed-sponsored seminar. Compliance courses vary, depending on the bank's legal status (national or local and retail or commercial), industry and geography. These courses may cover financial risks, customer service regulations and anti-money laundering (AML) rules. For example, assume a senior accounts manager wants to learn about how a savings bank manages market risk in its operations. He may familiarize himself with complex math tools such as VaR (value at risk) and Monte Carlo simulation and how they're used to appraise market risk. Courses that help bank employees understand how to conform to federal, state and local regulations provide many benefits to participants. An attendee could use courses taken to meet minimum continuing professional education (CPE) criteria that a state regulator often requires. Alternatively, a session participant may use skills learned to become productive and more familiar with customer information confidentiality procedures. A bank also may gain from a training program because awell-trained staff is more likely to abide by regulations. Occasionally, a compliance training curriculum may cover subjects that are difficult or in which corporate staffs are inexperienced. In these circumstances, a course coordinator may hire a specialist to elucidate complex topics. As a practical matter, a program supervisor at a small thrift may hire a former Financial Industry Regulatory Authority (FINRA) attorney to explain risk management procedures required in domestic financial derivatives transactions. Johns Hopkins Kimmel Cancer Center Fellowship Program Choosing the Johns Hopkins Kimmel Cancer Fellowship Programs gives you access to the leading minds cancer research, treatment, and patient care. In this section: Compliance & Enforcement (Food) FDA's Compliance Programs provide instructions to FDA personnel for conducting activities to evaluate industry compliance with the Federal Food, Drug, and Cosmetic Act and other laws administered by FDA. Compliance Programs are made available to the public under the Freedom of Information Act. Compliance Programs do not create or confer any rights for or on any person and do not operate to bind FDA or the public. An alternative approach may be used as long as the approach satisfies the requirements of the applicable statutes and regulations. Food & Dietary Supplements Compliance Programs Cosmetics Compliance Programs Compliance Programs for all FDA Program Areas Program # Compliance Program Title Online Availability 7303.003 Import Acidified and Low-Acid Canned Foods Program (FY06/07/08) Implementation Date: 7/31/2006 PDF 7303.037 Domestic and Imported Cheese and Cheese Products Implementation Date: 7/30/2015 PDF 7303.039 National Drug Residue Milk Monitoring Program (FY98/99/00) Implementation Date: "Upon Receipt" (Abeyance) HTML 7303.040 Preventive Controls and Sanitary Human Food Operations Implementation Date: 10/15/2020 PDF 7303.803 Domestic Food Safety Program (FY 07/08) Implementation Date: "TBD" PDF 7303.803a Domestic Acidified and Low-Acid Canned Foods Implementation date:10/8/2010 PDF 7303.819 Import Foods - General Implementation Date: 9/5/2006 PDF 7303.836 Inspection of Egg Farms for Monitoring Compliance with Egg Safety Rule Implementation Date: 4/28/2017 PDF 7303.842 Seafood Processor Inspection Program - Domestic and Foreign Facilities Implementation Date: "Upon Receipt" PDF 7303.844 Import Seafood Products Compliance Program Implementation Date: 7/1/2010 PDF 7303.847 Juice HACCP Inspection Program Implementation Date: "Upon Receipt" PDF 7304.004 Pesticides and Industrial Chemicals in Domestic and Imported Foods Implementation Date: 6/27/2011 PDF 7304.018 Chemotherapeutics in Aquaculture Seafood Compliance Program Implementation Date: "Upon Receipt" PDF 7304.019 Toxic Elements in Food & Foodware and Radionuclides in Food - Import and Domestic Implementation Date: "Upon Receipt" PDF 7304.839 Total Diet Study Implementation Date: 7/1/2018 PDF 7307.001 Mycotoxins in Domestic and Imported Foods (FY 15/16) Implementation Date: "Upon Receipt" PDF 7309.006 Domestic and Import Food Additives and Color Additives Implementation Date: 10/28/2019 PDF 7318.002 Retail Food Protection - State (FY 12/14) Implementation Date: "Upon Receipt" PDF 7318.003 Milk Safety Program (FY 09/10/11) Implementation Date: "Upon Receipt" PDF 7318.004 Molluscan Shellfish Compliance Program Implementation Date: 9/20/2017 PDF 7318.029 Interstate Travel Program - Conveyances and Support Facilities (FY 20/21/22) Implementation Date: "Upon Receipt" PDF 7321.002 Medical Foods - Import and Domestic Implementation Date: 8/24/2006 PDF 7321.005 Domestic and Import NLEA, Nutrient Sample Analysis, and General Food Labeling Requirements Program Implementation Date: "Upon Receipt" PDF 7321.006 Infant Formula Program - Import and Domestic Implementation Date: 7/10/2018 PDF 7321.008 Dietary Supplements - Foreign and Domestic Inspections, Sampling, and Imports Implementation Date: 9/30/2020 PDF Program # Compliance Program Title On-Line Availability 7329.001 Cosmetics Program; Import and Domestic Implementation Date: Upon Receipt PDF Back to Top

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