

## Spring 2019 Training School: *Compliance Risk Management*

*Speaker: Leah Hamilton, ProBank*

Little Rock Marriott  
Little Rock, AR

### **PRELIMINARY AGENDA**

*\*subject to change*

*\*\*See below for list of topics to be discussed\*\**

#### **Tuesday, April 30, 2019**

8:00AM – 8:30AM	Registration & Breakfast
8:30AM – 8:45AM	Introduction & Opening Remarks
8:45AM – 12:00PM	<b>Sessions</b>
10:15AM – 10:30AM	Break
12:00PM – 1:15PM	Lunch (on own)
1:15PM – 5:00PM	<b>Sessions</b>
3:00PM – 3:15PM	Break
5:00PM – 6:30PM	Welcome Reception

#### **Wednesday, May 1, 2019**

8:00AM – 8:30AM	Breakfast
8:30AM – 12:00PM	<b>Sessions</b>
10:15AM – 10:30AM	Break
12:00PM – 1:15PM	Lunch (on own)
1:15PM – 5:00PM	<b>Sessions</b>
3:00PM – 3:15PM	Break

## **Thursday, May 2, 2019**

8:00AM – 8:30AM	Breakfast
8:30AM – 12:00PM	<b>Sessions</b>
10:15AM – 10:30AM	Break
12:00PM – 1:15PM	Lunch (on own)
1:15PM – 5:00PM	<b>Sessions</b>
3:00PM – 3:15PM	Break
5:00PM	Adjournment & Distribution of Certificates

### **TOPICS TO BE DISCUSSED:**

- Compliance Risk Management Program (CRMP)
  - Regulatory vs. examiner requirements
  - CMS Overview
  - Role of Compliance Officer
    - Limitations and constraints
  - Reviewing policies & procedures for compliance
    - What's required? Recommended?
  - 3 Lines of Defense
  - Who's monitoring and how?
    - What should be monitored
  - Independent audits
  - Compliance Training: Methods, schedules
  - Complaint management
    - What is a complaint?
    - Responses to complaints
    - Reporting & Lessons learned
  - Compliance risk assessments
  - Regulatory Change management
  - Reviewing reports and board minutes
- Conducting research
- Consumer Compliance Examinations
- Role of the Examiner
- Pre-planning
- Determining Risk
  - Risk Assessing the CMS
- Conducting Review & Analysis
- Communicating Findings
- Lending Compliance Hot Topics
  - Examiner findings
  - Institution challenges