

Creating Financial Compliance Training That Sticks

This checklist will help you develop compliance training that keeps up with regulatory changes, prepares the front lines and covers audits.

Step 1: Define Goals

- Goals should define what your training program needs to achieve

Step 2: Establish Metrics

- Metrics to assess effectiveness – observation, testing, skills improvement or proficiency with systems

Step 3: Develop Training Program

Consider including the following in your compliance training program:

- Baseline training that emphasizes the most important compliance issues
- Role-based learning to help employees connect training to their responsibilities
- Live or online overviews to help the team absorb key information and learn the best way to use compliance documentation
- Access to refresher training to keep compliance top of mind and current
- A process to update training based on regulatory changes and new bank offerings
- A documented overview of processes and procedures that can be used for reference
- An engaging approach that explains why the training matters
- Bite-sized training information that can be easily absorbed
- A blended approach – in-person, online, videos, documentation, frequently asked questions (FAQs), glossary
- Use of training partners to ensure the most up-to-date information and offer different formats to learners
- Auditor preparation – schedules, attendees lists, frequency, proof of highly current information, metrics



Ready to create a high impact training program?

Download our full e-book:

Preparing the Front Lines: A Guide to Creating a High Impact Financial Compliance Training Program

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