

LAPT

LONDON ACADEMY OF PROFESSIONAL TRAINING

CERTIFICATE

ISO 37301BNK — Compliance Management in Banking

ISO Certification Programme



LAPT — London Academy of Professional Training

Address 85 Great Portland Street, W1W 7LT, London, United Kingdom

Email info@lapt.org

Telephone +44 7513 283044

Web lapt.org

Reference MGT-BNK-37301BNK • ISO Management & Services

UKPRN 10067351 • Registered in England and Wales, company 4984798

AT A GLANCE

REFERENCE	MGT-BNK-37301BNK
AWARD	Certificate
ASSESSMENT	430 marks — 258 to pass (60%)
PREREQUISITES	None
VALIDITY	Lifetime
AWARDING BODY	LAPT — London Academy of Professional Training

CURRICULUM

1

Compliance Audit and Review

5 chapters · 30 classes85 marks

• 1 Understanding Compliance Audits in Banking — 6 classes

› 1.1 Define Compliance Audits: Key Concepts and Objectives

› 1.2 Identify Regulatory Frameworks Influencing Compliance Audits

› 1.3 Explore the Role of Internal Controls in Compliance Audits

› 1.4 Analyze the Audit Process: Steps and Best Practices

› 1.5 Discuss Common Challenges in Compliance Auditing

› 1.6 Develop an Action Plan for Effective Audit Implementation

• 2 Planning and Preparing for Compliance Reviews — 6 classes

› 2.1 Define Key Objectives for Compliance Reviews

› 2.2 Identify Stakeholders and Their Roles in the Review Process

› 2.3 Develop a Comprehensive Compliance Review Checklist

› 2.4 Establish Metrics for Evaluating Compliance Effectiveness

› 2.5 Schedule and Coordinate Compliance Review Activities

› 2.6 Communicate Review Plans to All Relevant Parties

• 3 Executing Compliance Audits: Tools and Techniques — 6 classes

› 3.1 Identify Key Compliance Audit Objectives

› 3.2 Select Appropriate Tools for Compliance Audits

› 3.3 Develop a Comprehensive Audit Plan

› 3.4 Implement Data Collection Techniques for Audits

› 3.5 Analyze Compliance Audit Findings Effectively

› 3.6 Present and Communicate Audit Results Strategically

• 4 Analyzing Findings and Reporting Outcomes — 6 classes

› 4.1 Identify Key Findings from Compliance Audits

› 4.2 Analyze Data Trends in Compliance Reports

› 4.3 Evaluate the Impact of Compliance Findings on Operations

› 4.4 Develop Clear Reporting Standards for Compliance Outcomes

› 4.5 Create Action Plans Based on Compliance Findings

› 4.6 Communicate Compliance Outcomes to Stakeholders Effectively

• 5 Continuous Improvement and Follow-Up in Compliance Management — 6 classes

› 5.1 Evaluate Current Compliance Practices for Improvement

› 5.2 Identify Key Performance Indicators for Compliance Success

› 5.3 Analyze Audit Findings to Drive Continuous Improvement

› 5.4 Implement Action Plans Based on Compliance Review Outcomes

› 5.5 Foster a Culture of Compliance and Continuous Learning

› 5.6 Monitor Progress and Adjust Strategies for Compliance Enhancement

• 1 Understanding Compliance Frameworks in Banking — 6 classes

- › 1.1 Define Key Concepts in Compliance Frameworks
- › 1.2 Explore Regulatory Bodies and Their Roles
- › 1.3 Identify Components of an Effective Compliance Framework
- › 1.4 Assess the Importance of Risk Management in Compliance
- › 1.5 Analyze Case Studies of Compliance Failures in Banking
- › 1.6 Develop a Personal Action Plan for Compliance Awareness

• 2 Regulatory Requirements and Best Practices — 6 classes

- › 2.1 Identify Key Regulatory Requirements in Banking Compliance
- › 2.2 Analyze the Impact of Regulatory Changes on Banking Practices
- › 2.3 Explore Best Practices for Effective Compliance Management
- › 2.4 Assess Current Compliance Policies and Procedures
- › 2.5 Develop a Compliance Training Framework for Employees
- › 2.6 Implement a Continuous Improvement Process for Compliance

• 3 Risk Assessment and Compliance Monitoring — 6 classes

- › 3.1 Identify Key Risks in Banking Compliance
- › 3.2 Analyze Risk Impact and Likelihood
- › 3.3 Develop Effective Risk Mitigation Strategies
- › 3.4 Implement Risk Assessment Tools and Techniques
- › 3.5 Establish Continuous Compliance Monitoring Procedures
- › 3.6 Evaluate the Effectiveness of Compliance Monitoring

• 4 Developing a Compliance Culture within Banking Institutions — 6 classes

- › 4.1 Define Compliance Culture and Its Importance in Banking
- › 4.2 Identify Key Elements of a Robust Compliance Framework
- › 4.3 Assess Current Compliance Practices Within Your Institution
- › 4.4 Engage Employees: Strategies for Fostering Compliance Awareness
- › 4.5 Implement Training Programs to Strengthen Compliance Culture
- › 4.6 Evaluate and Sustain a Positive Compliance Culture Over Time

• 5 Managing Compliance Incidents and Audits — 6 classes

- › 5.1 Identify Key Compliance Risk Indicators
- › 5.2 Understand the Compliance Incident Lifecycle
- › 5.3 Implement Effective Incident Reporting Protocols
- › 5.4 Conduct Root Cause Analysis for Compliance Breaches
- › 5.5 Develop Action Plans for Compliance Remediation
- › 5.6 Prepare for and Conduct Compliance Audits

• 1 Understanding Ethical Standards in Banking — 6 classes

- › 1.1 Define Ethical Standards in Banking
- › 1.2 Identify Key Ethical Principles and Frameworks
- › 1.3 Analyze the Impact of Ethical Standards on Banking Practices
- › 1.4 Explore Case Studies of Ethical Dilemmas in Banking
- › 1.5 Develop Strategies to Foster a Compliance Culture
- › 1.6 Implement Ethical Decision-Making Models in Banking

• 2 The Role of Compliance Culture in Financial Institutions — 6 classes

- › 2.1 Define Compliance Culture and Its Importance in Banking
- › 2.2 Identify Key Components of a Strong Compliance Culture
- › 2.3 Analyze Case Studies of Compliance Failures in Financial Institutions
- › 2.4 Explore the Role of Leadership in Fostering Compliance Culture
- › 2.5 Develop Strategies to Enhance Compliance Awareness Among Staff
- › 2.6 Implement a Framework for Assessing Compliance Culture Effectiveness

• 3 Regulatory Frameworks and Ethical Obligations — 6 classes

- › 3.1 Identify Key Regulatory Frameworks Impacting Banking Compliance
- › 3.2 Assess the Importance of Ethical Standards in Banking
- › 3.3 Analyze the Relationship Between Regulations and Ethical Obligations
- › 3.4 Explore the Role of Leadership in Promoting Compliance Culture
- › 3.5 Develop Strategies for Enhancing Ethical Practices in Banking
- › 3.6 Evaluate Case Studies on Ethical Failures and Compliance Lessons

• 4 Strategies for Fostering Ethical Behavior and Compliance — 6 classes

- › 4.1 Identify Key Ethical Principles in Banking
- › 4.2 Analyze the Role of Leadership in Compliance Culture
- › 4.3 Develop Effective Communication Strategies for Ethical Standards
- › 4.4 Implement Training Programs to Promote Compliance Awareness
- › 4.5 Evaluate the Impact of Ethical Behavior on Organizational Performance
- › 4.6 Design an Action Plan for Continuous Improvement in Compliance Culture

• 5 Measuring and Assessing Compliance Culture in Banks — 6 classes

- › 5.1 Define and Understand Compliance Culture in Banking
- › 5.2 Identify Key Indicators of Compliance Culture
- › 5.3 Explore Tools for Measuring Compliance Culture Effectiveness
- › 5.4 Analyze Case Studies of Compliance Culture Failures
- › 5.5 Develop Strategies for Enhancing Compliance Culture
- › 5.6 Create an Action Plan for Assessing Compliance Culture in Your Bank

• 1 Understanding Regulatory Compliance in Banking — 6 classes

- › 1.1 Define Regulatory Compliance in Banking
- › 1.2 Identify Key Regulatory Bodies and Frameworks
- › 1.3 Analyze the Impact of Non-Compliance in Banking
- › 1.4 Explore the Role of Risk Management in Compliance
- › 1.5 Evaluate Best Practices for Implementing Compliance Programs
- › 1.6 Apply Regulatory Compliance Strategies to Real-World Scenarios

• 2 Key Regulations and Standards Affecting Banking Compliance — 6 classes

- › 2.1 Identify Key Regulatory Bodies Impacting Banking Compliance
- › 2.2 Explore Major Regulations Driving Compliance Standards
- › 2.3 Analyze the Role of ISO Standards in Banking Compliance
- › 2.4 Discuss the Implications of Non-Compliance in Banking
- › 2.5 Evaluate Case Studies of Compliance Failures in Banking
- › 2.6 Develop an Action Plan for Enhancing Compliance Practices

• 3 Developing a Compliance Management Framework — 6 classes

- › 3.1 Identify Key Components of a Compliance Management Framework
- › 3.2 Assess Regulatory Requirements in Banking Contexts
- › 3.3 Analyze Stakeholder Roles in Compliance Management
- › 3.4 Develop Policies and Procedures for Compliance Framework
- › 3.5 Implement Effective Monitoring and Reporting Mechanisms
- › 3.6 Evaluate and Enhance Compliance Framework Effectiveness

• 4 Risk Assessment Techniques in Regulatory Compliance — 6 classes

- › 4.1 Identify Key Risk Indicators in Regulatory Compliance
- › 4.2 Analyze Risk Assessment Methodologies in Banking
- › 4.3 Evaluate the Impact of Regulatory Changes on Risk Profiles
- › 4.4 Develop a Risk Assessment Matrix for Compliance Risks
- › 4.5 Implement Risk Mitigation Strategies in Banking Operations
- › 4.6 Review and Adapt Risk Assessment Techniques for Continuous Improvement

• 5 Monitoring, Reporting, and Continuous Improvement in Compliance — 6 classes

- › 5.1 Analyze Monitoring Techniques for Compliance Effectiveness
- › 5.2 Implement Reporting Mechanisms for Compliance Issues
- › 5.3 Assess Key Performance Indicators for Compliance Success
- › 5.4 Evaluate Compliance Audit Findings and Their Implications
- › 5.5 Develop Action Plans for Continuous Improvement in Compliance
- › 5.6 Integrate Feedback Loops for Ongoing Compliance Enhancement

• 1 Understanding Risk Frameworks in Banking — 6 classes

- › 1.1 Define Key Concepts in Risk Frameworks
- › 1.2 Identify Types of Risks in Banking Environments
- › 1.3 Explore Components of a Risk Management Framework
- › 1.4 Analyze the Role of Compliance in Risk Assessment
- › 1.5 Evaluate Risk Assessment Methodologies
- › 1.6 Apply Risk Management Strategies to Case Studies

• 2 Identifying and Assessing Risks in Banking Operations — 6 classes

- › 2.1 Define and Categorize Risks in Banking Operations
- › 2.2 Identify Common Risk Types in Banking Environments
- › 2.3 Assess the Impact of Identified Risks on Banking Activities
- › 2.4 Evaluate Risk Likelihood Using Qualitative and Quantitative Methods
- › 2.5 Prioritize Risks Based on Assessment Findings
- › 2.6 Develop a Risk Mitigation Strategy for Banking Operations

• 3 Quantitative and Qualitative Risk Measurement Techniques — 6 classes

- › 3.1 Distinguish Between Quantitative and Qualitative Risk Measurement Techniques
- › 3.2 Analyze Key Quantitative Risk Measurement Methods
- › 3.3 Evaluate Qualitative Risk Assessment Techniques
- › 3.4 Apply Statistical Tools for Risk Analysis
- › 3.5 Integrate Quantitative and Qualitative Approaches in Risk Management
- › 3.6 Develop a Risk Assessment Framework Using Combined Techniques

• 4 Developing Risk Mitigation Strategies — 6 classes

- › 4.1 Identify Key Risk Factors in Banking
- › 4.2 Analyze the Impact of Identified Risks
- › 4.3 Prioritize Risks for Effective Management
- › 4.4 Develop Tailored Risk Mitigation Strategies
- › 4.5 Implementing Risk Mitigation Plans in Practice
- › 4.6 Evaluate the Effectiveness of Mitigation Strategies

• 5 Monitoring and Reviewing Risk Management Practices — 6 classes

- › 5.1 Identify Key Risk Indicators for Effective Monitoring
- › 5.2 Analyze Current Risk Management Practices and Gaps
- › 5.3 Develop a Risk Management Review Framework
- › 5.4 Implement Continuous Monitoring Techniques for Risk Management
- › 5.5 Evaluate the Effectiveness of Risk Management Practices
- › 5.6 Report Findings and Recommendations for Risk Management Improvements

• 1 Understanding Compliance Frameworks in Banking — 6 classes

- › 1.1 Define Key Components of Compliance Frameworks in Banking
- › 1.2 Analyze Regulatory Requirements Impacting Banking Compliance
- › 1.3 Assess the Role of Compliance Leadership in Framework Development
- › 1.4 Evaluate the Effectiveness of Existing Compliance Frameworks
- › 1.5 Develop Strategies for Enhancing Compliance Frameworks
- › 1.6 Create an Action Plan for Implementing a Robust Compliance Framework

• 2 The Role of Leadership in Compliance Culture — 6 classes

- › 2.1 Define Compliance Culture and Its Importance in Banking Leadership
- › 2.2 Identify Key Leadership Behaviors That Promote a Strong Compliance Culture
- › 2.3 Analyze Case Studies of Effective Compliance Leadership in Banking
- › 2.4 Develop Strategies for Leaders to Communicate Compliance Values
- › 2.5 Create an Action Plan for Integrating Compliance Culture into Daily Operations
- › 2.6 Evaluate the Impact of Leadership on Compliance Culture Outcomes

• 3 Risk Assessment and Compliance Strategies — 6 classes

- › 3.1 Identify Key Risk Factors in Banking Compliance
- › 3.2 Analyze Regulatory Requirements Affecting Compliance Strategies
- › 3.3 Evaluate Current Compliance Frameworks and Gaps
- › 3.4 Develop a Risk Assessment Model for Banking Operations
- › 3.5 Implement Compliance Strategies Based on Risk Assessment Findings
- › 3.6 Monitor and Adjust Compliance Strategies for Ongoing Risk Management

• 4 Regulatory Changes and Their Impact on Banking Compliance — 6 classes

- › 4.1 Analyze Recent Regulatory Changes in Banking
- › 4.2 Assess the Impacts of Regulatory Changes on Banking Practices
- › 4.3 Identify Key Compliance Challenges Arising from New Regulations
- › 4.4 Develop Strategies to Adapt to Regulatory Changes
- › 4.5 Implement Compliance Frameworks in Response to Regulatory Shifts
- › 4.6 Evaluate the Effectiveness of Compliance Leadership in Managing Change

• 5 Measuring and Reporting Compliance Effectiveness — 6 classes

- › 5.1 Define Key Metrics for Compliance Effectiveness
- › 5.2 Analyze Data Sources for Compliance Reporting
- › 5.3 Develop Compliance Performance Dashboards
- › 5.4 Implement Continuous Monitoring Practices
- › 5.5 Communicate Compliance Findings to Stakeholders
- › 5.6 Evaluate and Adjust Compliance Strategies Based on Reports