

NEW EMPLOYEE ORIENTATION TRAINING CHECKLIST

To help banks document employee training, *Regulatory Risk Monitor* offers this checklist from compliance consultant Danielle DeLucca, a former OCC examiner now with Integrated Compliance Solutions, Moorestown, N.J. Consultant Jack Rogers, Professional Bank Services, Louisville, Ky., says the checklist makes it easy for examiners to view at a glance the type of training completed by each employee. Bank officials say it sends a message to employees that the bank takes compliance seriously.

Name: _____ Date: _____

Branch or Department: _____ Position/Title: _____

Please Initial

1. I have received and reviewed manuals pertaining to my job function. _____
2. I have been shown security procedures pertaining to my job function. _____
3. I have reviewed the tape "Protecting Customer Privacy" and received training on the Privacy of Customer Information Regulation. _____
4. I have met with the information systems officer and received and reviewed the Information Technology Employee Package and signed off on the guidelines for use of Internet services and the guidelines for use of software. _____
5. I have reviewed the tape "BSA and Beyond" and received training on the Bank Secrecy Act. I have met with the bank's BSA officer and have an understanding of my responsibilities with regard to my job function and the Bank Secrecy Act. _____
6. I have received information on the Office of Foreign Assets Control (OFAC) and understand how the bank verifies client information on the OFAC list. _____
7. I have received a copy of my job description. _____
8. I have met with the human resources officer and received the employee manual and have reviewed the bank's policies regarding: probation period, benefits and paid time off (PTO) as it pertains to my employment. _____
9. **For new loan personnel:** I reviewed and understand the compliance requirements of lending-related regulations, e.g., Truth in Lending Act, Real Estate Settlement Procedures Act, Flood Disaster Protection Act, Equal Credit Opportunity Act and Fair Housing Act. _____
10. **For new retail and deposit personnel:** I have reviewed and understand the compliance requirements of deposit-related regulations, e.g., Truth in Savings Act, Expedited Funds Availability Act, Electronic Funds Transfer Act and FDIC insurance requirements. _____

Employee Signature: _____

Training/Orientation Supervisor Signature: _____

Department Supervisor Signature: _____

(The original form goes to the human resources department, with copies to the department file and the Bank Secrecy Act officer.)