

## Managing the Cost of Regulatory Compliance

### New Webinar Series!

The ultimate goal of the *Managing the Cost of Regulatory Compliance* webinar series is to provide participants with the skills and methodologies needed to assist companies in meeting regulatory requirements and the goals of stakeholders for their companies to be compliant. This series will also serve as a response to those insurance companies that are struggling to manage the various costs associated with compliance and to learn all of the various aspects needed to run a compliant organization.

This webinar series is designed to enable you to customize your learning experience to meet your individual needs. While this series is structured to be taken as a whole, you may register for individual webinars if desired.

Each webinar will begin promptly at noon and will adjourn by 2:00 p.m. Central Time.

- October 27: *Overview & Establishing Risk Management for Compliance*
- November 3: *An Emphasis on a Culture of Compliance*
- November 5: *Setting up your Operational Emphasis on Compliance*
- November 10: *Managing your Costs of Compliance*
- November 12: *Document Procedures & Self Audits*
- November 17: *Implementation & Concluding Remarks*

Here is a sampling of topics:

- Enterprise Risk Management for Compliance
- Records Management
- Knowing Federal and State Requirements
- Knowing Regulatory Hot Spots
- Measuring Your Costs of Compliance
- Establishing a "Culture of Compliance"
- Establishing Compliance and Ethics Plans

### Attention Attorneys:

Looking for continuing education? The NAIC is an accredited CLE sponsor with the Missouri Bar. Continuing education materials are provided upon request after the completion of each webinar.

## Webinar Series Overview

This webinar series is intended to help you identify trends and characteristics common among companies that appear to be the most successful in implementing effective compliance programs. At the end of the series you should know much more about best practices you can implement to manage your compliance risks.

### ***Overview & Establishing Risk Management for Compliance, October 27*** CLOSED

The webinar series begins with a foundation on the necessity of compliance, building all the way through managing compliance and the associated costs throughout your company. We begin with identifying ways to monitor changes to laws and identifying ways to be compliant with the laws and regulations and how to effectively use the additional guidance provided by your regulator. We'll review the challenges faced when working in compliance and we'll explain Enterprise Risk Management and its relevance to compliance. We'll explore the relevant items Senior Management should be doing in promoting an atmosphere of compliance.

### ***An Emphasis on a Culture of Compliance, November 3*** CLOSED

Best practices analysis reveals a need to establish a culture of compliance throughout the company and this class explores the many different aspects that could and should be done to assist with having a culture of compliance. Mission and vision statements are included and we review the various resources that need to be included.

### ***Setting up Your Operational Emphasis on Compliance, November 5*** CLOSED

Knowing how to handle the various laws and regulations, internally and externally, impacting your company is reviewed so you can effectively monitor and implement a program to address the various regulatory compliance needs. Effectively working with outside organizations is also covered.

### ***Managing Your Costs of Compliance, November 10***

Managing costs in any organization is difficult. This course will help any type or size of insurance company to effectively manage the various costs associated with compliance. Measuring Your Costs of Compliance is extensively covered where all items of the costs are identified and once identified they can be effectively managed to control compliance costs and therefore the overall cost to your organization.

### ***Document Procedures & Self Audits, November 12***

The need to document processes and procedures is reviewed and the challenges in implementing a self-audit program are reviewed. The self-reporting of company violations will be included.

### ***Implementation & Concluding Remarks, November 17***

Communication of all the various compliance components to all affected employees is crucial to establish a culture of compliance. This concept is explored in depth. The series concludes with a Regulatory Compliance Checklist which will include virtually everything covered in this program to help your company "check off" each item to become a true compliant organization that lives up to the best practices experienced in our industry. The goal is complete compliance in the most cost-effective manner possible.



National Association of Insurance Commissioners

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**REGISTER** online at [www.naic.org/education\\_home.htm](http://www.naic.org/education_home.htm) or complete and return the registration form below. Fees stated are per person, per webinar. **Each person participating must be individually enrolled.** You will be contacted via e-mail with confirmation of your registration and log-in instructions for each webinar.

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Mr./Ms. \_\_\_\_\_

Title \_\_\_\_\_ Organization \_\_\_\_\_

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I am participating as part of a group.

Payment Information *(fees are per person, per webinar)*

1 Webinar = \$150   2 Webinars = \$300   3 Webinars = \$450

Enclosed is: \$ \_\_\_\_\_

Payment Method:

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If paying by credit card, fax the completed form to the NAIC Education & Training Department at (816) 460-7544. We will contact you by phone to obtain payment information.

Check or money order enclosed/payable to the NAIC. Payment must accompany registration form.

Mail checks to: NAIC Education & Training, PO Box 870335, Kansas City, MO 64187-0335.

### Cancellation Policy

Withdrawals for full refund are permitted up to three weeks before the beginning date of the webinar; cancellations after this date will result in no refund. Notification of cancellation must be received in writing. If issued, refunds will be mailed after the completion of the course. Substitutions are accepted up to one week before the webinar begins. For more information regarding refund policies, please contact our offices at 816-783-8200 or [etrainin@naic.org](mailto:etrainin@naic.org).

By registering for this course, you are authorizing the NAIC to forward information to you at this email address related to educational offerings.

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