

JC Compliance & Audit
Premier Provider of Compliance and Audit Services

The Central Operations Audit scope includes the following areas deemed important and critical by the Regulators, industry leaders and Bank management. We realize each individual Bank varies in operations and functions performed by different departments; this list is a general sample of areas that may be included for a Central Operations but can be adjusted to reflect your institution more adequately.

Overview:

- Commitment of the Board of Directors, management, and staff to compliance and adherence to internal controls.
- Organization Chart.
- Scope and effectiveness of operational policies and procedures.
- Effectiveness of training.
- Thoroughness of monitoring and any internal/external reviews or audits; and
- Responsiveness of the Board and management to the findings of internal/external reviews: and
- The findings of the previous examination

Specific Scope:

1. Right to Financial Privacy/Attachments and Legal Orders
2. Taxpayer Identification Numbers/B and C Notices
3. Operations Compliance Training
4. State Bar Accounting
5. Dormant & Escheatment
6. Branch Closing Policy
7. File Maintenance Review and Administration
8. Certifications & Reconciliations
9. Call Center/Customer Support processes and review
10. Customer Service Complaints/Resolution
11. Management Reporting on Operations