Training course on Retirement Plan Compliance and Regulatory Landscape

Professional Development Training Course Outline

Category	Pension and Retirement	**Duration**	10 Days
Base Fee	$3,000 USD	**Delivery Mode**	Online / On-site Hybrid

Course Introduction

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Programme Curriculum

Training Course on Retirement Plan Compliance and Regulatory Landscape

Introduction

Navigating the complexities of retirement plan compliance and the regulatory landscape is essential for organizations and their employees. **Training Course on Retirement Plan Compliance and Regulatory Landscape** is designed to provide participants with a thorough understanding of the laws and regulations governing retirement plans, including the Employee Retirement Income Security Act (ERISA) and other federal and state requirements. As the regulatory environment evolves, staying informed about compliance obligations is crucial for ensuring the protection of plan participants and avoiding costly penalties.

Participants will explore key regulatory frameworks, compliance strategies, and best practices for managing retirement plans effectively. This training aims to equip HR professionals, plan administrators, and financial advisors with the knowledge necessary to ensure that retirement plans meet legal standards and serve the best interests of participants. By understanding the intricacies of retirement plan compliance, attendees will be better prepared to manage risks and optimize the benefits provided to employees.

Course Objectives

1. Understand the fundamentals of retirement plan compliance.
2. Analyze ERISA and its implications for retirement plans.

3. Explore federal and state regulations affecting retirement plans.
4. Evaluate compliance strategies for plan administrators.
5. Assess reporting and disclosure requirements.
6. Communicate effectively about compliance issues.
7. Identify common compliance challenges and solutions.
8. Conduct audits and reviews of retirement plans.
9. Understand the role of fiduciaries in retirement plan management.
10. Explore case studies of compliance failures and lessons learned.
11. Foster collaboration among compliance professionals and stakeholders.
12. Create actionable compliance strategies for retirement plans.
13. Reporting failures and corrections

Target Audience

1. HR Professionals
2. Plan Administrators
3. Compliance Officers
4. Financial Advisors
5. Legal Experts in Employment Law
6. Pension Fund Trustees
7. Corporate Executives
8. Graduate Students in Finance or Law

Course Duration: 10 Days

Module 1: Introduction to Retirement Plan Compliance

- Overview of retirement plan compliance requirements.
- Key terminology in retirement plan regulation.
- Importance of compliance in retirement planning.
- Understanding the role of federal agencies.
- Future trends in retirement plan compliance.

Module 2: Understanding ERISA

- Detailed analysis of the Employee Retirement Income Security Act.
- Key provisions of ERISA and their implications.
- Evaluating fiduciary duties under ERISA.
- Understanding participant rights and protections.
- Case studies on ERISA compliance issues.

Module 3: Federal Regulations Affecting Retirement Plans

- Overview of federal regulations governing retirement plans.
- Understanding the role of the Department of Labor (DOL).
- Compliance with the Internal Revenue Code (IRC).
- Evaluating the impact of the Affordable Care Act (ACA).
- Case studies on federal regulatory challenges.

Module 4: State Regulations and Their Impact

- Overview of state-specific retirement plan regulations.

- Understanding the implications of state laws on compliance.
- Evaluating state-mandated retirement savings programs.
- Engaging with state regulatory bodies.
- Case studies on state compliance challenges.

Module 5: Compliance Strategies for Plan Administrators

- Developing effective compliance policies and procedures.
- Conducting risk assessments for retirement plans.
- Understanding the importance of employee training.
- Evaluating third-party service providers.
- Case studies on successful compliance strategies.

Module 6: Reporting and Disclosure Requirements

- Overview of required disclosures for retirement plans.
- Understanding Form 5500 and its significance.
- Evaluating participant communication requirements.
- Engaging with regulators for compliance reporting.
- Case studies on reporting failures and corrections.

Module 7: Common Compliance Challenges

- Identifying frequent compliance pitfalls in retirement plans.
- Analyzing the impact of regulatory changes.
- Developing strategies to address compliance challenges.
- Understanding the role of audits in compliance.
- Case studies on overcoming compliance obstacles.

Module 8: Audits and Reviews of Retirement Plans

- Conducting internal and external audits of retirement plans.
- Understanding the audit process and its significance.
- Evaluating findings and implementing corrective actions.
- Engaging with auditors and regulatory bodies.
- Case studies on audit outcomes and improvements.

Module 9: Fiduciary Responsibilities in Retirement Plans

- Understanding the role of fiduciaries in retirement plan management.
- Analyzing fiduciary duties and liabilities.
- Developing best practices for fiduciary compliance.
- Engaging with investment advisors and consultants.
- Case studies on fiduciary breaches and lessons learned.

Module 10: Trends in Retirement Plan Compliance

- Exploring innovations in retirement plan governance.
- Impact of technology on compliance monitoring.
- Predictions for the future of retirement plan regulations.
- Discussion on sustainability in retirement planning.
- Case studies on emerging trends in compliance.

Module 11: Developing Actionable Compliance Strategies

- Creating tailored compliance frameworks for retirement plans.
- Setting compliance goals and objectives.
- Engaging stakeholders in strategy development.
- Measuring success and adapting compliance strategies.
- Presenting compliance plans to management and stakeholders.

Module 12: Continuous Improvement in Compliance Practices

- Importance of ongoing education and training in compliance.
- Resources for staying updated on regulatory changes.
- Engaging with professional networks and communities.
- Evaluating ongoing changes in retirement plan regulations.
- Case studies on best practices for continuous compliance improvement.

Training Methodology

- **Interactive Workshops:** Facilitated discussions, group exercises, and problem-solving activities.
- **Case Studies:** Real-world examples to illustrate successful community-based surveillance practices.
- **Role-Playing and Simulations:** Practice engaging communities in surveillance activities.
- **Expert Presentations:** Insights from experienced public health professionals and community leaders.
- **Group Projects:** Collaborative development of community surveillance plans.
- **Action Planning:** Development of personalized action plans for implementing community-based surveillance.
- **Digital Tools and Resources:** Utilization of online platforms for collaboration and learning.
- **Peer-to-Peer Learning:** Sharing experiences and insights on community engagement.
- **Post-Training Support:** Access to online forums, mentorship, and continued learning resources.

Register as a group from 3 participants for a Discount

Send us an email: info@fineskilltrainingcenter.org or call +254769199797

Certification

Upon successful completion of this training, participants will be issued with a globally recognized certificate.

Tailor-Made Course

We also offer tailor-made courses based on your needs.

Key Notes

- Participants must be conversant in English.
- Upon completion of training, participants will receive an Authorized Training Certificate.
- The course duration is flexible and can be modified to fit any number of days.
- Course fee includes facilitation, training materials, 2 coffee breaks, buffet lunch, and a Certificate upon successful completion.
- One-year post-training support, consultation, and coaching provided after the course.
- Payment should be made at least a week before the training commencement to Fineskill Training Center account, as indicated in the invoice, to enable better preparation.

Upcoming Scheduled Sessions

Start Date	End Date	Location	Price
21 Sep 2026	02 Oct 2026	Online	$2,000
21 Sep 2026	02 Oct 2026	Physical	$3,000
21 Sep 2026	02 Oct 2026	Physical	$0
21 Sep 2026	02 Oct 2026	Physical	$0
21 Sep 2026	02 Oct 2026	Physical	$0
21 Sep 2026	02 Oct 2026	Physical	$0
21 Sep 2026	02 Oct 2026	Physical	$0
21 Sep 2026	02 Oct 2026	Physical	$0

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