



**NET-TECH  
CONSULTING**

Real People, Real Protection, Right Now

**Net-Tech Consulting LLC**  
**Regulatory Remediation Checklist**

September 2025

## Contents

Regulatory / Supervisory Remediation Readiness Checklist .....	3
1. Governance & Oversight .....	3
2. Policies & Procedures .....	3
3. Evidence & Documentation.....	3
4. Technical & Operational Controls .....	3
5. Training & Awareness.....	3
6. Validation & Testing .....	4
7. Reporting & Closure .....	4
8. Continuous Improvement .....	4

## Regulatory / Supervisory Remediation Readiness Checklist

Prepared for: Banks, Compliance Officers, Risk Executives, Audit Committees

Objective: Help banks close regulatory findings (MRAs/MRIAs) and prepare evidence examiners accept.

### 1. Governance & Oversight

- Assign executive owner(s) for each regulatory remediation item
- Establish board/committee oversight with quarterly reporting cadence
- Define governance structure for remediation tracking and accountability
- Document escalation procedures for missed deadlines or failed controls

### 2. Policies & Procedures

- Update policies to reflect remediation requirements
- Align policies with regulatory expectations and recent guidance
- Ensure procedures are written, approved, and communicated
- Implement annual policy refresh and board approval cycle

### 3. Evidence & Documentation

- Maintain closure binders with policies, logs, reports, and meeting minutes
- Track completion evidence (training logs, system screenshots, audit reports)
- Retain documentation per regulatory retention standards
- Validate that evidence demonstrates sustainability, not just one-time fixes

### 4. Technical & Operational Controls

- Implement system controls to address supervisory findings
- Validate access controls, encryption, logging, monitoring
- Ensure remediation activities are integrated into BAU operations
- Perform independent testing of control effectiveness

### 5. Training & Awareness

- Provide role-based training for compliance, risk, audit, and IT staff
- Capture completion logs for examiner review
- Refresh training annually or when requirements change
- Include remediation awareness in board/committee briefings

## 6. Validation & Testing

- Conduct internal mock exams to test remediation effectiveness
- Engage independent validation when required by regulators
- Capture validation reports and corrective action follow-ups
- Document successful closure testing

## 7. Reporting & Closure

- Produce quarterly remediation dashboards for board review
- Assemble closure packages for each MRA/MRIA
- Deliver closure documentation to regulators with executive attestation
- Confirm examiner acceptance of closure
- Maintain continuous monitoring to prevent recurrence

## 8. Continuous Improvement

- Refresh remediation framework annually based on exam results
- Monitor regulatory trends and supervisory priorities
- Integrate lessons learned into enterprise risk management
- Report improvements to board and regulators as part of governance cycle