

The Institute
of Bankers
Pakistan



LATEST SBP GUIDELINES ON COMPLIANCE RISK MANAGEMENT

DATE: Friday, August 17, 2018
FEE: PKR 12,500/- per participant
VENUE: Lahore
TIMINGS: 9:00 am to 5:00 pm

5%
DISCOUNT
on 3-5 nominations

10%
DISCOUNT
on 6+ nominations

5%
DISCOUNT
for all member
Institutions of IBP

LAST DATE OF REGISTRATION
August 15, 2018

COURSE FACILITATOR
Ms. Munazza Abdul Majeed

COURSE OVERVIEW

Compliance function is defined as an independent function that identifies, assesses, advises on, monitors and reports on the bank's compliance risk, that is, the risk of legal or regulatory sanctions, financial loss, or loss to reputation a bank may suffer as a result of its failure to comply with all applicable laws, regulations, codes of conduct and standards of best practices.

Compliance function existed in the bank from the day it came into being. All unit heads were responsible for compliance function in their areas of jurisdiction. Internal Audit function as an independent entity within the bank was responsible for identifying, assessing, advising, monitoring and reporting of irregularities and exceptions through various types of audit activities.

Compliance Risk Management is a discipline at the core of every financial institution and it encompasses all the activities that affect its risk profile in the day's artificial intelligence and machine assistance. It involves identification, measurement, monitoring and controlling risks and after this session participants will be able to take or manage risks. Participants will be able to absorb organization's Risk exposure. After session you will be able to take decisions in line with the business strategy and objectives set by BOD of your institute.

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COURSE CONTENTS

- **Compliance Risk Management as requirement of Basel Accord & SBP**
Important Circulars & Information, Policies & Procedures
- **How to evolve an effective compliance set up**
Infrastructure & Policies, Processes, Tasks and Behaviors
- **Components of Compliance**
 - Controlled environment
 - Risk recognition and assessment
 - Control activities and segregation of duties
 - Prompt Exception Reporting
 - Accounting, information & communication; and Self-assessment or monitoring and correcting deficiencies
- **Establishment and maintenance of compliance network**
 - Daily Basis
 - Weekly Review
 - Fortnightly Duties
 - Monthly Programs
 - Quarterly Review
 - Half Yearly Compliance
 - Yearly Looking After
- **Core Functions of Compliance**
Broad Objectives of Compliance in respect of Overseas Banking
Performance Objectives of Compliance
- **Where we are lacking?**
- **Control Principles of Compliance**
 - Cover All Activities
 - Regular Features
 - Separation of Duties
 - Authorization and Approval
 - Custodial and Security Arrangements
 - Review and Reconciliation
 - Physical Controls
 - Documentation

- **Segregation of Compliance Risk**
 - High Risk
 - Medium Risk
 - Mild Risk
- **A Complete Follow Up of AML / KYC / CDD & Suspicious transactions reporting / High Risk & Penalty able.**

WHO SHOULD ATTEND?

- Risk Management Chiefs / Risk Management Professionals
- Compliance Chiefs / Regional Compliance Managers / Compliance Managers
- Heads of Internal Control / Regional Internal Control
- AML/KYC/CDD Heads
- Global Banking Heads & Heads of Correspondent Banking
- Heads of Foreign Trade / Heads of Correspondent Banks
- Heads of Account Opening
- Branch Banking Officials / Managers & Ops Managers
- Senior Auditors

FACILITATOR

Ms. Munazza Abdul Majeed

Ms. Munazza Abdul Majeed, is a seasoned banker, currently working as Senior Vice President-Credit Administration. She has been serving the banking industry since 25 years. She is M.Phil in Financial Risk Management, Masters in Finance, Masters in Geography (Silver Medal), MA (Political Science) Silver Medal, Diploma International Affairs (Post Graduate, Punjab University), LLB (Punjab University) and DAIBP from IBP. She is a scholar of PhD in Risk Management.

Since 8 years she is serving as Regional Executive Credit Administration for a portfolio of more than 150.00 billion in which Lahore, Sheikhpura and Sahiwal are included.

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**NOTE: Payment should be made on or before the course start date in the name of "THE INSTITUTE OF BANKERS PAKISTAN".
Please send nominations/requests for participation at least two days before the training date.**