

A U D I T

# SBP AUDIT

## A PROACTIVE APPROACH

**DATE:** Thursday, February 21, 2019

**FEE:** PKR 12,500/- per participant

**VENUE:** Abbottabad

**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**  
February 19, 2019

**COURSE FACILITATOR**  
Mr. Mudayyar H. Naqvi

### COURSE OVERVIEW

Under the Banking Companies Ordinance, 1962, the State Bank of Pakistan is fully authorized and having autonomy to regulate and supervise Banks/DFIs by conducting Audit, Inspection, Surveillance & Vigilance on regular footage. Under Section 40(A) of the said Ordinance, it is the responsibility of State Bank to systematically monitor the performance of every banking company to ensure its compliance with the statutory criteria, banking rules & regulations proactively. In every case in which the management of a bank is failing to discharge its responsibility in accordance with the applicable statutory criteria or banking rules & regulations or is failing to protect the interests of the depositors for reasons other than merit, the State Bank of Pakistan can, inter alia, exercise many powers including imposition of instant penalties irrespective of threshold and in worst cases even cancel the bank license. Hence it is mandatory and statutory requirement of every Bank/DFI to train their Resource Persons including Managers and all Supervisors to learn and develop knowledge/skill proactively about SBP Audit & Inspection.

Organizations today need managers who are knowledgeable business partners skilled at managing 'Operational Controls & Risks'. As Prudent Banker, Managers/Operational Managers can play a vital role in helping their organizations remain competitive & ensuring Internal Controls/Compliance of all 'Regulatory Requirements' as envisaged in BCO 1962 and SBP ACT 1956 with special emphasis on SBP Audit, Inspection & Surveillance with ultimate objective to secure their Bank from Imposition of SBP Penalties.

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The Institute  
of Bankers  
Pakistan



A Company Set up Under Section 42 of the Companies Act, 2017

### COURSE CONTENTS

SBP Audit & Inspection is an independent, objective assurance and consulting activity designed to add value and improve an organizations' operation through implementation of strong internal controls and to mitigate business/operational risks. Hence it helps an organization to accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of Risk Management, Controls and Governance processes as per Regulator's requirements. It is the need of the time to enhance our understanding about 'SBP Audit - A Proactive Approach' in order to avoid SBP penalties.

- Concept Sharing - SBP Audit, Inspection, Surveillance and Vigilance
- Role and Powers of Domestic/Global Regulators on Banking Supervision
- SBP Statutory Powers under BCO, 1962 & SBP Act, 1956 for Audit and Vigilance
- SBP Regulatory Requirements for On-Site & Off-Monitoring and Inspection
- Interactive Discussion and Dialog on SBP Internal Controls & Compliance Checks
- SBP Tools for Banks/DFIs Audit & Inspection - CAMELS/CAMPARI Rating Impact
- SBP Penalty Prone Areas and Imposition of Penalties - A & I Significant Findings
- Discussion on Bank/DFIs Operational Efficiency, PRs and Reporting Requirements
- Interactive Dialog on Disclosure of Information for Audit - BPR/COSO/FATF & FMU
- SBP RB Approach - AML/CFT & FRM - Legal Implications
- SBP Guidelines on Prohibiting Banking Conduct - CPD, CRAF & FTC

### WHO SHOULD ATTEND?

This specialized training program/workshop may be attended by all Banks/DFIs Stakeholders/Supervisors working on Apex Positions including Branch Managers, Risk Managers, Operations Managers, Internal Controllers and Compliance Officers. It would be beneficial for all Officers and Executives serving Banks/DFIs as Internal Auditor, Inspector and Dealing with Litigation or Coordinating with Bank's Internal/External Auditors, Regulators and Inspectors.

### FACILITATOR

**Mr. Mudayyar H. Naqvi**

**VP, NBP Staff College, Islamabad**

Mr. Mudayyar H. Naqvi is Vice President and Member Directing Staff at NBP Staff College, Islamabad. He is a senior banker having more than 23 years banking exposure and he has served on apex positions in the field of banking as well as in controlling offices at various supervisory positions. Besides his banking experience he has served as a professional lawyer in CA Firm and pleaded in apex courts for civil, criminal and banking matters.

Over the last decade, he has been serving at various training institutions as visiting faculty including SBP BSC - IBP, NAB, FIA, NIBAF, PMI, SME, ZTBL, BOK, AJK Bank, BSS, APCOMS etc., His core area of training delivery is Banking Statutes, Regulatory Compliance and GOP/SBP Policies and Mandates. His 'Soft Skills Development' trainings expertise includes Leadership, Change Management, HR Excellence, Communication, Problem Solving, Decision Making, Coaching, Counseling and Mentoring Skills, Teamwork, Diversity, Harassment, EQ, NLP and other motivational subjects as per organizational needs.

His academic qualifications include B.COM, LLB. & MBA and professional qualifications include Post Graduate Diploma of Banking Laws (PU), DAIBP (P) & ACMA (P).

### CONTACT DETAILS:

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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.

**DONATE FOR THE SUPREME COURT OF PAKISTAN AND THE PRIME MINISTER OF PAKISTAN DIAMER-BHASHA AND MOHMAND DAMS FUND**

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