

SBP COMPLIANCE RISK MANAGEMENT FRAMEWORK

DATE: Wednesday, February 20, 2019

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
February 18, 2019

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 banks from the day they 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 today's world of 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 and be able to take decisions in line with the business strategy and objectives set by BOD of their institutes.

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The Institute
of Bankers
Pakistan



A Company Setup Under Section 42 of the Companies Act, 2017

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
 - 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 are We 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
SVP CAD, National Bank of Pakistan (NBP)

Ms. Munazza Abdul Majeed, Senior Vice President, NBP, (Regional Executive) Credit Administration, Lahore, is a seasoned banker. She has been serving in the banking industry since 25 years. She is an M.Phil in Financial Risk Management, Masters in Finance, Masters in Geography (Silver Medal), M.A (Political Science) Silver Medal, Diploma International Affairs (Post Graduate, Punjab University), LLB (Punjab University), DAIBP & Special Diploma from The Institute of Bankers Pakistan (IBP). She is currently a scholar of Ph.D in Risk Management.




She has expertise in Business Development, Practice & Law of Banking, Credit Policy Making, Basel Policies, Internal Controls Principles, Credit Risk Management, Risk Rehabilitation & Mitigation, Credit Administration and Credit Monitoring. For the last eight years she has been serving as Regional Executive Credit Administration for a portfolio of more than 150.00 billion in which Lahore, suburbs of Lahore up to Sheikhpura and Sahiwal are included. She is also sharing her expertise in NBP Staff College Lahore and being scholar, has published research articles in different journals.

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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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