



431-P25-VE



Virtual



12 hours

Course Description:

In this course, participants will understand the Regulatory Background as well as Practical Aspects of Banking Internal Control Systems.

Target Audience:

This program targets Heads of Internal Control and Audit Departments in Banks.

Course Objectives:

- Identify the Regulatory Framework of Internal Control.
- Explain the Process Approach and Risk Mapping.

Course Outline

Module One: Reminder of the Regulatory Framework of Internal Control

Session One: Internal Control

- Definition of Internal Control.
- Regulation and Global Supervision:
 - International Steering Committees.
 - European Steering Committees.
- Roles and Missions of Regulators.
- Controls, Fines, and Sanctions.
- Basel Principles.
- Key Points of Basel Committee Best Practices.
- Assignment.

Session Two: Regulatory Framework of Internal Control

- Governance Principles.
- Three-Level Control Framework.
- Regulatory Risk Categories.
- Target Organization for Risk Management.
- Standard Charter for Internal Control.
- Procedures, Limits, and Delegation.
- Role of Periodic Control.
- Assignment.

Module Two: Process Approach and Risk Mapping

Session One: Operational Processes

- Identify Operational Processes.
- Determine Objectives and Benchmarks.
- Implementation Process.
- Permanent Control Articulation.
- Incident Collection and Corrective Actions.
- Assignment.

Session Two: Principles of a Risk-Based Approach

- Principles of a Risk-Based Approach.
- KYC, Profiling, Risk Classification, and IS and Human Monitoring.
- Measures Related to the Protection of Customer Interests.
- Information System (IS) Security and Cybercrime.
- Other Permanent and Thematic Controls.
- Assignment.

Assessment Strategy:

- 70% of Assignments Between Sessions.
- 30% Participation.
- Cut-Off Score is 60% of the Total Grade (100).

Upon Successful Completion of This Course, Participants Will Obtain:

1.1 CEUs

Course Language:

English

Prerequisites:

Intermediate Level of English