



CENTRAL BANK OF EGYPT  
Egyptian Banking Institute

# Compliance, Risk, and Controls

ACCREDITED BY



A Partnership for Quality

## Compliance and Governance



499-P26-VE-1



Virtual



29 hours

### Course Description:

The course aims to ensure delegates are confident when managing key compliance risks, have the ability to adopt a balanced and practical approach to compliance in partnership with colleagues from other functions.

This course enables delegates to have confidence that they are able to adequately control compliance issues, adding value to their organisation and providing the necessary assurance that management requires.

### Target Audience:

This course is designed for controls, risk, and compliance departments.

### Course Objectives:

By the end of the program, participants will be able to:

- Identify the Approach to Compliance in Banking.
- Explain what goes wrong in practice?
- Establish best practices of role Compliance and Governance.
- Clarify Financial Crime Deterrence.
- Explain the difference between Sanctions and Sanctions Risk.
- Describe how to manage Conduct Risk, Bribery, and Corruption.
- Explain risk-focused Data Regulations.
- Describe the key controls of Marketing and Advertising Compliance.
- Identify the compliance risks relevant to Human Resources.
- Clarify how different processes required help compliance risk management and other Issues.

### Course Outline:

#### Module 1: The Approach to Compliance in Banking

##### Session 1: The Approach to Compliance in Banking

- The Compliance Landscape.
- Key compliance developments.
- What worries your Board?
- Where does compliance sit in an organization?
- What are the key regulations we need to comply with?

- How would we know?
- Reliance on legal advisors.
- The Approach to the management and control of compliance.
- Case Studies.
- Assignment.

#### Module 2: What goes wrong in Practice?

##### Session 1: What goes wrong in Practice?

- Recent cases.
- What went wrong?
- Preventative v detective controls.
- What can we learn?
- Case Studies.
- Assignment.

#### Module 3: Compliance and Governance

##### Session 1: Compliance and Governance

- The role of compliance in a company.
- What they do and what they do not do.
- The Role of the Compliance Officer.
- The relationship to the Board and the legal function.
- Embedding compliance management into an organization.
- Dealing with change.
- 1st and 2nd line roles.
- Local and Global Compliance Registers.
- Compliance Risk Matrices.
- Best Practice Approaches.
- Compliance Reviews.
- Compliance Monitoring.
- Case Study.
- Assignment.

#### Module 4: Financial Crime Deterrence

##### Session 1: Financial Crime Deterrence

- What is money laundering?



CENTRAL BANK OF EGYPT  
Egyptian Banking Institute

# Compliance, Risk, and Controls

ACCREDITED BY  
**ACCETQ**  
A Partnership for Quality

## Compliance and Governance



499-P26-VE-1



Virtual



29 hours

- 5th and 6th money laundering directives in Europe.
- The role of FATF and developing guidance.
- Predicate offenses.
- What are the risks for a company?
- Risks and risk mitigation.
- Embedding controls throughout the organization.
- Politically exposed persons.
- Beneficial ownership.
- How should KYC be managed?
- Identifying customers and suppliers.
- Identifying and monitoring staff.
- Dealing with suspicions.
- High-risk areas and warning signs.
- Ongoing monitoring and Data Mining.
- Non-face-to-face customers.
- Cyber risk and money laundering.
- Case Study.
- Assignment.

### Module 5: Sanctions and Sanctions Risk

#### Session 1: Sanctions and Sanctions Risk

- The nature of the sanction regime.
- How it is developing and the challenges faced.
- The role of OFAC.
- Sanctions and sectoral sanctions.
- Checking relationships.
- Sanctions risk.
- Sanctions compliance and reporting.
- Case Study.
- Assignment.

### Module 6: Conduct Risk, Bribery, and Corruption

#### Session 1: Conduct Risk, Bribery, and Corruption

- Conduct risk assessment.

- Know your customer.
- Managing conduct risk.
- Suitability.
- Treating customers fairly.
- Avoiding bias.
- Conflicts of interest.
- Knowing your supply chain.
- Sales channels, practices, and controls.
- Bribery and corruption.
- Identification of high-risk countries and transactions.
- Case Studies.
- Assignment.

### Module 7: Data Regulations

#### Session 1: Data Regulations

- GDPR and other relevant regulations.
- Identification of key data.
- Data controls.
- Dealing with data disposal.
- Dealing with data requests.
- Keeping information up to date.
- International data requirements.
- Third-party issues.
- Cloud and data storage issues.
- Cybersecurity issues.
- Case Study.
- Assignment.

### Module 8: Marketing and Advertising Compliance

#### Session 1: Marketing and Advertising Compliance

- Local and international regulation.
- The role of compliance.
- Avoiding bias.
- Dealing with standards.



CENTRAL BANK OF EGYPT  
Egyptian Banking Institute

# Compliance, Risk, and Controls

ACCREDITED BY  
**ACCET**  
A Partnership for Quality™

## Compliance and Governance



**499-P26-VE-1**



**Virtual**



**29 hours**

- Review the website.
- Literature approvals.
- Case Study.
- Assignment.

### **Module 9: Compliance and Human Resources**

#### **Session 1: Compliance and Human Resources**

- Compliance and regulation within HR.
- What are your concerns?
- Dealing with history.
- Investigating staff.
- Whistleblowing requirements.
- Appraisal and dismissal.
- Case Study.
- Assignment

### **Module 10: Other Issues**

#### **Session 1: Other Issues**

- Building this together.
- Embedding controls in the organization.
- Assessing compliance risk.
- Compliance and data mining.
- Reporting and warning signs.
- Exception-based escalation.
- Designing suitable metrics.
- Case Studies.
- Assignment.

### **Assessment Strategy**

- 80% Assignments between sessions.
- 20% Participation.
- 60% Cut-off score.

### **Course completion will grant participants:**

2.7 CEUs.

### **Course Language:**

English.

### **Prerequisites:**

None.