

## Certification Programme Compliance Advanced Level

### ORGANISATION SHEET

#### Objective

Compliance is a statutory component of good corporate governance. In Financial Institutions (FI), the Compliance function is a mandatory internal control function, besides Risk Management and Internal Audit. The role of compliance is to protect the bank against reputational, legal or sanctions' risks.

At the end of this seminar, the participants will be able to

- master all technical and practical aspects of a Compliance Officer's function, as well as the decisions to be taken on regular basis on a risk based approach
- understand the international regulatory framework, focusing on case studies

#### Methodology

Interactive seminar combining lectures, Luxembourg-based case studies and exchanges of views, focusing on the Luxembourgish experience in the framework of the international standards.

#### Assessment

Oral and written presentations on the basis of a case study.

#### Target group

Senior Compliance Officers with **at least minimum 2 years of experience** willing to improve their knowledge of managing the Compliance Officer function.

This programme will be of particular interest also for the successful participants of the Certification Programme: Compliance Foundation Level run by the House of Training - ATTF in both 2016 and 2017.

#### Experts

High level Compliance experts with an in-depth understanding of all regulatory and organizational issues, member of the House of Training Quality Circle in Compliance and ALCO – Luxembourgish association of Compliance Officers.

#### Language

Fluent English is required.

#### Participants

**15 participants** from the House of Training partner countries

#### Dates

From 17 to 21 September 2018

Arrival on Saturday, 15 September and departure on Saturday, 22 September

## Certification Programme: Compliance Advanced Level

### CONTENT

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| <p><b>Session 1 – Program Introduction</b></p> <ul style="list-style-type: none"> <li>• Presentation of the objectives and the organization</li> <li>• Overview of the main points covered on the compliance fundamentals and implementation of the regulatory framework</li> <li>• Introduction to the case study</li> <li>• Team building</li> </ul> | <p><b>Session 2 – How to design a compliance program on a risk based approach</b></p> <ul style="list-style-type: none"> <li>• Definition of Risk Based Approach, components, legal standards versus market practises (challenge your current standards...)</li> <li>• Team work</li> </ul> |
| <p><b>Session 3 – Focus on a tailored Compliance risk assessment (Part 1 –Methodology &amp; design)</b></p> <ul style="list-style-type: none"> <li>• Self-Assessment</li> <li>• Client Assessment</li> <li>• Product Assessment</li> <li>• Country Risk Assessment</li> <li>• Distribution network and third parties assessment</li> </ul>             | <p><b>Session 4 – Focus on a tailored Compliance risk assessment (Part 2 – Content)</b></p> <ul style="list-style-type: none"> <li>• Team work</li> </ul>   |
| <p><b>Session 5 - How to ensure an efficient written presentation of a compliance program to a Board? (Part 1 – Methodology &amp; design)</b></p> <ul style="list-style-type: none"> <li>• Presentation of issues</li> <li>• Powerpoint presentation skills</li> </ul>   | <p><b>Session 6 - How to ensure an efficient written presentation of a compliance program to a Board? (Part 2 – Content)</b></p> <ul style="list-style-type: none"> <li>• Team work</li> </ul>  |
| <p><b>Session 7 - How to ensure an efficient oral presentation of a compliance program to a Board?</b></p> <ul style="list-style-type: none"> <li>• Play of roles</li> </ul>   | <p><b>TEAM WORK</b></p>   |
| <p><b>ASSESSMENT</b></p>   |   |

Programme organised in collaboration with