



## RURAL BANKERS RESEARCH AND DEVELOPMENT FOUNDATION, INC.

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# Compliance Management System Assessment

**Date:** Nov. 17-18, 2016 (Thurs. – Friday)

**Venue:** RBAP, Intramuros, Manila

**Time:** 8:30am to 5:00pm

**Resource Person:**

**Mr. Diego B. Ledda, Jr.**

Trainer/Consultant -Management  
& Financial Consultancy Services

**Seminar Fee**

**1. For Member only**

**a. Early bird – P5,000** (on or before Oct. 21)

**b. Regular Rate – P5,400** (After Nov. 21)

**2. Non-Member/Delinquent – P6,480**

### MODE OF PAYMENT

Check payable to:

**Rural Bankers Research & Development  
Foundation Inc.**

Non-Refundable commitment fee of P2,800.00 per participant.

Bank: LBP – Intramuros, Branch

Account Name: RBRDFI

SA No. 0012-1046-26.

Telefax (02) 527-2969 /527-2980

### LEARNING OBJECTIVES

- The seminar is intended to provide guidelines on the tasks, duties and responsibilities of Compliance Committee Members (Directors) and Compliance Officers to Bank Management and regulatory bodies, such as; the BSP, SEC, DOLE, BIR, etc.
- To come up with Evaluation and Assessment Tools and reports related to the bank's structure and operations.
- To serve as guide in preparation of Compliance Program.

- To serve as guide in preparation of Compliance Monitoring Report.
- To learn how to prepare Stress Testing for Loans; and Business Continuity Plan (BCP) & Disaster Recovery Plan (DRP)
- To learn to assess BOD, Directors, Committees, etc.

### EXPECTED PARTICIPANTS

Compliance Officer, President, Director, Branch Manager, Internal Auditor, Credit Risk Officer, and IT Audit

### COURSE OUTLINE

#### DAY 1

A. Introduction

- a. Business Risks Affecting Capital and Earnings
- b. Rationale and Elements of Compliance System
- c. Basis of Mandating Compliance Review System
- d. Corporate Policy Framework

B. General Purpose of Compliance Function

- a. Compliance Functions for Rural Banks
- b. Oversight Functions
- c. Sample Compliance Structure of Complex and Simple Rural Banks
- d. Structure and Relationships with Other Functions of Rural Bank
- e. Communicating Compliance Matters
- f. Expected Corporate Policy
- g. The Chief Compliance Officer
- h. Duties and Responsibilities of Compliance Officer
- i. Rights and Authorities of Compliance Officer

C. The Compliance Program and Differentiation from Other Bank's Programs

- a. Reasons in Adopting Compliance Program
- b. Objectives of Compliance Program

D. Structural Components of Compliance Program

- a. Evaluation Criteria in Compliance Risk Assessment
- b. Enforcements, Sanctions and Rewards
- c. Solutions and Remedies

**DAY 2**

- Power of BSP to examine Banks
- Activities Considered as Unsafe and Unsound Practices
- Prompt Corrective Action Framework
- Requirements in Declaring Dividends
- Stress Testing and Sample
  - Loans
  - Business Continuity
- Sample Assessments
  - Board of Directors
  - Committee
  - Individual Director
  - Senior Management
  - Internal Auditor
  - External Auditor
  - Consultants

- AML
- Information Technology

- Workshop:
  - Prepare Stress Testing for Loans
  - Prepare Stress Testing of BCP-DRP
  - Prepare Annual Assessments

Required:  
1. Bring laptop per Bank/Participant  
2. Bring BCP-DRP Manual  
3. Bring List of Top 30 Loan Borrowers per Bank with the following information

Name of Borrower    Outstanding Principal  
Bank's Status Classification  
No. of Days Past Due    Allow for Credit Losses



**CONFIRMATION SHEET**

**COMPLIANCE MANAGEMENT SYSTEM ASSESSMENT**

November 17-18, 2016 (Thursday – Friday), Gov. Licaros Hall, RBAP Bldg.,  
A. Soriano Ave. cor. Arzobispo St., Intramuros, Manila



Contact RBRDFI Training Officers  
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Name	Designation	Nick-name	Degree and Year Graduated
1.			
2.			
3.			

\_\_\_\_\_ Date: \_\_\_\_\_  
(Printed Name and Signature)

Designation: \_\_\_\_\_ Rural Bank : \_\_\_\_\_  
Telephone: \_\_\_\_\_ Province : \_\_\_\_\_  
Mobilephone: \_\_\_\_\_ Address : \_\_\_\_\_  
Email address: \_\_\_\_\_

