



RURAL BANKERS RESEARCH AND DEVELOPMENT FOUNDATION, INC.

SCHEDULE

Date: Nov 09-10, 2017 (Thu-Fri)
Venue: Gov. Licaros Hall, RBAP, Intramuros,
Time: 8:30am to 5:00pm

RESOURCE PERSON

Mr. Diego B. Ledda, Jr.
 Trainer/Consultant
 -Management
 & Financial Consultancy Services

SEMINAR FEE

1. For Member - P4,500/per person
2. Non-Member/Delinquent – P4,800 / per person

MODE OF PAYMENT

Check payable to:

Rural Bankers Research & Development Foundation Inc.

To reserve slot, a Non-Refundable commitment fee of P2,200.00 /pax is required, but its deducted from the total registration fee.

Bank: LBP – Intramuros, Branch
 Account Name: RBRDFI
 SA No. 0012-1046-26.
 Telefax (02) 527-2969 /527-2980

COMPLIANCE MANAGEMENT SYSTEM ASSESSMENT

Course Objectives

1. To identify, prioritize, and assign accountability for managing existing or potential threats related to legal or policy noncompliance—or ethical misconduct—that could lead to fines or penalties, reputational damage, or the inability to operate in key markets.
2. To understand the laws and regulations with which the Bank is required to comply in all risk areas where it conducts business, as well as critical organizational policies—whether or not those policies are based on legal requirements.
3. To learn the roles and responsibilities of Chief Compliance Officer in the organization.

Day 1

1. The Compliance Risk Management
 - * Define Compliance risk and Compliance Risk Management
 - * Status of Compliance Functions
 - * Regulations Governing Compliance Functions
 - * Requirements of successful Compliance Risk Management
2. Board and Senior Management Oversight
 - * Roles and Responsibilities of the Board of Directors
 - * Roles and Responsibilities of Senior Management
 - * Roles and Responsibilities of Employees
3. The Compliance Office and Compliance Officer
4. The Compliance Program

- *Types of Reports Being Prepared by the Compliance Officer
- *Frequency and Manner of Reporting
- *Actions Needed in Compliance Reports
- 6. Improving Compliance Risk Management
 - *Identifying Inherent problems for Effective Compliance
- 7. Outsourcing of Compliance Assessment and Testing
- 8. Common Problems and BSP audit Findings in Compliance System and How to Avoid them

Day 2

1. Hands-On Preparation
 - * Annual Compliance Program
 - * Assessment of Risk Areas
 - * Reports