

e-learning and reference solutions for the global finance professional

Global Banking Supervision

A comprehensive e-learning product with up-to-date coverage of all guidelines issued by the Basel Committee

After completing this course, you will be able to:

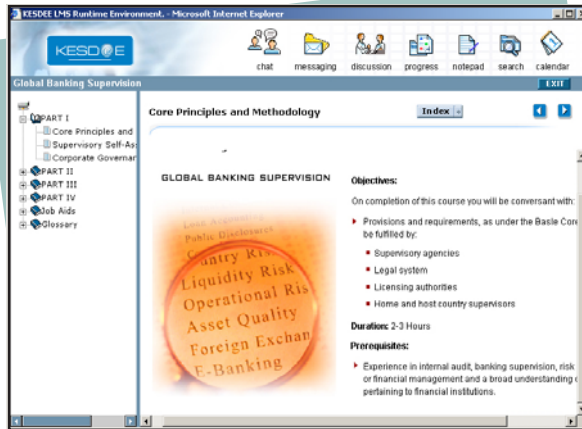
- Identify and understand risks inherent in Banking
- Develop a framework to mitigate risks in accordance with the guidelines issued by the Basel Committee



For more information, email us at e-cpe@saa.org.sg

GLOBAL BANKING SUPERVISION

www.icpas.org.sg



Overview

Banks serve unique economic functions, and those functions are directly related to their inherent vulnerability. Weaknesses in the banking system of a country, whether developing or developed, can threaten financial stability both within that country and internationally. In today's financial environment, dominated by a dynamic, aggressive financial service industry, banks as major players operate with greater freedom. Banks are exposed to greater financial risks than before due to the appearance of more complex and dynamic transactions that have substantially increased uncertainties. Advances in IT technology, capital movements and geographical extension of banking business have become the new engines of global integration. What seems to be important for banking systems is not the size, but the level of compliance with the internationally accepted rules and standards, and their functionality.

Course Level & Number of Courses

Intermediate Level
Library of 15 Courses

Instructional Method

Dynamic, Interactive e-learning

Recommended Background

Familiarity with basic financial concepts

Highlights

Measurement, Monitoring and Formulation of prudential regulations and requirements to foster the development of a framework to control risks inherent in banking as per the guidelines issued by the Basel Committee on Banking Supervision.

For more information, email us at:

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GLOBAL BANKING SUPERVISION

Library of 15 Courses

1. Core Principles and Methodology

- Before You Begin...
- Introduction
- Preconditions
- Licensing Process and Changes in Structure
- Transfer of a Bank's Shares
- Major Acquisitions or Investments
- Capital Adequacy
- Asset Quality and Reserve
- Concentration of Risks & Large Exposures
- Connected Lending
- Material Risks
- Internal Controls
- Methods of On-Going Banking Supervision
- Information Requirements of Banking Organizations
- Formal Powers of Supervisors
- Cross Border Banking
- Additional Requirements and Self-Assessment

2. Supervisory Self-Assessment

- Before You Begin...
- Introduction
- The Self-Assessment Strategy
- Four Phases of Self-Assessment
- Self-Assessment Report
- Statement of Cooperation between Banking Supervisors

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3. Corporate Governance in Banks

- Before You Begin...
- Introduction
- Sound Corporate Governance Practices in Banking
- The Role of Public Disclosure
- Supervisors and Transparency
- Recommendations for Enhancing Bank Transparency
- Supportive Environment to Corporate Governance

4. Internal Control System

- Before You Begin...
- Introduction
- Management Oversight and Control Culture
- Risk Recognition and Assessment
- Control Activities and Segregation of Duties
- Information and Communication
- Monitoring Activities and Correcting Deficiencies
- Audit Function
- Internal Control Deficiencies

5. Internal Audit in Banks

- Before You Begin...
- Introduction
- Objectives and Tasks of the Internal Audit Function
- Principles of Internal Audit
- Functioning of Internal Audit
- Supervisory Authority and Internal & External Auditors
- Audit Committee
- Outsourcing of the Internal Audit

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6. Supervisors and External Auditors

- Before You Begin...
- Introduction
- Board and Management
- The Role of External Auditors
- The Role of Bank Supervisor
- Governance and Other Aspects

7. Management of Operational Risk

- Before you Begin...
- Introduction
- Risk Management Environment
- Risk Management
- Role of Supervisors
- Role of Disclosure

8. Liquidity Management

- Before You Begin...
- Introduction
- Developing a Structure
- Measuring and Monitoring Net Funding Requirements
- Review Assumptions
- Managing Market Access
- Contingency Planning
- Foreign Currency Liquidity Management
- Internal Controls
- The Role of Supervisors and Disclosures

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9. Credit Risk Management

- Before You Begin...
- Introduction
- Establishing Credit Risk Environment.
- Credit Granting Process
- Credit Administration, Measurement and Monitoring
- Adequate Controls Over Credit Risk
- Role of supervisors

10. Settlement Risk in Foreign Exchange

- Before You Begin...
- Introduction
- The Nature of FX Settlement Risk
- Senior Management Responsibilities
- Duration of FX Settlement Exposure
- Measurement of FX Settlement Exposures
- Setting Limits and Managing Fails
- Contingency Planning
- Use of Bilateral Netting
- Alternative Arrangements
- Internal Audit and Counter Parties
- Role of Supervisors

11. Trading and Derivatives Activities

- Before You Begin...
- Introduction
- Enhancing Transparency
- Quantitative Disclosures
- Qualitative Disclosures

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12. Risk Management Principles for E-banking

- Before You Begin...
- Introduction
- Board and Management Oversight
- Security Controls
- Legal and Reputational Risk Management
- Cross-Border E-Banking Activities

13. Loan Accounting and Disclosure

- Before You Begin...
- Introduction
- Foundations for Sound Accounting
- Accounting for Loans
- Public Disclosure
- Role of Supervisors

14. Highly Leveraged Institutions

- Before You Begin...
- Introduction
- Banks' Involvement with HLIs Credit Risk Strategy
- Information Gathering, Due Diligence and Credit Analysis
- Limit setting
- Collateral, Early Termination and Other Contractual Provisions
- Ongoing Monitoring of Positions vis-à-vis HLIs
- Specific Actions by Banks to Implement Sound Practices

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15. Dealing with weak banks

- Before You Begin...
- Introduction
- Weak Banks and Problems
- Preconditions
- Channels for Information about Weaknesses
- Corrective Action
- Types of Weaknesses
- Resolution and Exit

Set of 16 interactive Job Aids

- Core Principles and Methodology
- Corporate Governance in Banks
- Credit Risk Management
- Dealing with weak banks
- Highly leveraged institutions
- Internal Control Systems
- Loan Accounting and Disclosure
- Management and Supervision of Operational Risk
- Sound International Banking Supervision
- Risk Management for E-banking
- Settlement risk in foreign exchange transactions
- Sound practices for managing liquidity
- Supervisors and External Auditors
- Supervisors and Internal Auditors
- Supervisory Self-Assessment
- Trading and Derivatives Activities