

HOW TO AVOID PENALTIES & AUDIT OBJECTIONS

DATE: Wednesday, October 25, 2017

FEE: PKR 8,500/- per participant

VENUE: State Bank of Pakistan Sialkot

TIMINGS: 9:00 am to 5:00 pm

5%
DISCOUNT
on 3-5 nominations

10%
DISCOUNT
on 6+ nominations

LAST DATE OF REGISTRATION

October 23, 2017

COURSE FACILITATOR

Mr. Rizwan Khalil Shamsi

COURSE OVERVIEW

Improving branch audit rating is very important from the perspective of performance of branch staff, because the performance appraisals of the staff posted in the field offices/ branches are usually linked with the Audit Category of their branch. Branch Managers, Operation Managers and other staff members of the branches need to know the areas of weakness, operational lapses, discrepancies, regulatory deviations etc. at branch level, due to which the Audit rating of the branch deteriorates and corrective measures should be adopted in order to have better results. This course has been designed for improving awareness regarding different audit discrepancies and instances which may be avoided for achieving improvement in branch audit rating.

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The Institute
of Bankers
Pakistan



LEARNING OBJECTIVES

The program is aimed at enabling the participants to understand:

- The operational areas where Internal Audit is more focused upon
- Nature and types of discrepancies/ objections and measures to avoid them
- Reasons for deviation from policies, rules, regulations & guidelines
- The tips, tools and techniques to be adopted for improving the Branch Audit Rating

COURSE CONTENTS

- Purpose and Scope of Internal Audit
- Link between Audit, Compliance and Internal Controls
- Internal Controls - Scope, Significance and Utility
- Nature and types of objections imposed during regular/ surprise Audits
- Highly focused areas where discrepancies are very common/ frequent that banks encounter, usually those of AML, KYC, CDD, EDD etc.
- Various rules, regulations & guidelines related to banking operations, which are bypassed at branch level
- Measures adopted to avoid audit objections and improve branch audit rating
- Case Study

WHO SHOULD ATTEND?

Different Officers/Executives working in the branches/offices including, but not limited to:

- Branch Managers
- Operation Managers
- Compliance Professionals
- Auditors

FACILITATOR

Mr. Rizwan Khalil Shamsi

Mr. Shamsi is a senior banking professional with 16 years of experience in Internal Auditing. Currently he is serving as Joint Director - Internal Audit at State Bank of Pakistan. He is responsible for supervising Financial, Operational & I.T Audit of various field offices & Head Office departments, preparation & review of Annual Audit Reports, supervising Project Auditing Framework etc. He has also served as Assistant Chief Manager (SBP BSC) and In-charge of Foreign Exchange Department. He is a corporate trainer and has conducted various trainings on subjects including Oracle ERP, Prudential Regulations on AML/CFT, Information System Audit, Internal Auditing etc. He holds Masters degree in Business Administration and has qualified DAIBP from The Institute of Bankers Pakistan (IBP).

CONTACT DETAILS

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NOTE: Payment should be made on or before the course start date in the name of "THE INSTITUTE OF BANKERS PAKISTAN".
Please send nominations/requests for participation at least two days before the training date.