

# Public Training Courses

(February - June 2022)



**Open Training Courses - (February - June 2022)**

Course Title	Course Summary	Duration	Start Date	Who should attend	Trainer
<b>Auditing Treasury &amp; the ALCO</b>	<p>This intensive training course is designed to offer treasury auditors, a thorough coverage of the techniques available of the modern treasury management and its audit. The complexity of cash management in modern financial markets has placed much more emphasis on the treasury function. This not only involves keeping control over increasingly complex interest rate and currency exposures, but also keeping abreast of the latest techniques for managing those risks whilst effectively managing the funds of the institution.</p> <p>Key issues to be addressed in this course will include:</p> <ul style="list-style-type: none"> <li>-The role and structure of treasury in the bank</li> <li>-The audit of interest rate &amp; foreign exchange risk management</li> <li>-The audit of asset and liability management</li> <li>-The audit of liquidity risk management</li> <li>-The audit approach for sophisticated instruments</li> <li>-Auditing the measurement of interest rate and currency exposure</li> <li>-Auditing and analysing different kinds of risk</li> <li>-Understanding and auditing different risk management instruments</li> <li>-Understanding and auditing controls operation in the treasury environment</li> </ul>	4 days	21-Mar-22	This course is designed for staff involved in Treasury Audit, Head of Treasury and related roles.	Dennis Cox
<b>Cybersecurity for Financial Institutions: Operations &amp; IT Risk</b>	<p>This course considers cybersecurity focussing on the issues facing operations and IT risk and the impact of the current recent crisis. By considering the threats and issues as well as the regulatory drivers, this course provides delegates with a review of this important area and the issues that are likely to be faced in practice.</p> <p>One major element of the modern ways of working has been an increase in remote working. This course also considers the risk management issues that this creates and solutions that may be applied.</p>	3 days	21-Mar-22	This course is designed for senior management, risk management and control staff but will also be of interest to IT risk professionals and those involved with financial crime and security.	Sue Milton
<b>Developing and Implementing Strategy in Banking</b>	<p>Banking is changing and banks need to change to achieve their missions. Customers expect different services delivered in different ways. At the same time the regulation that underpins banking is becoming increasingly onerous. In the light of these changes bank management need to carefully reconsider their strategy taking account of the opportunities and threats that they are being confronted with.</p> <p>This course looks at both the development of strategy and also strategic risk management, considering the nature of the changing market and seeking to equip delegates with the tools they need to add real value to the strategic discussions within their organisation.</p> <p>The course will cover and give detailed insight on:</p> <ul style="list-style-type: none"> <li>-How banking is changing and its impact on strategy</li> <li>-How to analyse a bank</li> <li>-SWOT analysis and its implementation</li> <li>-How to build a strategy</li> <li>-How to develop and implement strategies</li> <li>-How to manage strategic risk</li> </ul>	2 days	25-Mar-22	This course is designed for Senior Management, Governance, Strategy, Risk and Finance Management Staff.	Dennis Cox

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<b>IFRS9 &amp; Credit Impairment</b>	<p>IFRS 9 is an International Financial Reporting Standard (IFRS) published by International Accounting Standards Board (IASB) which addresses accounting for financial instruments. It addresses the classification and measurement of financial instruments, hedge accounting and impairments.</p> <p>This course focuses on the last of these – credit impairments and how they are measured, evaluated and assessed.</p> <ul style="list-style-type: none"> <li>• The background of the IFRS 9 accounting standards – where they arose from and the major changes that have occurred since IAS 39</li> <li>• What are the components of the IFRS 9 rules (PD, LGD, EAD, discounting factors)</li> <li>• What are the underlying concepts such as staging and significant increases in credit risk (SICR)</li> <li>• Worked examples of how to calculate expected credit losses – how the equations and calculations arise, how are PDs and LGDs estimated, what are the rules governing discounting, how is SICR calculated, how should institutions deal with curing and restructuring and payment holidays in the wake of COVID19.</li> </ul>	2 days	04-Apr-22	This course is designed for credit risk managers, quantitative credit analysts and auditors.	Gary Wayne van Vuuren
<b>Cyber Security Governance, Risk and Compliance</b>	<p>The relationship between Governance, Risk and Compliance (GRC) is well understood but with increasing IT complexity and cyber-security incidents, how can organisations best expand and integrate cyber into GRC policies and practices?</p> <p>This course takes delegates through the range of emerging requirements, identifying the approach necessary to provide the necessary framework for continued success in fulfilling GCR requirements and how these impact on current approaches to strategic and operational activity.</p> <p>Focusing on practical solutions to blend the technical issues into the conceptual requirement of GRC, the course provides both guidance and detail on how to incorporate cyber-security within the existing GRC framework: lead, direct, assess, manage and assure that cyber can be used safely and reliably to ensure the organisation's explicit and implicit licence to operate.</p>	3 days	04-Apr-22	This course is designed for those across all levels of the organisation who are accountable for the organisation's behaviour and performance. This includes directors and operational technicians involved in some or all aspects of GRC such as strategists, risk managers, legal and compliance personnel, IT specialists, internal auditors, and compliance managers and personnel.	Sue Milton

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<b>Operational Resilience and the revised BIS paper</b>	<p>The regulatory response to recent events is contained in Basel III which sets out to make capital requirements more risk-sensitive, enhance risk coverage and strengthen the loss absorbency of available capital. It introduces the concept of building capital buffers during good times so that banks are better positioned to absorb the losses that occur during periods of stress. Basel III further introduces new liquidity management standards. Notwithstanding Basel III, banks must continue to focus their internal risk management programmes, among other things, on finding an expression of their true economic exposure to risk in the form of economic capital.</p> <p>Operational resilience seeks to ensure that firms will be able to provide critical services and functions during crisis. Whilst the pandemic of 2020 was one crisis, the next one could be completely different. Firms need to implement systems and structures to enable them to understand the likely impact of an event on their ability to deliver services when an event occurs including the dependencies and interconnections which inhibit their implementation.</p> <p>This course takes delegates systematically through each of the requirements to enable them to consider the actions that they would need to take in practice.</p>	2 days	14-Apr-22	This course is designed for operational resilience staff and management as well as risk champions and executive management.	Dennis Cox
<b>The IIA Three Lines Model &amp; Its Impact</b>	<p>Organizations need to implement effective structures and processes to enable the achievement of objectives, while supporting strong governance and risk management. As the governing body receives reports from management on activities, outcomes, and forecasts, both the governing body and management rely on the 2nd and 3rd lines to provide challenge, assurance and advice on all matters and to promote and facilitate innovation and improvement.</p> <p>The governing body is ultimately accountable for governance, which is achieved through a framework of actions and behaviours. The Institute of Internal Auditors in July 2020 published their revised paper on the 3 lines model replacing the previously well-known and used 3 lines of defence. The revised Three Lines Model helps organizations identify structures and processes that best assist the achievement of objectives and facilitate strong governance and risk management.</p> <p>This course takes delegates systematically through each of the revised requirements to enable them to consider the actions that they would need to take in practice.</p>	3 days	19-Apr-22	This course is designed for senior management, risk management and internal auditor staff and management	Yiannos Ashiotis

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<b>Trends in Risk, Audit and Compliance for Banks and Financial Institutions</b>	<p>This practical course will offer provide participants with the techniques that they need to understand the current trends within risk management, internal audit and compliance as well as how these have changed as a consequence of the crisis of 2020. New developments will be discussed and the impact on organisations considered.</p> <p>At the end of the course participants will be able to:</p> <ul style="list-style-type: none"> <li>-Appreciate the current trends in risk management, internal audit and compliance.</li> <li>-Understand the impact of the revised three lines of defence paper from the IIA on an organisation.</li> <li>-Appreciate the consistency of the IIA paper with guidance issued by the BIS.</li> <li>-Identify trends within compliance and regulation and their impact on the organisation.</li> <li>-Appreciate the importance of operational resilience and the impact of the revised operational risk sound practices paper.</li> </ul>	3 days	25-Apr-22	All staff including those involved with Governance, Risk Management, Compliance and Internal Audit	Yiannos Ashiotis
<b>Auditing Strategy Risk Management in Financial Services</b>	<p>Having an appropriate and forward-looking strategy is critical for any firm and particularly for banks. Given the nature of the changing environment, all banks will needs to identify the trends and customer expectations following the current crisis. Since strategy is part of the ICAAP provided by the bank and drives risk appetite modelling and implementation, the Board require assurance that strategic risk is being efficiently and effectively managed.</p> <p>Internal audit needs to be in a position to provide the necessary challenge to this important area and to deliver the required level of assurance to senior management. This course takes delegates through the approach to auditing the key element of strategic risk, enabling them to understand the audit approach that they will be able to apply in practice. Throughout the course learning objectives will be emphasised though the development of practical audit programs which delegates will be able to use in practice.</p>	3 days	25-Apr-22	This course is designed for bank internal auditors but will also be of interest to risk management, operations management and personnel.	Dennis Cox
<b>Climate Risk and the new BIS Requirements for Banks</b>	<p>Climate risk has clearly moved into the mainstream of concerns and needs to be addressed by all organisations. Banks are no different in this respect and the consequences of climate risk could have a profound impact on the future success of an organisation. The Bank for International Settlements (BIS) has issued draft standards for Banks to consider. Whilst these are not yet agreed, the direction set out in this paper is likely to drive activity in this area for years to come.</p> <p>Banks need to respond to these challenges or are likely to face significant impacts not only from regulators but from competitors, customers and counterparties. This timely course takes delegates through these new requirements and considers their impacts on an organisation.</p>	3 days	25 -Apr 22	This course is designed for those involved with risk management but will also be of interest to senior management and risk management whether involved in the industry or within the financial services or advisory sectors.	Dennis Cox
<b>Risk in Payment Systems</b>	<p>Everyone is still talking about how payments are changing the way we are working. From faster payments through blockchain and cybercurrencies to changes at SWIFT and with card companies, much is changing as faster payments are provided to the marketplace. This course looks at these current developments and seeks to assist firms to understand what is happening, enabling them to consider their options. Focusing on the risks that are likely to arise in practice this course is always amended for every event to ensure it reflects current developments.</p>	3 days	09-May-22	This course is designed for risk managers and staff, executives, internal auditors and internal control staff.	Dennis Cox

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<b>Ethics, Culture &amp; Conduct Risk</b>	<p>Implementing effective controls to appropriately manage the firm's approach to risk mitigation in this area can be challenging and has become yet another important initiative for most companies. The maintenance of appropriate ethical standards and the effective implementation of a suitable corporate culture aligned to best practise fall within the scope of risk management. Senior management must ensure that they approach these issues holistically and with due consideration for overall impact.</p> <p>A fragmented or uncoordinated approach is likely to lead to lack of clarity of purpose, together with an increased risk of loss of reputation or brand value. What is needed is a consolidated approach to implementing structures that effectively deal with these issues. This comprehensive course will take delegates through the key elements of the required framework to effectively manage ethics and culture risks.</p>	3 days	19-May-22	This course is designed risk management and senior management staff, but will also be of interest to compliance, control, governance and internal audit management and staff.	Andrew Jefford
<b>Risk-Based Internal Audit and Enterprise Risk Management</b>	<p>The Risk- based auditing/Enterprise Risk Management course enables participants to effectively identify the top objectives and risks in their organisations to provide input on developing a risk based internal audit plan. The course discusses risk management basics on how to identify, assess, evaluate, mitigate and monitor risks; to aid in understanding risk management principles necessary to perform risk-based audits. Differences between traditional internal auditing and how to audit using a risk-based approach are discussed. Participants will develop the skills necessary to effectively plan and perform risk based internal auditing at their organization. The course will also extensively look at how risks are valued both financially and economically, and where applicable reported, along with risk management matrices.</p>	3 days	23-May-22	This course is designed for internal auditors but will also be of interest to senior management and members of the audit committee	Dennis Cox
<b>Stress Testing in Liquidity Risk</b>	<p>There are two main areas of liquidity risk – asset liquidity and the liquidity that needs to be maintained within a firm. This course considers both of these key areas which have become of increasing importance to due to the current economic conditions of low interest rates and high borrowing.</p> <p>Liquidity risk within the banking industry has been a key focus of attention for regulators due to the innate issue of a structural liquidity miss match caused by illiquid loan assets being funded by much shorter term and volatile funding sources. This course considers the application of stress testing processes and procedures to the important area of liquidity risk, identifying potential courses of action and other responses available. By the conclusion of this course participants will have gained a thorough appreciation of:</p> <ul style="list-style-type: none"> <li>-The role that liquidity risk plays and how it impacts an organisation</li> <li>-Key trends within liquidity risk management</li> <li>-The sound practices that apply to stress testing and their application to liquidity risk</li> <li>-The issues relating to IRRBB</li> <li>-The role of contingency funding plans and their relationship to stress testing</li> <li>-Embedding liquidity risk management into an organisation and balance sheet optimization.</li> </ul>	3 days	1 -Jun 22	This course is designed for Risk Managers, Liquidity management staff, teams involved with stress testing, and Internal Auditors	Howard Haughton

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<b>Auditing the Credit Committee &amp; Governance</b>	Credit Committees and credit departments within banks have become increasingly complex driven by the demands of regulation and the business. The level of sophistication has accelerated in recent years as many banks have developed credit departments with enhanced responsibilities. Basel II has set additional challenges both in terms of modelling and data collation which has exacerbated the need for change. Since the internal audit function needs to address all areas of a financial institution, including the credit department, this provides auditors with additional challenges.	3 days	06-Jun-22	This course is designed for Audit Committee members, credit and other Internal Auditors credit ,risk managers and Nonexecutive Directors.	Dennis Cox
<b>Interest Rate Risk in the Banking Book</b>	This 3- day training event is developed specifically to address the standards on interest rate in the banking book that have been produced by the Bank for International Settlements. It looks at the paper in detail and considers the implications for a financial institution. The end of LIBOR and the search for alternative interest rate will also be discussed as it relates to risk.	3 days	06-Jun-22	This course is suitable for anyone interested in the impact of changing interest rates and the BIS requirements for the banking book.	Gary Wayne van Vuuren
<b>Ethics, Culture &amp; Conduct Risk</b>	<p>Implementing effective controls to appropriately manage the firm's approach to risk mitigation in the area of Ethics and Culture can be challenging and has become yet another important initiative for most companies. The maintenance of appropriate ethical standards and the effective implementation of a suitable corporate culture aligned to best practise fall within the scope of risk management and senior management must ensure that they approach these issues holistically and with due consideration for overall impact.</p> <p>This comprehensive course will take participants through the key elements of the required framework to effectively manage ethics and culture risks including how to:</p> <ul style="list-style-type: none"> <li>-Appreciate the importance of ethics and culture to an organization</li> <li>-Understand the ethical dilemmas likely to be faced in practice</li> <li>-Identify the key sources of conduct and reputational risks for your organization</li> <li>-Recognise what is ethical behaviour</li> <li>-Appreciate the drivers and barriers to the implementation of culture risk management</li> <li>-Understand how to implement appropriate frameworks.</li> </ul>	3 days	06-Jun-22	This course is designed for Risk Management and Senior Management Staff, but will also be of interest to Compliance, Control, Governance and Internal Audit Management and Staff.	Howard Haughton
<b>Certified Global Financial Compliance</b>	This Global Financial Compliance course will provide a broad understanding of the compliance issues that arise within the financial services sector. The topics covered address techniques used to implement a successful compliance function in a bank and provides a comprehensive introduction to all the issues a global Compliance Officer may encounter. It explores the international regulatory environment, managing the risk of financial crime, governance, risk management, ethics, integrity and fairness.	4 days	08-Jun-22	This course is designed for: Compliance managers and staff, Risk management managers and staff, Internal Audit, IT, Legal and Operations managers and staff	Yiannos Ashiotis

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<b>Auditing Treasury &amp; the ALCO</b>	<p>This intensive training course is designed to offer treasury auditors, a thorough coverage of the techniques available of the modern treasury management and its audit. The complexity of cash management in modern financial markets has placed much more emphasis on the treasury function. This not only involves keeping control over increasingly complex interest rate and currency exposures, but also keeping abreast of the latest techniques for managing those risks whilst effectively managing the funds of the institution.</p> <p>Key issues to be addressed in this course will include:</p> <ul style="list-style-type: none"> <li>-The role and structure of treasury in the bank</li> <li>-The audit of interest rate &amp; foreign exchange risk management</li> <li>-The audit of asset and liability management</li> <li>-The audit of liquidity risk management</li> <li>-The audit approach for sophisticated instruments</li> <li>-Auditing the measurement of interest rate and currency exposure</li> <li>-Auditing and analysing different kinds of risk</li> <li>-Understanding and auditing different risk management instruments</li> <li>-Understanding and auditing controls operation in the treasury environment</li> </ul>	4 days	13-Jun-22	This course is designed for staff involved in Treasury Audit, Head of Treasury and related roles.	Dennis Cox
<b>LIBOR and Alternative Interest Rate Risk</b>	<p>On 31 December 2021, the global reference interest rate (LIBOR) will be effectively "abandoned" and will no longer be the preferred reference interest rate. Local reference rates must be chosen and applied to relevant transactions: these must satisfy certain requirements such as be based on actual transactions rather than be subject to the whims of select banks' opinions, be risk-free (or closely risk-free) etc.</p> <p>Currently, LIBOR is connected to many USD trillions worth of transactions globally – untangling these and reconnecting them to local rates will be a difficult and non-trivial task. Few institutions are ready for the transition. Understanding what the process involves is critical to all financial institutions.</p> <p>This course will enable participants gain knowledge, skills and approaches as to</p> <ul style="list-style-type: none"> <li>-What are the current rules governing LIBOR and its implementation?</li> <li>-What are the problems, why is the world abandoning this rate?</li> <li>-What are the proposed solutions? Why are these difficult to implement and agree upon?</li> <li>-What is influence of LIBOR on global transactions (currently) and what may be the impact of the abandoning of the rate?</li> <li>-What could local rates look like – how will interest be calculated using these, what are the challenges?</li> </ul>	2 days	20-Jun-22	Risk managers, quantitative analysts, model builders and validators, derivative traders and analysts.	Gary Wayne van Vuuren

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<b>Basel II/III and Capital Management and the ICAAP</b>	As banks strive for value creation in a highly competitive environment, they inevitably create risks. The greatest threat to a financial institution is when such risks are not properly identified, measured or managed. In these circumstances the result is invariably unexpected losses which, as the financial crisis has demonstrated, can threaten the existence of banks of all sizes.	3 days	22-Jun-22	Risk, finance, project, audit and compliance staff and management involved in developing or reviewing approaches to risk and capital management or implementing Basel II/III.	Howard Haughton
<b>Implementing Money Laundering Deterrence, Sanctions and Financial Crime Deterrence</b>	<p>Money laundering and the financing of terrorism are areas of increasing global business and governmental concern. The challenge is that training tends to focus narrowly on the requirements yet loses sight of the practical objectives and outcomes for anti-money laundering and terrorist financing training and awareness.</p> <p>By the conclusion of this course delegates will have gained a thorough understanding of the nature of financial crime regulation, risks and obligations.</p>	3 days	27-Jun-22	This course is designed for: Staffs that deal with clients on a day-to-day basis, Internal auditors, Compliance specialists, Risk Managers, Financial Crime Managers and Nominated Officers	Sue Milton
<b>Risk Management in Internet Banking</b>	Many banks leverage the internet to offer their customers banking services when they want them and where they want them. This delivery mechanism faces the challenge of risks which, if not managed and understood can have a major impact on the bank. One of the key responsibilities of a financial institution to its stakeholders is to ensure that the technology it uses and the information it stores, is both secure and robust. This course will introduce internet banking risk management, with particular focus on the strategic, operational, security and regulatory requirements.	3 days	29-Jun-22	This course is designed for individuals who are new to internet banking risk management with an oversight role. Including risk managers and directors, Head of IT, business managers, compliance and internal audit professionals, operations directors and managers, IT security professionals, IT project managers, suppliers and consultants.	Dennis Cox

## About RiskTech & Advisory Limited

/RTA/

**noun:** an inspiring guide, supporting your journey through value creation and optimisation.

**RiskTech & Advisory** is your trusted advisor with demonstrated experience in governance, risk management, assurance, and operational excellence. We support your business so you can focus on what matters to you most – managing a successful and enduring organisation.

**Vision:** To be the clear leader in risk advisory and assurance solutions in Sub-Saharan Africa.

**Mission:** A trusted partner, supporting our clients to build enduring African organisations through our value-enhancing governance, risk management, assurance, and operational excellence services.

- **We provide:** bespoke advisory, technology, and training solutions for the needs in African entities.
- **We position:** businesses to withstand different economic and operating cycles.
- **We possess:** industry expertise & global collaborations to bring you carefully designed and fit-for-purpose African-focused solutions.

### Our Training Profile

We provide governance, risk management and assurance training programs for your capacity development needs across all levels.

Our Training programs include:

- Board & Executive Training
- Internal Audit Training
- Internal Control Training
- Risk Management Training
- Compliance Training

Contact Us:

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