

Certified Corporate Governance Professional (CCGP)

Objective of the Course – Certified Corporate Governance Professional (CCGP): Objective of the Course is to have complete gamut of Governance Risk & Compliance. Course would be covering complete gamut of Governance Risk & Compliance (GRC) like Laws Regulations, Frameworks, Sarbanes Oxley Act, Compliance for Banks, Basel III, Designing & Implementing – Risk & Compliance Programs.

❖ Targetted Audience :

- Chief Executive Officers (CEO)
- Chief Financial Officers (CFO)
- Corporate Treasurers
- Corporate Controllers
- Accounting Heads
- Treasury Teams
- Bankers
- Front Desk Traders
- Business Analysts
- Front End Developers
- Proprietary Traders
- Chartered Accountants (CA)
- Cost Accountants
- Master in Business Administration (MBA)

❖ Session I: Compliance – Laws & Regualtions, Risk Management

- Introduction
- Regulatory Compliance and Risk Management
- Definitions, Roles and Responsibilities
- Role - Board of Directors, Supervisors, Internal and External Auditors
- Landscape and the interaction among laws, regulations, and standards
- Enterprise Wide Compliance Program
- Privacy and Information Security
- Intellectual Property Rights (IPR)
- Governance, Risk and Compliance
- Organization Wide – Compliance Reporting
- Identify, Mitigate and Control risks effectively
- Approaches to risk assessment
- Qualitative, Quantitative Techniques
- Integrating risk management into corporate governance and compliance

❖ Session II : The Frameworks

- Internal Controls - COSO
- Integrated Framework by the COSO
- The Control Environment
- Risk Assessment
- Control Activities
- Information and Communication
- Monitoring
- Effectiveness and Efficiency of Operations
- Reliability of Financial Reporting
- Compliance with applicable laws and regulations
- IT Controls
- Program Development and Program Change
- Deterrent, Preventive, Detective, Corrective Controls
- Recovery, Compensating, Monitoring and Disclosure Controls
- COSO Enterprise Risk Management (ERM) Framework
- COSO and COSO ERM
 - Internal Environment
 - Objective Setting

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- Event Identification
- Risk Assessment
- Risk Response
- Control Activities
- Information and Communication
- Monitoring
- COBIT - the framework that focuses on IT
- Is COBIT needed for compliance?
- COSO or COBIT?
- Corporate governance or financial reporting?

❖ Session III : Sarbanes Oxley Act (SOX)

- The Sarbanes Oxley Act
- SEC, EDGAR, PCAOB, SAG
- The Act and its interpretation by SEC and PCAOB
- PCAOB Auditing Standards: What we need to know
 - Management
 - Testing
 - Management
 - Documentation
 - Reports used to Validate SOX Compliant IT Infrastructure
 - Documentation Issues Section 302, 404, 906: The three certifications
 - Sections 302, 404, 906: Examples and case studies
 - Management Responsibilities
 - Committees and Teams
 - Project Team
 - Section 404
 - Disclosure Committee
- Audit Committee
- Report to the Board of Directors

❖ Session IV : Basel III – Compliance for Banks

- New Capital Adequacy Framework
- Improving Risk and Asset Management
- The technical challenges for both banks and supervisors
- The three-pillar regulatory structure
- Purposes of Basel - 3 Approaches
 - The standardized approach to credit risk
 - The two internal ratings-based (IRB) approaches to credit risk
- Operational Risk
 - What is operational risk
 - Legal risk
 - Information Technology operational risk
 - Operational, operations and operating risk
 - The evolving importance of operational risk
 - Quantification of operational risk
 - Loss categories and business lines
 - Operational risk measurement methodologies
 - Identification of operational risk
 - Operational Risk Approaches
 - Basic Indicator Approach (BIA)
 - Standardized Approach (SA)
 - Alternative Standardized Approach (ASA)
 - Advanced Measurement Approaches (AMA)
 - Internal Measurement Approach (IMA)
 - Loss Distribution (LD)
 - Standard Normal Distribution

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- Fat Tails in the normal distribution
- Expected loss (EL)
- Unexpected Loss (UL)
- Value-at Risk (VaR)
- Calculating Value-at Risk
- Stress Testing
- Stress testing and Basel (AMA)
- Markets in Financial Instruments Directive (MiFID)
- What is the impact of MiFID to EU and non EU banks?

❖ **Session V : Designing & Implementing – Risk & Compliance Program**

- Designing an Implementing an enterprise wide Risk and Compliance Program
- Designing an Internal Compliance System
 - Documentation
 - Testing
 - Training
 - Ongoing compliance with laws and regulations
 - Compliance Monitoring
 - The company and other stakeholders
 - Managing the regulators and change in regulations
 - International and national regulatory requirements

❖ **Course Coverage :** Course to get covered using Webinars , Skype Conference Calls , Audio , Video Calls. Sessions are highly interactive and participants are most welcome to ask any questions during the Course.

❖ **Course Duration :** Course duration is 30 Hrs + 2 Hrs of Complimentary Skype Call which to be taken within 3 Months of completion of the Course.

❖ **Course Material**

- Course Presentations – 100% interactive, Screenshots , Examples
- International Bank Research Reports
- Live Corporate Case Studies
- Excel Solvers

Course is 100% Practical , Software Oriented in nature. We would be doing the Course using Course Presentation , International Bank Research Reports , Live Corporate Case Studies , Excel Solvers , Live Financial Terminals – Thomson Reuters, Bloomberg, MT4 (Meta Trader 4)