

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

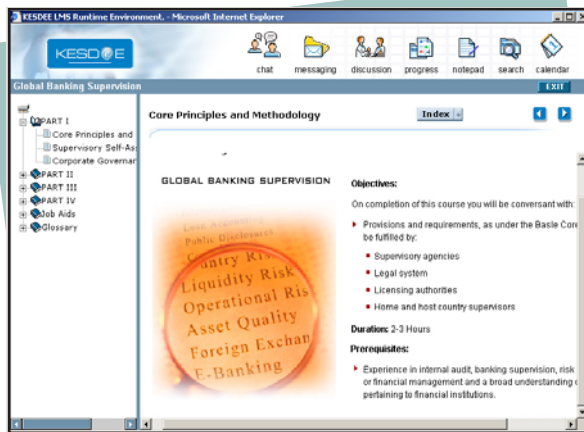
After completing this course, you will be able to:

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



# GLOBAL BANKING SUPERVISION

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## 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

### **The themes of this product are:**

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, please visit:**

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# GLOBAL BANKING SUPERVISION

## Library of 15 Courses

**Time taken to complete each Course: Two - Three hours**

### **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

## Library of 15 Courses

### 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

## Library of 15 Courses

### 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. Operational Risk Management

- 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

## Library of 15 Courses

### 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. Management of 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

## Library of 15 Courses

### 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

## Library of 15 Courses

### 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

### 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
- Sound International Banking Supervision

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2. Liquidity Management and Contingency Funding Plan	Library of 14 Courses
3. Financial Institution Analysis - CAMELS Approach	Library of 8 Courses
4. Financial Mathematics	Library of 7 Courses
5. Global Banking Supervision	Library of 15 Courses
6. Capital Adequacy Planning (Basel I)	Library of 7 Courses
7. Basel II-University	Library of 63 Courses
8. Sarbanes-Oxley Act	Library of 12 courses
9. Futures & Forwards	Library of 7 Courses
10. Swaps	Library of 7 Courses
11. Options	Library of 10 Courses
12. Market Risk (Basic Level)	Library of 8 Courses
13. Market Risk (Intermediate Level)	Library of 8 Courses
14. Market Risk (Advanced Level)	Library of 4 Courses
15. Value at Risk	Library of 16 Courses
16. Credit Analysis	Library of 13 Courses
17. Credit Ratings	Library of 3 Courses
18. Counterparty Credit Risk	Library of 9 Courses
19. Credit Risk Modeling	Library of 6 Courses
20. Credit Derivatives	Library of 23 Courses
21. Operational Risk Management	Library of 21 Courses
22. Asset Securitization	Library of 28 Courses
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24. Anti-Money Laundering	Library of 6 Courses
25. Financial Privacy	Library of 6 Courses
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30. Foreign Exchange Markets	Library of 9 Courses
31. Foreign Exchange Management	Library of 7 Courses
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- Financial Planning
- International Trade Services
- Bank Branch Management
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