

## The Fundamentals of internal control in banking and financial establishments



DB-5 2 Days (14 Hours)

### Description

In partnership with Drive Innovation Insights Faced with numerous regulations and controls from the ACPR and the French anti-corruption agency, the implementation of a compliant and efficient internal control system is essential. This training is intended for employees of credit institutions to enable them to integrate the fundamentals of periodic and permanent controls, but also to adapt these concepts operationally to the specificities of their entities.

### Who is this training for ?

#### For whom

Manager and collaborator of financial institutions involved in or piloting the regulatory internal control system.

#### Prerequisites

Aucune

### Training objectives

- Master the characteristics of an internal control system.
- Locate the regulatory framework for internal control and its developments. Build a risk matrix and define an internal control policy.
- Know how to evaluate an internal control system and implement relevant monitoring indicators.

### Training program

#### Définir le périmètre du Contrôle Interne

- Internal control: definitions, objectives; components and actors.
- Identify the risks inherent to banking activity.
- The particularities of banking governance.

#### Maîtriser le cadre réglementaire

- Identify the different regulatory sources.
- Consequences of the Sapin II law.
- The internal control regulation of 3/11/14 and its objectives: quality and reliability of accounting and financial information; compliance of operations; risk management; quality of reporting, information and communication systems; compliance with general management decisions. internal control: permanent controls; periodic controls; business continuity plan; report on risk monitoring.

### Mettre en œuvre un dispositif de contrôle interne

- Organize a control environment.
- Identification and prioritization of 'risk zones': risk typology; risk assessment; risk mapping.
- Zoom on KYC systems.
- Establish a control plan: types and methods of control; formalization and monitoring of controls.
- Definition of processes and management tools: control tables; on-board and reporting.
- The fraud risk prevention system.

### Piloter les procédures de contrôle interne

- Ensure control of controls.
- Master the alert management procedure.
- Role and controls of the ACPR and recommendations of the AMF.