



Risks, Controls & Oversight by the Board

Morning of 17 May 2018 | City of London

A focused one day workshop for **Compliance, Risk, Audit, Operations and Relationship Management** professionals in both client firms and Third Party Administrators.

Attending this focused, half day workshop will help you to:

- Know **what the regulators expect** from Boards and Board members in respect of risk management
- Identify the appropriate **governance structures and models**
- **Understand your risk appetite**
- Consider **conduct risk** and what the FCA anticipates Boards will be reviewing in this area
- Make sure you are receiving the right **Management Information** on your key risks and controls
- Ensure risk management and awareness is embedded in the **culture** of the organisation



CTP.

For more information

Email:

emmabond@ctp.uk.com

Visit:

www.ctp.uk.com/risk

Tel:

0330 303 9779

Course Outline & Objectives

In the aftermath of the financial crisis, and the implementation of the new UK regulatory framework, the performance of Boards and individual Board members in financial institutions is being scrutinised as never before – particularly in relation to risk management.

This focused half day event has been developed especially for Executive and Non-Executive Directors in firms prudentially regulated by the FCA, to help them understand their risk management responsibilities and the practical steps to fulfilling them, in the developing regulatory environment.

"Good oversight, excellent knowledge by the presenter"

1st Central

Who will benefit?

The course is aimed at directors in firms prudentially regulated by the FCA who do not have specific risk management responsibilities but who need to understand risks and controls as part of their governance and oversight role.

"Very informative, covering the key areas of risk considerations for the board"

Call Connection

Training Approach

This workshop uses a combination of trainer input, interactive syndicate work and case studies. Group size is limited to ensure the quality of learning and facilitate sharing of experience.

Workshop Leader

Eithne McManus has over 20 years' experience in the financial services industry in a variety of risk and financial management roles, many of them at board level. A qualified actuary, Eithne spent much of her career with City of Westminster Assurance, the UK arm of Irish Life and Permanent, where she was Chief Financial Officer before becoming Chief Executive. After the sale of CWA to Chesnara, Eithne assumed responsibility for risk management and capital assessment within the Chesnara group as a whole, before leaving in 2007 to establish her own consultancy advising companies and Boards on risk and capital issues. Eithne is also a non-executive director at a small mutual insurance company, where she chairs the Audit Committee and sits on the Risk Committee.

"The session's subject matter was spot on and the delivery made it more so"

Dart Capital

How to book

The course fee is **£395 per person + VAT**, including documentation and refreshments. A **10% discount** is available when registering 3 or more delegates.

There are various ways to register:

Website: www.ctp.uk.com/risk

Email: emmabond@ctp.uk.com

Telephone: 0330 303 9779

Post: **Complete and return booking form over page.**

When booking please quote reference

RISKWEB

THIS PROGRAMME CAN ALSO BE ADAPTED AND DELIVERED IN-HOUSE.

For more information please visit: www.ctp.uk.com/risk Email: emmabond@ctp.uk.com Tel: 0330 303 9779

*Testimonials are from delegates who have attended this event

Course Programme

Session	Aim	Content
Introduction	<i>To establish directors' shared responsibility for risk in a FCA regulated firm</i>	<ul style="list-style-type: none"> ■ What is meant by risk management for a financial services organisation ■ Regulatory expectations of directors in relation to risk ■ Understanding conduct risk
Risk governance structures	<i>To understand how the FCA expect boards and firms to be organised in order to manage and provide oversight of risk</i>	<ul style="list-style-type: none"> ■ How should the risk function fit within existing governance structures? ■ The '3 lines of defence' model ■ The roles of the Chief Risk Officer, the risk committee and the Board
The Board's responsibility for risk appetite	<i>To examine what is meant by risk appetite and why the Board should 'own' the risk appetite statement</i>	<ul style="list-style-type: none"> ■ What is risk appetite ■ What a risk appetite statement should contain ■ Syndicate exercise on risk appetite statements
Understanding risk management information	<i>To provide techniques to enable delegates to question and understand risk management information provided</i>	<ul style="list-style-type: none"> ■ Knowing your key risks ■ Key risk indicators ■ Risk dashboards ■ The role of qualitative information in risk management
The conduct risk agenda	<i>To know what the FCA means by conduct risk and how it monitors it</i>	<ul style="list-style-type: none"> ■ The relationship between conduct risk and TCF ■ Conduct risk assessment frameworks ■ Conduct risk MI
Ensuring risk management and awareness is embedded in the culture of the organisation	<i>To understand the Board's role in embedding risk management throughout the firm</i>	<ul style="list-style-type: none"> ■ Indicators of a strong risk culture within a firm ■ Techniques the Board can use to strengthen risk management

COURSE BOOKING FORM

Please post, fax or email completed form to addresses listed below.

CTP.

Thank you for registering to a CTP event. Once the completed booking form is received, your place/s will be reserved and you will receive confirmation by email. Joining instructions will be sent 2 weeks before the event date. Please note all **delegate fees are payable prior to the course**.

There is a 10% discount when registering 3 or more attendees. Please complete another form for additional delegates.

Course Title	RISKS, CONTROLS & OVERSIGHT BY THE BOARD
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Date	17 MAY 2018	Event code	RISKWEB
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Delegate 1	Mr / Mrs / Miss / Ms / Other	Name	
	Tel	Role	
	Email		

Delegate 2	Mr / Mrs / Miss / Ms / Other	Name	
	Tel	Role	
	Email		

Delegate 3	Mr / Mrs / Miss / Ms / Other	Name	
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Company Name			
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Cancellations, Substitutions and Transfers. The following cancellation charges apply: 30+ days before the course date = no charge; 15-29 days before the course date = 50% of the course fee; 0-14 days before the course date = 100% of the course fee. If the registered delegate cannot attend, we shall be pleased to welcome a substitute at no extra charge – please advise us beforehand. If a delegate fails to attend without prior notification, the course fee is payable in full. Please note CTP is unable to accept any liability for non-attendance caused by severe weather or travel disruption. Requests to transfer to the next available course date may be accepted, subject to availability. The option to transfer is only available if received prior to the original course date, once the original course fee has been paid in full and to a course taking place within 12 months. Transfers made 1-30 days prior to the course date, will be charged at 25% of the course fee. For substitutions, cancellations and transfer enquiries, please contact info@ctp.uk.com

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