



THE UNIVERSITY OF THE WEST INDIES GLOBAL CAMPUS

ST KITTS AND NEVIS

The Gardens, P.O. Box 326, Basseterre, St. Kitts
Phone: (869) 465-2190, (869) 662-4559; Email: st.kitts@open.uwi.edu

GOVERNANCE, RISK, COMPLIANCE, AND CONTROLS IN THE FINANCIAL SECTOR

WORKSHOP DESCRIPTION

The workshop is designed for professionals seeking to enhance their understanding of governance, risk, compliance, and controls within the financial sector. It is particularly beneficial for senior management, directors, internal auditors, compliance officers and individuals aspiring to pursue a career in those fields. Participants will gain practical insights and tools to apply the principles learned in their respective roles and contribute to the effective management compliance risk within their organizations.

This workshop offers the review of the critical aspects of governance, risk management, compliance, and controls within the financial sector. Participants will gain an understanding of the regulatory landscape, emerging risks, and best practices in governance and compliance frameworks.

Part 1: Governance and Risk Management - Participants will explore the foundational principles of corporate governance, the roles and responsibilities of key stakeholders, and the importance of effective risk governance frameworks. Through case studies and interactive discussions, attendees will analyze real-world scenarios to enhance their understanding of risk assessment, appetite, and categorization.

Part 2: Compliance and Controls - This section considers the complexities of regulatory compliance, including the challenges organizations face in meeting compliance standards. Participants will learn about the standard and expectations of compliance frameworks as measured against FATF Recommendations and the MLPR. Ethical considerations in governance and compliance will also be emphasized, along with strategies for fostering a culture of integrity and transparency within financial institutions.

WORKSHOP OBJECTIVES

- Understand the significance of governance, risk, compliance, and controls in the financial sector.
- Identify key regulatory bodies and their roles in shaping industry standards.
- Analyze common challenges and best practices in achieving regulatory Compliance.
- Develop effective risk governance frameworks and integrate risk management into organizational processes.

- Evaluate emerging risks such as cyber threats, climate change, and fintech innovations, and assess their impact on financial institutions.
- Explore the role of technology in regulatory compliance and its potential benefits and challenges.
- Examine ethical dilemmas in financial decision-making and strategies for promoting ethical behavior within organizations.
- Stay abreast of future trends and regulatory developments shaping the financial industry landscape.

Delivery Method: This immersive and interactive training experience will include discussions, practical case studies, collaborative problem-solving activities and actionable applications designed to create meaningful organizational impact. The workshop will span over two days and will cover the following topics:

- 1: Introduction to Governance and Risk
- 2: Governance Roles and Responsibilities
- 3: Legal and Regulatory Standards
- 4: Business Ethics and Transparency
- 5: Introduction to Risk
- 6: Risk Appetite, Tolerance, and Categorization
- 7: Enterprise Risk Management (ERM)
- 8: Risk Assessment
- 9: Risk Monitoring and Response
- 10: Evaluation and Analysis of Risk Management

Please note that seating is intentionally limited in order to preserve the quality and engagement of the learning environment. Early registration is therefore strongly encouraged.

Registration Investment:

- **Early Bird Registration: EC \$500.00 (Closes 9 October 2026)**
- Late Registration: EC \$600.00 (Closes 15 October 2026)

Date and Venue:

- 19 and 20 October 2026 - The University of the West Indies Global Campus Site, Ministry of Education Building, Marion Heights, NEVIS
- 22 and 23 October 2026 - The University of the West Indies Global Campus Site, The Gardens, Basseterre, ST KITTS

To register, access this registration link shorturl.at/chPS4

We would be honored to have you or representatives from your organization participate in this impactful workshop.

Should you require additional information kindly contact us using the information at the top of this document.