

TONKIN'S 4th ANNUAL

GOVERNANCE, RISK & COMPLIANCE SUMMIT

BOOK
EARLY &
SAVE \$\$\$

29th - 31st August 2011 • The Grace Hotel, Sydney

KEY BENEFITS OF ATTENDING

TRANSFORM your risk and compliance departments into money making divisions

DRIVE the risk and compliance message throughout your organisation

IMPROVE your frameworks for governance, risk and compliance on a company-wide basis

FOSTER and manage healthy relationships with regulators

DEVELOP an audit process that supports your governance, risk and compliance programme

MITIGATE the risks associated with social media

EXAMINE risks associated with technology and cloud computing in a global environment

PLUS: Learn from an exclusive line up of governance, risk and compliance professionals, all from the elite echelons of the corporate world!

YOUR EXPERT SPEAKERS:

- Neville Tiffen, *Global Head of Compliance, Rio Tinto*
- Steven Johnstone, *Director, Risk and Assurance, Fosters*
- Filomena Tassone, *Group Manager, Risk Management and Assurance, Telstra*
- Nicole Grantham, *Head of Group Audit and Risk, Qantas*
- Manjeet Sidhu, *Manager, Group Audit, Qantas*
- Jennifer Duxbury, *Compliance, Regulatory and Corporate Affairs Director, ninemsn*
- Lucienne Layton, *Head of BT Risk & Compliance, BT Financial Group*
- Robert Emery, *Head of Group Risk and Compliance, Bupa Australia*
- Robert Oldfield, *Head of Group Risk and Assurance, PMP Limited*
- James Myerscough, *Head of Risk and Compliance, AMP*
- Iain McAlister, *Head of Group Regulatory Compliance, Commonwealth Bank*
- Joanne MacDonald, *Head of Risk Management and Compliance, Colonial First State Global Asset Management*
- David Fisher, *Group Head of Technology, Information and Project Risk, ANZ*
- Paul Muir, *Executive Manager, General Insurance, Risk & Compliance, Suncorp*
- Philip Carter, *Group Business Continuity Management, Global Service & Operations, Technology & Corporate Centre Risk, ANZ*
- Greg Saunders, *Chief Risk Officer, Civil Aviation Safety Authority*
- Karl Davey, *Manager, Risk Management, Governance, Risk & Assurance, Leighton Contractors*
- Andrew Calvin, *Senior Legal Counsel, Stockland*
- Dr Ulysses Chioatto, *SSAMM Management Consulting*
- Bill Dee, *Director, Compliance and Complaints Advisory Service and former Head of Compliance, ACCC*
- Mei Ling Perry, *Director, Know Compliance*

PLUS DON'T MISS THESE ESSENTIAL WORKSHOPS:

WORKSHOP A:

8:30 - 11:30

Compliance management frameworks: Creating a comprehensive compliance management system

Bill Dee, Director, Compliance and Complaints Advisory Service & former Head of Compliance, ACCC

WORKSHOP B:

12:00 - 3:00

Effective risk assessments and excellent communication: Initiating the keys to fashioning a winning governance, risk and compliance programme

Dr Ulysses Chioatto, SSAMM Management Consulting

WORKSHOP C:

3:30 - 6:30

Compliance Defence Systems: Expectations, reality and management of the risk of non-compliance

Mei Ling Perry, Director, Know Compliance

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CONFERENCE DAY ONE

Monday, 29th August 2011

8:30 Registration, morning coffee and tea

9:00 Opening remarks from the Chair
Mei Ling Perry, Director, Know Compliance9:10 **Effective compliance practices in regard to whistle blowing: Speak Out – A Rio Tinto Case Study**

- The importance of communication in regard to whistle blowing
- Cultivating a sense of trust within your organisation in regard to whistle blowing
- Tailoring your whistle blowing programme to comply with international legal jurisdictions and requirements

Neville Tiffen, Global Head of Compliance, Rio Tinto9:50 **Establishing and improving effective frameworks for Governance, Risk and Compliance (GRC)**

- Assessing the difference between governance, risk and compliance management frameworks
- Examining how governance, risk and compliance support each other
- Understanding when to link and separate compliance and risk functions
- Appreciating risk and compliance as change management processes
- Developing efficient processes for driving risk and compliance throughout your organisation
- Cultivating support "from the top"

Lucienne Layton, Head of BT Risk & Compliance, BT Financial Group

10:30 Morning tea

10:50 **Governance and risk management that works: Cultivating a healthy, company-wide behavioural approach to GRC**

- Fostering a positive attitude to GRC 'from the top down' and 'from the bottom up'
- Examining the behavioural side of GRC
- Gaining GRC appreciation from the top: Strategies for incorporating management and the board
- Motivating and actively engaging the workforce in your GRC programme: Capturing the 'hearts and minds' of your organisation
- Sifting through the clichés: Gaining a uniformed, practical appreciation of what governance, risk and compliance means

Robert Oldfield, Head of Group Risk and Assurance, PMP Limited11:30 **Adopting an enterprise risk approach to GRC: Is an integrated GRC system achievable?**

- Integrating risk frameworks within greater governance and compliance strategies
- Constructing healthy, integrated GRC networks
- Cultivating efficient GRC frameworks through integration and harmonisation
- Assessing the importance of maintaining a company-wide risk register
- Executing successful internal controls

Nicole Grantham, Head of Group Audit and Risk, Qantas
Manjeet Sidhu, Manager, Group Audit and Risk, Qantas

12:10 Lunch

1:10 **Successful approaches for regulatory risk management**

- Developing governance frameworks that are resilient
- Fostering a risk aware culture
- Performing regular compliance risk assessments to identify the most risky aspects of your business
- Taking swift and effective action to remediate and mitigate risks in the face of compliance breaches

Paul Muir, Executive Manager, General Insurance, Risk & Compliance, Suncorp1:50 **Examining developments in the risk profession and evolutions in the role of Chief Risk Officer (CRO)**

Risk management is an ever-evolving responsibility, the complexity of which has increased exponentially in recent years, particularly at the top levels of risk management. This exclusive panel of industry experts will discuss the importance of the CRO in corporate Australia.

- Assessing the role of today's Chief Risk Officer
- The risk and governance career path: What skills and qualities does today's CRO need?
- Key challenges for today's CRO
- The current and future state of play for GRC, the risk profession and risk professionals

Steven Johnstone, Director, Risk and Assurance, Fosters
Robert Emery, Head of Group Risk and Compliance, Bupa Australia
James Myerscough, Head of Risk and Compliance, AMP Limited

2:30 Afternoon tea

2:50 **Taking a holistic approach to enterprise risk management: A telecommunications perspective**

- Highlighting the benefits of focusing on strategic and operational risk
- Strengthening your framework through effective communication
- Achieving business objectives by developing a robust approach to assessing, treating and monitoring risks
- Working with the board, audit committee and management to facilitate key assessments in key areas
- Ensuring that internal controls, risk management systems, environments and processes are operating effectively

Filomena Tassone, Group Manager, Risk Management and Assurance, Telstra3:30 **Developing and maintaining effective regulatory relationships**

- Cultivating healthy relationships with a variety of regulatory bodies
- Observing best practice in approaching regulators with legislative and regulatory queries
- Appropriately and effectively managing issues raised by regulators
- Developing strategies to effectively engage with regulators in managing and influencing regulatory change

Iain McAlister, Head of Group Regulatory Compliance, Commonwealth Bank4:10 **Developing and implementing the audit process to support your GRC programme**

- The evolution of internal audit methodologies and their effectiveness
- The importance of linkages between risk management, internal audit and quality systems
- Effectively managing adverse audit outcomes
- Using audit outcomes to mitigate risk and drive continuous improvement

Greg Saunders, Chief Risk Officer, Civil Aviation Safety Authority

4:50 Closing remarks from the chair

5:00 End of Day One

CONFERENCE DAY TWO

Tuesday, 30th August 2011

8:30 Morning coffee and tea

9:00 Opening remarks from the Chair
Mei Ling Perry, Director, Know Compliance9:10 **Utilising best practices in GRC to make money for your organisation!**

- Streamlining your business intelligence practices to make smarter business decisions
- How GRC can overcome risks and barriers and help you achieve your business strategy
- Enhance understanding of risks at the board level to drive better decision making
- Adding more value by assisting business units to understand and articulate their risks

Joanne MacDonald, Head of Risk Management and Compliance, Colonial First State Global Asset Management9:50 **Mitigating the risks associated with social media: Managing your exposure**

- Articulating an effectual policy and strategy for interacting with social media
- Considering and mitigating the reputational risk that social media represents
- Keeping up with the times: Ensuring your policy evolves along with social media technology
- Analysing common and potential ethical issues
- Examining the risks of using social media for your organisation and your staff

Andrew Calvin, Senior Legal Counsel, Stockland

10:30 Morning tea

OPENING KEYNOTE

CASE STUDY

PANEL DISCUSSION

11:00 **Corporate culture and your GRC program: Get out of goal card?**

- How a cultural approach can bring greater value to your company's GRC functions
- Is communication or understanding more effective in your compliance framework
- Enhancing your internal systems; processes and practices toward a more effective compliance environment
- Are you 'sending an unintended message' of compliance through your every day interactions, training, emails, etc.

Dr Ulysses Chioatto, SSAMM Management Consulting

11:40 **Technology risk management in a global environment**

- Highlighting strategies for mitigating the risks in cloud computing
- Streamlining your information handling practices
- Outsourcing your information and technology:
 - Mitigating the risks
 - Managing relationships with offshore data centres
- Examining what the legislation says about information accountability

David Fisher, Group Head of Technology, Information and Project Risk, ANZ

12:20 Lunch

1:20 **Successful approaches for driving the compliance message throughout your organisation**

- Utilising training to raise employee knowledge and awareness of compliance risks
- Developing a positive compliance culture through effective communication
- Online vs face-to-face: Exploring best practices in different training methods
- Lessons learned from experience: Examining different training approaches, what works, and what doesn't

Jennifer Duxbury, Compliance, Regulatory and Corporate Affairs Director, ninemsn

2:20 **Fashioning a winning Business Continuity Management (BCM) framework**

- Aligning your BCM programme to industry best practice
- Ensuring efficiency in your crisis management plans
- Outlining the importance of healthy communication processes in BCM
- Maximising effectiveness through stringent testing and modification when needed
- Highlighting the importance of staff education in your BCM framework

Philip Carter, Group Business Continuity Management, Global Service & Operations, Technology & Corporate Centre Risk, ANZ

3:00 Afternoon tea

3:30 **Improving your enterprise risk and opportunity management programme**

- Developing and implementing an enterprise wide risk management framework
- Utilising risk frameworks and opportunity management as a tool to increase risk intelligence and business resilience
- Cultivating a preventative culture by integrating all facets of potential risk within your framework
- Turning global threats into business opportunities to support portfolio diversion and future growth
- Instilling a mentality of 'prevention rather than cure' within your framework
- Real examples and practical lessons learned for all organisations to consider

Karl Davey, Manager, Risk Management, Governance, Risk & Assurance, Leighton Contractors

4:10 **What to do if a regulator comes knocking on the door...**

- Delivering the most the most appropriate response to a regulator's concerns
- Streamlining compliance management systems in proving due diligence
- Proving an alleged breach as a 'one off' occurrence
- Monitoring regulatory activity
- Understanding and empathising with a regulatory body to initiate best practices:
 - Assessing the power structure and culture within a regulator
 - Highlighting a regulator's monitoring activity

Bill Dee, Director, Compliance and Complaints Advisory Service & former Head of Compliance, ACCC

4:50 Closing remarks from the Chair

5:00 End of Conference

WORKSHOP DAY

Wednesday, 31st August 2011

WORKSHOP A: 8:30 - 11:30

Compliance management frameworks: Creating a comprehensive compliance management system

Boasting extensive research conducted in concert with numerous authoritative sources, this workshop will deliver a comprehensive compliance framework to ensure your risk of non-compliance is mitigated. This system will highlight three crucial aspects of compliance:

- Structural elements: The foundations/infrastructure of a compliance management system
- Operational elements: The day-to-day running of the system
- Maintenance elements: Keeping the system in good working order

Bill Dee, Director, Compliance and Complaints Advisory Service & former Head of Compliance, ACCC

11:30 Lunch

WORKSHOP B: 12:00 - 3:00

Effective risk assessments and excellent communication: Initiating the keys to fashioning a winning governance, risk and compliance programme

Are your risk assessments failing you in your GRC framework? Are you up to date with the evolving approaches to risk assessment and analysis? In this Interactive workshop, Dr Ulysses Chioatto will take you through ground breaking approaches to risk assessment frameworks, covering the following issues and pivotal questions:

- The increasing depth and breadth to the four-step risk-assessment paradigm
- Innovative approaches to the assessment and communication of risks and risk analysis
- Are you satisfied that your people perceive risk as you'd like them to?
- Are you across emerging ideas such as the precautionary principle in rethinking the role of risk assessment?
- Analysing and streamlining intergenerational issues

Dr Ulysses Chioatto, SSAMM Management Consulting

3:00 Afternoon Tea

WORKSHOP C: 3:30 - 6:30

Compliance Defence Systems: Expectations, reality and management of the risk of non-compliance

Current laws and regulatory policy give rise to the expectations that a compliance structure would involve some, or all, of the following persons in ensuring compliance, depending on the size and complexity of the organisation:

- The board of directors and board sub-committees which consider compliance and risk issues
- The compliance manager, risk manager and their staff
- Compliance and risk committees and compliance and risk management consultants
- Internal auditors/external auditors
- External lawyers and custodians
- Professional industry associations
- Regulators

Participants in this workshop will be given several case studies to analyse and gain an appreciation of how the various risks of non-compliance can arise at these differing levels. Participants will learn how to mitigate such risks to meet the expectations of investors, creditors and other stakeholders.

Mei Ling Perry, Director, Know Compliance

6:30 Close of Workshops

We thank the RO Forum for their support and endorsement. The RO Forum is a not-for-profit volunteer endeavour. The Forum helps Responsible Officers & Responsible Managers in the Financial Services sector better understand their roles, responsibilities and liabilities within a regulatory framework. The Forum has over 600 individual members attending from over 100 major Australian Financial Services Licensees (AFSL) and meetings are held in Brisbane, Sydney and Melbourne.

INTERACTIVE CASE STUDY

CASE STUDY

