

## <<巴塞尔银行监管委员会文献汇编 英文>>

### 图书基本信息

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## 前言

This document is a revised and updated version of the Compendium of Basel Committee documents that was first issued in April 1997. Progressively over recent years, the Basel Committee on Banking Supervision, which has thirteen member countries, has been actively expanding its links with supervisors in nonmember countries with a view to strengthening prudential supervisory standards in all the major markets. These efforts have taken a number of different forms, including: the development and dissemination throughout the world of policy papers on a wide range of supervisory matters; the creation of a close network of worldwide supervisory authorities, who meet in an international conference every two years; the pursuit of supervisory cooperation at local level through the creation of regional supervisory committees and active support for their activities; the increasing provision of supervisory training both in Basel and at regional or local level. As these contacts have developed, the pronouncements of the Basel Committee have become more and more influential as standards to which supervisory authorities, both in developed countries and in the emerging markets, aspire. Their credibility has been supported by the principle that all the material proposals are subject to a consultative process, in which the private sector and supervisory authorities, including those from the non-G10 countries, have an opportunity to provide input.

#### 内容概要

This document is a revised and updated version of the Compendium of Basel Committee documents that was first issued in April 1997. Progressively over recent years, the Basel Committee on Banking Supervision, which has thirteen member countries, has been actively expanding its links with supervisors in nonmember countries with a view to strengthening prudential supervisory standards in all the major markets. These efforts have taken a number of different forms, including : the development and dissemination throughout the world of policy papers on a wide range of supervisory matters.

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B. Operating Plan, Systems of Control and Internal Organisation Another element to review during the licensing process is the operations and strategies proposed for the bank. The operating plan should describe and analyse the market area from which the bank expects to draw the majority of its business and establish a strategy for the bank's ongoing operations. The application should also describe how the bank will be organised and controlled internally. The licensing agency should determine if these arrangements are consistent with the proposed strategy and should also determine whether adequate internal policies and procedures have been developed and adequate resources deployed. This should include determining that appropriate corporate governance will be in place ( a management structure with clear accountability, a board of directors with ability to provide an independent check on management, and independent audit and compliance functions ) and that the "four eyes" principle ( segregation of various functions, cross-checking, dual control of assets, double signatures, etc. ) will be followed. It is essential to determine that the legal and operational structures will not inhibit supervision on either a solo or consolidated basis and that the supervisor will have adequate access to management and information. For this reason, supervisors should not grant a licence to a bank when the head office will be located outside its jurisdiction unless the supervisor is assured that it will have adequate access to management and information. ( See Section E below for licensing of banks incorporated abroad. )

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