



د افغانستان بانک

د بانکي څارنې لوی آمریت
آمریت عمومي نظارت بانکي

شماره: ۱۱۶۰۰
RSR

تاریخ: ۱۳۹۲ / ۱۲ / ۲

۷۴۰۷ / ۷۴۲۳

به ریاست محترم بانک های مجوز کشور

موضوع: چک لست حد اقل معیارات برای شرکت های بررسی خارجی بمنظور بررسی رژیم مبارزه با پول شویی و تمویل تروریزم و سیستم های تکنالوژی معلوماتی (IT) بانک ها

ماهیت: متحدالمال

با تقدیم احترامات فایقه،

به تاسی از متحدالمال شماره 2564/4620 مؤرخ 1399/7/5 پیرامون بررسی تکنالوژی معلوماتی و سیستم های بانک ها و متحدالمال شماره 8304 مؤرخ 1399 /8/30 این اداره پیرامون بررسی کنترول ها و سیستم مبارزه با پول شویی و تمویل تروریزم، اینک وسیلتاً چک لست حد اقل معیارات برای شرکت های بررسی خارجی که خواهان بررسی موارد مندرج متحدالمال های فوق الذکر می باشند، گسیل است.

شرکت های بررسی خارجی واجد شرایط، جهت شمولیت در فهرست مربوطه د افغانستان بانک، درخواستی خویش را ضم چک لست متذکره، با اسناد حمایتی لازم به این اداره ارائه نمایند.

ضمناً بانک ها مکلف اند که قبل از استخدام شرکت های بررسی خارجی جهت بررسی موارد مندرج متحدالمال های متذکره، درخواستی خویش را کتباً به د افغانستان بانک ارائه نمایند.

مراتب فوق جهت آگاهی و اجراءات بعدی خدمت شما گسیل است.

با احترام

اجمل احمدی

سرپرست ریاست کل د افغانستان بانک

ضمایم:

- دو ورق چک لست

کاپی به:

- تمام شرکت های بررسی خارجی

Checklist for External Auditor of AML/CFT Compliance Audit of banks

Applicant: _____

Date: _____

The application along with the following documents and information should be provided:

| A. Company's Docs & Info | | Yes/No | Remarks |
|--|---|--------|---------|
| 1 | Formal application to DAB by the founders, chairman or official representative of the applicant company; | | |
| 2 | Copy of the license issued by the Ministry of Industry and Commerce/CPA of ministry of Finance (if the company has not already been registered with DAB) | | |
| 3 | The articles of association approved by the relevant institution and its status must be determined (if the company has not already been registered with DAB) | | |
| 4 | Type of activities and list of its services; | | |
| 5 | Introducing at least 3 professional staff for AML/CFT Compliance audit of banks, and must meet the criteria mentioned in part B of this checklist; | | |
| 6 | Provide the personal details of the company representative including(Name, ID and position) and has professional capabilities and necessary skills to answers and clarify all questions being asked by Banking Supervision Dept. of DAB; | | |
| 7 | Provide biography, ID, educational and professional documents and work experience of shareholders, president, vice president (if the company has not already been registered with DAB) | | |
| 8 | Provide biography, ID, educational and professional documents and work experience of professional staff; | | |
| 9 | Explanation in regard to other activities and services of the company in addition to AML/CFT compliance audit (if any); | | |
| 10 | Exact headquarters location address; | | |
| 11 | Submitting a three-year rent contract of the office building, or if the owner of rented building is a shareholder and the head of the applicant company, a copy of the property documents owned by the owner; | | |
| 12 | The company or its employees and senior officials must not have been fined or subject to enforcement measures, and their activities must not have been blocked previously by any government agency, judges, or any other reputable body due to the incompetence and professionalism of the audit activities; If the company and senior officials have encountered such actions in the past or present, they must provide a detailed explanation in this regard; | | |
| B. Criteria for Professional Staff of AML/CFT Compliance Audit of banks | | | |
| Applicant firms are required to submit supporting documents regarding the below mentioned criteria | | | |
| 1 | Team Leader: Having at least Bachelor Degree in law or Banking and finance, professional certificate from ACAMS or other professional certificates related to AML/CFT and compliance, and at least 4 years of work experience in the field of AML/CFT Compliance audit, or AML/CFT function of the financial Institutions. | | |
| 2 | Member 1: Having at least Bachelor Degree in law or Banking and finance, and professional certificate form ACAMS or other professional accredited certificates related to Compliance and AML/CFT, and at least 3 years of work experience in the field of AML/CFT Compliance audit, or AML/CFT function of the financial Institutions. | | |
| 3 | Member 2: Having at least Bachelor Degree in law or Banking and finance, and professional certificate form ACAMS or other professional accredited certificates related to Compliance and AML/CFT, and at least 3 years of work experience in the field of AML/CFT Compliance audit, or AML/CFT function of the financial Institutions. | | |

Checklist for External Auditor of IT & system Audit of banks

Applicant: _____

Date: _____

The application along with the following documents and information should be provided:

| A. Company's Docs & Info | | Yes/No | Remarks |
|--|---|--------|---------|
| 1 | Formal application to DAB by the founders, chairman or official representative of the applicant company; | | |
| 2 | Copy of the license issued by the Ministry of Industry and Commerce/CPA of ministry of Finance, or ministry of tele communication (if the company has not already been registered with DAB) | | |
| 3 | The articles of association approved by the relevant institution and its status must be determined (if the company has not already been registered with DAB); | | |
| 4 | Type of activities and list of its services; | | |
| 5 | Introducing at least 2 specialists for Audit of (Network and Security; System and Database) and must meet the criteria mentioned in part B of this checklist; | | |
| 6 | Provide the personal details of the company representative including(Name, ID and position) and has professional capabilities and necessary skills to answers and clarify all questions being asked by Banking Supervision Dept. of DAB; | | |
| 7 | Provide the details of company's shareholders, president, vice president comprise of (biography, ID, educational, professional and experience) with documents. (if the company has not already been registered with DAB); | | |
| 8 | Provide details of Auditor specialists including (biography, ID, educational, professional and experience) with documents; | | |
| 9 | Explanation in regard to other activities and services of the company in addition to IT audit (if any); | | |
| 10 | Exact headquarters location address; | | |
| 11 | Submitting a three-year rent contract of the office building, or if the owner of rented building is a shareholder and the head of the applicant company, provide a copy of the property documents owned by the owner; | | |
| 12 | The company or its employees and senior officials must not been fined or subject to enforcement measures, and their activities must not been blocked previously by any government agency, judges, or any other reputable body due to the incompetence and professionalism of the audit activities; If the company and senior officials have encountered such actions in the past or present, they must provide a detailed explanation in this regard; | | |
| B. Criteria for Professional Staff of IT Audit of banks | | | |
| C. Applicant firms are required to submit supporting documents regarding the below mentioned criteria | | | |
| 1 | Network and Security Auditor: Having at least Bachelor Degree in Computer Science, professional certificate of CISA+CEH and at least 3 years of work experience in the field IT audit with minimum one year experience in Banks' IT Audit; | | |
| 2 | System and Database Auditor: Having at least Bachelor Degree in Computer Science, professional certificate CISA+CEH and at least 3 years of work experience in the field IT audit with minimum one year experience in Banks' IT Audit; | | |