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"Virtual seminar on National Risk Assessments (NRA) on Money Laundering for Latin America and the Caribbean"

(Within the framework of the follow-up and implementation of the "Lima Commitment: Democratic Governance against Corruption " - Mandate 43)

Agenda

Organized by:

The Department against Transnational Organized Crime (DTOC) of the Secretariat for Multidimensional Security (SMS) of the Organization of American States (OAS) and the Summits of the Americas Secretariat- Secretariat for Hemispheric Affairs. (SHA)

**Date: October 26, 27 and 28, 2020
15:00 hrs. - 17:00 hrs. (Washington, D.C., United States of America)**



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I. Background:

In April 2018, the Heads of State and Government of the Western Hemisphere agreed by consensus at the Eighth Summit of the Americas, to carry out an ambitious agenda to address corruption and democratic governance in the region.

The "Lima Commitment: Democratic Governance against Corruption", establishes 57 mandates, concrete measures, which will be implemented by the participating states with the collaboration of the international and regional organizations that make up the Joint Summit Working Group (JSWG), which also received mandates from the Leaders of the Americas to advance the implementation of the Lima Commitment.

In November 2018, the participating States of the Eighth Summit approved the Mechanism for Follow-up and Implementation of the Lima Commitment, which seeks to record the progress of each participating State and the organizations that integrate the JSWG with respect to compliance with the Lima Commitment; promote the exchange of good practices and technical capacities; and identify possibilities and resources for cooperation among the States, and between them and the JSWG bodies, in the area of prevention and fight against corruption, and create synergies with other international and regional mechanisms and initiatives.

The Lima Commitment, mandate 43 which establishes: "43. Taking effective measures against tax evasion and to combat tax avoidance, money laundering, and the illicit financial flows derived from corruption; as well as measures to identify beneficial ownership. "

The JSWG in its Action Plan (2019-2021) identifies as a priority to support the participating Countries in the fight against bribery, laundering and recovery of assets, as well as the fight against tax evasion.

In accordance with the provisions of Recommendation 1 of the 40 Recommendations of the International Financial Action Task Force (FATF), the entire system to prevent and combat ML / TF should be based on "risk assessment and application of a risk-based approach", which implies that countries must identify, evaluate and understand their ML / TF risks, and furthermore, take action and apply resources to ensure that these risks are effectively mitigated.



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II. General Objective:

The purpose of this virtual seminar is to provide specialized training and a space for dialogue for the exchange of experiences in matters of Money Laundering National Risks Assessments (NRA) for the countries of Latin America and the Caribbean, in an effort to contribute valuable inputs for its necessary review and eventual update.

III. Participants/ Audience

This virtual seminar will be aimed at the officials of the Latin American and the Caribbean countries, who have the following technical profile:

4 Participants per country:

- Financial Intelligence Units officials (FIU);
- Anti-Money Laundering and Against the Financing of Terrorism AML/CFT regulatory and supervisory entities officials;
- Prosecution and/or law enforcement entities officials;
- AML/CFT Policy coordination bodies in the participating countries officials.

IV. Methodology:

The virtual seminar is made up of three two-hour sessions, distributed over three consecutive dates. Each session will include two theoretical presentations in which recognized national and international experts will present the assigned topics according to the technical agenda detailed below. At the end of each theoretical session there will be a space to answer the questions that the participants have formulated via chat during the course of the presentations.

On the first day, the requirements contained in the methodology for the preparation of NRAs will be addressed in accordance with Financial Action Task Force (FATF) guidelines, in addition to some technical assistance options. On the second day, the experience of two countries that initially had technical assistance will be presented and, after mutual evaluation, updated their NRAs. Finally, on the third day, the experience of a country that has carried out two NRAs requesting technical assistance, and that has passed the requalification process for which they have used their revised NRA after the evaluation, will be known; To conclude with a panel discussion moderated by the Financial Action Task Force of Latin America (GAFILAT) Executive Secretariat aimed at meeting the needs of the participating countries regarding the supply and demand of technical assistance for the preparation of the NRAs, in which the active participation



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of the participants will be encouraged, and will serve as input for the final conclusions of the Webinar.

V. Registration

Participants will be appointed by their respective institutions and can register through the link:

<https://docs.google.com/forms/d/e/1FAIpQLSf137GVNy5Mbj6fNne2AYXqW6BTrFnCcvCHU9zWwMeavQZ3ZQ/viewform>

VI. Speakers:

Alejandra Quevedo: Expert in AML / CFT legal frameworks and anti-money laundering policy analysis. Alejandra was the Assistant Secretary of the GAFILAT from 2016 to 2019, technical expert from 2014 to 2016, consultant to the World Bank and the IDB between 2013 and 2014, and legal advisor to the Caribbean Financial Action Task Force (CFATF) from 2011 to 2013. She has participated as evaluator and / or coordinator in six mutual evaluation processes in the 4th round of evaluations, and in two for the third round. Additionally, she has participated in the preparation of follow-up reports and in the requalification processes of mutual evaluations. Alejandra has participated as an instructor in trainings on the FATF evaluation methodology, as an expert in seminars on the implementation of the 40 Recommendations, and in specialized AML / CFT technical assistance processes in Latin American and Caribbean countries. She is currently working as a consultant in the preparation of the Suriname National Risk Assessment being carried out by the DTOC and the IDB. Alejandra is a lawyer from the Universidad de los Andes in Bogotá and a candidate for a Master's degree in Law and Economics from the University of Buenos Aires.

Roberto Aleu Biel. Expert Consultant in Risk Analysis. Roberto has a Law Degree and a Master's Degree in Financial Markets from the *Instituto de Estudios Bursátiles*. He also obtained a Master's Degree in Public Administration from Columbia University. He has worked with private banking, investment banking and has been a financial consultant for the World Bank, OEA and PwC. Roberto is specialized in project management and risk assessment of the financial sector with a special focus on the prevention of money laundering.

Tanjit Sandhu Kaur: Andorran lawyer, graduated from the University of Barcelona, with proven experience in the prevention and combat of ML / TF at the national and international level. With more than 12 years of professional experience in the subject matter, she has worked for ten years in the financial intelligence unit of Andorra under international relations and supervision department. Since 2017 she has worked at the Financial Stability and Integrity Unit of the World Bank, where she contributed in providing technical assistance to member countries, with experience in the Latin and Caribbean region.

UIAF Colombia (TBC)



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Verónica Boza: Economist and Master's degree in Finance from the *Universidad Del Pacífico*. She works in the Superintendence of Banking, Insurance and Private Pension Fund Administrators of Peru, having extensive experience supervising companies in the insurance system. Since 2010, she has held functions in the Financial Intelligence Unit of Peru, exercising the position of Intendant of the Department of Strategic Analysis of said Unit since 2015. She leads processes of Risk Assessment in ML / TF, both at the country level and at the level of economic sectors. Likewise, it is in charge of the administration of the databases accessed by the UIF-Peru.

Roman Chavarria: Head of the Financial Intelligence Unit of Costa Rica, attached to the Costa Rican Institute on Drugs (ICD). He has 13 years of experience at a professional level in the articulation and coordination of AML / CFT actions. He participated in the country's evaluation process and is the Costa Rica's National Coordinator for GAFILAT. He has participated in different projects related to the country's regulations regarding the prevention of money laundering and terrorist financing in line with the FATF International Standards; as well as coordinator of the National Risk Assessments of his country in an articulating dynamic of the AML / CFT system.

VI. Moderators

John Grajales – OAS/DTOC: Specialist of the OAS since 2006 in the program of creation and strengthening of Financial Intelligence Units (UIF). Consultant of the World Bank-UNPD in the project of Strengthening the Capital Markets in Colombia (1998 to 2000), analyst of the Financial Intelligence Unit (FIU) of Colombia (2000 to 2006), consultant of the IMF and the Egmont Group in development of analytical capabilities for FIUs. He has been part of evaluation teams for the implementation of the FATF recommendations, and has participated as an external lecturer in seminars and specialized AML / CFT workshops. Cadastral and Geodesic Engineer specialized in Databases and Georeferenced Information Systems (GIS), with a Master's degree in Information Technologies and Communications, and Master's degree in Strategic Management.

Esteban Fullin: Argentine Lawyer, alumnus of the University of Buenos Aires, with extensive experience in the prevention and combat of ML / TF at the regional and international level. With more than twenty years of professional experience in the subject matter, he has held different positions in different national and international organizations. Since September 2019, he has held the position of Executive Secretary at the head of the GAFILAT Executive Secretariat. Previously, he was AML / CFT Regional Advisor for Latin America and the Caribbean of the Legal Department of the International Monetary Fund; GAFILAT Executive Secretary during the 2013-2016 period; and Deputy Executive Secretary of GAFILAT between 2003-2012.

VII. Special participations OAS

Gonzalo Koncke SG/OAS: Bachelor's Degree in International Relations (Universidad de la Republica - Montevideo) – 1992; Chief of Staff – Office of the Secretary General - General Secretariat of the Organization of American States (OAS) - 2016 to present; Permanent Representative of Uruguay to the



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United Nations NY 2014 – 2015; Secretary General, Ministry of Foreign Affairs of Uruguay 2011 – 2013; Director General for International Economic Affairs, Ministry of Foreign Affairs of Uruguay 2010 – 2011; Deputy Director General for Consular Affairs 2009 – 2010; and Diplomatic posts in France and Spain.

Gaston Schulmeister – OAS/DTOC: Director of the Department against Transnational Organized Crime (DTOC). Bachelor in Political Science and Master in International Studies. He has more than 15 years of professional experience working in the defense, justice and security sectors. In particular as a government official, he has experience in managing a police force, developed in the Autonomous City of Buenos Aires; and as National Director of International Cooperation of the Ministry of Security of the Argentine Republic. To develop his specialization in security affairs, he has been awarded fellowships from the William J. Perry Center for Hemispheric Defense Studies at the National Defense University in Washington DC; the Chevening Program of the UK Foreign and Commonwealth Office at the University of Bradford; and the Fulbright Program of the United States Department of State at the University of Delaware.

Maria Celina Conte – SAS: Acting Director in charge of the Summits of the Americas Secretariat at the Organization of American States (OAS) since September 2017; before, she served as a Senior Specialist at the Inter-American Commission of Women (CIM) of the OAS for almost nine years. Previously, for fourteen years she was a Specialist in the OAS Department of Science, Technology and Innovation. She holds two Master's Degrees, one in International Public Policy (MIPP) from the Johns Hopkins University School of Advanced International Studies (SAIS) and a Master's Degree in International Trade and Policy from George Mason University. She also has a degree in Business Administration from the *Universidad del Pacífico* from her native country, Peru.



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DAY 1: OCTOBER 26	
14:45 – 15:00	<p>Webinar presentation:</p> <p>Welcome words</p> <p>Gastón Schulmeister. Director of the Department Against Transnational Organized Crime at the Organization of American States (OAS)</p> <p>Gonzalo Koncke. Chief of Staff to the Secretary General OAS</p> <p>Maria Celina Conte, Director a.i. of the Summits Secretariat</p>
SESSION I. Development of the NRA Recommendations: The Work After Delivery	
15:00 – 15:45	<p>Panel: Reassessment of Technical Compliance: "The NRA Waterfall Effect" analysis.</p> <p>Alejandra Quevedo. Expert Consultant in Mutual Evaluations</p> <p>Risk Analysis Tools and Methodologies within the NRA Framework</p> <p>Roberto Aleu. Expert Consultant in Risk Analysis</p>
15:45 – 16:00	Questions and answers from the moderator: John Grajales, DTOC Specialist
16:00 – 16:45	<p>Evolution of the World Bank Methodology for the Preparation of National Risk Assessments: Lessons Learned</p> <p>Tanjit Sandhu Kaur. Financial Sector Specialist, Financial Stability & Integrity Unit, World Bank</p>
16:45 – 17:00	Questions and answers from the moderator: DTOC Specialist
DAY 2: OCTOBER 27	
SESSION II. NRA Update after the Mutual Evaluation Process	
15:00 – 15:45	Comparison of the Results of the 2017 and 2019 National Risk Assessments in Colombia



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	UIAF Colombia (To be confirmed)
15:45 – 16:00	Questions and answers from the moderator: Esteban Fullin . GAFILAT Executive Secretary
16:00 – 16:45	<p>Preparation of 2020 Peru National Risk Assessment: Implementation Challenges of the GAFI Standards and Methodological Guides</p> <p>Verónica Boza. Head of the Strategic Analysis Department, Financial Intelligence Unit (FIU), Superintendency of Banking, Insurance and AFP (SBS)</p>
16:45 – 17:00	Questions and answers from the moderator: Esteban Fullin . GAFILAT Executive Secretary
DAY 3: OCTOBER 28	
SESSION III. Preparation of Follow-up Reports with Updated NRA Information	
15:00 – 15:45	<p>Costa Rica's Experience in Updating its National Risk Assessment</p> <p>Romana Chavarria. UIF Costa Rica</p>
15:45 – 16:00	Questions and answers from the moderator: John Grajales DTOC Specialist
16:00 – 17:00	<p>Panel Discussion: Challenges in the request for Technical Assistance for the Preparation of NRA, solution to a problem of growing demand.</p> <p>Intervention of the participating countries</p> <p>Moderator: Esteban Fullin. GAFILAT Executive Secretary.</p>
17:00 – 17:15	<p>Closing remarks from:</p> <p>Maria Celina Conte, Director a.i. of the Summits Secretariat</p> <p>Gaston Schulmeister, Director of the Department against Transnational Organized Crime (OAS DTOC)</p>