



ACCREDITED TRAINING PROVIDER

## Operational Risk Management – Principles, Techniques & Applications

A 3-day Training Event

As risk management frameworks are being embedded through the financial services industry the importance of properly modelling and managing operational risk has become of greater importance. Application of general risk management ideas to this specific risk effectively provides the firm with the opportunity to improve the efficiency and the effectiveness of their systems of control.

This course provides an in-depth view of the nature of operational risk, its causes, consequences and impact and the arising of operational risk in the trade cycle and other major risks.

### Course Objectives

Participants will gain knowledge, an detailed understanding of and ability to apply key operational risk concepts within the areas of

- Risk Basics
- Other Major Risks
- The Nature of Operational Risk
- The Causes and Impacts of Operational Risk
- Operational Risks Arising in the Trade Cycle
- The Support and Control Functions
- Operational Risk in the Regulatory Environment

### Who Should Attend?

Managers, supervisors and staff within these functions

- Risk
- Operations
- Administrative
- IT
- Internal & external audit
- HR
- Legal
- Finance
- CISI Candidates for the Investment Operations Certificate (IOC) and/or as a prerequisite to Managing Operational Risk in Financial Institutions Level 4

Our unique 3-day classroom training course features:

- Up-to-date industry relevant examples and illustrations
- In-depth analysis of course topics
- Smaller class sizes which focus more on personal attention & expert-delegate interaction
- An experienced, expert practitioner-trainer with real industry track-record & available for delegate Q&A for up to 90 days to help in exam preparation following the course.

### Methodology

The expert trainer will use slides, case studies, exercises and lead workshop-style group discussion to engage the delegates in practical learning and understanding. The trainer remains available to delegates for Q&A related to the course topic for 90 days following the course dates.

**Advanced Preparation: *None***

**Training Type: *Classroom***

**Learning Level 3:**

***Introduction***

**Field of Study: *Risk***

***Management***

**This training course is scheduled for: The price per delegate for this 3-day programme is £3,145.00**

**London UK, 3 days**  
May 29 – May 31, 2019  
November 04 - 06, 2019

(+ UK VAT when applicable)

1:1 training courses available  
at 2x per delegate price!

**For an in-house training option, alternative dates and locations are available.**

We are happy to add extra content to the programme to meet additional requirements from your company. Please contact us for further information.

[www.riskrewardlimited.com](http://www.riskrewardlimited.com)

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**CISI@riskrewardlimited.com**

UK Companies House # 434 6234.



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## Operational Risk Management – Principles, Techniques & Applications

### Course Outline

#### Session 1: Risk Basics

- Risk in the Financial Services Industry
- Enterprise Risk Management

#### Session 2: Other Major Risks

- The Nature of Credit Risk
- Measuring Credit Risk
- Credit Risk Management and Reporting
- The Nature of Market Risk
- Measuring Market Risk
- Value-at-Risk (VaR)
- Market Risk Management and Reporting
- The Nature of Liquidity Risk
- Measuring Liquidity Risk
- Liquidity Risk Management and Reporting

#### Session 3: The Nature of Operational Risk

- Definition of Operational Risk and Operational Risk Categories
- Culture
- The Risk Management Process
- The Policy for Managing Operational Risk
- Risk Identification / Classification
- Risk Assessment and Measurement
- Risk Treatment
- Risk Monitoring, Reporting and Governance

#### Session 4: The Causes, Consequences and Impact of Operational Risk Events

- Operational Risk – The Causes
- Operational Risk – The Consequences
- Operational Risk – The Impact
- Near Miss Identification and Reporting

#### Session 5: Operational Risks Arising in the Trade Cycle

- Set-up
- Execution
- Pre-settlement phase
- Settlement phase
- Post-settlement phase

#### Session 6: The Support and Control Functions

- The Independent Risk Function
- The Middle / Back Office Functions
- The Compliance Function
- The Financial and Regulatory Reporting Function
- The HR Function
- The Internal Audit Function
- The IT Function
- The Legal Function
- The Product Development and Marketing Function
- The Project Management and Change Management Function

#### Session 7: Operational Risk in the Regulatory Environment

- Achieving Common Standards and Protection
- Basel Accords

Course schedule:

Full day classroom training  
09:30 – 17:00



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**RISK REWARD**  
GLOBAL BANKING & FINANCIAL SERVICES EXPERTS

## Operational Risk Management – Principles, Techniques & Applications Registration & Payment details

Please mark **X** in the box and complete the form with BLOCK LETTERS

Dates:

May 29 – May 31, 2019

November 04 – 06, 2019

### Course Fee (per person):

GBP £3,145.00 (+ UK VAT when applicable)

Email\*

First name\*

Last name\*

Job title / Position

Department

Company Name

Company Address

City

Postcode

Country\*

Telephone (direct)\*

Telephone (main)

Approving Manager

Training Manager

### CISI Certificate & Diploma Candidates

Please register, purchase your CISI workbook and online learning tools, and arrange to sit the exam at a testing centre directly with the professional body via [www.CISI.org](http://www.CISI.org).

Please tick that box if you don't want to be subscribing to the Global Risk Update magazine.

**Data Privacy & Update of Contact Details** Risk Reward Limited is fully compliant with the Data Protection Act. The information you provide will be safeguarded by Risk Reward Ltd. We do not rent, sell or exchange your details to anyone without your consent. Your details are never given to third parties. If you wish to update your details, please email: [info@riskrewardlimited.com](mailto:info@riskrewardlimited.com) with your OLD and NEW details. Please allow 10 days to see the changes take effect. Thank you.

**Terms and Conditions** All cancellations must be received in writing 20 working days prior to the start of the course with acknowledgement from Risk Reward. Course fees must therefore be paid in full if a cancellation occurs within 20 working days of the start of the course. We are always happy to welcome a replacement onto the course. Kindly send us written notification of your replacement by email, fax or telephone. Written cancellations received 20 working days or more before the start date of the course receive a full refund less a charge of 20%. For any written cancellation requests that reach us less than 20 working days before the event, no refunds will be given. Risk Reward reserves the right to the final decision if any dispute arises.

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Signature

Date

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## Investment Operations Certificate

Progressive study pathways options:

- For UK Candidates the IOC is achieved by passing any three of the following units\*;

(\* please note that the following list only contains the IOC courses that Risk Reward offers and not the complete selection, for the full list please visit [www.cisi.org](http://www.cisi.org))

### Introductory

- International Introduction to Securities and Investment

### Regulatory

- UK Financial Regulation

### Technical

- Risk in Financial Services
- Global Financial Compliance
- Combating Financial Crime
- Managing Cyber Security
- Operational Risk