Operational Risk and Basel Accord Compliance Training Course



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4100 € (Per Person)

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Course Introduction / Overview:

In an era of increasing financial complexity and regulatory scrutiny, mastering operational risk management (ORM) and ensuring compliance with the Basel Accords is no longer optional but a critical necessity for institutional survival and success. This intensive training course is designed to provide a comprehensive, A-to-Z understanding of the frameworks that govern global banking stability. We will delve deep into the principles and practical applications of the Basel Accords, from their historical context to the latest Basel IV revisions. As highlighted by renowned author Michel Crouhy in his seminal work "Risk Management," a proactive and integrated approach to risk is paramount. This program, offered by BIG BEN Training Center, moves beyond theoretical knowledge to equip participants with the practical tools and methodologies needed to build and maintain a robust ORM framework. Participants will explore key components such as the three pillars, Risk and Control Self-Assessment (RCSA), Key Risk Indicators (KRIs), and advanced capital modeling techniques. The course provides a strategic roadmap for embedding a strong risk culture, enhancing operational resilience, and navigating the intricate landscape of regulatory expectations to safeguard your organization's assets and reputation.

Target Audience / This training course is suitable for:

- Risk Management Professionals.
- Compliance Officers and Managers.
- Internal and External Auditors.
- Banking Operations Managers.
- Financial Controllers and Accountants.
- Treasury and Capital Management Staff.
- Senior Bank Executives and Board Members.
- Regulatory and Supervisory Staff.
- IT and Cybersecurity Risk Specialists.
- Legal and Corporate Governance Professionals.

Target Sectors and Industries:

- Commercial and Retail Banking.
- Investment Banking and Capital Markets.
- Asset Management and Investment Firms.
- Insurance and Reinsurance Companies.
- Financial Technology (FinTech) and Payment Services.
- Central Banks and Monetary Authorities.
- Government financial regulatory bodies and agencies.
- Credit Unions and Cooperative Banks.
- Private Equity and Venture Capital Firms.
- Consulting firms specializing in financial services.

Target Organizations Departments:

- Risk Management Department.
- Compliance and Regulatory Affairs.
- Internal Audit and Control.
- Finance and Treasury.
- Operations and Business Units.
- Information Technology and Security.
- Legal and Corporate Secretariat.
- Strategic Planning and Corporate Development.
- Capital Management and Planning.
- Product Development and Management.

Course Offerings:

By the end of this course, the participants will have able to:

- Develop and implement a comprehensive operational risk management framework aligned with Basel principles.
- Interpret the requirements of Basel II, Basel III, and the emerging Basel IV standards.
- Master the methodologies of the three pillars: Minimum Capital Requirements, Supervisory Review, and Market Discipline.
- Apply tools such as RCSA, KRIs, and loss data collection for effective risk identification and monitoring.
- Conduct scenario analysis and stress testing for operational risk capital adequacy.
- Understand the different approaches for calculating operational risk capital, including the Standardised Approach.
- Prepare for and effectively manage the Supervisory Review and Evaluation Process (SREP).
- Enhance risk reporting and disclosure practices to meet Pillar 3 requirements.
- Foster a strong risk culture within their organization to support compliance and performance.
- Address modern challenges such as cyber risk, third-party risk, and operational resilience.

Course Methodology:

The training methodology employed by BIG BEN Training Center is designed to be highly interactive, practical, and engaging, ensuring that participants can immediately apply their learning in a professional context. We move beyond traditional lectures to create a dynamic learning environment that fosters deep understanding and skill development. The course heavily relies on real-world case studies of financial institutions, analyzing both successful risk management strategies and failures that led to significant losses or regulatory penalties. Participants will engage in collaborative group exercises, such as developing a Risk and Control Self-Assessment (RCSA) for a hypothetical department or designing Key Risk Indicators (KRIs) for specific business processes. Interactive workshops and simulation exercises will be used to practice complex concepts like regulatory capital calculation and scenario analysis. Throughout the course, there will be ample opportunity for open discussions, Q&A sessions with the expert instructor, and peer-to-peer knowledge sharing. This blended approach of expert instruction, practical application, and collaborative problem-solving ensures a comprehensive and lasting learning experience, empowering participants to confidently navigate the challenges of operational risk and Basel compliance.

Course Agenda (Course Units):

Unit One: Foundations of Operational Risk and the Basel Accords

- Introduction to Operational Risk Management (ORM).
- Defining operational risk and its key categories.
- The history and evolution of the Basel Committee on Banking Supervision (BCBS).
- Overview of the Basel I, II, and III frameworks.
- The business case for a robust ORM framework.
- The role of corporate governance and risk culture.
- Key terminology and concepts in regulatory compliance.

Unit Two: The Three Pillars of the Basel Framework

- Pillar 1: Minimum Capital Requirements for Operational Risk.
- The Standardised Approach (SA) and its predecessors.
- Introduction to Advanced Measurement Approaches (AMA).
- Pillar 2: The Supervisory Review and Evaluation Process (SREP).
- The Internal Capital Adequacy Assessment Process (ICAAP).
- Supervisory expectations for risk management and governance.
- The principle of proportionality in regulatory application.

Unit Three: Core Tools and Techniques for Operational Risk Management

- Risk and Control Self-Assessment (RCSA) methodologies.
- Developing and implementing Key Risk Indicators (KRIs).
- Internal and external loss data collection and analysis.
- Business process mapping for risk identification.
- Conducting effective scenario analysis and stress testing.
- Root cause analysis for operational risk events.
- Building a comprehensive risk appetite framework.

Unit Four: Advanced Topics in Capital Management and Regulation

- Pillar 3: Market Discipline and Disclosure Requirements.
- Best practices for regulatory reporting and public disclosures.
- The transition from Basel III to Basel IV and its implications.
- The Fundamental Review of the Trading Book (FRTB).
- Managing model risk in operational risk measurement.
- BCBS 239 principles for effective risk data aggregation and reporting.
- Integrating operational risk into strategic capital planning.

Unit Five: Operational Resilience, Risk Culture, and Future Trends

- Building an effective operational resilience framework.
- Managing emerging risks: cybersecurity, technology, and third-party dependencies.
- The role of leadership in embedding a strong risk culture.
- Aligning ORM with business strategy and performance objectives.
- Preparing for regulatory inspections and audits.
- The impact of FinTech and digital transformation on operational risk.
- Future outlook for global financial regulation and supervision.

FAQ:

Qualifications required for registering to this course?

There are no requirements.

How long is each daily session, and what is the total number of training hours for the course?

This training course spans five days, with daily sessions ranging between 4 to 5 hours, including breaks and interactive activities, bringing the total duration to 20 - 25 training hours.

Something to think about:

How can a financial institution balance the prescriptive requirements of the Basel Accord with the need for a dynamic and forward-looking operational risk culture that fosters innovation?

What unique qualities does this course offer compared to other courses?

This training course distinguishes itself by moving beyond mere regulatory recitation to a deep, strategic integration of operational risk management within the core of business operations. While many programs focus on the mechanics of compliance, this course emphasizes the 'why' behind the 'what,' fostering a mindset of proactive risk management rather than reactive box-ticking. We place a significant emphasis on the forthcoming Basel IV framework, providing participants with a forward-looking perspective that is crucial for future-proofing their institution's risk architecture. The curriculum is uniquely structured to bridge the gap between theory and practice, using extensive case studies of recent regulatory actions and institutional challenges to illustrate key learning points. Furthermore, the course dedicates substantial focus to the often-overlooked but critical elements of risk culture and operational resilience. It provides actionable strategies for influencing organizational behavior and building systems that can withstand, adapt to, and recover from severe disruptions. The academic rigor is balanced with practical, implementable tools, ensuring participants leave not just with knowledge, but with the confidence and capability to drive meaningful change and enhance their organization's stability and competitive advantage in a complex regulatory environment.