COURSE BROCHURE

Operational Risk Management in Banks

A five-day, practice-led course for banking teams covering Basel-aligned frameworks, RCSA, KRIs, control testing, incident management, and board reporting. Participants use Excel templates, case studies, and workshops to build tools they can deploy immediately.

Code	HT-GRC-118
Category	Governance, Risk & Compliance
Duration	1 week
Level	Intermediate

Introduction

Banks face rising regulatory expectations, digital transformation pressures, and complex third-party dependencies. Operational risk incidents now travel fast across channels and jurisdictions, making strong frameworks, clear accountabilities, and reliable data essential. This intensive program focuses on what bankers need to do from day one: identify exposures, assess and prioritize them, design controls and indicators, and report trends and actions clearly to management and supervisors. Across five days, participants practice applying a practical toolkit while aligning risk appetite, incentives, and performance.

Objectives

- Establish a Basel-aligned operational risk framework across the three lines of defense.
- Apply structured identification and assessment using process maps, RCSA, and a risk register.
- Design practical KRIs and risk appetite metrics tied to performance and reporting.
- Strengthen control effectiveness through risk-based testing, change management, and third-party oversight.
- Produce concise dashboards, board reports, and measurable, root-cause-based remediation plans.

Who should attend

- Operational risk managers and analysts in retail, corporate, and investment banking
- Operations leaders, branch managers, digital channel and customer service supervisors
- Compliance, governance, business continuity, and disaster recovery officers
- Internal auditors and quality assurance professionals assessing control effectiveness

Skills you will develop

- Build an operational risk taxonomy and end-to-end RCSA linked to the enterprise register
- Design KRIs with thresholds, early warnings, and executive dashboards
- Plan risk-based control testing, gap analysis, and corrective action tracking
- Analyze loss events, identify root causes, and design scenarios and stress tests

Learning Outcomes

- Complete an RCSA for a core banking process using standard Excel templates
- Define three KRIs with thresholds, owners, escalation paths, and data sources
- Map key controls and build a quarterly effectiveness test plan with acceptance criteria
- Draft a one-page board risk report highlighting trends, actions, and regulatory impacts

Course Outline

Day 1: Foundations and Frameworks

- Basel definitions, taxonomy, risk appetite, and roles across the three lines of defense
- Aligning strategy and business plans with the risk framework; risks vs. issues vs. incidents
- Enterprise context mapping and high-level process maps as the starting point

Day 2: Identification and Assessment

- Step-by-step RCSA, scenarios, likelihood and impact, and control linkage
- Detailed process maps, potential failure points, risk register, and root-cause alignment
- KRI design and classification, data sources, thresholds, alerts, and escalation

Day 3: Controls and Mitigation

- Preventive and detective control design, segregation of duties, and risk-based testing
- Change and project risk, digital transformation, and third-party/outsourcing risk
- Interfaces with business continuity, incident response, and high-impact low-frequency events

Day 4: Measurement and Reporting

- Operational loss data: collection, analysis, and capturing actionable lessons
- Risk appetite metrics, dashboards, trend and predictive indicators for executives
- Scenario and stress testing to inform capital discussions without excessive complexity

Day 5: Governance and Execution

- Governance structures, committees, policies, and regulatory expectations and reporting
- Action plan management, ownership, timelines, effectiveness tracking, and audit closure
- Capstone workshop using Excel templates and preparation of a concise board briefing

Training methodology

Hands-on banking case studies that connect concepts to daily roles and decisions
Group workshops to build RCSA, design KRIs, and plan tests using standard Excel templates
Facilitated discussions on incident lessons, culture, and cross-line collaboration challenges
Rapid reviews, short quizzes, and practical feedback to reinforce on-the-job application

Certification

Harbor Training Center certificate of attendance

Upcoming dates

No dates are published at the moment. Contact us to arrange one, or to run the course for your organisation.

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To register and for details, scan the code or visit:

https://harbor4training.com/en/courses/operational-risk-management-in-banks