



**RISK
MANAGEMENT
TRAINING**

Course Enquiries contact:

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Presented in association with the Australasian Mutuals Institute

OPERATIONAL RISK MANAGEMENT AND COMPLIANCE

For Mutual ADIs

1 Day Course

Wednesday 17 March 2010

The “How To” for Operational Risk Management

This practical 1 day course provides you with the essential knowledge to be able to implement and manage the operational risk management and compliance function in your Mutual so as to improve performance, achieve best practice risk management and meet your regulatory and fiduciary responsibilities.

What you will get out of this course:

- Understand the benefits of good practice Operational Risk Management (ORM) in your ADI
- Understand the APRA requirements under **APS 114, APS 110** and the Basel II framework
- Apply the AS/NZS 4360 and new ISO 31000 Risk Management standards to ORM
- Understand how to implement a comprehensive ORM and compliance capability
- Understand how to incorporate your ORM practices into your ICAAP requirements
- Be able to develop ORM and compliance policies and standards
- Understand how to carry out a Risk and Control Self Assessment
- Learn how to set up and use Key Risk Indicators to track your current risks
- Learn how to set up and use an incident management system
- Be able to set up an integrated external regulatory and internal control compliance capability
- Be able to incorporate ICAAP, BCM/DRP, regulatory compliance, AML/CTF, OH&S and fraud risk management into your overall ORM process
- Obtain the practical skills to make ORM work and embedded in your Mutual
- Be able to report operational risk in a meaningful and useful way
- Gain an understanding of the issues in selecting an ORM system solution

AMInstitute members, CPD Accreditation: 6 Hours



Presented by: DAVID TATTAM, Protecht Advisory Pty Ltd. David is a director and principal trainer with Protecht Advisory and presents a range of risk management and treasury courses with AMInstitute. Protecht provides a range of risk management services to Mutual ADIs, covering interest rate, liquidity and operational risk management. Protecht has developed its own software solution for operational risk management, WORMS™. David is an expert in all facets of risk with special emphasis on operational and market risk. David is a Chartered Accountant and Fellow of the Financial Services Institute of Australia.

Course Location: The Course will be held at: in the Sydney CBD, close to Town Hall Station

Course Times: Registration: 8.30 am—9.00 am, Course: 9.00 am—5.00 pm

Terms and Conditions: Protecht and AMInstitute reserve the right to cancel or postpone this program due to circumstances outside of their control. Where this occurs delegates who have already paid will receive a full refund. For participant cancellations, a full refund less a \$150 administration fee will be made for any cancellation received no later than 2 weeks prior to course commencement. For cancellations received after this time, no refund will be given. A replacement delegate is acceptable however please notify us of the change as soon as possible.



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Course Profile

1. Introduction to Operational Risk Management

- Risk Management in a Mutual ADI
- The requirements of APRA for Operational Risk: APS 114, APS 110 and Pillar 2

2. Framework For Managing Risk

- The Risk Management Framework and process
- AS/NZS 4360 and ISO 31000 standards

3. Policy and Organisation Structure

- Required Organisation Structure for ORM
- ORM Policies, Procedures and Standards
- Regulatory guidance and requirements

4. Operational Risk in detail

- Definition and scope of operational risk
- Objectives of ORM
- Determining a risk classification framework
- Analysing the Impacts of Operational Risk

5. Implementing a Risk and Control Self Assessment (RCSA) Process

- Approaches to RCSA
- Key elements (Gross Risk, Net Risk, Importance of Controls, Likelihood, Consequence)
- Recording your findings and improvements
- Reporting your findings

6. Implementing a Compliance Process

- Building a compliance framework
- Ensuring compliance with external and internal Regulations, policies and procedures
- Compliance and Control attestations

7. Implementing Key Risk Indicators (KRIs)

- Defining KRIs in a Mutual ADI
- Collecting and analysing KRIs
- Reporting using KRIs
- Case Study: Identifying KRIs for a Mutual

8. Implementing a Risk Incident Management system

- What should be recorded
- How are events recorded, managed and reported

9. Risk Control and Treatment

- Risk Appetite, trigger points, escalation levels
- Treatment Methods
- Improvement implementation and tracking

10. Fraud Risk Management

- Fitting Fraud Risk Management into the overall framework
- The Fraud Resistance Health Check

11. Operational Risk Reporting

- Setting a reporting framework
- Report types

12. Capital Adequacy for Operational Risk

- The APRA standardised approach and APS 114
- The impact on capital planning

13. Making it work

- Dashboard Reporting
- Hurdles to implementation
- Overcoming the hurdles
- The future of ORM
- Selecting an ORM solution

Enrolment

How to Register: Either visit www.protecht.com.au to register on-line or complete the details below and fax to (02) 9283 0430. You will be sent an email confirmation and mailed a tax invoice. If you do not receive the email within 5 days please contact us.

Cost (including GST): The cost of the program is \$880 (AMInstitute members), \$968 (non AMInstitute members). This fee includes all materials, lunch, morning and afternoon refreshments but excludes your travel, accommodation, breakfast and evening meals. Where two or more delegates attend from the same organisation, a 5% discount will be given.

First Name	Mr/Mrs/Ms	Last Name	
Email Address			
Telephone		Facsimile	
Mutual Name		Address	
Position		City / State / Postcode	
Special dietary requirements		AMInstitute Member	Yes <input type="checkbox"/> No <input type="checkbox"/>
Signature		Date	