

Operational Risk Management and Ethical Behaviour

Programme Code: HGRS00P25083

23 August 2025 (Saturday)
9:30am – 11:30am

2 HOURS
HKiB ECF SFC
CPD CPD CPT

Programme Outline

Part One: The Impact of Basel Accord on Operational Risk Management

1. Development of Effective Bank Crisis Management Plans
2. HKMA Regulatory Policies over Operational Resilience
3. Definitions of Risk and Events
4. Implementation of Operational Resilience Management Framework

Part Two: Theory and Practice

1. Identification of Key Operational Risk Processes
2. Application of Customer Experience Flowcharts
3. Residual Risk Assessment Methods for Operational Processes
4. Risk Register and Risk Acceptance Process
5. Technical Risk Management Framework and Processes
6. Beyond the control - the importance of maintaining a high standard of ethical culture
7. Key Points and Case Sharing in Crisis Management

Speaker Introduction

The speaker previously served as the Deputy Group Head of Personal and Commercial Banking at a major commercial bank in Hong Kong, with over 35 years of experience in the banking industry. He focused on retail banking, fintech, operational risk management, anti-money laundering, counter-terrorist financing, and internal auditing. He is also a member of the Executive Committee for China Retail Banking at a currency-issuing bank in Hong Kong, where he serves as an Executive Director. He has held several senior positions at the bank, including Head of Internal Audit for Retail Banking in the Asia-Pacific region, responsible for non-credit audits across 11 countries, and has extensive experience in business management. The speaker has comprehensive experience in sales, operations, and risk management. He holds a Master Degree of Business Administration (MBA) from the University of Leicester and is a Certified Operational Risk Professional (CORP), a Certified Anti-Money Laundering Specialist (CAMS), and Certified Internal Auditor (CIA, 2000-2016).

Target Audiences

1. Banking Practitioners;
2. Risk Management, Operation Risk Management and Risk Assessment Personnel ;
3. HKiB Professional Qualification Holders :



Programme Delivery

Virtual Classroom (Zoom)
English

Application DEADLINE

16 August 2025 (Saturday)



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