LAPT

LONDON ACADEMY OF PROFESSIONAL TRAINING

CERTIFICATE

ISO 31000BNK — Risk Management in Finance

ISO Certification Programme

LAPT — London Academy of Professional Training

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Reference MGT-BNK-31000BNK • ISO Management & Services

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6	30	180	430	60%	Lifetime
SUBJECTS	CHAPTERS	CLASSES	TOTAL MARKS	PASS MARK	VALIDITY

AT A GLANCE

REFERENCE	**MGT-BNK-31000BNK**
AWARD	**Certificate**
ASSESSMENT	**430 marks — 258 to pass (60%)**
PREREQUISITES	**None**
VALIDITY	**Lifetime**
AWARDING BODY	**LAPT — London Academy of Professional Training**

CURRICULUM

1 Monitoring and Review of Risk Management Practices

5 chapters · 30 classes **45 marks**

- **1 Fundamentals of Risk Management Monitoring** — 6 classes
  - 1.1 Define Key Concepts in Risk Management Monitoring
  - 1.2 Identify Essential Tools for Monitoring Risk Management Practices
  - 1.3 Establish Indicators for Effective Risk Assessment
  - 1.4 Analyze Case Studies of Successful Risk Management Monitoring
  - 1.5 Develop a Risk Monitoring Framework for Your Organization
  - 1.6 Evaluate and Revise Monitoring Strategies Based on Feedback
- **2 Key Performance Indicators for Risk Management** — 6 classes
  - 2.1 Define Key Performance Indicators for Risk Management
  - 2.2 Identify Relevant KPIs for Financial Risk Assessment
  - 2.3 Analyze the Link Between KPIs and Organizational Objectives
  - 2.4 Develop a KPI Monitoring Framework for Effective Risk Management
  - 2.5 Evaluate the Effectiveness of Existing Risk Management KPIs
  - 2.6 Implement Continuous Improvement Strategies for KPI Management
- **3 Tools and Techniques for Risk Assessment Reviews** — 6 classes
  - 3.1 Identify Key Tools for Risk Assessment Reviews
  - 3.2 Analyze Techniques for Effective Risk Identification
  - 3.3 Evaluate Metrics for Measuring Risk Management Effectiveness
  - 3.4 Apply Qualitative and Quantitative Assessment Methods
  - 3.5 Compare Risk Assessment Frameworks for Best Practices
  - 3.6 Develop a Risk Review Action Plan Based on Assessment Findings
- **4 Evaluating Risk Management Frameworks** — 6 classes
  - 4.1 Define Key Components of Risk Management Frameworks
  - 4.2 Assess the Effectiveness of Existing Risk Management Practices
  - 4.3 Identify Indicators for Monitoring Risk Performance
  - 4.4 Analyze Case Studies of Risk Management Framework Failures
  - 4.5 Develop a Checklist for Continuous Improvement in Risk Management
  - 4.6 Create a Presentation on Evaluating Risk Management Frameworks
- **5 Reporting and Communicating Risk Management Findings** — 6 classes
  - 5.1 Identify Key Risk Management Findings for Reporting
  - 5.2 Analyze Effective Communication Strategies for Risk Findings
  - 5.3 Develop Customized Risk Management Reports for Stakeholders
  - 5.4 Utilize Visual Aids to Enhance Risk Reporting Clarity
  - 5.5 Evaluate the Impact of Risk Management Findings on Decision Making
  - 5.6 Implement Feedback Mechanisms for Continuous Risk Management Improvement

2 Regulatory Compliance and Risk Governance

5 chapters · 30 classes **65 marks**

- **1 Foundations of Regulatory Compliance in Banking** — 6 classes
  - › 1.1 Define Key Concepts in Regulatory Compliance
  - › 1.2 Explore the Importance of Regulatory Frameworks in Banking
  - › 1.3 Identify Major Regulatory Bodies and Their Roles
  - › 1.4 Analyze the Impact of Non-Compliance on Financial Institutions
  - › 1.5 Discuss Strategies for Effective Risk Governance
  - › 1.6 Implement Best Practices for Regulatory Compliance in Banking
- **2 Understanding Risk Governance Structures** — 6 classes
  - › 2.1 Define Key Concepts in Risk Governance Structures
  - › 2.2 Identify Stakeholders in Risk Governance
  - › 2.3 Explore the Roles and Responsibilities of Risk Managers
  - › 2.4 Analyze Best Practices in Risk Governance Frameworks
  - › 2.5 Evaluate Compliance Needs in Risk Governance
  - › 2.6 Apply Risk Governance Structures to Real-World Scenarios
- **3 Identifying and Assessing Regulatory Risks** — 6 classes
  - › 3.1 Define Regulatory Risks in Financial Context
  - › 3.2 Explore Sources of Regulatory Risks in Finance
  - › 3.3 Analyze the Impact of Regulatory Risks on Financial Operations
  - › 3.4 Assess Existing Compliance Frameworks for Regulatory Risks
  - › 3.5 Develop Strategies for Identifying Regulatory Risks
  - › 3.6 Create an Action Plan for Ongoing Regulatory Risk Assessment
- **4 Implementing Effective Risk Management Strategies** — 6 classes
  - › 4.1 Identify Key Risk Factors in Financial Environments
  - › 4.2 Analyze the Impact of Regulatory Compliance on Risk Management
  - › 4.3 Develop a Risk Assessment Framework for Financial Institutions
  - › 4.4 Design Effective Risk Mitigation Strategies in Finance
  - › 4.5 Implement Monitoring Tools for Ongoing Risk Management
  - › 4.6 Evaluate the Success of Risk Management Strategies in Practice
- **5 Monitoring, Reporting, and Continuous Improvement in Compliance** — 6 classes
  - › 5.1 Identify Key Components of Compliance Monitoring Systems
  - › 5.2 Analyze Reporting Requirements for Regulatory Compliance
  - › 5.3 Develop Effective Risk Reporting Templates
  - › 5.4 Evaluate Compliance Monitoring Techniques and Tools
  - › 5.5 Implement Continuous Improvement Strategies in Compliance
  - › 5.6 Create an Action Plan for Enhancing Compliance Governance

3 Risk Identification and Analysis

5 chapters · 30 classes **105 marks**

- **1 Fundamentals of Risk Identification in Banking** — 6 classes
  - › 1.1 Define Key Concepts in Risk Identification
  - › 1.2 Explore Common Types of Risks in Banking
  - › 1.3 Analyze the Risk Identification Process
  - › 1.4 Examine Tools and Techniques for Risk Identification
  - › 1.5 Case Study: Assessing Real-World Risk Scenarios
  - › 1.6 Develop a Risk Identification Framework for Banking
- **2 Qualitative Risk Assessment Techniques** — 6 classes
  - › 2.1 Explore the Fundamentals of Qualitative Risk Assessment
  - › 2.2 Identify Key Qualitative Risk Assessment Techniques
  - › 2.3 Analyze Stakeholder Influence on Risk Perception
  - › 2.4 Apply Brainstorming Techniques for Risk Identification
  - › 2.5 Conduct a SWOT Analysis to Evaluate Risks
  - › 2.6 Develop a Risk Assessment Matrix for Prioritization
- **3 Quantitative Risk Measurement Tools** — 6 classes
  - › 3.1 Define Quantitative Risk Measurement Concepts
  - › 3.2 Explore Key Quantitative Risk Metrics
  - › 3.3 Apply Statistical Methods for Risk Analysis
  - › 3.4 Analyze Sensitivity and Scenario Analysis Techniques
  - › 3.5 Evaluate the Use of Value at Risk (VaR) in Finance
  - › 3.6 Implement Stress Testing for Risk Management
- **4 Scenario Analysis for Risk Identification** — 6 classes
  - › 4.1 Understand the Importance of Scenario Analysis in Risk Management
  - › 4.2 Identify Key Variables Impacting Financial Risks
  - › 4.3 Develop Effective Scenario Frameworks for Risk Assessment
  - › 4.4 Create Realistic Scenarios Based on Historical Data
  - › 4.5 Evaluate Potential Outcomes and Impacts of Scenarios
  - › 4.6 Apply Scenario Analysis to Inform Risk Mitigation Strategies
- **5 Integrating Risk Information into Decision-Making** — 6 classes
  - › 5.1 Identify Key Risk Information Sources for Decision-Making
  - › 5.2 Analyze the Impact of Risk on Financial Decisions
  - › 5.3 Evaluate Risk Tolerance Levels in Financial Strategies
  - › 5.4 Develop Risk Assessment Models for Effective Decision-Making
  - › 5.5 Integrate Risk Insights into Strategic Financial Planning
  - › 5.6 Communicate Risk Information to Stakeholders for Informed Decisions

4 Risk Management Frameworks

5 chapters · 30 classes **85 marks**

- **1 Fundamentals of Risk Management in Banking and Finance** — 6 classes
  - › 1.1 Define Key Concepts in Risk Management
  - › 1.2 Identify Types of Risks in Banking and Finance
  - › 1.3 Explore the Risk Management Framework Components
  - › 1.4 Analyze Risk Assessment Techniques Used in Finance
  - › 1.5 Develop Risk Mitigation Strategies for Financial Institutions
  - › 1.6 Evaluate Real-World Applications of Risk Management Frameworks
- **2 ISO 31000 Framework: Key Principles and Guidelines** — 6 classes
  - › 2.1 Understand the Core Principles of ISO 31000 Framework
  - › 2.2 Identify the Components of Risk Management Framework
  - › 2.3 Analyze the Risk Management Process Steps
  - › 2.4 Evaluate the Importance of Stakeholder Engagement in Risk Management
  - › 2.5 Apply ISO 31000 Guidelines to Real-World Scenarios
  - › 2.6 Develop a Risk Management Action Plan Using ISO 31000
- **3 Risk Assessment Techniques in Financial Settings** — 6 classes
  - › 3.1 Identify Key Risk Factors in Financial Settings
  - › 3.2 Analyze Historical Data for Risk Assessment
  - › 3.3 Evaluate Qualitative Risk Assessment Techniques
  - › 3.4 Implement Quantitative Risk Assessment Models
  - › 3.5 Compare Risk Assessment Techniques for Financial Decision-Making
  - › 3.6 Develop a Risk Assessment Framework for a Financial Project
- **4 Implementing Risk Management Strategies in Finance** — 6 classes
  - › 4.1 Assess Organizational Risk Exposure in Finance
  - › 4.2 Identify Risk Mitigation Strategies for Financial Processes
  - › 4.3 Develop a Risk Management Policy for Financial Operations
  - › 4.4 Implement Risk Monitoring Mechanisms in Finance
  - › 4.5 Evaluate the Effectiveness of Risk Management Strategies
  - › 4.6 Communicate Risk Management Practices to Stakeholders
- **5 Monitoring and Reviewing Risk Management Performance** — 6 classes
  - › 5.1 Define Key Performance Indicators for Risk Management
  - › 5.2 Identify Tools for Monitoring Risk Management Effectiveness
  - › 5.3 Analyze Historical Data to Evaluate Risk Management Outcomes
  - › 5.4 Implement Continuous Improvement Strategies in Risk Management
  - › 5.5 Review Stakeholder Feedback on Risk Management Practices
  - › 5.6 Develop a Risk Management Performance Reporting Framework

5 Risk Mitigation Strategies

5 chapters · 30 classes **85 marks**

- **1 Understanding Risk in Financial Contexts** — 6 classes
  - › 1.1 Define and Differentiate Types of Financial Risks
  - › 1.2 Analyze the Impact of Risk on Financial Performance
  - › 1.3 Identify and Evaluate Risk Mitigation Strategies
  - › 1.4 Assess the Role of Regulatory Frameworks in Risk Management
  - › 1.5 Develop a Risk Assessment Framework for Financial Decisions
  - › 1.6 Apply Mitigation Strategies to Real-world Financial Scenarios
- **2 Frameworks for Risk Assessment and Management** — 6 classes
  - › 2.1 Identify Key Risk Assessment Frameworks
  - › 2.2 Analyze the Components of Risk Management Models
  - › 2.3 Evaluate the Role of Stakeholders in Risk Mitigation
  - › 2.4 Implement Effective Risk Assessment Techniques
  - › 2.5 Develop Tailored Risk Management Plans
  - › 2.6 Monitor and Review Risk Management Effectiveness
- **3 Identifying and Evaluating Potential Risks** — 6 classes
  - › 3.1 Identify Key Financial Risks in Your Organization
  - › 3.2 Analyze the Impact of Identified Risks on Operations
  - › 3.3 Evaluate the Likelihood of Financial Risks Occurring
  - › 3.4 Categorize Risks by Severity and Urgency
  - › 3.5 Develop Risk Assessment Tools for Ongoing Monitoring
  - › 3.6 Create a Risk Evaluation Report for Stakeholder Review
- **4 Developing Effective Risk Mitigation Strategies** — 6 classes
  - › 4.1 Identify Key Risks in Financial Operations
  - › 4.2 Analyze Risk Impact and Likelihood
  - › 4.3 Develop Targeted Risk Mitigation Techniques
  - › 4.4 Create an Effective Risk Mitigation Plan
  - › 4.5 Implement Mitigation Strategies in Real Scenarios
  - › 4.6 Monitor and Review Risk Mitigation Effectiveness
- **5 Implementing and Monitoring Risk Mitigation Actions** — 6 classes
  - › 5.1 Identify Key Risk Mitigation Strategies in Finance
  - › 5.2 Develop an Action Plan for Risk Mitigation Implementation
  - › 5.3 Assign Responsibilities for Risk Mitigation Actions
  - › 5.4 Establish Metrics for Monitoring Risk Mitigation Effectiveness
  - › 5.5 Utilize Tools for Tracking Risk Mitigation Progress
  - › 5.6 Review and Adapt Risk Mitigation Strategies Based on Results

6 Strategic Risk Decision-Making

5 chapters · 30 classes **45 marks**

- **1 Understanding Strategic Risk in Financial Decision-Making** — 6 classes
  - 1.1 Define Strategic Risk in Financial Context
  - 1.2 Identify Key Components of Risk in Financial Decision-Making
  - 1.3 Analyze the Impact of Strategic Risks on Financial Performance
  - 1.4 Explore Tools for Assessing Strategic Risk in Finance
  - 1.5 Develop Strategies to Mitigate Strategic Risks in Financial Decisions
  - 1.6 Apply Risk Management Frameworks to Real-World Financial Scenarios
- **2 Identifying and Assessing Strategic Risks in Banking** — 6 classes
  - 2.1 Define Strategic Risks in Banking Context
  - 2.2 Identify Common Sources of Strategic Risks
  - 2.3 Analyze the Impact of Strategic Risks on Financial Institutions
  - 2.4 Evaluate Tools for Assessing Strategic Risks
  - 2.5 Develop a Risk Assessment Framework for Banking
  - 2.6 Apply Risk Assessment Techniques to Real-World Banking Scenarios
- **3 The Role of Stakeholders in Strategic Risk Management** — 6 classes
  - 3.1 Identify Key Stakeholders in Strategic Risk Management
  - 3.2 Analyze Stakeholder Interests and Influence on Risks
  - 3.3 Engage Stakeholders in Risk Identification Processes
  - 3.4 Facilitate Collaborative Decision-Making with Stakeholders
  - 3.5 Evaluate Stakeholder Feedback in Risk Strategy Implementation
  - 3.6 Develop a Stakeholder Communication Plan for Risk Management
- **4 Integrating Risk Management into Strategic Planning Processes** — 6 classes
  - 4.1 Define Key Concepts in Risk Management within Strategic Planning
  - 4.2 Identify Stakeholders and Their Roles in Risk Management
  - 4.3 Assess Internal and External Risks Affecting Strategic Objectives
  - 4.4 Integrate Risk Assessment into Strategic Decision-Making Processes
  - 4.5 Develop a Framework for Continuous Risk Monitoring and Review
  - 4.6 Apply Risk Management Strategies to Real-World Strategic Scenarios
- **5 Evaluating and Mitigating Strategic Risks in Finance** — 6 classes
  - 5.1 Identify Key Strategic Risks in Financial Contexts
  - 5.2 Analyze Impact of Strategic Risks on Financial Objectives
  - 5.3 Assess Probability and Severity of Identified Risks
  - 5.4 Develop Risk Response Strategies for Financial Stability
  - 5.5 Implement Mitigation Plans for Strategic Risk Management
  - 5.6 Evaluate Effectiveness of Risk Mitigation Measures in Finance