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**October 25 - 26, 2022 • Pre-Conference Workshop: October 24, 2022 • Toronto, Ontario** \* Virtual Attendance Available

16th Annual Event!

Bringing Together Experts in Cyber Risk and Operational Risk Management!

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# Operational Risk Management

*Explore Vulnerabilities and the Latest Best Practices for ORM!*

## YOUR FACULTY CONFIRMED PARTICIPANTS INCLUDE:



**Sameer Lal**  
**RBC**

**Pranathi Praveen**  
**Ernst & Young LLP**



**Amala Selvaraj**  
**Citibank**



**Corina Farbacher**  
**Affinity Credit Union**



**Naveen (Hossain) Maher**  
**Sionic**

... and more

### Go Beyond a One-Size Fits all Approach

- Exceed regulatory expectations for the management of operational risk
- Clarify OSFI's expectations for the management of operational risk
- Engage the first line of defence
- Hear strategies for building and modifying your ORM framework
- Address when to employ which operational risk assessment tool
- Explore root causes of operational risk events
- Introduce business process mapping to your toolkit
- Develop a risk culture framework
- Identify controls of digital transformations
- Peer-approved options for approaching a RCSA
- Get ahead of the curve on the moving target of cyber
- Embrace the new rules for capital modeling

**Plus!** Discuss what the future holds for cybersecurity and operational risk in business!

### Featured Session!

*Third Party Risk Management and Resilience*  
*Elsbeth Bowler, Managing Director, Operational Risk Division, OSFI*

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# Operational Risk Management

October 25 - 26, 2022 • Pre-Conference Workshop: October 24, 2022 • Toronto, Ontario

## DAY ONE PROGRAM AGENDA: TUESDAY, OCTOBER 25, 2022

10:30 - 10:45



### **Welcome and Opening Remarks from the Chair**

***Katherine Macpherson, Associate Partner, Canadian Operational Risk and Resilience Leader, Ernst & Young LLP***

10:45 - 11:45

### **Third Party Risk Management and Resilience**

***Elsbeth Bowler, Managing Director, Operational Risk Division, Office of the Superintendent of Financial Institutions (OSFI)***

- What is operational resilience?
- Why is operational resilience important?
- Contribution of a robust management of third-party risk program to operational
- How the proposed changes to Guideline B-10 focus on operation resilience
- Insights from OSFI's third-party data call

11:45 - 12:45



### **Achieving Enterprise Resilience**

***Katherine Macpherson, Associate Partner, Canadian Operational Risk and Resilience Leader, Ernst & Young LLP***

***Pranathi Praveen, Senior Manager, Financial Services Consulting, Ernst & Young LLP***

- Background & regulatory landscape
  - Global regulatory landscape
  - New and pending Canadian expectations
- Operational Resilience ecosystem
  - “Operational Resilience” as a framework vs “operational resilience” as an outcome
  - Relationship between Operational Resilience and existing operational risk programs (i.e., ORM, IT/Cyber, TPRM, BCM/DR, and Conduct Risk)
  - Need for well defined interaction model
- Practical tips and lessons learned from global implementations
  - 3 steps to establish your program
  - Lessons learned from implementing across the end-to-end operational resilience life-cycle
  - Demonstrating operational resilience

12:45 - 13:30

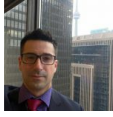
Break

# Operational Risk Management

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## DAY ONE PROGRAM AGENDA: TUESDAY, OCTOBER 25, 2022

13:30 - 14:30



### **AI Risk Management for Financial Institutions**

**Isaac De Souza, Artificial Intelligence & Emerging Technology Risk Officer, BMO Financial Group**

Artificial Intelligence (AI) is one of the most powerful technologies being adopted today and will significantly impact the financial industry and society at large. In this session we will demystify the “black box” of AI, discuss the incremental risks it brings and how it impacts risk management, and what regulators are doing to ensure we safely and securely use AI.

14:30 - 15:30



### **Operational Risk Management in Financial Institutions**

**Sameer Lal, Associate Director, Operational Risk, RBC**

15:30 - 16:30



### **Risk Response Strategies**

**Corina Farbacher, Chief Governance and Risk Officer, Corporate Secretary, Affinity Credit Union**

In order to effectively respond to operational and emerging risk, Risk management teams must stay on top of diverse and dynamic risks, constantly assess risk exposure, and provide practical guidance to their organizations on risk mitigation and response.

This presentation will also discuss Board reporting and ensuring Boards of Directors expectations are met in their oversight responsibilities of operational risk.

16:30



### **Closing Remarks from the Chair**

**Katherine Macpherson, Associate Partner, Canadian Operational Risk and Resilience Leader, Ernst & Young LLP**

## TORONTO, ONTARIO

**EVENT LOCATION: TORONTO, ONTARIO**

**Operational Risk Management will be held at a convenient downtown location in Toronto, Ontario. Detailed venue information will be forthcoming as it becomes available.**

# Operational Risk Management

October 25 - 26, 2022 • Pre-Conference Workshop: October 24, 2022 • Toronto, Ontario

## DAY TWO PROGRAM AGENDA: WEDNESDAY, OCTOBER 26, 2022

10:30



### **Welcome and Opening Remarks from the Chair**

**Katherine Macpherson, Associate Partner, Canadian Operational Risk and Resilience Leader, Ernst & Young LLP**

10:30 - 11:30



### **Op Risk Reimagined: Making ORM the 'Sexy' Place to Be**

**Katherine Macpherson, Associate Partner, Canadian Operational Risk and Resilience Leader, Ernst & Young LLP**

**Alexandra Lee, Executive Director, Learning Labs, Ernst & Young LLP**

- Start and end with talent
- User-centric training
- Explore the risk management functions of the Future

11:30 - 12:30



### **2B or Not 2B: A Case for Line 2B**

**Beth Armstrong, Manager, Global Operational Risk Management, Manulife**

In this topic we will explore the use of line 2B as an effective mechanism for risk management in both a mature and developing risk organization. Within the presentation, I will discuss:

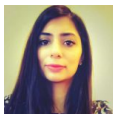
- What line 2B is within the 3 lines of defense model
- The business case for 2B
- What the regulators have to say about it
- Key considerations for rolling out a 2B
- My personal experience and lessons learned in developing the line within an enterprise level organization

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12:30 - 13:15    Break

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13:15 - 14:00



### **Compliance Risk Lifecycle**

**Naveen (Hossain) Maher, Global Senior Compliance Consultant, Sionic**

- Key aspects of managing Compliance Risk
- What is compliance risk
- Legal and financial implications
- Adverse impact on reputation
- Lower market share
- Establishing a culture of compliance and creating awareness
- Importance of establishing a culture of compliance from the Business inwardly

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## DAY TWO PROGRAM AGENDA: WEDNESDAY, OCTOBER 26, 2022

14:00 - 15:00



### **Operational Risk and Financial Reporting Risk**

**Mandeep Mangat, Chief Control Officer, HSBC Bank Canada**

- Is Financial Reporting Risk same as SOX
- Is Internal Control over Financial Reporting framework only for publicly traded companies
- How Operational Risk Management principles apply to managing Financial Reporting Risk
- Engaging key stakeholders and having regular meaningful conversations
- What are the challenges and opportunities

15:00 - 15:15 Break

15:15 - 16:15



### **The Future of Operational Risk**

**Amala Selvaraj, Senior Vice President, Internal Audit QA - Risk, Treasury, & Finance, Citibank**

- Next-generation operational risk management and risk based approach to ORM
- Impact on operational risks due to the transformation of the banking model and financial services delivery
- Loss v/s Incidents and the fallacy of non-financial impacts
- Increased role of the 1.5 line of defense
- Use of data and real-time analytics

16:15



### **Closing Remarks from the Chair**

**Katherine Macpherson, Associate Partner, Canadian Operational Risk and Resilience Leader, Ernst & Young LLP**

### **SPONSORSHIP AND EXHIBITION OPPORTUNITIES**

Increase your visibility with senior business strategy, technology, analytics, and business intelligence professionals at *Operational Risk Management*. A limited number of sponsorship options are available.

For more information or to check availability, contact our sponsorship department by telephone at 416.507.4202, or by email at [sponsorship@infonex.com](mailto:sponsorship@infonex.com).

# Operational Risk Management

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## PRE-CONFERENCE WORKSHOP PROGRAM AGENDA: MONDAY, OCTOBER 24, 2022

13:00 - 16:00



### Pre-Conference Workshop

#### **Operational Risk 101**

***Katherine Macpherson, Associate Partner, Canadian Operational Risk and Resilience Leader, Ernst & Young LLP***

***Sachin Baviskar, Senior Manager, Enterprise Risk Services, Ernst & Young LLP***

This half-day workshop is for newcomers to operational risk, those wanting a career in operational risk, and for those where operational risk is now a part of their role or responsibilities, and for those who need to have a good understanding of effective operational risk management (ORM) programs.

This workshop will provide you with a meaningful understanding of operational risk management through experiential learning. By the end of the workshop, you will be able to: understand increasing regulatory expectations, discuss your challenges with embedding an effective ORM program, describe ORM building blocks and be an intentional and effective operational risk manager.

1. Regulatory landscape
2. Operational Risk ecosystem
3. ORM value proposition
4. Foundational elements of ORM
  - a. Operational Risk Appetite
  - b. Operational Risk Taxonomy
  - c. Operational Risk Events (ORE)
  - d. Risk & Control Self Assessment (RCSA)
  - e. Key Risk Indicators
  - f. Scenario Analysis
  - g. Issue Management
  - h. Operational Risk reporting
5. User centric training
6. Characteristics of an effective operational risk manager

16:00

**End of Pre-Conference Workshop**

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## REGISTER BY PHONE, ON-LINE, OR IN THESE 3 EASY STEPS!

### 1 PRINT YOUR NAME AND CONTACT INFORMATION

Full Name \_\_\_\_\_ Title \_\_\_\_\_  
Organization \_\_\_\_\_  
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Email address \_\_\_\_\_  
Register for  Conference-Live  Workshop-Live  Conference-Virtual  Workshop-Virtual  
Name of Approving Manager \_\_\_\_\_ Title \_\_\_\_\_  
Address \_\_\_\_\_  
City \_\_\_\_\_ Province \_\_\_\_\_ Postal Code \_\_\_\_\_  
Company's main line of business \_\_\_\_\_ Number of Employees \_\_\_\_\_

### 2 SELECT YOUR PREFERRED PAYMENT METHOD

\* *Speaker's discount is a special pricing for the course, only for the speaker's network.*

Please call 416-971-4177 for group discounts

\* *There is a virtual attendance option! You have the option to attend the live in-person event or the virtual version of the event.*



**Method of Payment:**  VISA  MasterCard  Cheque enclosed, payable to INFONEX Inc.

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#### LOCATION:

*Operational Risk Management* will be held at a convenient location in Toronto, Ontario. Detailed venue information will be forthcoming as it becomes available.

#### YOUR REGISTRATION INCLUDES:

Registration fees include all course materials, continental breakfast, lunch, and refreshments. **Parking and accommodation are not included.**

#### SPONSORSHIP, EXHIBITION, AND PROMOTIONAL OPPORTUNITIES:

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#### CANCELLATION POLICY:

Substitutions may be made at any time. If you are unable to attend, please make cancellations in writing and email to [register@infonex.com](mailto:register@infonex.com) or fax to 1.800.558.6520 **no later than October 11, 2022**. A credit voucher will be issued to you for the full amount, redeemable against any other INFONEX course and which is valid for twelve months (one year) from the date of issue.

Registrants who cancel after **October 11, 2022**, will not be eligible to receive any credits and are liable for the entire registration fee.

Confirmed registrants who do not cancel by **October 11, 2022** and fail to attend will be liable for the entire registration fee.

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