

DOCTORAL THESIS

操作风险管理：回路团队中的知识创造

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操作风险管理：回路团队中的知识创造

Operational risk management: knowledge creation in loop teams

提 要

有关操作风险的研究林林总总，以损失计量方法与模型为主，针对操作风险人为性特点探求自主治理方法的研究是欠缺的。通过对 A 公司三个回路团队自主治理“售后投诉机制不健全”风险的案例进行深入观察与详尽分析，本研究发现，操作风险人为性特点可以从正面激发主观能动性的角度将加以利用。通过使风险责任人转变为操作风险治理主体，将孕育操作风险的系统反馈回路作为操作风险治理的客体，并按回路所涉及到的岗位布控要求组建团队，组织可以从源头对操作风险进行动态、自主的管理。本研究从系统理论方法的视角，采用野中郁次郎的知识创造旋螺理论，来研究操作风险回路团队中的知识创造过程，揭示其特点和规律。案例研究结果显示，系统反馈回路理论应用于回路团队，为操作风险源头自主治理提供了一种新的方法论，这使得回路团队的风险治理突破了操作风险量化导向、控制导向的传统，而回路团队通过“三级螺旋递进”的知识创造模式，有效解决了操作风险 silo effect 的难题。

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Abstract

There have been many studies on operational risk, with loss measurement and models dominating, but there is a lack of research exploring managerial ownership regarding the human factors of the operational risk. In this study, the in-depth observation and detailed analysis of three case studies on the autonomous management of the inadequate post-sales complaint mechanism risks by loop teams reveal that the human factor of operational risk can be exploited in a way that positively stimulates initiative. By transforming the risk owner to the management body of operational risk, taking the systematical feedback loop that generates operational risks as the object of operational risk management, and establishing a team according to the job placement requirements of involved positions in the loop, organisations can manage operational risk dynamically and autonomously from the source. This study adopts Nonaka's knowledge creation spiral theory from the perspective of a systematical theory approach to examine the knowledge creation process in operational risk loop teams and to reveal its characteristics and patterns. The results of the case study show that the application of systematical feedback loop theory in loop teams provides a new methodology for the autonomous management of operational risk at source, which enables the risk management of loop teams to break away from the traditional quantitative and control-oriented approach of managing operational risk. The Loop team has effectively solved the operational risk silo effect problem through a "three-stage spiral" knowledge creation model.