QUEST TRAINING

Back Office Operations & Controls

Banking Operations & Services · Banking & Finance · 5 Days · Classroom

OVERVIEW

Back Office Operations & Controls is a comprehensive professional training course designed to strengthen the operational capabilities of professionals responsible for managing and supporting back-office functions within banks and financial institutions. As the financial services industry continues to evolve through digital transformation, increasing regulatory expectations, and growing operational complexity, efficient back-office operations have become essential for ensuring transaction accuracy, operational resilience, regulatory compliance, and business continuity. This course equips participants with the practical knowledge and operational frameworks needed to optimize back-office performance while maintaining robust control environments.

The course provides an in-depth understanding of the operational activities that support banking services, including transaction processing, account administration, payment operations, clearing and settlement, reconciliations, documentation management, records administration, and operational support services. Participants will explore the critical relationship between front-office, middle-office, and back-office functions, and how effective coordination contributes to seamless banking operations, enhanced customer service, and organizational performance.

Special emphasis is placed on operational controls, governance, risk management, regulatory compliance, fraud prevention, internal control systems, quality assurance, and business continuity planning. Participants will examine how process automation, digital technologies, workflow optimization, robotic process automation (RPA), and data analytics are transforming back-office operations while improving productivity, reducing operational risks, and enhancing service quality.

By integrating operational excellence, governance, process optimization, and digital transformation, Back Office Operations & Controls enables professionals to improve operational efficiency, strengthen internal controls, reduce processing errors, and support organizational objectives. The course provides practical methodologies and best practices that help financial institutions establish resilient, compliant, and high-performing back-office operations capable of supporting sustainable business growth.

OBJECTIVES

- Analyze the structure, responsibilities, and strategic role of back-office operations within modern banking institutions by the end of the course.
- Apply industry best practices to improve operational efficiency, transaction accuracy, and service quality across back-office functions.
- Evaluate operational risks associated with back-office activities and implement effective control measures to minimize operational exposure.
- Develop operational procedures that enhance processing efficiency, regulatory compliance, and workflow consistency.

- Assess back-office operational performance using measurable key performance indicators and recommend improvement initiatives.
- Design effective operational control frameworks that strengthen governance, accountability, and operational resilience.
- Improve coordination between front-office, middle-office, back-office, compliance, technology, and risk management functions.
- Strengthen internal control systems through effective reconciliation, monitoring, documentation, and segregation of duties.
- Implement automation and digital transformation initiatives to improve operational productivity and reduce manual processing.
- Align back-office operations and control frameworks with organizational objectives, regulatory requirements, and international banking best practices.

WHO SHOULD ATTEND

This course is designed for professionals responsible for back-office operations, operational support, transaction processing, settlement activities, payment operations, reconciliation, and operational control within banks, financial institutions, and payment service providers. It is particularly valuable for back-office managers, operations managers, payment operations specialists, settlement officers, reconciliation professionals, account administration staff, documentation specialists, branch operations supervisors, and banking operations personnel.

The programme also benefits professionals working in operational risk, compliance, internal audit, internal control, quality assurance, business continuity, digital transformation, process improvement, financial operations, treasury support, and information technology. Department managers, senior executives, operational excellence professionals, and decision makers responsible for operational governance, banking transformation, and process optimization will gain practical knowledge to strengthen operational effectiveness and institutional performance.

LEARNING OUTCOMES

- By the end of this Back Office Operations & Controls course, participants will be able to:
- Analyze back-office operational processes and identify opportunities for operational improvement.
- Manage transaction processing, payment operations, reconciliation, and settlement activities efficiently.
- Apply effective operational controls that improve transaction accuracy and reduce operational risk.
- Evaluate operational risks and implement appropriate internal control measures.
- Utilize key performance indicators to monitor and improve back-office operational performance.
- Apply governance, compliance, and regulatory requirements within back-office operations.
- Improve collaboration between operational, technology, compliance, and customer-facing departments.
- Implement automation and digital workflow solutions to enhance operational efficiency.
- Develop continuous improvement initiatives that strengthen operational resilience and service quality.
- Prepare comprehensive implementation plans to optimize back-office operations and operational control frameworks within their organizations.

COURSE OUTLINE

1. Course Outline:

2. Day 1: Foundations of Back Office Operations
3. Foundations of Back Office Operations
4. The strategic role of back-office operations in banking
5. Organizational structure of front-office, middle-office, and back-office functions
6. Core banking operational processes and transaction lifecycle
7. Responsibilities of back-office operational teams
8. Practical application: Mapping back-office workflows and identifying operational improvement opportunities
9. Day 2: Transaction Processing and Operational Controls
10. Transaction Processing and Operational Controls
11. Payment processing, clearing, and settlement operations
12. Account administration and transaction reconciliation
13. Documentation management and operational recordkeeping
14. Operational controls, segregation of duties, and quality assurance
15. Practical application: Evaluating transaction processing procedures and strengthening operational controls
16. Day 3: Risk Management, Governance, and Regulatory Compliance
17. Risk Management, Governance, and Regulatory Compliance
18. Operational risk management within back-office functions
19. Internal control frameworks and operational governance
20. Regulatory compliance and audit readiness
21. Fraud prevention, business continuity, and operational resilience
22. Practical application: Conducting operational risk assessments and developing enhanced control measures
23. Day 4: Digital Transformation and Process Optimization
24. Digital Transformation and Process Optimization
25. Digital transformation in back-office operations
26. Robotic Process Automation (RPA) and workflow automation
27. Operational analytics and performance measurement
28. Continuous improvement and business process optimization
29. Practical application: Designing a digital transformation initiative for back-office operations
30. Day 5: Operational Excellence and Strategic Back Office Management
31. Operational Excellence and Strategic Back Office Management
32. Aligning back-office operations with organizational strategy
33. Leadership and performance management in operational environments
34. Building a culture of operational excellence and continuous improvement
35. Future trends in banking back-office operations and operational controls
36. Final workshop: Developing a comprehensive Back Office Operations & Controls implementation roadmap to improve operational efficiency, governance, regulatory compliance, automation, and organizational performance.

Register or Request More Information

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