

Course No. 1014

# Back Office Operations & Controls

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**BANKING OPERATIONS & SERVICES  
FINANCE, INVESTMENT & BANKING**

DURATION

**5 Days**

LOCATION

**London, United Kingdom**

DELIVERY

**Classroom**

DATES

**2 – 6 Nov 2026**



## Scheduled Event Details

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|---------------|------------------------|
| CITY          | London, United Kingdom |
| DATE          | 2 – 6 Nov 2026         |
| DELIVERY TYPE | Classroom              |
| COURSE FEE    | €5,600                 |

## Course Overview

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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

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- 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

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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

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- 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

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### DAY 01

## Foundations of Back Office Operations

- The strategic role of back-office operations in banking
- Organizational structure of front-office, middle-office, and back-office functions

## DAY 01 — CONTINUED

- Core banking operational processes and transaction lifecycle
- Responsibilities of back-office operational teams

**PRACTICAL APPLICATION**

Mapping back-office workflows and identifying operational improvement opportunities

## DAY 02

## Transaction Processing and Operational Controls

- Payment processing, clearing, and settlement operations
- Account administration and transaction reconciliation
- Documentation management and operational recordkeeping
- Operational controls, segregation of duties, and quality assurance

**PRACTICAL APPLICATION**

Evaluating transaction processing procedures and strengthening operational controls

## DAY 03

## Risk Management, Governance, and Regulatory Compliance

- Operational risk management within back-office functions
- Internal control frameworks and operational governance
- Regulatory compliance and audit readiness
- Fraud prevention, business continuity, and operational resilience

**PRACTICAL APPLICATION**

Conducting operational risk assessments and developing enhanced control measures

**DAY 04**

## Digital Transformation and Process Optimization

- Digital transformation in back-office operations
- Robotic Process Automation (RPA) and workflow automation
- Operational analytics and performance measurement
- Continuous improvement and business process optimization

**PRACTICAL APPLICATION**

Designing a digital transformation initiative for back-office operations

**DAY 05**

## Operational Excellence and Strategic Back Office Management

- Aligning back-office operations with organizational strategy
- Leadership and performance management in operational environments
- Building a culture of operational excellence and continuous improvement
- Future trends in banking back-office operations and operational controls

**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

Course page: <https://quest-training.com/courses/back-office-operations-controls>

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