

AUDITING AND GOVERNANCE RISK AND COMPLIANCE | COURSE BROCHURE

# Auditing Banking Operations

5 days | Classroom training | English

**SMART HORIZON**

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# Course content

## Why attend

Bank operations process large volumes of payments, deposits, loans and trades every day. This course covers auditing banking operations: account opening, payments and transfers, reconciliations and suspense accounts, loan administration, treasury back office, branch operations, operational risk events and regulatory expectations.

Operational failures in banks can lead to losses, fraud and regulatory sanctions. You will learn practical audit approaches for core banking operations.

## Professional Problems This Course Is Designed to Solve

- Difficulty translating subject knowledge into practical workplace decisions.
- Inconsistent approaches to the activities covered in the course outline.
- Lack of a structured plan for applying and reviewing new skills.

## Course methodology

Process walkthroughs, test design exercises, case studies of operational losses and analytics demonstrations.

## Course objectives

By the end of this course, participants will be able to:

- Identify key risks in banking operations
- Audit account opening and customer records
- Test payment and transfer controls
- Review reconciliations and suspense accounts
- Audit loan administration and treasury back office
- Assess branch operations and operational risk events

## Target audience

This course is suitable for:

- Internal auditors in banks
- Operational risk managers
- Compliance officers
- Bank operations managers
- Audit managers



# Course content

## Target competencies

Participants will develop competencies in:

- Banking process knowledge
- Control testing
- Reconciliation review
- Operational risk assessment
- Reporting

## Course outline

### Day 1: Banking Operations

| | |
|---|---|
| **09:00–10:08** | Operations overview |
| **10:08–11:00** | Key risks |
| **11:00–11:30** | **Coffee break** |
| **11:30–11:45** | Key risks (continued) |
| **11:45–12:53** | Regulation |
| **12:53–14:00** | Exercise |

### Day 2: Accounts and Payments

| | |
|---|---|
| **09:00–10:08** | Account opening |
| **10:08–11:00** | Payment controls |
| **11:00–11:30** | **Coffee break** |
| **11:30–11:45** | Payment controls (continued) |
| **11:45–12:53** | Fraud scenarios |
| **12:53–14:00** | Workshop |

### Day 3: Reconciliations

| | |
|---|---|
| **09:00–10:08** | Nostro and suspense accounts |
| **10:08–11:00** | Ageing |
| **11:00–11:30** | **Coffee break** |



# Course content

| | |
|---|---|
| **11:30–11:45** | Ageing (continued) |
| **11:45–12:53** | Testing |
| **12:53–14:00** | Exercise |

## Day 4: Loans and Treasury

| | |
|---|---|
| **09:00–10:08** | Loan administration |
| **10:08–11:00** | Collateral |
| **11:00–11:30** | **Coffee break** |
| **11:30–11:45** | Collateral (continued) |
| **11:45–12:53** | Treasury back office |
| **12:53–14:00** | Case study |

## Day 5: Branches and Risk Events

| | |
|---|---|
| **09:00–10:08** | Branch audits |
| **10:08–11:00** | Loss events |
| **11:00–11:30** | **Coffee break** |
| **11:30–11:45** | Loss events (continued) |
| **11:45–12:53** | Reporting |
| **12:53–14:00** | Action plan |

The timings provided are estimates and may vary depending on the number of participants and the discussions taking place during the sessions. They are indicative only and do not constitute a binding commitment.



# Course content

## Dates, venues and fees

Current published course plans. Fees are per participant in GBP, excluding unconfirmed taxes.

| Venue | Start date | End date | Fee (GBP) |
|---|---|---|---|
| Cape Town<br>Confirmed dates | 23 Nov 2026 | 27 Nov 2026 | **£1,890.–** |
| Online<br>Confirmed dates | 23 Nov 2026 | 27 Nov 2026 | **£1,250.–** |
| London<br>Confirmed dates | 7 Dec 2026 | 11 Dec 2026 | **£2,450.–** |
| Online<br>Confirmed dates | 7 Dec 2026 | 11 Dec 2026 | **£1,250.–** |
| Dubai<br>Confirmed dates | 11 Jan 2027 | 15 Jan 2027 | **£3,150.–** |
| Online<br>Confirmed dates | 11 Jan 2027 | 15 Jan 2027 | **£1,250.–** |
| Vienna<br>Confirmed dates | 1 Feb 2027 | 5 Feb 2027 | **£2,940.–** |
| Online<br>Confirmed dates | 1 Feb 2027 | 5 Feb 2027 | **£1,250.–** |
| Rome<br>Confirmed dates | 22 Feb 2027 | 26 Feb 2027 | **£2,450.–** |



# Course content

## Dates, venues and fees (continued)

| Venue | Start date | End date | Fee (GBP) |
|---|---|---|---|
| Online<br>Confirmed dates | 22 Feb 2027 | 26 Feb 2027 | **£1,250.–** |
| Istanbul<br>Confirmed dates | 15 Mar 2027 | 19 Mar 2027 | **£2,650.–** |
| Online<br>Confirmed dates | 15 Mar 2027 | 19 Mar 2027 | **£1,250.–** |
| Cape Town<br>Confirmed dates | 29 Mar 2027 | 2 Apr 2027 | **£1,890.–** |
| Online<br>Confirmed dates | 29 Mar 2027 | 2 Apr 2027 | **£1,250.–** |
| Rome<br>Confirmed dates | 19 Apr 2027 | 23 Apr 2027 | **£2,450.–** |
| Online<br>Confirmed dates | 19 Apr 2027 | 23 Apr 2027 | **£1,250.–** |
| Vienna<br>Confirmed dates | 10 May 2027 | 14 May 2027 | **£2,940.–** |
| Online<br>Confirmed dates | 10 May 2027 | 14 May 2027 | **£1,250.–** |



# Course content

## Dates, venues and fees (continued)

| Venue | Start date | End date | Fee (GBP) |
|---|---|---|---|
| Dubai<br>Confirmed dates | 31 May 2027 | 4 Jun 2027 | **£3,150.-** |
| Online<br>Confirmed dates | 31 May 2027 | 4 Jun 2027 | **£1,250.-** |
| Barcelona<br>Confirmed dates | 21 Jun 2027 | 25 Jun 2027 | **£2,840.-** |
| Online<br>Confirmed dates | 21 Jun 2027 | 25 Jun 2027 | **£1,250.-** |
| Cape Town<br>Confirmed dates | 5 Jul 2027 | 9 Jul 2027 | **£1,890.-** |
| Online<br>Confirmed dates | 5 Jul 2027 | 9 Jul 2027 | **£1,250.-** |
| Barcelona<br>Confirmed dates | 26 Jul 2027 | 30 Jul 2027 | **£2,840.-** |
| Online<br>Confirmed dates | 26 Jul 2027 | 30 Jul 2027 | **£1,250.-** |
| London<br>Confirmed dates | 16 Aug 2027 | 20 Aug 2027 | **£2,450.-** |



# Course content

## Dates, venues and fees (continued)

| Venue | Start date | End date | Fee (GBP) |
|---|---|---|---|
| Online<br>Confirmed dates | 16 Aug 2027 | 20 Aug 2027 | **£1,250.-** |
| Rome<br>Confirmed dates | 6 Sept 2027 | 10 Sept 2027 | **£2,450.-** |
| Online<br>Confirmed dates | 6 Sept 2027 | 10 Sept 2027 | **£1,250.-** |
| Kuala Lumpur<br>Confirmed dates | 27 Sept 2027 | 1 Oct 2027 | **£1,450.-** |
| Online<br>Confirmed dates | 27 Sept 2027 | 1 Oct 2027 | **£1,250.-** |
| Frankfurt<br>Confirmed dates | 11 Oct 2027 | 15 Oct 2027 | **£2,650.-** |
| Online<br>Confirmed dates | 11 Oct 2027 | 15 Oct 2027 | **£1,250.-** |
| Amsterdam<br>Confirmed dates | 1 Nov 2027 | 5 Nov 2027 | **£2,540.-** |
| Online<br>Confirmed dates | 1 Nov 2027 | 5 Nov 2027 | **£1,250.-** |



# Course content

## Dates, venues and fees (continued)

| Venue | Start date | End date | Fee (GBP) |
|---|---|---|---|
| Paris<br>Confirmed dates | 22 Nov 2027 | 26 Nov 2027 | **£2,860.-** |
| Online<br>Confirmed dates | 22 Nov 2027 | 26 Nov 2027 | **£1,250.-** |
| Dubai<br>Confirmed dates | 13 Dec 2027 | 17 Dec 2027 | **£3,150.-** |
| Online<br>Confirmed dates | 13 Dec 2027 | 17 Dec 2027 | **£1,250.-** |

## Plan your next step

Dates, availability, exact venue, taxes, inclusions and payment terms require written confirmation. This brochure is not a quotation, registration, booking confirmation or visa invitation. Participants receive a Smart Horizon UK certificate of attendance; programmes are not externally accredited and do not award a professional qualification or designation. Confirm arrangements before booking travel.

For group or in-house training, contact our learning team to discuss your objectives and delivery arrangements.

## Contact Smart Horizon

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