

AUDITING AND GOVERNANCE RISK AND COMPLIANCE | COURSE BROCHURE

Auditing Banking Operations

5 days | Classroom training | English

SMART HORIZON

info@smart-horizon.eu
Amsterdam
The Netherlands

Explore current programmes

https://smart-horizon.eu



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 EUR, excluding unconfirmed taxes.

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



Course content

Dates, venues and fees (continued)

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



Course content

Dates, venues and fees (continued)

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



Course content

Dates, venues and fees (continued)

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



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (EUR)
Paris Confirmed dates	22 Nov 2027	26 Nov 2027	**€2,860.-**
Online Confirmed dates	22 Nov 2027	26 Nov 2027	**€1,250.-**
Dubai Confirmed dates	13 Dec 2027	17 Dec 2027	**€3,150.-**
Online 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 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

info@smart-horizon.eu
Amsterdam
The Netherlands

View the latest course details online