LAPT

LONDON ACADEMY OF PROFESSIONAL TRAINING

CERTIFICATE

ISO 9001BNK — Quality Management in Financial Services

ISO Certification Programme

LAPT — London Academy of Professional Training

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Reference MGT-BNK-9001BNK • ISO Management & Services

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6	30	180	430	60%	Lifetime
SUBJECTS	CHAPTERS	CLASSES	TOTAL MARKS	PASS MARK	VALIDITY

AT A GLANCE

REFERENCE	**MGT-BNK-9001BNK**
AWARD	**Certificate**
ASSESSMENT	**430 marks — 258 to pass (60%)**
PREREQUISITES	**None**
VALIDITY	**Lifetime**
AWARDING BODY	**LAPT — London Academy of Professional Training**

CURRICULUM

1 Client Satisfaction and Quality

5 chapters · 30 classes **85 marks**

- **1 Understanding Client Needs and Expectations in Financial Services** — 6 classes
  - 1.1 Identify Key Client Needs in Financial Services
  - 1.2 Analyze Client Expectations Based on Market Trends
  - 1.3 Evaluate the Impact of Client Feedback on Service Delivery
  - 1.4 Develop Strategies to Enhance Client Engagement
  - 1.5 Implement Tools for Measuring Client Satisfaction
  - 1.6 Create Action Plans for Continuous Improvement in Client Services
- **2 Measuring Client Satisfaction: Tools and Techniques** — 6 classes
  - 2.1 Identify Key Metrics for Measuring Client Satisfaction
  - 2.2 Evaluate Qualitative Methods of Client Feedback Collection
  - 2.3 Analyze Quantitative Tools for Client Satisfaction Assessment
  - 2.4 Implement Client Surveys: Best Practices and Considerations
  - 2.5 Interpret Client Feedback to Inform Quality Improvements
  - 2.6 Develop an Action Plan Based on Client Satisfaction Insights
- **3 Implementing Quality Management Systems to Enhance Client Experience** — 6 classes
  - 3.1 Define Quality Management Systems in Financial Services
  - 3.2 Identify Key Components of Client Satisfaction
  - 3.3 Analyze Current Client Feedback Mechanisms
  - 3.4 Develop Strategies for Continuous Improvement
  - 3.5 Implement Quality Assessment Tools for Client Experience
  - 3.6 Evaluate the Impact of Quality Management on Client Retention
- **4 Building a Client-Centric Culture within Financial Institutions** — 6 classes
  - 4.1 Identify Key Elements of a Client-Centric Culture in Financial Services
  - 4.2 Assess Current Practices for Client Satisfaction in Your Institution
  - 4.3 Develop Strategies for Enhancing Client Engagement and Trust
  - 4.4 Implement Feedback Mechanisms to Measure Client Satisfaction
  - 4.5 Train Staff on Client-Centric Approaches and Best Practices
  - 4.6 Evaluate and Adjust Client-Centric Strategies for Continuous Improvement
- **5 Continuous Improvement Strategies for Sustaining Client Satisfaction** — 6 classes
  - 5.1 Assess Current Client Satisfaction Metrics
  - 5.2 Identify Key Areas for Improvement
  - 5.3 Develop Continuous Improvement Action Plans
  - 5.4 Implement Quality Improvement Initiatives
  - 5.5 Monitor and Evaluate Improvement Outcomes
  - 5.6 Foster a Culture of Continuous Feedback

2 Continuous Improvement Strategies

5 chapters · 30 classes **65 marks**

- **1 Understanding Continuous Improvement in Financial Services** — 6 classes
  - 1.1 Define Continuous Improvement Concepts in Financial Services
  - 1.2 Identify Key Principles of Quality Management Systems
  - 1.3 Analyze the Role of Leadership in Continuous Improvement
  - 1.4 Assess Tools and Techniques for Implementing Improvement Strategies
  - 1.5 Evaluate Case Studies of Successful Continuous Improvement
  - 1.6 Develop an Action Plan for Continuous Improvement Initiatives
- **2 Key Techniques and Tools for Continuous Improvement** — 6 classes
  - 2.1 Identify Key Continuous Improvement Techniques in Financial Services
  - 2.2 Analyze the Role of Data in Continuous Improvement Processes
  - 2.3 Employ the Plan-Do-Check-Act (PDCA) Cycle for Process Improvement
  - 2.4 Utilize Root Cause Analysis Tools to Solve Process Issues
  - 2.5 Implement Lean Thinking to Enhance Efficiency in Financial Services
  - 2.6 Assess the Impact of Continuous Improvement through Performance Metrics
- **3 Implementing Continuous Improvement Initiatives** — 6 classes
  - 3.1 Identify Key Areas for Improvement in Financial Services
  - 3.2 Analyze Customer Feedback to Drive Continuous Improvement
  - 3.3 Develop Action Plans for Implementing Improvement Initiatives
  - 3.4 Engage Employees in Continuous Improvement Processes
  - 3.5 Monitor and Measure the Impact of Improvement Initiatives
  - 3.6 Sustain Continuous Improvement through Leadership Commitment
- **4 Measuring and Evaluating Improvement Outcomes** — 6 classes
  - 4.1 Define Key Performance Indicators for Improvement Outcomes
  - 4.2 Develop Data Collection Methods for Continuous Improvement
  - 4.3 Analyze Improvement Data Using Statistical Tools
  - 4.4 Evaluate the Effectiveness of Improvement Strategies
  - 4.5 Communicate Improvement Results to Stakeholders
  - 4.6 Implement Feedback Mechanisms for Ongoing Improvement
- **5 Cultivating a Continuous Improvement Culture in Banking** — 6 classes
  - 5.1 Identify Key Components of a Continuous Improvement Culture
  - 5.2 Assess Current Practices in Banking for Continuous Improvement
  - 5.3 Develop Strategies for Encouraging Employee Engagement in Improvement
  - 5.4 Implement Effective Communication Techniques for Continuous Improvement
  - 5.5 Measure the Impact of Continuous Improvement Initiatives on Performance
  - 5.6 Create an Action Plan to Sustain Continuous Improvement Culture in Banking

3 ISO 9001 Standards Application

5 chapters · 30 classes **85 marks**

- **1 Understanding ISO 9001: An Overview for Financial Services** — 6 classes
  - 1.1 Explore the Key Principles of ISO 9001 in Financial Services
  - 1.2 Identify the Benefits of Implementing ISO 9001 Standards
  - 1.3 Analyze the Structure of the ISO 9001 Standard
  - 1.4 Assess the Role of Leadership in Quality Management Systems
  - 1.5 Develop Action Plans for ISO 9001 Compliance
  - 1.6 Evaluate Case Studies of ISO 9001 Implementation in Finance
- **2 Key Components of Quality Management Systems in Banking** — 6 classes
  - 2.1 Identify Key Components of Quality Management Systems
  - 2.2 Analyze the Role of Leadership in Quality Management
  - 2.3 Evaluate Customer Focus in Banking Quality Standards
  - 2.4 Implement Process Approach for Quality Improvement
  - 2.5 Assess the Importance of Continuous Improvement in Banking
  - 2.6 Apply ISO 9001 Standards to Enhance Financial Services Quality
- **3 Risk Management and Compliance in ISO 9001 Implementation** — 6 classes
  - 3.1 Identify Key Risks in Financial Services Operations
  - 3.2 Assess the Impact and Likelihood of Risks
  - 3.3 Develop Risk Mitigation Strategies in Compliance with ISO 9001
  - 3.4 Implement Monitoring Systems for Risk Management
  - 3.5 Evaluate Compliance with ISO 9001 Risk Management Standards
  - 3.6 Create an Action Plan for Continuous Improvement in Risk Management
- **4 Continuous Improvement: Tools and Techniques for Financial Services** — 6 classes
  - 4.1 Identify Key Continuous Improvement Principles in Financial Services
  - 4.2 Analyze the Role of Customer Feedback in Continuous Improvement
  - 4.3 Implement Lean Techniques for Enhanced Efficiency in Financial Processes
  - 4.4 Utilize Six Sigma Methodology to Minimize Errors and Waste
  - 4.5 Develop a Plan for Sustaining Continuous Improvement Initiatives
  - 4.6 Measure and Evaluate the Impact of Continuous Improvement on Service Quality
- **5 Assessing and Auditing ISO 9001 Compliance Effectively** — 6 classes
  - 5.1 Define ISO 9001 Compliance Criteria and Standards
  - 5.2 Identify Key Components of an Effective Assessment Process
  - 5.3 Develop an ISO 9001 Audit Checklist Tailored for Financial Services
  - 5.4 Conduct a Mock ISO 9001 Compliance Audit
  - 5.5 Analyze Audit Findings and Identify Areas for Improvement
  - 5.6 Create an Action Plan for Sustained ISO 9001 Compliance

4 Leadership in Quality Management

5 chapters · 30 classes **45 marks**

- **1 Understanding Leadership Roles in Quality Management Systems** — 6 classes
  - 1.1 Define Leadership Roles in Quality Management Systems
  - 1.2 Explore Key Leadership Qualities for Quality Management
  - 1.3 Analyze the Impact of Leadership on Quality Outcomes
  - 1.4 Identify Challenges Leaders Face in Quality Management
  - 1.5 Develop Strategies for Effective Leadership in Quality Systems
  - 1.6 Implement Leadership Practices that Enhance Quality Management
- **2 Cultivating a Quality-Oriented Culture** — 6 classes
  - 2.1 Define a Quality-Oriented Culture in Financial Services
  - 2.2 Identify Key Attributes of Effective Leadership in Quality Management
  - 2.3 Explore Methods to Communicate a Quality Vision to Teams
  - 2.4 Develop Strategies for Employee Engagement in Quality Initiatives
  - 2.5 Analyze Case Studies of Successful Quality Cultures in Financial Services
  - 2.6 Create an Action Plan to Foster Quality Leadership Practices
- **3 Setting Objectives and Key Performance Indicators for Quality** — 6 classes
  - 3.1 Define Quality Objectives for Financial Services
  - 3.2 Identify Key Performance Indicators (KPIs) for Quality Management
  - 3.3 Align Quality Objectives with Organizational Goals
  - 3.4 Develop SMART Criteria for Quality Objectives
  - 3.5 Implement Tracking Mechanisms for KPIs
  - 3.6 Analyse and Review Performance Against Objectives
- **4 Leading Change and Managing Resistance in Quality Initiatives** — 6 classes
  - 4.1 Identify Key Drivers of Change in Quality Management
  - 4.2 Analyze Common Sources of Resistance to Change
  - 4.3 Develop Strategies to Communicate Change Effectively
  - 4.4 Create a Supportive Environment for Stakeholder Engagement
  - 4.5 Implement Action Plans for Overcoming Resistance
  - 4.6 Evaluate the Impact of Change Initiatives on Quality Outcomes
- **5 Evaluating Leadership Impact on Quality Outcomes** — 6 classes
  - 5.1 Analyze Leadership Styles Impacting Quality Outcomes
  - 5.2 Identify Key Quality Metrics Linked to Leadership Decisions
  - 5.3 Assess Stakeholder Engagement in Quality Management Processes
  - 5.4 Evaluate the Role of Communication in Leadership Effectiveness
  - 5.5 Develop Strategies for Leadership Improvement in Quality Management
  - 5.6 Implement Leadership Action Plans to Enhance Quality Outcomes

5 Quality Management Principles

5 chapters · 30 classes **85 marks**

- **1 Foundations of Quality Management Principles in Financial Services** — 6 classes
  - 1.1 Define Quality Management in Financial Services
  - 1.2 Explore Key Quality Management Principles
  - 1.3 Examine the Role of Customer Focus in Quality Management
  - 1.4 Investigate Continuous Improvement Practices
  - 1.5 Assess Risk Management in Quality Management
  - 1.6 Apply Quality Management Principles to Real-World Scenarios
- **2 Understanding ISO 9001BNK Standards and Compliance** — 6 classes
  - 2.1 Explore the Fundamentals of ISO 9001BNK Standards
  - 2.2 Identify Key Quality Management Principles in Financial Services
  - 2.3 Analyze Compliance Requirements within ISO 9001BNK
  - 2.4 Evaluate the Role of Leadership in Quality Management
  - 2.5 Implement Strategies for Achieving ISO 9001BNK Compliance
  - 2.6 Assess Continuous Improvement Processes in Financial Services
- **3 Leadership's Role in Quality Management Initiatives** — 6 classes
  - 3.1 Define Leadership's Influence on Quality Management
  - 3.2 Identify Key Leadership Behaviors that Drive Quality Initiatives
  - 3.3 Analyze Case Studies of Successful Leadership in Quality Management
  - 3.4 Develop a Leadership Action Plan for Quality Improvement
  - 3.5 Implement Strategies for Engaging Teams in Quality Initiatives
  - 3.6 Evaluate Leadership Effectiveness in Sustaining Quality Processes
- **4 Implementing Continuous Improvement Processes** — 6 classes
  - 4.1 Identify Key Components of Continuous Improvement Processes
  - 4.2 Analyze Current Practices for Improvement Opportunities
  - 4.3 Develop a Framework for Implementing Changes
  - 4.4 Engage Stakeholders in Continuous Improvement Initiatives
  - 4.5 Measure the Impact of Improvements on Service Quality
  - 4.6 Sustain Continuous Improvement Through Ongoing Training
- **5 Measuring and Analyzing Quality Performance Metrics** — 6 classes
  - 5.1 Identify Key Quality Performance Metrics in Financial Services
  - 5.2 Analyze Data Sources for Quality Metrics Collection
  - 5.3 Apply Statistical Tools for Quality Measurement
  - 5.4 Interpret Quality Performance Reports Effectively
  - 5.5 Compare Organizational Quality Metrics Against Benchmarks
  - 5.6 Develop Action Plans Based on Quality Analysis Findings

6 **Risk Management in Quality Assurance** 5 chapters · 30 classes **65 marks**

- **1 Fundamentals of Risk Management in Financial Services** — 6 classes
  - 1.1 Understand Key Concepts of Risk Management in Financial Services
  - 1.2 Identify Types of Risks in Financial Services Operations
  - 1.3 Assess the Impact of Risks on Financial Service Providers
  - 1.4 Explore Risk Management Frameworks and Standards
  - 1.5 Develop Effective Risk Mitigation Strategies
  - 1.6 Apply Risk Management Techniques to Real-World Scenarios
- **2 Identifying and Assessing Risks in Quality Assurance** — 6 classes
  - 2.1 Define Risk Management in Quality Assurance
  - 2.2 Identify Common Risks in Financial Services
  - 2.3 Analyze Risk Impact on Quality Assurance Processes
  - 2.4 Assess the Probability of Risk Occurrence
  - 2.5 Develop Risk Mitigation Strategies for Quality Assurance
  - 2.6 Implementing Risk Assessment Tools in Financial Services
- **3 Developing a Risk Mitigation Plan for Financial Services** — 6 classes
  - 3.1 Identify Key Risks in Financial Services
  - 3.2 Assess the Impact and Likelihood of Risks
  - 3.3 Develop Strategies for Risk Mitigation
  - 3.4 Create a Risk Mitigation Action Plan
  - 3.5 Implement Risk Monitoring and Review Procedures
  - 3.6 Evaluate and Update the Risk Mitigation Plan
- **4 Implementing and Monitoring Risk Management Strategies** — 6 classes
  - 4.1 Identify Key Risks in Financial Services
  - 4.2 Assess Risk Impact on Quality Management
  - 4.3 Develop Effective Risk Mitigation Strategies
  - 4.4 Implement Risk Management Frameworks
  - 4.5 Monitor and Evaluate Risk Management Performance
  - 4.6 Communicate Risk Management Strategies to Stakeholders
- **5 Regulatory Compliance and Risk Management Best Practices** — 6 classes
  - 5.1 Identify Key Regulatory Standards in Financial Services
  - 5.2 Assess the Importance of Compliance in Risk Management
  - 5.3 Analyze Common Risks in Quality Assurance Processes
  - 5.4 Develop Strategies for Effective Regulatory Compliance
  - 5.5 Implement Risk Assessment Techniques in Quality Management
  - 5.6 Evaluate Best Practices for Continuous Improvement in Compliance