AI Chatbots in Banking and Financial Services Training Course: Use Cases, Controls and Escalation

29 March – 2 April 2027
New York

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Programme Summary

AI chatbots in banking are the subject of this one-week training course for heads of customer service, digital banking, operations and risk, taught at managerial level and ending in a chatbot control plan for one banking service. Banks now place chatbots in front of customers, yet few leaders can show which questions a bot may answer, how errors are caught or when a person must take over. The programme moves from use case selection to testing, escalation and privacy, using prepared transcripts. Mars Training Centre UK delivers this programme on AI chatbots in banking to mixed-organisation cohorts.

The Business Case

Leaders who set clear limits on what a chatbot may say, test answers before launch and route difficult cases to staff can widen service hours without adding conduct exposure. Where bots are released on a demonstration alone, wrong answers, ignored disputes and customers trapped in loops reach complaint teams. The programme works on the measures below.

- Complaint Volume: Falls when disputes and vulnerable customers are recognised and passed to staff quickly.
- Containment Quality: Rises when the share of queries closed by the bot is judged together with correct answers.
- Service Cost per Contact: Improves when use cases are chosen on value and the bot is retired or retrained where it fails.

Principles and Evidence Base

- ISO/IEC 42001: The international standard for AI management systems, applied in Session 1 to define ownership, scope and review of each chatbot.
- NIST AI Risk Management Framework: A structure of govern, map, measure and manage functions, applied in Sessions 2 and 3 to rank chatbot risks and set test measures.
- NIST AI 600-1 Generative AI Profile: A companion profile listing risks specific to generative systems, applied in Session 4 to set controls on invented answers and data leakage.

Intended Participants

- Leaders who own customer service channels.
- Digital banking managers who commission and supervise chatbot projects.
- Operations managers who handle escalations, complaints and queue performance.
- Risk and compliance managers who review customer-facing automation.
- Product owners who decide which customer journeys a bot may handle.

Typical settings include retail banks, insurers and payment companies.

Learning Outcomes

1. Participants will be able to evaluate candidate chatbot use cases against value, risk and customer need.
2. Participants will be able to construct an answer scope that separates permitted topics from those reserved for staff.
3. Participants will be able to diagnose weak points in chatbot answers through test sets and transcript review.
4. Participants will be able to design an escalation path that moves disputes and vulnerable customers to a person.
5. Participants will be able to prioritise privacy and security controls for customer data used by a chatbot.
6. Participants will be able to justify a chatbot control plan and measure set to an executive committee.

Programme Structure

Day 1: AI Chatbots in Banking: Use Cases and Scope

Which customer questions suit a chatbot, and which do not?

- ISO/IEC 42001 Ownership Map
- Use Case Value and Risk Grid
- Customer Journey Triage Sheet
- Permitted Topics Register
- Chatbot Inventory Template

Day 2: Answer Quality and Testing

How is the accuracy of a chatbot answer tested before and after launch?

- Test Question Set Design
- NIST AI Risk Management Framework Mapping
- Transcript Sampling Method
- Error Severity Scale
- Grounding Source Review

Day 3: Escalation, Complaints and Vulnerable Customers

When must a chatbot hand a conversation to a person, and how?

- Handoff Trigger Rules
- Dispute Recognition Checklist
- Vulnerability Cue List
- Agent Context Summary Card
- Complaint Routing Flowchart

Day 4: Generative Risks, Privacy and Security

How are invented answers, data leakage and misuse kept within limits?

- NIST AI 600-1 Risk Review
- Prompt Injection Scenario Cards
- Customer Data Minimisation Rules
- Identity Check Step Design
- Vendor Control Questionnaire

Day 5: Control Plan for One Banking Service

Do the earlier findings join into a plan that an executive committee can approve?

- Applying the Session 1 Scope Register
- Testing the Session 2 Question Set
- Checking the Session 3 Handoff Rules
- Reviewing the Session 4 Risk Review
- Completing the Chatbot Control Plan

Methodology

This programme is run as a data workshop built on prepared material from a retail bank and an insurer: anonymised chat transcripts, complaint records, answer test sets and escalation logs. Participants score answers, trace failed handoffs, compare control options and defend their findings to peers acting as an executive committee.

- Suggested activity: Scoring twenty recorded chatbot answers on an error severity scale.
- Suggested activity: Redrawing a handoff path where a customer was left in a loop.
- Suggested activity: Ranking five proposed chatbot use cases for a bank and an insurer.

Capstone Output

Each participant completes a chatbot control plan for one banking service. It holds a permitted topics register, an answer test set, handoff rules, a privacy and security checklist and a measure set. At work it goes to the executive committee for approval and becomes the basis for launch decisions and quarterly review of the bot.

Frequently Asked Questions

Is AI chatbots in banking training suitable for managers without a technical background?

Yes. AI chatbots in banking are taught through prepared transcripts and templates. You need responsibility for a customer channel, a risk review or a digital project, but no programming skill.

Which standards do AI chatbots in banking rest on in this training?

AI chatbots in banking are treated here through ISO/IEC 42001 for management systems, the NIST AI Risk Management Framework for risk ranking and the NIST AI 600-1 Generative AI Profile for generative risks.

How is the control plan from AI chatbots in banking training used at work?

You take the chatbot control plan to your executive committee, use its test set before each release and apply its handoff rules when reviewing complaints.