



# **INDIAN INSTITUTE OF BANKING & FINANCE**

(An ISO 9001:2015 Certified)

## **TRAINING PROGRAMME**

**For**

### **“INTERNAL AUDITORS OF COMMERCIAL BANKS, RRBs, SFBs & COOPERATIVE BANKS”**



*From 11<sup>th</sup> to 12<sup>th</sup> March 2021*

**In VIRTUAL (Online) MODE**

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*Programme Co-Ordinator: Ms. Ravita Wadhwa  
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**Indian Institute of Banking & Finance,  
Kohinoor City, Commercial II, Tower 1, 3<sup>rd</sup> floor,  
Off LBS Marg, Kiroli Road,  
Kurla (W), Mumbai – 400070.**

**Website: [www.iibf.org.in](http://www.iibf.org.in)**



## **"Programme for Internal Auditors of Commercial Banks, RRBs, SFBs & Cooperative Banks"**

### **BACKGROUND**

During its 93 years of service, IIBF has emerged as a premier institute in banking and finance education. Considering the emerging requirements of the bankers in the ever-changing dynamic environment, IIBF has been providing training to bankers in select areas. IIBF has the state-of-the-art training facilities at its Leadership Center at Mumbai. It also has three Professional Development Centres (PDCs) at Delhi, Chennai & Kolkata with residential facilities at Delhi to accommodate more than 50 participants at a time.

### **PURPOSE**

Credibility of banking business depends on its internal control and supervision mechanism which can promptly detect irregularities, if any, and take corrective measures and ensure non recurrence of irregularities in the management of compliances. Inspection and Audit of the branches plays crucial role in the success of banking operations. It not only helps in harmonizing operations but also helps in plugging revenue leakage.

The Internal Auditors play a pivotal role in mitigating various risks and identifying potential risk areas of an organization. Presently, this third line of defense faces new challenges posed by the Covid 19 Pandemic. Internal Auditors need to be equipped with the requisite knowledge to carry out their audit function effectively.

This program is designed as a practical course to equip Internal Auditors with a systematic understanding of critical banking Operations. The program provides essential skills for designing the Risk Based Internal Audit Approach and conducting an effective Internal Audit. The program takes the participants to different aspects of their functioning including the risk-based audit, risk rating of branches, documents verifications and revenue leakage. The programme will be facilitated by senior bankers and experienced faculties through interactive sessions, sharing of experiences and discussions on live cases.

### **OBJECTIVES**

- To Improve the knowledge and skill of the Audit Officers
- To develop comprehensive understanding of the audit system, procedures and practices to protect the interest of the bank.
- To facilitate developing a cadre of professional internal auditor to serve as the real watch dogs and provide an effective line of defence.

## CONTENT OVERVIEW

- Relevance of Audit – Audit History, Traditional vs Risk Based Audit - Audit policy
- Risk Based Internal Audit and Risk Based Supervisions - Features & Application
- Auditing the branches under the CBS environment. Auditing different departments
- Practical insights into different issues – capturing the signals, supporting the monitoring and risk management.
- Auditing Fund Based & Non-Fund Based credit facilities and Forex Business
- Audit of Treasury Operations
- Role of Auditor in KYC/AML compliance
- Audit as a tool for prevention of frauds
- IT Governance and GRC- Audit automation

## METHODOLOGY

Lectures, Case Studies, Discussions & Interactions and sharing of experience on Virtual Platform (ZOOM / Webex)

## TARGET GROUP

**Officers/Managers/Senior Managers/Chief Managers/AGMs working in the Internal Audit Departments of Public/Private Sector Banks, RRBs, SFBs & Cooperative Banks at Central Office and Circle/Zonal/Regional level offices.**

## DURATION

2 Days, From 11<sup>th</sup> to 12<sup>th</sup> March, 2021. The Programme commences at 9.30 AM on 11<sup>th</sup> March 2021.

## TRAINING FEE:

Rs.4,000/- per participant plus GST @18%, totalling Rs.4,720/- (In case of TDS deduction, please send us TDS certificate). Programme fees may be remitted to the credit of Institute's account as given below:

- ✓ Name of the Bank branch: State Bank of India, Vidya Vihar (West), Mumbai.
- ✓ Savings Account No: 36919200263 IFSC code: SBIN0011710
- ✓ (PAN No: AAATT3309D and GSTIN NO. 27AAATT3309D1ZS  
**(Please provide your GST Number in the nomination letter.)**

<b>Ms Ravita Wadhwa</b> <b>Deputy Director (Training)</b> <b>Phone : +91-22-68507034</b> <b>Mobile:9871899953</b> <b>Email: ravita@iibf.org.in</b>	<b>Mr. P N Mehrotra,</b> <b>Director (Training),</b> <b>Phone : +91-22-68507004,</b> <b>Mobile : 8291294676</b> <b>Email: prakashmehrotra@iibf.org.in</b>
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**NOMINATION FORM for BANKS/FIs**

**Programme title: "Programme for Internal Auditors of Commercial Banks, RRBs, SFBs & Cooperative Banks"**

**Date: From: 11<sup>th</sup> and 12<sup>th</sup> March , 2021**

**Programme Type: Virtual mode**

**PARTICIPANTS NOMINATED:**

Sl.No	Name (Mr./Ms./Mrs.)	Designation	Branch/Office	Mobile No. and Land Line No.	E-mail (PERSONAL AND OFFICIAL MAIL ID BOTH)*
1					
2					
3					
4					

**\*LOGIN DETAILS OF THE PROGRAM SHALL BE SHARED ON PERSONAL MAIL ID.**

Bank/Organisation: \_\_\_\_\_

Address/GSTIN for raising invoice: \_\_\_\_\_

Pin Code: \_\_\_\_\_

Nominating official contact details/mail id \_\_\_\_\_

**Fee:** Rs. 4,000/-per participant plus GST@18% i.e. Rs.720/- aggregating to **Rs.4,720/-**  
(In case of TDS deduction, please send us TDS certificate)

Programme fees may be remitted to the credit of Institute's account as given below:

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- ✓ Name of the Bank branch: State Bank of India, Vidya Vihar (West), Mumbai.
- ✓ Savings Account No: 36919200263 IFSC code: SBIN0011710
- ✓ (PAN No: AAATT3309D and GSTIN NO. 27AAATT3309D1ZS)

**(Kindly provide your GST Number in the nomination letter to facilitate raising of invoice)**

**Please send your nominations at the earliest to:**

**Email: ravita@iibf.org.in;  
prakashmehrotra@iibf.org.in**



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**FORM FOR SELF-SPONSORED CANDIDATES**

**Programme title: "Programme for Internal Auditors of Commercial Banks, RRBs, SFBs & Cooperative Banks"**

**Date: From: 11<sup>th</sup> and 12<sup>th</sup> March, 2021**

**Programme Type: Virtual**

Details of candidate:

Sl. No	Name	Designation	Contact No. (Mobile)	E-mail (PERSONAL)	UTR NUMBER towards fees remitted
1					

Name & Address of Bank/ FI employed with:

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Postal Address of participant:

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PIN code: \_\_\_\_\_

**Fee: Rs. 4,000/-per participant plus GST@18% i.e. Rs.720/- aggregating to Rs.4,720/-**

Programme fees may be remitted to the credit of Institute's account as given below:

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**Please send your details at the earliest to:**

**Email: [ravita@iibf.org.in](mailto:ravita@iibf.org.in);  
[prakashmehrotra@iibf.org.in](mailto:prakashmehrotra@iibf.org.in)**