



INDIAN INSTITUTE OF BANKING & FINANCE
(An ISO 21001:2018 Certified)

TRAINING PROGRAMME
For
“Various types of Audits and Strategy for Compliance”
In VIRTUAL (Online) MODE

11th and 12th July 2024 (Thursday & Friday)



Coordinated by:
Indian Institute of Banking & Finance,
Professional Development Centre (PDC), South Zone,
94, Jawaharlal Nehru Road
Vadapalani, Chennai - 600 026

Website: www.iibf.org.in

Last Date of Submission - 10.07.2024

For Details & Nomination, please contact:

Individuals can also register for the program at their own cost

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TRAINING PROGRAMME FOR VARIOUS TYPES OF AUDITS AND STRATEGY FOR COMPLIANCE (On-line)

BACKGROUND

During its 96 years of service, IIBF has emerged as a premier institute in the banking industry. Considering the emerging requirements of the bankers in the dynamic environment, IIBF has been offering certification courses and training programmes to the banking professionals.

The training programs are designed in consultation with the industry experts and human resources personnel with an endeavour to address the skill gaps on a continuous basis. The regular offerings in varied areas prepare the banking professionals ahead of the impending change.

IIBF offers virtual training programmes for its Blended Certification courses and many other programmes to facilitate learning across the country.

IIBF also has state-of-the-art training facilities at its Leadership Centre at Mumbai. The four Professional Development Centres (PDCs) at Chennai, Delhi, Kolkata & Mumbai cater to the increasing demand for the focused training programmes.

Financial services firms must conduct regular audits to assure customers and industry regulators that they are complying with the law and best industry practices. These routine, internal reviews of the records, operations, and internal controls check that all systems are performing properly, while increasing transparency, efficiency, and customer security. These audits can be performed by hiring an outside accounting firm, or internally by an in-house audit team. Internal Auditors play a vital role in the sound management of the Banks supporting the compliance, systems and procedures, apart from ensuring the safety and security. The Internal Audit function provides vital assurance to all Stake Holders including the Bank's Board of Directors as to the quality of the Bank's control system. Audit function helps to reduce the risk of loss and reputational damage to the Bank.

NEED AND PURPOSE OF AUDIT:

- Compliance of Regulatory Guidelines
- Compliance of laid down systems & procedures.
- Suggestion to improve in systems & procedures.
- A tool of Risk Management.
- Identifying warning signals in operational area

The proposed training programme for the Audit Officers in Commercial Banks/FIs envisages competence building among the participants by improving their skills and knowledge level. The programme takes the participants to different aspects of their functioning including the risk- based audit, risk rating 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. This programme has been designed taking into account the Audit Officers need to update themselves through discussions and interactions with the learned Faculties and peers.

PURPOSE

Internal Auditors play a vital role in the sound management of the Banks supporting the compliance, systems and procedures, apart from ensuring the safety and security.

The proposed training programme for the Audit Officers in Commercial Banks/FIs envisages competence building among the participants by improving their skills and knowledge level. The program takes the participants to different aspects of their functioning including the risk-based audit covering high value credit also, risk rating 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 have comprehensive understanding of the audit system, procedures and practices to protect the interest of the bank.
- ✚ To support in developing a cadre of professional internal auditor, they being the officials giving warning signal in advance and identifying the risks.

CONTENT OVERVIEW

- ✚ Relevance of Audit – Audit History Traditional vs. Risk based audit - Audit policy

✚ TYPE OF AUDIT AND SALIENT FEATURE:

External Audit	Internal Audit
<ul style="list-style-type: none">➤ Statutory Audit➤ GST & Tax Audit➤ Stock & Receivable Audit➤ Forensic Audit➤ Concurrent Audit➤ Information System Audit	<ul style="list-style-type: none">➤ Risk Focused Internal Audit➤ Risk Focused Credit Audit➤ Revenue Audit➤ Information System Audit➤ Management Audit➤ Credit Compliance Audit➤ Other Audits

- ✚ Risk and compliance covering Operational Risk Management (ORM) and Credit Risk Management (CRM)
- ✚ 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

Officials working in the Internal Audit/ Inspection Department at Central/Circle/Zonal/Regional level audit offices and Concurrent Auditors working in branches.

DURATION

2 Days - on 11th & 12th July 2024 (Thursday & Friday) 10.00 A.M. to 5.00 P.M.

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 with State Bank of India, details of which are given below:

- ✓ Name of the Bank branch: State Bank of India, Vidya Vihar(West), Mumbai.
- ✓ Account no: **37067835882** IFSC code: **SBIN0011710**
- ✓ PAN No: AAATT3309D and GSTIN No. 33AAATT3309D2ZY

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



INDIAN INSTITUTE OF BANKING & FINANCE
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Nomination Form (for Banks/FIs & Other Organisations)

Programme title: Various types of Audits and Strategy for Compliance

Date: 11th & 12th July 2024

Programme Type: Virtual

Participants Nominated:

Sl. No	Name (Mr./Ms./Mrs.)	Designation	Branch /Office	Mobile No. and Land Line No.	E-mail
1					
2					
3					
4					

Name of the Bank/FI	:
Address	:
GST No	:
PAN No	:
Phone/Mobile Number of Nominating Official :	
E-Mail ID of Nominating Official	:

Fee

Rs. 4,000/-per participant plus GST@18% i.e. Rs.720/- aggregating to **Rs.4720/-**
(In case of TDS deduction, please send us TDS certificate)

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Please send your nominations at the earliest to:

Mr. G . Padmanaban Head - PDC, South Zone, Chennai Phone: +91- 44 - 23721429 Mobile: 7397240035 Email: head-pdcsz@iibf.org.in	Ms. Priya Maria A Senior Executive, PDC-South Zone Phone: +91- 44 -24722990 Mobile: +91 9566274128 Email: se.pdcsz1@iibf.org.in
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INDIAN INSTITUTE OF BANKING & FINANCE
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Nomination Form (for Self-Sponsored Candidates)

Programme title: Various types of Audits and Strategy for Compliance

Date: 11th & 12th July 2024

Programme Type: Virtual

Details of the candidate:

Sl. No	Name (Mr./Ms./Mrs.)	Designation	Branch /Office	Mobile No. and Land Line No.	E-mail
1					

Fee

Rs. 4,000/-per participant plus GST@18% i.e. Rs.720/- aggregating to **Rs.4720/-**
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