



INDIAN INSTITUTE OF BANKING & FINANCE

(An ISO 21001:2018 Certified Institute)

Professional Development Centre – Western Zone

“Program for Internal Auditors of Banks & FIs”

In Virtual Mode

From 11th to 12th September 2024



Open to Members & Non-Members

Individual participants can also register for the programme at their own cost

Program Co-Ordinators : Mr. Shiv Kumar Gupta & Shijoy Joseph
Mail Id: head-pdcwz@iibf.org.in ; je.pdcwz1@iibf.org.in

Address :192, Maker Tower, F Wing, 19th Floor, Cuffe Parade Mumbai - 400005.

Website : www.iibf.org.in

BRIEF BACKGROUND

Established on 30th April 1928, IIBF which is an “Institute of the Bankers, for the Bankers and by the Bankers” has during its 96 years of service been actively involved in examination, training & academics and 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 quality training to bankers in select areas. The training programmes 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 has state-of-the-art training facilities at its Leadership Center at Mumbai and it has four Professional Development Centers (PDCs) at Mumbai, Delhi, Chennai and Kolkata catering to the increasing demand for the focused training programmes.

ABOUT THE PROGRAMME

The credibility and stability of banking operations depend on robust internal controls and supervision mechanisms. As the banking landscape evolves, these mechanisms are crucial for swiftly detecting irregularities, implementing corrective measures, and preventing future lapses in compliance. In this context, branch inspections and audits are not just routine processes but are critical to ensuring seamless operations and safeguarding against revenue leakages. Effective internal audits have become indispensable for maintaining the integrity and compliance of banking institutions.

Internal auditors now face a rapidly changing risk environment, driven by digital transformation, heightened regulatory expectations, and the lingering impacts of the uncertainties. Their role is pivotal in identifying emerging risks and ensuring that banks are resilient in the face of these challenges.

As the third line of defense, internal auditors must be equipped with up-to-date knowledge and skills to navigate the complexities of the modern banking ecosystem, which includes increased cyber threats, regulatory scrutiny, and financial uncertainties.

This program is designed to address the current challenges faced by internal auditors in, offering a comprehensive and practical course that covers critical banking operations. It provides essential tools and techniques for developing and executing a Risk-Based Internal Audit (RBIA) strategy, tailored to the contemporary banking environment. Participants will explore advanced topics such as risk-based auditing, branch risk rating, document verification, and revenue leakage detection. The program features interactive sessions led by seasoned bankers and industry experts, focusing on real-world cases and current practices, ensuring that participants are well-prepared to enhance the effectiveness of their internal audit functions.

OBJECTIVES

The programme aims at developing understanding among participants about:

- **Enhance Knowledge and Skills:** To improve the knowledge and skills of audit officers, ensuring they are well equipped to handle the complexities of modern banking audits.
- **Strengthen Audit Processes:** To develop a comprehensive understanding of audit systems, procedures, and practices, enabling auditors to protect the bank's interests effectively and ensure compliance with regulatory standards.
- **Identify and Mitigate Risks:** To enhance the ability of internal auditors to identify potential risks, assess their impact, and recommend effective mitigation strategies, thereby safeguarding the bank's assets and reputation.
- **Promote Ethical Practices:** To ensure that internal auditors adhere to the highest ethical standards, fostering a culture of transparency, accountability, and integrity within the bank.
- **Develop Professional Expertise:** To facilitate the development of a cadre of professional internal auditors who can provide valuable insights, drive continuous improvement, and contribute to the overall success of the bank's operations.

CONTENT OVERVIEW

- **Evolution and Relevance of Audits:** Explore the history and transition from traditional to Risk-Based Audits, along with the importance of audit policies in modern banking.
- **Risk-Based Internal Audit and Supervision:** Delve into the features, applications, and implementation of Risk-Based Internal Audits and Supervision, highlighting their role in enhancing bank operations.
- **Branch and Departmental Auditing:** Learn the methodologies for auditing under the Core Banking System (CBS) environment, including audits of various departments, fund-based and non-fund-based credit facilities, and Forex business.
- **Auditing for Fraud Prevention and Compliance:** Understand the role of audits in fraud prevention, KYC/AML compliance, and providing practical insights into monitoring, risk management, and capturing early warning signals.
- **IT Governance and Audit Automation:** The role of audit in Governance, Risk, and Compliance (GRC), and the growing importance of audit automation in enhancing the effectiveness and efficiency of the internal audit function.

METHODOLOGY

- Virtual (Online) interactive lectures, Case Studies, presentations and sharing of experiences on ZOOM.
- Live sessions by Faculty shall be conducted and participants can participate in the sessions from home or office using Laptop/Desktop/iPad/Smart Phones.
- Login details for accessing the sessions shall be shared on registered mail ids of participants 24 hours before the program.

TARGET GROUP

Branch Managers/ Officers in the middle management and senior level executives working in the branches and controlling offices of Banks /FIs.

- Open to both Members & Non Members of IIBF
- Individuals may also register for this program at their own cost.
- Banks may send their nominations in bulk.

DURATION

2 Days - From 11th to 12th September 2024

Timings: 10.00 A.M. to 05.15 P.M. (First day kindly login by 09.45 am)

FEES

₹ 4000/- (Six Thousand only) plus GST @18% aggregating to ₹ 4720/- per participant
(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:

Beneficiary Name	:	Indian Institute of Banking and Finance
Name of the Bank Branch	:	State Bank of India, Vidyavihar (West), Mumbai.
SB Account No	:	42895503864
IFSC Code	:	SBIN0011710
PAN No. : AAATT3309D	GSTN No. :	27AAATT3309D1ZS

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

In case of any quires, kindly contact

Mr. Shiv Kumar Gupta	Mr. Shijoy Joseph Vadasery
Zonal Head	Junior Executive
head-pdcwz@iibf.org.in	je.pdcwz1@iibf.org.in
Mob : +91 9555233865	Mob : +91 9820127826
Landline : 022 69437301	Landline : 022 69437302

**** Last Date of Registration is 09th September 2024 ****



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Nomination Form – For Individuals

Name of the program	: Program for Internal Auditors of Banks & FIs
Dates	: 11 th Sep 2024 (Wed) to 12 th Sep 2024 (Thu) – 2 Days
Time	: 10.00 a.m. to 5.15 p.m.
Program Type	: Virtual (Online) mode

Nominee Details

Sr. No.	Name	Designation	Mobile No. (WhatsApp)	E-mail	UTR No.
1					

***Login details of the program shall be shared on personal mail id of nominee.**

Fees - ₹ 4000/- (Four Thousand only) plus GST @18% aggregating to ₹ 4720/- per participant (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, VidyaVihar (West), Mumbai.
SB Account No	: 42895503864
IFSC Code	: SBIN0011710
(PAN No: AAATT3309D and GSTIN NO. 27AAATT3309D1ZS)	

In case of any quires, kindly contact

Mr. Shijoy Joseph Vadasery Junior Executive Professional Development Centre – Western Zone - Mumbai Mobile : +91 9820127826 Email : je.pdcwz1@iibf.org.in	Mr. Shiv Kumar Gupta Zonal Head Professional Development Centre – Western Zone - Mumbai Mobile : +91 9555233865 Email : head-pdcwz@iibf.org.in
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Nomination Form – For Banks & FIs

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Nominee Details

Sr. No.	Name	Designation	Branch/ Office	Mobile No. (WhatsApp)	E-mail (Personal)	E-mail (Official)
1						
2						

Name of Bank/ FI	:
Address	:
GST Details	:
PAN No.	:
Phone/Mobile of Nominating Official	:
E-Mail of Nominating Official	:

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