INDIAN INSTITUTE OF BANKING & FINANCE

(ISO 21001:2018 Certified)

PROFESSIONAL DEVELOPMENT CENTRE LUCKNOW

Launches training programme on

"STRENGTHENING INTERNAL CONTROLS THROUGH PREVENTIVE VIGILANCE & AUDIT"

In VIRTUAL MODE

Date: 26th to 27th October 2026

"Open for members as well as non-members of the Institute"

Programme Coordinator: Mr. Abhay Kumar, Mr. Udit Negi
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“STRENGTHENING INTERNAL CONTROLS THROUGH PREVENTIVE VIGILANCE & AUDIT”

BACKGROUND

The Indian Institute of Banking & Finance (IIBF) is a professional body founded in 1928, now in its 97th year of service to the banking fraternity in India, has always strived to pursue its mission of developing professionally competent bankers and financial services professionals. The flagship courses of the Institute, JAIIB and CAIIB and RBI mandated capacity building courses in the specialized domains of Treasury, Credit Management, Risk Management, Foreign Exchange and Accounting & Audit are presently offered to Banking & Finance professionals. Indian Institute of Banking & Finance is an ISO 21001:2018 Certified Institute.

The Institute has also been focusing on developing customised Certifications for banks for upskilling and cross skilling of Bankers, depending on the knowledge and skill-gap identified in consultation with the bank itself. Also Diploma and Certification courses are offered to upgrade the competencies of the Banking and Finance Professionals in specialized fields like Credit Management, MSME, Compliance, KYC/AML, Digital Banking, Cyber Security, Advance Wealth Management, Risk Management, NPA Management etc.

IIBF also has state-of-the-art training facilities at its Leadership Centre at Mumbai. It also has seven Professional Development Centres (PDCs) at Chennai, Delhi, Kolkata, Mumbai, Guwahati, Lucknow and Bangalore conducting training sessions in virtual mode and physical training classes, covering all topics related to Banking & Finance.

PROGRAMME OVERVIEW AND PURPOSE

The evolving banking landscape is characterized by increasing operational complexities, rapid technological advancement, heightened risk exposure, stringent regulatory expectations and growing emphasis on transparency and accountability. In this dynamic environment, a strong internal control framework has become essential for ensuring operational efficiency, safeguarding assets, preventing irregularities and strengthening the overall governance framework of banks and financial institutions. Effective internal controls help institutions identify potential weaknesses and vulnerabilities at an early stage and take timely corrective and preventive measures.

Preventive Vigilance and Audit play a critical role in strengthening internal controls by adopting a proactive approach towards identifying and mitigating risks before they result in financial loss, fraud, misconduct or regulatory violations. While audit provides an independent and systematic assessment of processes, controls and compliance, preventive vigilance focuses on anticipating areas of vulnerability, detecting early warning signals and establishing appropriate safeguards to prevent irregularities. Together, they promote accountability, transparency, ethical conduct and a strong risk-aware culture across banks and financial institutions.

This two-day programme has been designed to provide participants with a comprehensive understanding of internal controls, preventive vigilance and audit in the banking sector. The programme will enable participants to identify control weaknesses, recognise potential areas of fraud and irregularities, strengthen preventive mechanisms, and effectively use audit and vigilance processes to enhance operational integrity and accountability. It aims to equip banking professionals with practical insights for strengthening internal control systems and fostering a proactive culture of prevention, thereby contributing to safer, more efficient and resilient banking operations.

OBJECTIVES

The programme focuses on strengthening participants' understanding of internal controls, preventive vigilance and audit practices in banks and financial institutions, with emphasis on proactive risk identification, prevention of irregularities and strengthening of organisational governance. The key objectives include:

- To provide an understanding of the concept, principles and significance of internal controls in ensuring sound governance and operational effectiveness.
- To highlight the importance of identifying control weaknesses, process gaps and operational vulnerabilities that may lead to fraud, financial loss, misconduct or regulatory violations.
- To examine the role and significance of preventive vigilance in identifying and mitigating risks before they materialise into irregularities.
- To create awareness of early warning signals and red flags associated with fraud,

operational irregularities and control failures.

- To provide an overview of the audit process and risk-based audit approaches relevant to the banking sector.
- To emphasise effective monitoring, reporting and corrective action in addressing control deficiencies and audit observations.
- To discuss the roles and responsibilities of management, internal audit, vigilance functions and other stakeholders in strengthening the internal control environment.
- To promote a culture of integrity, accountability, transparency and ethical conduct within banks and financial institutions.
- To discuss the significance of preventive and detective controls in minimising operational and financial risks.
- To facilitate an understanding of practical approaches for strengthening internal controls, preventive vigilance and audit mechanisms towards safer, more resilient and well-governed banking operations.

CONTENT OVERVIEW

- Regulatory Environment in Banking.
- Compliance Functions including Lines of defense.
- Compliance Risk Management.
- Important Regulatory authorities for Banks/Fis.
- Internal Audit Systems in Banks.
- Risk based Audit in Banks.
- Audit Documentation, Reporting and Closure.
- Regulatory Inspection & Audit Readiness.
- DPDP Act, IT Act.
- Fraud Risk Management and Forensic Auditing.
- Guidelines on Customer Service and Complaints Redressal.

METHODOLOGY

Lecture sessions, real case studies, classroom exercise, discussions & sharing of experiences by industry experts/ practicing professionals.

TARGET GROUP

Internal Auditors, Compliance Officers, Officers working in ZO/RO in customer service, Credit monitoring, Audit & Inspection.

DURATION
2 Days: 26th to 27th October 2026
Timings: 9:30 AM to 5:30 PM

FEES
Rs. 5,000/- per participant plus GST @ 18% (Rs. 900/-) aggregating **to Rs. 5,900/- (Rs. Five Thousand Nine Hundred Only)** (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:

Particular	Account Details
Account Name	Indian Institute of Banking & Finance
Virtual Account No.	IIBF28TRGLUCKNOW
IFSC	SBIN0004266
BANK	STATE BANK OF INDIA
Bank Branch Address	Kurla West

PAN No: AAATT3309D and GST No. 09AAATT3309D1ZQ

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

For more details Kindly contact Programme Co-ordinators:

1- **Mr. Abhay Kumar: Email ID- head-pdclko@iibf.org.in; Contact No- 9340666010**
2- **Udit Negi: Email ID- se.pdclko1@iibf.org.in, Contact No: 8077847373**

Participants will be provided with a Participation Certificate upon successful completion of the training programme.

ANNEXURE I

INDIAN INSTITUTE OF BANKING & FINANCE

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NOMINATION FORM FOR ORGANIZATION NOMINATING THE PARTICIPANTS

Programme title: "STRENGTHENING INTERNAL CONTROLS THROUGH PREVENTIVE VIGILANCE & AUDIT"

Date: 26th – 27th October 2026 **Programme type: Virtual**

Details of nominee(s):

Sr.	**Name**	**Designation**	**Contact**	**Email**	**Training Mode (physical/ virtual)**

Name of Bank/FI:____
Address:____
GST Details of nominating Bank/FI:_____________________________________
Name, Designation of nominating official: __________, ______Email and Phone__________

FEES

Rs. 5,000/- per participant plus GST @ 18% (Rs. 900/-) aggregating **to Rs. 5,900/- (Rs. Five Thousand Nine Hundred Only)** (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:

- **Bank, Branch**: State Bank of India, Kurla (West), Mumbai
- **Virtual Account No**: IIBF28TRGLUCKNOW
- **IFSC code**: SBIN0004266
- **PAN No**: AAATT3309D
- **GST No:** 09AAATT3309D1ZQ

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For Registration, kindly contact Programme Co-ordinators:

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ANNEXURE II

INDIAN INSTITUTE OF BANKING & FINANCE
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NOMINATION FORM FOR SELF SPONSORED CANDIDATES

Programme title: "STRENGTHENING INTERNAL CONTROLS THROUGH PREVENTIVE VIGILANCE & AUDIT"

Date: 26th- 27th October 2026 **Programme type: Virtual**

Details of nomination:

Sr.	Name	Designation	Contact	Email	Training Mode (physical/ virtual)

Name of Bank/FI employed with:____________________________________
Address of Bank/FI:____
UTR No. with date of payment:____________________________________

FEES
Rs. 5,000/- per participant plus GST @ 18% (Rs. 900/-) aggregating **to Rs. 5,900/- (Rs. Five Thousand Nine Hundred Only)** (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:

- **Bank, Branch**: State Bank of India, Kurla (West), Mumbai
- **Virtual Account No**: IIBF28TRGLUCKNOW
- **IFSC code**: SBIN0004266
- **PAN No**: AAATT3309D
- **GST No:** 09AAATT3309D1ZQ

For Registration, kindly contact Programme Co-ordinators:

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