



INDIAN INSTITUTE OF BANKING & FINANCE

(ISO 21001:2018 Certified)

PROFESSIONAL DEVELOPMENT CENTRE LUCKNOW

Launches training programme on

“MANAGING AUDIT, COMPLIANCE AND REGULATORY RISK IN BANKING”

In **PHYSICAL/ONLINE MODE**

Date: 6th to 8th July 2026

TRAINING PROGRAMME

Managing Audit, Compliance and Regulatory Risk in Banking

STRENGTHEN GOVERNANCE | ENHANCE RISK MANAGEMENT | ENSURE REGULATORY COMPLIANCE | BUILD TRUST & STAKEHOLDER CONFIDENCE

“Open for members as well as non-members of the Institute”

Programme Coordinator: Mr. Abhay Kumar, Mr. Udit Negi

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Lucknow- 226010



“MANAGING AUDIT, COMPLIANCE AND REGULATORY RISK IN BANKING”

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 rapid technological advancement, increasing regulatory expectations, heightened risk exposure and growing customer expectations. In this dynamic environment, a strong audit and compliance framework has become essential for ensuring operational integrity, regulatory adherence and sustainable business growth. Regular audits are essential for banks and financial institutions to ensure compliance with regulatory guidelines,

uphold best industry practices, and strengthen the trust of customers and stakeholders. This routine audit checks whether all systems are working properly as intended and to identify gaps if any. Audit & Compliance play critical role in identifying and mitigating risks, strengthening internal controls, ensuring accountability and promoting ethical conduct across Banks and Financial Institutions.

This two-day programme has been designed to provide participants with a comprehensive understanding of the evolving compliance and audit and compliance ecosystem in the banking sector and enable them to manage regulatory requirements.

The Programme is being launched in hybrid mode which allows participants to join the training either physically at our Professional Development Centre at Lucknow or they may join virtually through Zoom.

OBJECTIVES

Upon completion of the programme, participants will be able to:

- Build a strong compliance culture.
- Enhance audit effectiveness.
- Understand the role and significance of audit and compliance in the banking sector.
- Gain insights into the regulatory and supervisory framework governing banking operations.
- Understand various types of audits and their role in strengthening control mechanisms.
- Managing compliance requirements, regulatory expectations and reporting obligations.
- Identify and assess operational, compliance and control-related risks.
- Understand risk-based audit methodologies and best practices in audit planning and execution.
- Strengthen understanding of internal controls and governance mechanisms.
- Discuss emerging challenges in audit and compliance, including digital banking and technology-related risks.
- Develop practical approaches for promoting a culture of compliance within the organization.

CONTENT OVERVIEW

- Regulatory Environment in Banking
- Compliance Functions including Lines of defense.
- Internal Audit Systems in Banks
- Risk based Audit in Banks
- Compliance Risk Management

- Important Regulatory Compliance areas in Banks
- Audit Documentation and Reporting
- Digital Banking & Technology Risks, IT Act, DPDP Act
- Fraud Risk Management and Forensic Auditing
- Regulatory Inspection & Audit Readiness
- Guidelines on Customer Service and Protection
- International Best Practices for Compliance.

METHODOLOGY

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

TARGET GROUP

Branch Managers, Operations Managers, Internal Auditors, Compliance Officers, Officers working in ZO/RO in customer service, Credit, Digital Section and Resource Planning Departments.

DURATION

3 Days: 6th to 8th July 2026

Timings: 9:30 AM to 5:30 PM

FEES

Participants can join the training either physically at our Professional Development Centre at Lucknow or they may join virtually through Zoom. The fees for both is as below:

Physical (Offline) Training at our Lucknow centre- Vibhuti Khand	Virtual (Online) Training
₹10500/- + 18% GST= ₹ 12,390/-	₹7500/- + 18% GST= ₹ 8850/-

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, Vidya Vihar (West), Mumbai
- Account No: 37067835430 IFSC code: SBIN0011710
- (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**

Last date of registration is 2nd July 2026



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NOMINATION FORM FOR ORGANIZATION NOMINATING THE PARTICIPANTS

Programme title: “MANAGING AUDIT, COMPLIANCE AND REGULATORY RISK IN BANKING”

Date: 6th – 8th July 2026

Programme type: Physical/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: Participants can attend the training either physically at our Professional Development Centre at Lucknow or they may join virtually through Zoom. The fees for both is as below:

Physical (Offline) Training at our Lucknow centre- Vibhuti Khand	Virtual (Online) Training
₹10500/- + 18% GST= ₹ 12,390/-	₹7500/- + 18% GST= ₹ 8850/-

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NOMINATION FORM FOR SELF SPONSORED CANDIDATES

Programme title: “MANAGING AUDIT, COMPLIANCE AND REGULATORY RISK IN BANKING”

Date: 6th- 8th July 2026

Programme type: Physical/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: Participants can join the training either physically at our Professional Development Centre at Lucknow or they may join virtually through Zoom. The fees for both is as below:

Physical (Offline) Training at our Lucknow centre- Vibhuti Khand	Virtual (Online) Training
₹10500/- + 18% GST= ₹ 12,390/-	₹7500/- + 18% GST= ₹ 8850/-

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

- **Bank, Branch:** State Bank of India, Vidya Vihar (West), Mumbai
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