

RISK

AUDITING AND GOVERNANCE RISK AND COMPLIANCE | AGRC-033

Auditing Banks and Financial Institutions

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Course content

Why Attend

Banks and financial institutions face complex risks including credit, market, liquidity, operational, conduct and financial crime risk, all under intensive regulation. Auditors need specialist knowledge to provide meaningful assurance.

This Aractech course covers the banking business model and regulatory framework, auditing credit processes and provisions, treasury and market risk, liquidity, operational risk, AML and compliance, IT and cyber controls, and regulatory reporting. Participants develop audit approaches for key banking areas.

Course Methodology

- Banking risk presentations
- Case studies
- Audit programme workshops
- Regulatory discussion
- Group exercises

Course Objectives

- Understand banking risks and regulatory frameworks
- Audit credit granting, monitoring and provisions
- Audit treasury, market and liquidity risk
- Audit operational risk and compliance functions
- Audit financial crime controls
- Review regulatory reporting and IT controls

Target Audience

- Internal auditors in banks

Course content

- Risk and compliance professionals
- External auditors serving banks
- Regulators and supervisors

Course outline

Detailed course outline

Day-by-day outline for Auditing Banks and Financial Institutions.

Day 1 - Banking Risk Landscape

- 09:00-09:39 | Banking business model
- 09:39-10:18 | Regulatory framework
- 10:18-10:57 | Key risk types
- 10:57-11:00 | Supervisory expectations
- 11:00-11:30 | Coffee break
- 11:30-12:05 | Supervisory expectations (continued)
- 12:05-12:43 | Role of internal audit
- 12:43-14:00 | Exercise: Bank audit universe

Day 2 - Credit Risk Audit

- 09:00-09:39 | Credit granting
- 09:39-10:18 | Monitoring
- 10:18-10:57 | Problem loans
- 10:57-11:00 | Expected credit loss
- 11:00-11:30 | Coffee break
- 11:30-12:05 | Expected credit loss (continued)
- 12:05-12:43 | Collateral
- 12:43-14:00 | Workshop: Credit file review

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Day 3 - Treasury, Market and Liquidity

- 09:00-09:39 | Trading and treasury
- 09:39-10:18 | Market risk limits
- 10:18-10:57 | Liquidity metrics
- 10:57-11:00 | Funding
- 11:00-11:30 | Coffee break
- 11:30-12:05 | Funding (continued)
- 12:05-12:43 | Valuation
- 12:43-14:00 | Case study: Liquidity stress

Day 4 - Operational Risk and Compliance

- 09:00-09:39 | Operational risk frameworks
- 09:39-10:18 | Conduct risk
- 10:18-10:57 | AML controls
- 10:57-11:00 | Sanctions
- 11:00-11:30 | Coffee break
- 11:30-12:05 | Sanctions (continued)
- 12:05-12:43 | Outsourcing
- 12:43-14:00 | Exercise: AML audit programme

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Day 5 - IT and Regulatory Reporting

- 09:00-09:45 | Core banking systems
- 09:45-10:30 | Cyber risk
- 10:30-11:00 | Data quality
- 11:00-11:30 | Coffee break
- 11:30-11:45 | Data quality (continued)
- 11:45-12:30 | Regulatory reports
- 12:30-13:15 | Findings
- 13:15-14:00 | Capstone: Bank audit plan

Seminar dates

Available seminar dates

Live dates and pricing for Auditing Banks and Financial Institutions generated from the course details page.

Date	Location	Format	Fee
18 - 22 January 2027	Amsterdam	Classroom	€2,830
15 - 19 February 2027	London	Classroom	€2,315
15 - 19 March 2027	Istanbul	Classroom	€1,978
19 - 23 April 2027	Vienna	Classroom	€3,225
17 - 21 May 2027	Barcelona	Classroom	€2,815
21 - 25 June 2027	Paris	Classroom	€3,825
19 - 23 July 2027	Frankfurt	Classroom	€1,875
16 - 20 August 2027	Barcelona	Classroom	€2,815
20 - 24 September 2027	Amsterdam	Classroom	€2,830
18 - 22 October 2027	London	Classroom	€2,315

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21 - 25 June 2027	Online / Live	Online / Live	€1,815
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