Compliance Auditing for Banks Training Course

Professional Development Training Course Outline

Category	Banking Institute	**Duration**	5 Days
Base Fee	$1,500 USD	**Delivery Mode**	Online / On-site Hybrid

Course Introduction

In an era defined by rapid technological acceleration and hyper-volatile regulatory shifts, modern financial institutions cannot afford reactive risk management. Compliance Auditing for Banks Training Course equips participants with the definitive skill set required to navigate the high-stakes world of banking regulatory frameworks, internal auditing, and supervisory expectations. By blending traditional risk-based audit methodologies with pioneering digital defense mechanisms, this course bridges the gap between theoretical governance and airtight operational execution. Participants will emerge with the strategic acumen needed to transform the compliance audit function from a defensive cost center into an indispensable catalyst for competitive advantage and institutional stability.

Structured around real-world application, the curriculum focuses deeply on the major friction points currently challenging global financial networks. From the intricate requirements of automated risk-data aggregation to the urgent complexities of AI governance and continuous transaction screening, this program builds concrete capabilities. Through analytical breakdowns of recent regulatory failures and hands-on systemic assessments, attendees learn to architect, execute, and defend an audit trail that withstands intense supervisory scrutiny from global central banks and enforcement agencies.

Programme Curriculum

Compliance Auditing for Banks Training Course

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Course Objectives

- Formulate a robust Risk-Based Audit Protocol capable of adapting instantly to macro-regulatory fluctuations and multi-jurisdictional enforcement updates.
- Evaluate automated financial models, machine learning underwriting tools, and **Agentic AI** frameworks to detect algorithmic bias and ensure compliance with emerging global standards.
- Audit **AML/CFT** (Anti-Money Laundering / Countering the Financing of Terrorism) monitoring infrastructures, including high-frequency automated transaction screening and real-time **SAR** (Suspicious Activity Report) generation workflows.
- Assess institutional readiness against the Digital Operational Resilience Act (**DORA**) and global cybersecurity frameworks, focusing on critical ICT third-party risk and real-time breach response timing.
- Establish comprehensive testing protocols for digital asset custody networks, cross-border stablecoin flows, and **Tokenization** platforms under evolving central bank guidelines.
- Evaluate data architecture and trace downstream data lineage to guarantee absolute data accuracy, transparency, and audit-grade reporting reliability.
- Audit the integration of Environmental, Social, and Governance criteria into corporate lending frameworks and check corporate portfolios against mandatory climate-related financial risk mandates.
- Audit partner bank risk architectures, BaaS (Banking-as-a-Service) ecosystems, and alternative lending integrations to eliminate regulatory vulnerabilities.
- Transition internal audit functions from static, point-in-time reviews to automated, continuous monitoring programs driven by data analytics.
- Audit complex consumer banking data workflows across diverse cloud environments to ensure total alignment with the General Data Protection Regulation (**GDPR**) and regional privacy statutes.
- Audit credit scoring algorithms, marketing campaigns, and retail deposit operations to eliminate fair-lending risks and predatory pricing practices.
- Evaluate internal hotline operations, investigative integrity, and board-level risk oversight metrics to foster a healthy, compliant corporate culture.
- Compile structured, ironclad audit trails and defend institutional compliance positions directly during high-pressure supervisory inspections.

Target Audience

- Chief Risk Officers (CROs) & Chief Compliance Officers (CCOs)
- Internal and External Bank Auditors.
- Head of AML / Financial Crime Compliance Specialists.

- IT Audit & Cybersecurity Risk Directors.
- Fintech Compliance Officers & BaaS Partnership Leads.
- Regulatory Liaison Officers.
- Legal Counsel and GRC System Architects.
- Retail & Commercial Lending Directors.

Course Modules

Module 1: The Modern Regulatory Architecture & Risk-Based Auditing

- Deconstructing the 2026 global supervisory expectations and shifting central bank priorities.
- Formulating an adaptive Risk-Based Audit Program (RBAP) linked directly to institutional risk appetite.
- Mapping data lineages across multi-jurisdictional reporting platforms to establish a single source of truth.
- Auditing corporate governance structures and board-level risk oversight accountability.
- Differentiating regulatory guidelines from actual statutory requirements to optimize compliance spend.
- Case Study: The Multi-System Data Disconnection (2025)

Module 2: Advanced Financial Crime Interdiction & Automated AML/KYC Auditing

- Evaluating high-frequency transaction monitoring software for hidden logic gaps and false-positive inflation.
- Auditing customer onboarding protocols including automated biometric KYC and Ultimate Beneficial Owner (UBO) tracing.
- Validating the security, accuracy, and filing velocity of Suspicious Activity Reports (SARs).
- Testing sanctions screening systems against real-time global watchlists and PEP (Politically Exposed Persons) databases.
- Auditing correspondent banking relationships and downstream clearing networks for hidden vulnerabilities.
- Case Study: The Automated Screening Blindspot (2024)

Module 3: Digital Operational Resilience (DORA) & Cybersecurity Auditing

- Auditing IT infrastructure against DORA frameworks and regional critical infrastructure laws.
- Evaluating ICT third-party provider risk management profiles and cloud concentration risks.
- Testing incident response workflows and checking breach reporting clock compliance
- Reviewing penetrative testing schedules, vulnerability management tracking, and disaster recovery scripts.
- Auditing employee phishing vulnerabilities and privilege access management (PAM) architectures.
- Case Study: The Third-Party Cloud Breach (2025)

Module 4: Auditing AI, Automated Underwriting, and Models

- Auditing credit scoring and automated underwriting engines for historical bias and disparate impact.
- Evaluating Agentic AI frameworks deployed in customer advisory and trade execution channels.
- Testing model validation protocols, data inputs, and explainability metrics (XAI) to meet regulatory requirements.
- Reviewing documentation logs, version controls, and emergency override switches for AI systems.
- Auditing synthetic data generation practices used in machine learning model development.
- Case Study: The Biased Credit Underwriting Model (2024)

Module 5: Crypto Assets, Stablecoins, and Tokenization Audit Protocols

- Auditing digital asset custody frameworks, private key management, and multi-party computation (MPC) wallets.
- Evaluating stablecoin reserve verification methods and cross-border settlement liquidity rules.
- Testing transaction monitoring systems built specifically for decentralized finance (DeFi) interactions and coin-mixers.
- Auditing tokenized asset issuances against securities laws and central bank asset rules.
- Reviewing cryptographic accounting standards and on-chain vs. off-chain data reconciliation.
- Case Study: The Stablecoin Liquidity Mismatch (2025)

Module 6: Embedded Finance, BaaS, and Third-Party FinTech Ecosystems

- Auditing the regulatory boundaries of Banking-as-a-Service and co-branded card partnerships.
- Evaluating alternative data inputs used by fintech partners for real-time risk assessment.
- Testing transaction reconciliation loops between the partner fintech's front-end and the bank's ledger.
- Auditing "Buy Now, Pay Later" (BNPL) platforms for compliance with consumer credit transparency rules.
- Reviewing end-to-end data transmission security and API access points shared with external platforms
- Case Study: The FinTech Partner Ledger Failure (2024)

Module 7: ESG Integration & Climate-Risk Disclosure Auditing

- Auditing corporate lending portfolios to verify green lending claims and prevent greenwashing.
- Evaluating institutional compliance with mandatory climate-related financial risk frameworks.
- Testing the data collection integrity of Scope 1, Scope 2, and Scope 3 emissions in commercial real estate portfolios.
- Reviewing the inclusion of ESG metrics within the bank's overarching Enterprise Risk Management (ERM) framework.
- Auditing the issuance of green bonds and tracking the use of proceeds against promised sustainability targets.
- Case Study: The Commercial Portfolio Greenwashing Penalty (2025)

Module 8: Continuous Assurance, Data Analytics, and Exam Preparedness

- Building a continuous compliance assurance framework using real-time data analytics.
- Transitioning from manual sampling methods to full-population automated data testing.
- Structuring audit documentation and working papers to match the exact format preferred by bank regulatory agencies.
- Simulating high-pressure bank examination interviews and managing corrective action tracking logs (MRAs).
- Auditing internal corporate whistleblowing hotlines, non-retaliation policies, and ethical corporate culture metrics.
- Case Study: The Regulatory Examination Surprise (2025)

Training Methodology

- Interactive lectures and presentations.
- Group discussions and brainstorming sessions.
- Hands-on exercises using real-world datasets.
- Role-playing and scenario-based simulations.
- Analysis of case studies to bridge theory and practice.

- Peer-to-peer learning and networking.
- Expert-led Q&A sessions.
- Continuous feedback and personalized guidance.

Register as a group from 3 participants for a Discount

Send us an email: info@fineskilltrainingcenter.org or call *+254769199797*

Certification

Upon successful completion of this training, participants will be issued with a globally- recognized certificate.

Tailor-Made Course

We also offer tailor-made courses based on your needs.

Key Notes

a. The participant must be conversant with English.

b. Upon completion of training the participant will be issued with an Authorized Training Certificate

c. Course duration is flexible and the contents can be modified to fit any number of days.

d. The course fee includes facilitation training materials, 2 coffee breaks, buffet lunch and A Certificate upon successful completion of Training.

e. One-year post-training support Consultation and Coaching provided after the course.

f. Payment should be done at least a week before commence of the training, to Fineskill Training Center account, as indicated in the invoice so as to enable us prepare better for you.

Upcoming Scheduled Sessions

Start Date	End Date	Location	Price
07 Sep 2026	11 Sep 2026	Online	$1,000
07 Sep 2026	11 Sep 2026	Physical	$1,500
14 Sep 2026	18 Sep 2026	Online	$1,000
14 Sep 2026	18 Sep 2026	Physical	$1,500
21 Sep 2026	25 Sep 2026	Online	$1,000
21 Sep 2026	25 Sep 2026	Physical	$1,500
28 Sep 2026	02 Oct 2026	Online	$1,000

Start Date	End Date	Location	Price
28 Sep 2026	02 Oct 2026	Physical	$1,500

Ready to enroll or request a customized program? Book online or contact us:

Register Online Now

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