QUEST
Professional Center

PROFESSIONAL TRAINING COURSE

Course No. 1102

Audit, Risk & Compliance for Financial Institutions

BANKING GOVERNANCE, AUDIT & REGULATORY FRAMEWORKS
FINANCE, INVESTMENT & BANKING

DURATION
5 Days

DELIVERY
Classroom

Course Overview

Audit, Risk & Compliance for Financial Institutions is a comprehensive professional training course designed to equip executives, audit professionals, risk managers, compliance officers, governance specialists, and financial institution leaders with the strategic knowledge and practical skills required to strengthen governance, enhance risk management, and ensure regulatory compliance across financial organizations. As financial institutions operate in an increasingly complex regulatory environment characterized by digital transformation, evolving financial crime threats, cybersecurity risks, and heightened supervisory expectations, integrating audit, risk, and compliance functions has become essential for achieving organizational resilience and sustainable performance.

The course provides participants with a comprehensive understanding of the interconnected roles of internal audit, enterprise risk management, and regulatory compliance within financial institutions. Participants will examine governance structures, the Three Lines Model, risk governance, internal control systems, audit planning, compliance frameworks, regulatory reporting, and assurance activities. The program also explores how integrated governance enables organizations to identify emerging risks, strengthen internal controls, improve operational performance, and maintain stakeholder confidence.

The program further explores the relationship between Audit, Risk & Compliance for Financial Institutions and Corporate Governance, Enterprise Risk Management (ERM), Internal Controls, Basel III and Basel IV, Regulatory Compliance, Anti-Money Laundering (AML), Counter-Terrorist Financing (CTF), Fraud Risk Management, Operational Risk Management, Credit Risk Management, Market Risk Management, Liquidity Risk Management, Cybersecurity, Digital Banking Transformation, Information Technology (IT) Governance, Business Continuity Management, Environmental, Social, and Governance (ESG) principles, and strategic performance management. Participants will strengthen their ability to establish integrated governance frameworks that support accountability, transparency, regulatory readiness, and continuous improvement.

Through interactive workshops, financial institution case studies, audit simulations, enterprise risk assessments, compliance evaluations, governance reviews, control testing exercises, and implementation planning activities, participants will develop practical capabilities to improve governance effectiveness, strengthen internal controls, enhance regulatory compliance, reduce organizational risks, and support long-term institutional success. By the end of the course, participants will be equipped to integrate audit, risk, and compliance functions into a unified governance framework that delivers measurable business value and sustainable organizational performance.

Objectives

- Analyze Audit, Risk & Compliance principles and evaluate their contribution to governance, operational resilience, and organizational performance by the end of the course.
- Develop integrated governance frameworks that align audit, enterprise risk management, and regulatory compliance functions.
- Evaluate the effectiveness of internal controls, governance structures, and enterprise-wide risk management processes.
- Apply international standards and best practices for auditing, risk management, and regulatory compliance within financial institutions.
- Design integrated assurance programs that address strategic, operational, financial, compliance, and technology risks.
- Improve organizational decision-making through coordinated audit, risk, and compliance activities.
- Strengthen governance through AML controls, CTF measures, fraud prevention, regulatory compliance, and ethical business practices.
- Implement Key Performance Indicators (KPIs), Key Risk Indicators (KRIs), and compliance performance metrics to evaluate governance effectiveness.
- Assess the impact of Digital Banking Transformation, cybersecurity, artificial intelligence, ESG requirements, and emerging technologies on audit, risk, and compliance functions.
- Align governance initiatives with corporate strategy, regulatory expectations, organizational risk appetite, and sustainable institutional growth before course completion.

Who Should Attend

This course is designed for Chief Audit Executives, Internal Audit Managers, Internal Auditors, Chief Risk Officers, Risk Managers, Compliance Managers, Governance Managers, Financial Controllers, Operational Risk Specialists, Credit Risk Managers, Market Risk Managers, Treasury Managers, AML Professionals, Fraud Risk Specialists, IT Governance Professionals, Cybersecurity Managers, Legal Advisors, Senior Executives, Board Members, and professionals responsible for governance, audit, risk management, and compliance within financial institutions.

The program is equally valuable for professionals working in central banks, financial supervisory authorities, ministries, government entities, commercial banks, investment banks, Islamic banks, insurance companies, financial technology organizations, consulting firms, public sector organizations, and decision-makers responsible for governance, regulatory compliance, institutional oversight, enterprise risk management, and organizational excellence.

Learning Outcomes

- By the end of this course, participants will be able to:
- Develop integrated audit, risk, and compliance frameworks for financial institutions.
- Evaluate governance structures and internal control systems using internationally recognized methodologies.
- Apply enterprise risk management principles to identify, assess, monitor, and mitigate organizational risks.
- Conduct audit and compliance assessments aligned with regulatory expectations and professional standards.
- Integrate AML, CTF, fraud prevention, and regulatory compliance requirements into governance frameworks.
- Utilize KPIs, KRIs, and compliance performance metrics to monitor governance effectiveness and organizational resilience.
- Assess risks associated with Digital Banking Transformation, cybersecurity, artificial intelligence, and emerging financial technologies.
- Prepare professional governance, audit, risk, and compliance reports with practical recommendations for executive management.
- Advise boards of directors and executive leadership on governance enhancement, regulatory developments, and strategic risk management initiatives.
- Develop a practical implementation roadmap that strengthens governance, enhances internal controls, improves regulatory compliance, reduces enterprise risks, increases operational resilience, and supports sustainable institutional performance.

Course Outline

DAY 01

Foundations of Governance, Audit, Risk, and Compliance

- Corporate governance principles for financial institutions
- The Three Lines Model and governance responsibilities
- Roles of audit, risk, and compliance functions
- Integrated governance frameworks

PRACTICAL APPLICATION OR DISCUSSION

Assessing governance maturity within a financial institution

DAY 02

Enterprise Risk Management and Internal Controls

- Enterprise Risk Management (ERM) frameworks
- Risk identification, assessment, and mitigation
- Internal control systems and control evaluation
- Risk-based decision-making

PRACTICAL APPLICATION OR DISCUSSION

Conducting an enterprise risk assessment

DAY 03

Internal Audit and Regulatory Compliance

- Risk-based internal auditing methodologies
- Regulatory compliance management
- AML, CTF, and fraud risk management
- Regulatory reporting and supervisory expectations

DAY 03 — CONTINUED

PRACTICAL APPLICATION OR DISCUSSION

Evaluating compliance and internal audit effectiveness

DAY 04

Digital Governance and Organizational Resilience

- Cybersecurity governance and IT risk management
- Digital Banking Transformation and technology governance
- Business continuity and operational resilience
- KPIs, KRIs, compliance indicators, and governance reporting

PRACTICAL APPLICATION OR DISCUSSION

Developing an executive governance and risk dashboard

DAY 05

Strategic Governance Excellence

- Building an integrated Audit, Risk & Compliance framework
- Governance culture, ethics, and accountability
- Emerging trends in financial institution governance
- Continuous improvement and governance assurance

FINAL WORKSHOP

Developing a comprehensive Audit, Risk & Compliance for Financial Institutions implementation roadmap that includes governance enhancement, enterprise risk management, risk-based auditing, regulatory compliance, AML and CTF controls, fraud risk management, internal control optimization, cybersecurity governance, Digital Banking Transformation oversight, KPI and KRI measurement, executive reporting, organizational change management, and continuous improvement initiatives to strengthen governance, improve operational resilience, enhance regulatory compliance, reduce organizational risks, and support sustainable institutional excellence.

Register or Request More Information

Course page: https://quest-training.com/courses/audit-risk-compliance-for-financial-institutions
Website: https://quest-training.com
Email: info@quest-training.com
Phone: +905016771440