Financial Control and Internal Audit for Banking Operations

22 - 26 Nov 2026
Sharm El-Sheikh (Egypt)

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MERCURY

Financial Control and Internal Audit for Banking Operations

Ref.: 16175_1009457 **Date:** 22 - 26 Nov 2026 **Location:** Sharm El-Sheikh (Egypt) **Fees:** 4500 **Euro**

Introduction:

Effective financial control and internal auditing are essential components of sound banking operations and governance. This Financial Control and Internal Audit for Banking Operations course aims to equip professionals with a comprehensive understanding of financial control frameworks, risk management processes, and internal audit strategies tailored to banking institutions. Participants will explore methods for identifying control weaknesses, implementing preventive measures, and ensuring regulatory compliance.

Through practical case studies and scenario-based learning, attendees will enhance their capabilities in audit planning, execution, and reporting. The Financial Control and Internal Audit for Banking Operations training emphasizes the integration of internal audit functions with enterprise risk and control environments.

Learners will gain insight into global best practices, standards, and internal control frameworks such as COSO and Basel guidelines. This Financial Control and Internal Audit for Banking Operations program prepares banking professionals to lead internal audit functions and strengthen institutional integrity.

Targeted Groups:

This Financial Control and Internal Audit for Banking Operations training course targets professionals seeking specialized knowledge and skills:

- Internal auditors in banking and financial institutions.
- Compliance and risk management officers.
- Financial controllers and finance department staff.
- Senior accountants and audit executives.
- Heads of internal audit and audit committee members.
- Bank operation managers and supervisors.
- Professionals preparing for audit roles in banking.
- Financial analysts seeking audit specialization.
- Regulatory compliance consultants.
- Government and central bank supervisory personnel.

Course Objectives:

Participants will achieve the following objectives by completing the Financial Control and Internal Audit for Banking Operations course:

- Understand the role of internal audit in banking environments.
- Analyze key financial controls and internal audit frameworks to ensure effective oversight.
- Evaluate financial risks and their impact on operations.
- Apply audit methodologies to assess the effectiveness of internal control.
- Design internal control systems to reduce operational risks.
- Interpret financial statements to detect irregularities.
- Develop risk-based internal audit plans.
- Conduct audits in compliance with international standards.
- Prepare structured audit reports with actionable insights.
- Integrate compliance and internal control monitoring systems to ensure effective oversight.
- Identify fraudulent activities using audit tools.
- Enhance financial reporting accuracy through audit practices.
- Coordinate internal audits with regulatory expectations.
- Strengthen accountability through internal audit findings.

Targeted Competencies:

Participants will gain the following competencies during the Financial Control and Internal Audit for Banking Operations program:

- Financial risk assessment and control evaluation.
- Internal audit planning and execution.
- Identification of audit red flags and fraud risk indicators.
- Development of compliance and monitoring systems.
- Interpretation of financial control data.
- Application of Auditing Standards in Banking Contexts.
- Preparation of audit documentation and reporting.
- Strategic communication of audit findings.
- Analytical decision-making based on audit outcomes.
- Integration of control frameworks with bank operations.

Course Content:

Unit 1: Foundations of Financial Control in Banking Operations:

- Overview of financial control systems in the banking sector.
- Key principles and goals of financial control.
- Regulatory frameworks impacting bank financial controls.
- The Role of Financial Control in Banking Governance.
- Common control weaknesses in bank operations.
- Key control areas: asset management, lending, and reconciliation.
- Control standards and frameworks e.g., COSO, Basel III.
- Case study: Breakdown in control and financial loss.
- The Impact of Digital Transformation on Financial Control Practices.

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Unit 2: Internal Audit Principles and Strategic Role in Banks:

- Introduction to internal audit functions in financial institutions.
- Internal Audit Lifecycle: Planning, Execution, and Reporting.
- Independence and objectivity in internal audit.
- Internal Audit vs. External Audit: Key Distinctions.
- Building a risk-based internal audit plan.
- Internal audit and regulatory compliance integration.
- Relationship between internal audit and corporate governance.
- Tools and technologies supporting audit functions.
- Audit Findings: Communication, Recommendations, and Follow-up.

Unit 3: Financial Risk Management and Control Mechanisms:

- Understanding operational, credit, and market risk in banks.
- Evaluating risk exposure through internal control mechanisms.
- Linking risk assessments with audit procedures.
- Fraud risks and the role of internal controls.
- Designing effective controls to mitigate financial risks.
- Monitoring financial transactions for irregularities.
- Best practices in internal control testing.
- Automation of control processes in financial environments.
- Risk indicators and their relevance to audit planning.

Unit 4: Conducting Effective Internal Audits in Banking:

- Steps in planning an internal audit assignment.
- Gathering and analyzing audit evidence.
- Interview techniques and walkthroughs in auditing.
- Sampling methods for audit tests.
- Developing audit working papers and documentation.
- Audit report writing: structure, clarity, and impact.
- Communicating with auditees and resolving disputes.
- Follow-up procedures and action tracking.
- Leveraging technology and analytics in auditing.

Unit 5: Regulatory Compliance, Ethics, and Reporting:

- Overview of global regulatory requirements e.g., Basel, AML.
- Role of the auditor in ensuring regulatory compliance.
- Ethics and Confidentiality in Internal Audit Practice.
- Reporting control failures to stakeholders and regulators.
- Assessing compliance with internal policies and procedures.
- Regulatory audits vs. internal audits.
- Documenting audit trails and compliance reviews.
- Common audit findings and regulatory concerns.
- Strategic alignment of audit outcomes with business goals.

Final Insights & Key Takeaways:

Financial control and internal audit are cornerstones of sound banking operations. This Financial Control and Internal Audit for Banking Operations program enables participants to implement risk-focused controls and conduct insightful internal audits. Strengthening internal controls improves financial integrity, compliance, and performance. Professionals will leave prepared to safeguard their institutions with robust audit practices and control systems.

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