

Bank Audit - Principles, Methods and Best Practice

General objectives:

This course aims to give professionals the knowledge and skills about importance of the audit in banking context as a tool in the control and management support.

Specific objectives:

At the end of the course, professionals are able to:

- Define audit;
- Differentiate internal audit and external audit;
- Understand the context of internal audit in organizations;
- Define bank audit in several areas: branches bank, clients, information technology, financial, and others
- Identify prevention methods of the money laundering;
- Comment and analyze real cases.

Target Audience:

All professionals involved and with responsibilities Bank Audit and its processes.

Hours:

30 hours.

Program Contents:

Module I – Audit: Definition

- Internal Audit vs External Audit.

Module II – Historical evolution of the audit

Module III – The context of Internal Audit

- The importance of evidence in internal audit
- Concept and objectives of internal control
- Limitations of Internal Control
- Risk and support to management

Module IV – Context and importance of bank audit

- Bank audit procedures
- Types of bank audit
 - Audit of branches
 - Audit of credit
 - Audit of clients
 - Information technology Audit
 - System Audit
 - Audit information for analysis
 - Financial audit
 - Audit of central services
- Disciplinary procedures: Fraud / Customer Complaints
- Preparation of information for external audit and other institutional relations: Stock Exchange, Central Bank, CMVM, MF

Module V – Preventing money laundering

- What is money laundering
- Operations most used in money laundering
- Identify money laundering prevention methods
- Case Study

Module VI – Session of questions and answers