

Internal Audit Framework

Banking, Finance & Fintech

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This guide explains what the tool produces, how to use the output, and what to watch for. The actual output (draft/report) is generated on the tool page.

Background

Builds an internal audit framework for a financial entity — a risk-based audit plan, scope and frequency, reporting to the audit committee, coverage of key areas (credit, operations, compliance, IT, AML) and action tracking. Use this for independent assurance over your controls in line with RBI internal-audit / RBIA expectations.

Purpose of this tool & output

Independent assurance over controls

How the output is used

Use the framework for independent assurance over controls, spanning credit, ops and compliance.

Who should vet it

An internal auditor independent of the audited function.

Important cautions

AI-generated framework; align to RBI internal audit and RBIA expectations.

Companion documents

- AML / KYC Policy Builder
- KYC & CDD SOP
- Suspicious Transaction Handling
- Regulatory Compliance Calendar
- Data Security & IT Policy
- Outsourcing Policy

This is AI-assisted guidance. Verify with a qualified professional before any binding decision. Fees, authorities and processes vary by state and change over time — confirm with your state authority.