



The Institute of Internal Auditors, Singapore

The Secretariat
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22 August 2011

Dear Members

3 Day Seminar on

Auditor-in-charge Tools and Techniques

19 – 21 October 2011 by Ms Lilian Tay

What you will gain from this Talk:

YOUR OPPORTUNITY TO...

- Master project management techniques through effective planning, organizational techniques, and expecting the unexpected.
- Learn eight simple planning tools that ensure success.
- Find out how to control the audit by using well-established supervisory, communication, and time-management techniques.
- Identify six steps of effective delegation.
- Learn how to train auditors to perform assigned tasks, solve problems, and document audits properly.

Description

Leading an audit team not only requires a great deal of knowledge, it also requires dedication, efficiency, and effective leadership skills. New audit leaders today need to know how to properly run a team so that every project runs smoothly. In other words, they need the skills to lead with confidence.

This stimulating and informative session covers the organization, time management and problem solving skills necessary for managing a successful team. Incorporating diverse teaching methods from lectures to case studies to group discussions, auditors will learn and practice eight simple planning tools that ensure success. Upon completion, participants will also be able to identify the six steps of effective delegation, a tool imperative to running any audit team.

Course Outline

Please refer to Appendix I attached.

About the Speaker

Lilian Tay was the Past President of IIA Singapore. She has served on the board of governors for several years, championing the important role of internal auditors, the value that they bring to their organisations and raising the skills and quality of internal audit services in Singapore. Lilian has had many years of experience heading the Internal Auditing function in European offshore banks covering Asia businesses in capital markets, commodities financing, structured finance, corporate finance, global trade services, syndications, and institutional banking services. She has also gained experience in line management roles including General Manager responsible for back office, controls and support functions of an offshore bank and Head of Human Resources for an offshore bank.

Having built her career in banking and internal auditing, Lilian's studies have focused in these areas. She is qualified as a Certified Internal Auditor, Certified Financial Services Auditor, Fellow of the Chartered Institute of Bankers (now known as ifs School of Finance), and also holds a Masters of Business Administration.

Who Should Attend

Recently promoted auditors-in-charge or auditors assuming the role of lead auditor of an audit project.

Details of the administrative arrangements are as follows:

Date : 19 – 21 October 2011

Time : 9.00 am – 5.00 pm
(Lunch and refreshments provided)

Registration : 8.45 am

Venue : **Amara Singapore**
165 Tanjong Pagar Road
Singapore 088539

CPE credit : 24 hours

Fee : S\$1,050 (IIA / ISACA Member)
S\$1,365 (Non-member)
*** NO GST payable**
****NO invoice will be issued**

Closing Date : 7 October 2011

Please return the reply slip together with your cheque made payable to "**The Institute of Internal Auditors Singapore**". **No invoice will be issued.**

Yours sincerely
Lena Kuok
for Education Committee

REPLY SLIP

To: The Institute of Internal Auditors, Singapore
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3 Day Seminar on **Auditor-in-charge Tools and Techniques**

19 – 21 October 2011 by Ms Lilian Tay

From: Mr/Mrs/Ms/Miss _____

Organisation: _____

Mailing Address: _____

Tel: _____ Fax: _____ Mobile: _____ Email: _____

Name of Attendee	Designation	IIA / ISACA Membership No. (where applicable)

Terms and Conditions:

1. Notification of withdrawal in writing received **seven working days or more before** the event will be processed for refund after deduction of \$100 processing fee.
2. No refund will be made for shorter notice but you are welcome to send a replacement.
3. Registration is only confirmed when full payment is received. An official receipt will be sent to you.
4. Payment must be received **before** commencement of the event.
5. No invoice will be issued.
6. IIAS reserves the right to cancel, postpone, alter the programme and/or change the speaker due to unforeseen circumstances.
7. Request for special food arrangement must be made at time of registration.

Enclosed is cheque number _____ for S\$ _____ being payment for _____
IIA / ISACA member(s) @ S\$1,050 and _____ non-member(s) @ S\$1,365.

Participants will be awarded 24 CPE hours upon completion of the course.

[Cheque should be crossed and made payable to "The Institute of Internal Auditors Singapore"]

>>>> Complete and Fax to : (65) 6220 5972 for Reservation <<<<<

Course Outline

ROLES AND QUALITIES OF AUDITORS-IN-CHARGE

- Identify the duties of the auditor-in-charge.
- Identify informal leadership qualities and qualities for the auditor-in-charge.
- Identify the International Professional Practices Framework, definition of internal audit, and IIA standards.

CASE STUDY

- Identify elements of the fictional company Microcomp, the Microcomp internal audit department, and an overview of the audited operation.

PLANNING THE AUDIT

- Identify the definitions of planning and IIA audit planning Standards.
- Identify the information found in a planning memo.
- Identify the objectives of an opening conference.
- Identify the questions answered by the preliminary survey, what the preliminary survey should identify, and how to assess control effectiveness.
- Identify the tools and techniques used in audit planning.
- Identify computer-based audit tools and how they are implemented and audit planning guidelines for information technology.
- Identify the responsibilities of auditors toward fraud prevention and detection, and control environment elements.
- Identify the general and application controls reviewed in an audit.

AUDIT PROGRAMS AND STAFFING ASSIGNMENTS

- Identify problems with audit program preparation, approaches to audit program development, and attributes of effective audit programs.
- Identify factors the auditor-in-charge needs to consider when staffing an audit program and effective methods for delegating tasks.

SUPERVISING AND CONTROLLING AUDITS

- Identify the auditors-in-charge control responsibilities, how to avoid control problems, and three easy steps to audit control.
- Identify time management problems and ideas for improving time management.

ACHIEVING RESULTS USING PROJECT PLANNING AND MANAGEMENT

- Define project management and identify the advantages of project management.
- Identify the qualities and skills needed by a good project manager.
- Identify two methods for improving project results.
- Identify the components of a project plan.
- Identify how to estimate the resource requirements for a project.
- Identify methods for making up time on a project that is behind schedule.
- Identify methods for preventing conflicts and resolving conflicts.

REVIEWING WORKING PAPERS

- Identify the IIA Standards and quality assurance and program Standards relevant to reviewing working papers.
- Identify the practice advisories related to working paper reviews, the objectives for a workpaper review, and tips for using electronic workpapers.

AUDIT CONCERNS AND REPORTS

- Identify audit concerns, client reactions to audit concerns, ways to sell audit concerns, and the elements of an audit concern.
- Identify the functions of audit reports, key IIA communication Standards, and characteristics of effective reports.

THE EXIT CONFERENCE

- Identify the functions of the exit conference.
- Identify the planning issues for exit conferences.
- Identify the keys to a successful exit conference.

WRAPPING UP THE AUDIT

- Identify the tasks required to complete audits.
- Identify the criteria used by lead auditors to determine if audit responses are adequate.

APPRAISING STAFF AUDITOR PERFORMANCE

- Identify the benefits of performance evaluations, standards for measuring auditor performance, and other factors influencing performance appraisals.
- Identify the steps to ensuring a performance appraisal meeting is successful.

DEVELOPING A PERSONAL ACTION PLAN