



## The Institute of Internal Auditors, Singapore

The Secretariat  
138 Robinson Road #18-08  
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21 June 2011

Dear Member

### 3 Day Seminar on **Beginning Auditor Tools and Techniques**

31st Aug – 2 Sep 2011 by Mr Eric Lim

#### What you will gain from this Talk:

##### YOUR OPPORTUNITY TO...

- Learn how to perform the work of internal auditing enabling you to carry out your assignment on a value-added audit engagement
- Engage in a risk-based audit approach, from planning through process documentation to testing, analysis, and reporting
- Understand internal auditing today
- Become familiar with the scope and application of the *Professional Practices Framework*
- Learn the concepts and terms that are central to internal auditing
- View your own organization from an internal auditing perspective
- Learn how to communicate and "sell" internal auditing results

#### Description

To become a successful auditor, a strong base of knowledge and an understanding of basic auditing skills are essential. With this program, new auditors, as well as non-auditors with internal control responsibilities, can learn the ins and outs of an audit from beginning to end.

Through team exercises, group discussion, and lectures, attendees will gain a foundation of knowledge that will allow them to properly prepare for and conduct a successful audit, using preliminary surveys and evidence-gathering techniques. A basic understanding of the roles of risks and internal controls in auditing will also be stressed, along with interpersonal and team-building skills.

## About the Speaker

**Eric Lim** is the Head of Internal Audit of Research and Development Company in Singapore. He has over 20 years of management, financial and auditing experience. He was instrumental in setting up the Internal Audit Department and adopting good practices to enhance the effectiveness of internal auditing activity. His projects include reviewing ERM framework and have successfully completed operational efficiency project and QAR in his department. He has also delivered courses such as Report writing, Risk Based Auditing, Auditing for Beginners, Operational Auditing and IA Workplan Using Management Concepts.

Mr Eric Lim is a Certified Public Accountant, Singapore and holds an accreditation in Internal Quality Assessment. He graduated with an MBA in Accountancy at NTU and MA in Economics in Canada Saskatchewan

Over the past years, he gave talks and shared experiences with MBA students, and organizations relating to internal audit and organizational issues.

He was a governor covering Education portfolio and is now the Vice President, Institute of Internal Auditors, Singapore.

## Who Should Attend

- Beginning auditors, with up to one year's experience in internal auditing.
- Non-auditors responsible for business-controls, compliance, and quality-audit activities.

## Details of the administrative arrangements are as follows:

Date : 31<sup>st</sup> Aug – 2<sup>nd</sup> September 2011

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

Registration : 8.45 am

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

CPE credit : 21 hours

Fee : S\$1.050 (IIA / ISACA Member)  
S\$1,365 (Non-member)  
**\* NO GST payable**  
**\*\*NO invoice will be issued**

Closing Date : 22<sup>nd</sup> August 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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Singapore 068906  
Tel: 6324 9029  
Fax: 6220 5972

## 3 Day Seminar on Beginning Auditor Tools and Techniques

31<sup>st</sup> August – 2<sup>nd</sup> September 2011 by Mr Eric Lim

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 21 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

## **INTERNAL AUDITING TODAY**

- Define internal auditing
- Identify the roles of internal auditors
- Describe the components of the Audit Model

## **RISK ASSESSMENT AND RISK MANAGEMENT**

- Identify the components of risk assessment and risk management as they relate to internal auditing
- Identify the components of the COSO Internal Control Framework

## **AUDIT PLANNING**

- Identify the requirements of annual audit planning.
- Identify the components of an audit project plan.

## **INTERVIEWING**

- Identify the components of interviews.

## **PROCESS DOCUMENTATION**

- Identify the common forms used during process documentation.

## **AUDIT PROGRAMS**

- Identify the components of audit programs.

## **EMERGING TOOLS**

- Identify emerging tools that automate the audit process.

## **TESTING**

- Identify the methods for obtaining and presenting audit evidence.

## **REPORTING**

- Identify the process to report audit findings.

## **SELLING OF THE RESULTS**

- Identify the best practices for selling audit results to stakeholders.

## **TEAMWORK**

- Identify the components required to function successfully on an audit team.