



The Institute of Internal Auditors, Singapore

The Secretariat
10 Anson Road
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23 March 2007

Dear Members,

A Practical Approach to Critically Reviewing the Adequacy of Legal Risk & Compliance Risk Management Framework

1/2 Day Course (*am*) on 10 April 2007

Presented by

Mr. Peter White, B. Econ. LLB. (Hons.)

Director ICounsel Pte Ltd

About the course

Increasingly, boards, CEOs and the authorities require '*compliance risks*' to be '*proactively managed*' as part of companies' *internal controls*.

Accordingly, *internal auditors* responsible for auditing the adequacy of companies' internal controls, *now need to*

- **Understand** the issues driving these requirements
- **Be aware** of the difference between legal risk and compliance risk and the different management frameworks used to manage and provide M.I. on those risks
- **Understand** the management framework typically used to manage compliance risk
- **Know how to identify** inadequacies in any management framework used by their organisation to address their organisation's compliance risk.

Who Should Attend

- Internal Auditors
- CFO's
- In-house counsel
- Compliance Managers
- Risk Managers
- Company Secretaries
- External Auditors
- Independent Directors
- CEOs, COOs and senior managers

About the Trainer

Mr. Peter White

B. Econ. LLB (Hons.)

Peter is a founder of **ICounsel Pte Ltd**

ICounsel Pte Ltd is a regional consultancy firm specialising in providing support to specialist professionals in management who have Corporate Governance responsibilities (such as CEOs, company secretaries, corporate counsel, compliance officers and internal auditors).

Peter, a lawyer by training, has extensive experience in applied corporate governance, banking and finance and commercial law in both Australia and South East Asia.

Prior to establishing ICounsel he was employed by the HSBC Group in Hong Kong and Singapore in various roles including Head, Legal Compliance and Company Secretarial HSBC Group Singapore.

Course Outline:

The session will discuss and explain:

- Where the pressure is coming from for organisations to have a compliance risk management framework
- What is required of general management and specialist internal auditors in such a framework
- The differences and similarities between legal and compliance risks
- Critical issues to be resolved between management and Board and of which internal auditors need be aware and address in audits
- A model compliance risk management framework including
 - Systems
 - Documentation
- The indicators of a healthy and sustainable compliance risk management framework which internal auditors should address in audits
- The 'value add' which Internal Auditors can provide.

Details of the administrative arrangements are as follows:

Date : 10 April 2007
Time : 8:30am – 12:30pm
(Refreshments provided)

Registration : 8:00am

Venue : Grand Plaza Park Hotel
Ballroom I, Level 2
10 Coleman Street,
Singapore 179809

CPE Credit : 3.5 hours

Fee : S\$150 (IIA / ISACA Member)
S\$195 (Non-member)
*** NO GST Payable**
**** NO Invoice will be issued**

Closing Date : [5 April 2007](#)

Please return the reply slip together with your cheque made payable to “**The Institute of Internal Auditors Singapore**”.

Yours sincerely
Administration Officer
For Education Committee

REPLY SLIP

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Compliance Risk Management Framework**
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Director ICounsel Pte Ltd

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 S\$80 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. Organiser reserves the right to make any amendments or changes to the programme, venue, dates, speaker replacements or topics if warranted.
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\$150 and _____ non-member(s) @ S\$195.

*** Each participant will be awarded 3.5 CPE credit 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 <<<<<<<<<<