



The Institute of Internal Auditors, Singapore

The Secretariat
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18 December 2009

Dear Members

3 Day Seminar on

Auditor-in-Charge Tools and Techniques

1 – 3 February 2010 by Mr Phil Moulton

What you will gain from this seminar:

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.

Course 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.

About the Speaker

Phil Moulton

After residing in Singapore and delivering professional services, training and innovative presentations in Singapore and SE Asia over the past 6 years, Phil is well known to many members of the Institute.

Phil Moulton is a Managing Director at Protiviti, a leading global provider of Internal Audit, Risk and Business Consulting. As the leader of Protiviti's Internal Audit practice in Singapore and SE Asia, he brings strong experience and insights into internal audit, risk management and corporate governance as a result of liaising with Company Directors, Audit Committees and Senior Executives. This experience has been gained from providing outsourced internal audits, risk management projects, Quality Assessment Reviews, and IA Transformation consulting projects comprising large project teams for some of the region's largest companies and banks. His full professional profile is available on LinkedIn on the internet.

He is a Certified Internal Auditor, Accredited Quality Assessor, Certified in Control Self Assessment as well as a Chartered Accountant (Australia) and Fellow-CPA (Australia).

He has been a past governor with the Singapore Institute of Internal Auditors, and served in the Queensland (Australia) Chapter of the IIA. He has also served on the International Professional Issues Committee for IIA. He was the representative for IIA Australia for the ASX Code of Corporate Governance Best Practice Guidelines in 2002-2003.

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 : 1 – 3 February 2010

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

Registration : 8.30 am

Venue : Amara Singapore
165 Tanjong Pagar Road
Singapore 088539

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 : 21 January 2010

**Complimentary carpark coupon will be given on a first-come-first serve basis.*

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 079903
Tel: 6324 9029
Fax: 6220 5972

3 Day Seminar on

Auditor-in-Charge Tools and Techniques

1 – 3 February 2010 by Mr Phil Moulton

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

ROLES AND QUALITIES OF AUDITORS-IN-CHARGE

- The multi-faceted role of the auditor-in-charge
- Duties and qualities of the successful auditor-in-charge
- Perform a self-analysis: the first step toward improving managerial skills

CASE STUDY

- Familiarization with case study to be used throughout course

PLANNING THE AUDIT

- The importance of audit planning
- Potential constraints to planning
- The preliminary survey
- Quickly identify who, what, when, where, and how during the preliminary survey
- The opening conference
- Solicit management's involvement during the opening conference
- Write a flexible planning memo that will serve as a guide throughout the audit
- Developing clear, value-added audit objectives during the planning phase
- Using computers in planning and fieldwork
- Examples of various planning tools

AUDIT PROGRAMS AND STAFFING ASSIGNMENTS

- Nine attributes of an effective audit program
- Four costly mistakes in audit program development
- Developing and revising the audit program
- Assigning audit tasks efficiently and effectively
- Staffing factors to take into consideration
- Steps for effective delegation

SUPERVISING AND CONTROLLING AUDITS

- Effective supervision techniques
- Avoiding control problems
- Eight simple practices that will keep the audit on target
- New time-management strategies
- Videotape presentation

ACHIEVING RESULTS USING PROJECT PLANNING AND MANAGEMENT

- Qualities of effective project managers
- Keep projects on schedule
- Drafting a project plan
- Estimate resource requirements
- Prevent conflicts among team members

REVIEWING WORKING PAPERS

- Identify attributes associated with quality working papers and review notes
- Write effective value-added review notes
- Develop review points that enhance workpaper communication and encourage auditor confidence and performance
- Tips for using electronic work papers

AUDIT CONCERNS AND REPORTS

- Understand the AIC's responsibilities over audit concerns and reports
- Develop an understanding of the principles of effective audit reports
- Discover the fundamentals of quality audit reports and related issues

THE EXIT CONFERENCE

- Keys to successful exit conferences that will solicit client agreement
- Project a positive and professional image
- Learn techniques that ensure conferences fulfill audit objectives
- Practice conducting an audit exit conference

WRAPPING UP THE AUDIT

- Tasks required to complete audits
- Evaluating management responses to audit reports

APPRAISING STAFF AUDITOR PERFORMANCE

- Performance evaluation principles
- Communicating performance appraisals

DEVELOPING A PERSONAL ACTION PLAN

- Self-assessment exercise - possible solutions