



## The Institute of Internal Auditors, Singapore

The Secretariat  
10 Anson Road  
#10-13A International Plaza  
Singapore 079903  
Tel: 6324 9029  
Fax: 6220 5972  
Email: [iiasg@singnet.com.sg](mailto:iiasg@singnet.com.sg)

1 August 2009

Dear Members

### Half Day Session on

# CAE Strategic Planning Forum

28 October 2009 by Mr Donald Espersen

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

##### YOUR OPPORTUNITY TO...

- Participate in an interactive forum that focuses on current issues, audit trends, and emerging practices
- Create, improve or validate your internal audit organization's strategies for meeting the challenges/opportunities of today's internal audit profession
- Leave the session with a manageable number of prioritized action steps

##### DESCRIPTION

This forum is based on the core components of the CAE Strategic Planning Framework used in the IIA's highly rated Vision University programs. It will lever the forum leader's insights gained from facilitating IIA Vision University, Seminar and Conference sessions – and from his experiences from working with several international internal audit organizations.

Prior to the session – the participants will rank the importance of the four discussion topics (Please use See Appendix I to rank the topics). We will cover the group's 2-3 top priorities during the session. At the close of each major topic there will be a brief benchmarking activity to enable participants to compare practices and develop their strategies.

##### FORUM "TOPIC OUTLINE" (SEE APPENDIX I FOR ADDITIONAL INFORMATION)

- Topic #1 – Client and Stakeholder Expectations
- Topic #2 – Risk Assessment and Audit Plans
- Topic #3 – Emerging Roles: Governance, Risk Management & Control
- Topic #4 – Internal Audit Staffing

## ABOUT THE SPEAKER

**Donald Espersen**, CIA, is an independent risk/control advisor and internal auditor based in St. Paul, Minnesota, USA. He specializes in the design and delivery customized training programs and internal audit quality improvement activities. He has worked with client groups in Africa, Asia, Canada, Europe, Mexico, the Middle East, South America, and the United States.

Prior to forming despersen & associate in 1999, Espersen held a variety of Chief Audit Executive internal audit management and staff positions in several financial services organizations. Espersen is an active member of the IIA. He is a member of the Board of Research & Educational Advisors and was the co-editor of the Internal Auditors "Risk Watch" column from 2001-2008. He is also an IIA distinguished faculty member, holds The IIA's accreditation in Internal Quality Assessment/Validation, and has a B.S. in Business from the University of Minnesota.

## WHO SHOULD ATTEND

- CAE's, Audit Directors and Managers
- Organization management with internal audit responsibilities
- NOTE: Attendance will be limited to no more than 25 participants to provide maximum interaction and networking opportunities.

## DETAILS OF THE ADMINISTRATIVE ARRANGEMENTS ARE AS FOLLOWS:

Date : 28 October 2009

Time : 2 pm  
(Refreshments and snacks provided)

Registration : 1.30 pm

Venue : **Grand Park City Hall** (former Grand Plaza Park City Hall)  
**Ballroom 1, Level 2**  
10 Coleman Street  
Singapore 179809

CPE credit : 3 hours

Fee : S\$175 (IIA / ISACA Member)  
S\$228 (Non-member)  
**\* NO GST payable**  
**\*\*NO invoice will be issued**

Closing Date : 16 October 2009

*\*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

Half Day Session on

# CAE Strategic Planning Forum

28 October 2009 by Mr Donald Espersen

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. IIA 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\$175 and \_\_\_\_\_ non-member(s) @ S\$228.

**Participants will be awarded 3 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 <<<<<**

**FORUM TOPIC OUTLINE & RANKING**

Please rank the four topics (1=high to 4=low) in order (i.e. only use each number once) of their current importance to your internal audit group. Feel free to add other questions and issues that are related to the topic. We will cover the group's 2-3 top priorities during the session. Thank you.

Rank	Topic and Potential Discussion Questions and Issues
	<p><b><u>TOPIC #1</u> – Client and Stakeholder Expectations</b></p> <ul style="list-style-type: none"> <li>• What are your Audit Committee/Senior Management client's current expectations – and what should they be?</li> <li>• How does Internal Audit deliver "real value" in the current economic environment?</li> <li>• <u>Feel free to add other questions and issues:</u></li> </ul>
	<p><b><u>TOPIC #2</u> – Risk Assessment and Audit Plans</b></p> <ul style="list-style-type: none"> <li>• How are you identifying the "next risk" before it happens and providing the right mix of Internal Audit services?</li> <li>• What has your Internal Audit group done to align your audit plans with organization current goals and strategies?</li> <li>• <u>Feel free to add other questions and issues:</u></li> </ul>
	<p><b><u>TOPIC #3</u> – Emerging Roles: Governance, Risk Management &amp; Control</b></p> <ul style="list-style-type: none"> <li>• What are your organization's key governance, risk management and compliance issues – and what are your client/stakeholder expectations regarding Internal Audit's role in these processes?</li> <li>• Is your Internal Audit group prepared to provide Governance and Risk Management process "assurance" – and an "overall opinion" on Control?</li> <li>• <u>Feel free to add other questions and issues:</u></li> </ul>
	<p><b><u>TOPIC #4</u> – Internal Audit Staffing</b></p> <ul style="list-style-type: none"> <li>• What strategies and tactics is your IA group using to deal with resource or budget constraints?</li> <li>• "Who" do you need to develop and retain in order to survive/<u>sustain</u> your value-added Internal Audit activities?</li> <li>• <u>Feel free to add other questions and issues:</u></li> </ul>

**>>> Please complete and Fax to : (65) 6220 5972 for with your reservation <<<**