

2026 FUNDAMENTALS OF COMPLIANCE AUDITING

(Developed By Global IIA)



IIAM
GLOBAL
SERIES



ADMINISTRATIVE DETAILS

TARGET AUDIENCE	LEVEL I-III
MEMBER'S FEE	RM2,916.00 All Fees is inclusive of 8% SST
NON-MEMBER'S FEE	RM3,348.00 All Fees is inclusive of 8% SST. <i>EARLY BIRD FEE 10% discount for registration received one (1) month prior to respective workshop dates</i>
DATE	2 & 3 December 2026
TIME	9:00 am – 5:00 pm (Registration will be on Day 1 at 8.30 am)
DELIVERY MODE	Physical Class
LOCATION	Kuala Lumpur
PROGRAMME CODE	2026/KL48
TRAINER	Lee Chew Foong
CPD POINTS	16

Disclaimer

This course has been planned as a classroom training session. In the event that the training session is converted to virtual format, a rebate of RM300 will be given for each participant. T&C apply.

PROGRAM OVERVIEW

In 2022 the SEC charged 16 publicly traded organizations over 1.1 billion USD in penalties after discovering widespread recordkeeping failures and other regulation compliance wrongdoings. Globally, top GDPR fines of 2022 totalled nearly 218 million Euros-across just 4 notable companies. "Finance, ultimately, depends on trust. By failing to honour their recordkeeping and books-and-records obligations, the market participants we have charged today have failed to maintain that trust," said SEC Chair Gary Gensler. Can your organization afford to be out of compliance?

Compliance auditing is typically used to evaluate whether the organization is following external regulations; however, it can also be used at a corporate level to determine whether a subsidiary company follows the wider corporation's procedures and policies. Internal auditors should exhibit high levels of proficiency and professional due care to ensure adequate testing is performed, reducing the likelihood of failing regulatory and other stakeholders' expectations.

This course provides a comprehensive overview of key compliance auditing concepts that are fundamental for all internal auditors. This course will introduce participants to a host of common regulations - both domestic to the United States, and globally - in addition to the controls needed to maintain compliance, and how to apply each regulation within the internal audit process. This course will also explore the associated reporting requirements (including but not limited to: SOX, PCI, HIPAA, breach notification, OFAC, ESG, GDPR), including tactics to collect evidence and perform internal audit activities against the regulatory reporting guidelines.



WHO WILL BENEFIT FROM THIS COURSE?

This course is intended to establish a comprehensive understanding of compliance regulations both in the domestic U.S. and globally. This course will provide insights and essential tools for the participants to utilize at their organizations when performing internal audit activities against regulatory guidelines. This course is designed for internal auditors that are involved in assessing processes that require regulatory compliance, and need to know how to assess for accuracy, completeness, and currency of existing data collection, management, and reporting processes and those wishing to gain an understanding of the regulatory, financial, and reputational risks resulting in the impact of inaccurate and/or incomplete data collection, data protection, and regulatory reporting.

COURSE OBJECTIVES

- Establish the importance of compliance and compliance reporting.
- Explore a suite of commonly encountered regulations impacting one or more industries focus on data collection, data protection, breach notification and compliance reporting requirements, current proposals, and recent changes.
- Review the suite of common risks and controls related to identifying and maintaining regulatory compliance in general.
- Discuss common U.S. and international data privacy regulations, and notable failure impacts.
- Evaluate common U.S. and international cybersecurity regulations, and notable failure impacts along with their impact on privacy regulations and the cryptocurrency industry.
- Identify challenges with maintaining compliance during rapidly shifting global work conditions, including increased volume of remote work, shifts to company culture, and increased demand for employee mental health and well-being.
- Examine the impact of climate change, environmental, environmental, and governance (ESG) and diversity, equity, and inclusion (DEI).
- Articulate the importance of data protection regarding data and people analytics.
- Explore current regulatory environment related to blockchain frameworks, and associated audit activities.
- Apply common techniques for performing internal audit activities against common regulatory guidelines.
- Identify common indicators of compliance-related fraud and how to identify, validate, and report such fraud.
- Evaluate internal audit's role in compliance.

OUTLINE

Compliance Overview

- Importance of compliance and compliance reporting.
- Regulatory guideline discovery techniques.
- Review of common:
 - Financial services regulations including cryptocurrency.
 - Health and safety regulations.
 - Critical infrastructure regulations.
 - Public sector regulations.
 - Retail regulations.
 - Manufacturing regulations.
 - Social media regulations.

General Regulatory Compliance Risk and Controls

- The impact of culture on regulatory compliance.
 - Learning vs. blaming culture.
 - Compliance vs. non-compliance culture.
 - Risk-adverse vs. risk-aggressive culture.
- The role and duties of the compliance committee.
- The role of the board and audit committee.
- Common controls to improve regulatory compliance.
- Common risks that impede regulatory compliance.

Data Privacy Regulations

- History and purpose of establishing data privacy regulations and notable failures.
- Data privacy disclosure and reporting requirements.
- Current and emerging regulatory requirements.
- Risks of inadequate protection of non-public data and information.
- Controls to protect data privacy.
- Techniques for internal auditors to assess the effectiveness of controls to ensure compliance with data privacy regulations.
- Overview of EU GDPR.
- Documenting data flow including IT-controlled and end-user (shadow-IT) controlled input sources.
- Opportunities for data analysis and automation in GDPR testing.
- Understanding the difference between accidental actions, management overrides with unintentional negative consequences, and fraudulent activities.



Cybersecurity Regulations

- History and purpose of establishing cybersecurity regulations and notable failures.
- Impact of privacy and cryptocurrency regulations on cybersecurity and incident response.
- Impacts of supply chain and other third-party risks.
- Cybersecurity and third-party risk management requirements.
- Cyberattacks including data breach disclosure, and reporting requirements.
- Risks of inadequate cybersecurity protections.
- Controls to protect against cyber exploits.
- Techniques for internal auditors to assess the effectiveness of controls to ensure compliance with cybersecurity and cryptocurrency regulations.

Response to a Rapidly Shifting Global Work Environment

- Identify challenges with maintaining compliance during within a rapidly shifting global work environment, including:
 - Increased volume of remote work.
 - Shifts to company culture.
 - Increased demand for employee mental health and well-being.
- Impacts of long-term shifts to remote work regarding maintaining regulatory compliance.
- Risks of inadequate protections and policies for telecommuting.
- Controls to protect data from inappropriate remote access and inappropriate data usage.
- Techniques for internal auditors to assess the effectiveness of controls to ensure compliance with regulations in a work-from-home/ remote-work environment.

Public Sector Regulations

- Overview of regulations relating to purchasing (supply chain), grants, taxes, and contracting.
- Current and emerging regulatory requirements.
- Documenting data flow including IT-controlled and end-user (shadow-IT) controlled input sources.
- Opportunities for data analysis and automation in regulatory compliance testing.
- Typical audit activities.
- Understand the difference between accidental actions, management overrides with unintentional negative consequences, and fraudulent activities.
- Strategies for identifying, investigating, and communicating suspicious activities.

Sarbanes-Oxley

- Overview of the regulation.
- Current and emerging regulatory requirements, including SOX for cybersecurity.
- Documenting data flow including IT-controlled and end-user (shadow-IT) controlled input sources.
- Opportunities for data analysis and automation in SOX testing.
- Typical audit activities.
- Understand the difference between accidental actions, management overrides with unintentional negative consequences, and fraudulent activities.
- Strategies for identifying, investigating, and communicating suspicious activities.

PCI-DSS

- Overview of the regulation.
- Current and emerging regulatory requirements.
- Documenting data flow including IT-controlled and end-user (shadow-IT) controlled input sources.
- Opportunities for data analysis and automation in PCI testing.
- Typical audit activities.
- Understanding the difference between accidental actions, management overrides with unintentional negative consequences, and fraudulent activities.
- Strategies for identifying, investigating, and communicating suspicious activities.

HIPAA

- Overview of the regulation.
- Current and emerging regulatory requirements.
- Documenting data flow including IT-controlled and end-user (shadow-IT) controlled input sources.
- Opportunities for data analysis and automation in HIPAA testing.
- Typical audit activities.
- Understanding the difference between accidental actions, management overrides with unintentional negative consequences, and fraudulent activities.
- Strategies for identifying, investigating, and communicating suspicious activities.

GLBA and FINRA

- Overview of the regulations.
- Current and emerging regulatory requirements.
- Documenting data flow including IT-controlled and end-user (shadow-IT) controlled input sources.
- Opportunities for data analysis and automation in GLBA and FINRA testing.



GLBA and FINRA (Cont.)

- Typical audit activities.
- Understanding the difference between accidental actions, management overrides with unintentional negative consequences, and fraudulent activities.
- Strategies for identifying, investigating, and communicating suspicious activities.

Block Chain Technology

- Overview of current regulatory environment related to blockchain frameworks.
- Provide insight into regulatory trends related to cryptocurrencies, NFTs, Smart Contracts, etc.
- Discuss the use of blockchain technology in money transfer, IoT, personal identity security, healthcare, logistics, government, and media.
- Typical audit activities.
- Understanding the difference between accidental actions, management overrides with unintentional negative consequences, and fraudulent activities.
- Strategies for identifying, investigating, and communicating suspicious activities.

Expanding Public Reporting: ESG, DEI, and Beyond

- Illustrate the impact of environment, society, and governance (ESG) and diversity, equity, and inclusion (DEI), while ensuring regulatory compliance and reducing reputational, regulatory, and financial risks.
- Impacts of current and emerging requirements for ESG reporting.
- Risks of inadequately collecting, storing, and reporting ESG- data to regulators and other key stakeholders.
- Controls for collecting, managing, and reporting on ESG and DEI related activities.
- Techniques for internal auditors to assess the effectiveness of controls to ensure compliance with regulations and stakeholder expectations regarding ESG and DEI.

ABOUT THE TRAINER

LEE CHEW FOONG FCCA (UK), CMIIA

Lee Chew Foong is a qualified professional trainer, is currently managing the internal audit division of a chartered accounting firm and is also the Financial Controller of a trading company. She graduated from ACCA in the United Kingdom and became a Fellow member in 1992. She worked in London for a few years with a Chartered Accountants firm and moved on to become the Financial Controller of a manufacturing and trading company. She has more than 25 years of experience in the internal audit profession and another 8 years in the finance circle.

Her internal audit attachments with many large public-listed organisations and also a multinational company have given her wide exposures to a whole range of businesses specialising in casino gaming, hotel, entertainment and amusement, power generation, water treatment, transport and tour services, property management and development, construction, finance and banking, trading and manufacturing of products such as foodstuffs, industrial chemicals, explosives, agrochemicals, fertilizers, dyes, x-ray films, pharmaceuticals, paints, research and development, information technology, timber extraction, contracting, palm oil and cocoa plantation, palm oil mill, hospital, and venture capital investment.

She has held appointments as the regional Group Internal Audit Manager of a large MNC, Group Internal Audit Manager of a hotel and property development group and as the Unit Head of Group Audit, Risk Management and Process Improvement in a plantation group. She has also been a speaker in a few major conferences on the subject of corporate governance months before this requirement was implemented in Malaysia.



Are you claiming under HRDC SBL Khas?

Yes No

COURSE DETAILS

Course Title 2026 Fundamentals of Compliance Auditing

Course Code 2026/KL48 Course Date(s) 2 & 3 December 2026

DELEGATE 1

Full Name (as per IC) _____

Designation _____

NRIC _____ Gender Male Female Race _____

Mobile No. _____ Email Address _____

Member Non-Member Membership No. (only applicable for members) _____

Dietary Preferences Vegetarian Non-Vegetarian

DELEGATE 2

Full Name (as per IC) _____

Designation _____

NRIC _____ Gender Male Female Race _____

Mobile No. _____ Email Address _____

Member Non-Member Membership No. (only applicable for members) _____

Dietary Preferences Vegetarian Non-Vegetarian

If you are sending more than 2 delegates, kindly send the delegates details in an Excel File format.

CORPORATE DETAILS (only applicable for corporations)

Corporate Member Corporate Membership No: _____

Corporate Non-Member

CONTACT DETAILS

Organisation Name _____ Company Registration No. _____

Mailing Address _____

Contact Person _____ Designation _____

Telephone _____

Fax _____ Email Address _____

BILLING DETAILS

please tick if billing details are the same as contact details.

Contact Person _____ Designation _____

Billing Address _____

Telephone _____ Fax _____

Email Address _____

For non-member, would you like to be contacted to know more about IIA Membership programme? Yes No

ENQUIRY & REGISTRATION

1-17-07, Menara Bangkok Bank, Berjaya Central Park, 105 Jalan Ampang, 50450, Kuala Lumpur, Malaysia
Tel: +603 2181 8008 ext 210/211/212/213 Fax: +603 2181 1717 Email: training@iiam.com.my Website: www.iiam.com.my

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PAYMENT DETAILS

Payment Details	Member Rate (per person) for KL-code related courses	Non-Member (per person)	8% SST	Total with SST
Fee (per pax) RM				
No. of pax				
Subtotal				

All registrations **MUST** be accompanied with full payment. Upon receipt of your registration, you are deemed to have read and understood the registration procedures and accepted the terms and conditions contained therein. (Please tick (✓) the chosen method)

Enclosed is a cheque/bank draft no. _____ for the sum of RM _____ payable to **THE INSTITUTE OF INTERNAL AUDITORS MALAYSIA**

LOCAL PAYMENTS BY CHEQUE / INTERBANK GIRO

All payments should be crossed and made payable to **THE INSTITUTE OF INTERNAL AUDITORS MALAYSIA**

Bank Details: United Overseas Bank (M) Bhd. USJ Taipan Branch, No.7, Jalan USJ 10-1, USJ Taipan Triangle, 47620 UEP Subang Jaya, Selangor
Account No.: 165-301-514-9 Bank Swift Code: UOVBMKML

OVERSEAS PAYMENTS BY WIRE TRANSFER (USD only)

Beneficiary: **THE INSTITUTE OF INTERNAL AUDITORS MALAYSIA**

Address: 1-17-07, Menara Bangkok Bank, Berjaya Central Park, 105 Jalan Ampang, 50450 Kuala Lumpur, Malaysia

Beneficiary's Bank: STANDARD CHARTERED BANK MALAYSIA BERHAD

Beneficiary's Bank Address: Level 18, Menara Standard Chartered, No.30 Jalan Sultan Ismail, 50250 Kuala Lumpur

Account No.: 312-170-024-235 Bank Swift Code: SCBLM-YK-XXXX

All wire transfer payments should include USD\$30.00 (overseas) and RM25.00 (local) for wire transfer processing fee. For GIRO, please include RM1.00 as bank charges. (Please fax the bank-in slip to +603 2181 1717 or email to training@iiam.com.my)

CREDIT CARD

I hereby authorise **THE INSTITUTE OF INTERNAL AUDITORS MALAYSIA** to charge to my credit card. to the value of

RM _____ Card Type: VISA MASTER

Card Number:

Expiry Date: _____ Cardholder's Name _____

I understand that any amount drawn from my credit card will first be cleared with the credit card authorisation facility.

Signature (As per credit card) _____ Date _____

TERMS & CONDITIONS

FEE

- Fee is payable to "THE INSTITUTE OF INTERNAL AUDITORS MALAYSIA". Please state your NAME, payment advice number, phone number and Workshop Code number at the back of the cheque/bank-in slip. Admittance will only be permitted upon receipt of full payment
- The fee covers a copy of course material*, lunches, refreshment, and Certificate of Attendance.
- Full payment is to be made before the date of the course. Fee is inclusive of 8% SST.
- Walk-in delegates will only be allowed if full payment is made, subject to the availability of the seat.
- This course has been planned as a classroom training session. In the event that the training session is converted to virtual format, a rebate of RM300 will be given for each participant. T&C apply.

HUMAN RESOURCE DEVELOPMENT CORPORATION (HRDC) SBL KHAS CLAIM(S) [APPLICABLE TO HRDC SBL KHAS CLAIMABLE COURSE(S) ONLY]

- Claimants are fully responsible:
 - To provide IIA Malaysia with the HRDC grant approval notification (letter or email) minimum 7 working days before the commencement of the course(s).
 - To provide IIA Malaysia with Letter of Undertaking (LOU) for full settlement of the course fees if grant approval notification is received from HRDC prior to the commencement of the course(s).
 - To adhere to all terms and conditions set by HRDC (i.e., full attendance of the courses).
 - For timely completion and submission of all required HRDC documents as per their requirement.
 - To follow up and respond to any queries from HRDC and attain the approval of grant claim(s) within 60 days from the completion of the course(s). If no grant claim approval is attained within 60 days, claimants are responsible to arrange for an immediate full settlement of the course fees(s). Should a late approval is attained post the full settlement, IIA Malaysia will arrange for the reimbursement accordingly based on the approved grant claim.
 - The HRDC Grant Approval Amount falls within the purview of HRDC. IIA Malaysia is obligated to adhere to the HRDC procedure and permissible cost matrix. In the event that the approved amount is less than the total training cost, the participant or attending corporate entity is required to cover the remaining balance.

CANCELLATION

- Upon registering, participant(s) are considered successfully enrolled in the course. Should participant(s) decide to cancel/transfer their registration, a cancellation/transfer policy shall be applied as follows.
 - Written cancellations should be received by 14 working days before the workshop date to get the refund.
 - Written cancellations should be received by 7 working days before the workshop date to get a partial refund after deduction of 50% administrative charge. Unpaid registrations will also be liable for 50% administrative charge.
 - Written cancellations/no-show on the day of the workshop.
 - No refund will be entertained.
 - Unpaid registrations will also be liable to full payment of the registrations fee. Partial cancellation is not allowed.
 - You can substitute an alternate delegate(s) if you wish to avoid cancellation charges. Any differences in fees will be charged accordingly.

RESERVATION

- The Institute reserves the right to make changes to the venue, date, topic, speaker including cancellation if warranted by circumstances beyond its control.
- The Institute reserves the right to utilize any recordings or photographs taken during the delivery of the course(s) for marketing and advertising purposes.
- The Institute is not responsible for the action, advice or representations of the trainer / speaker.
- Registration will be on first-come, first-serve basis.
- Certificates of Attendance will be issued an "E-certificate" via email. For this purpose, it is COMPULSORY to fill in the email address clearly. Certificate will only be given to participant who attended the session in full.
- Upon signing this form, you have deemed to have read and understand the registration term and condition and therefore have accepted the terms contained herein.

DATA PROTECTION

Personal Data is gathered in accordance with the Personal Data Protection Act 2010 (Act 709). The Institute of Internal Auditors Malaysia (IIA Malaysia) hereby inform you that your personal data will be processed, retained and used by IIA Malaysia in relation to this Workshop. Your personal data may also be retained and used by IIA Malaysia to market and promote other training programmes conducted by IIA Malaysia.

DISCLAIMER

The Institute of Internal Auditors Malaysia (IIA Malaysia) reserves the right to change the speaker(s), date(s) or to cancel workshop(s) should circumstances beyond its control arise. IIA Malaysia also reserves the right to make alternative arrangements without prior notice should it be necessary to do so. IIA Malaysia is not responsible for any incidental cost of participants (i.e. return flights, accommodation and etc) due to changes or cancellation of course(s). Upon submitting the registration form, you are deemed to have read and accepted the terms and conditions.

* Subject to approval of the proprietor.

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