

TOOLS & TECHNIQUES III: AUDIT MANAGER

(DEVELOPED BY GLOBAL IIA)



OVERVIEW

Master the skills necessary to manage audit teams with efficiency. This course provides new managers with the tools needed to effectively manage audit teams, while exploring the life cycle of an audit from an audit manager's perspective.

During this course, you will examine and practice the skills needed to lead as a manager by learning how to supervise and develop an audit team, manage change, and effectively manage relationships with not only your team, but also with the CAE, executive management, and the audit committee.

This course is designed for internal auditors with 6-10 years' experience who want to learn the concepts, tools, and techniques to enhance their effectiveness as an audit manager.

OBJECTIVES

- Identify the mission of internal audit and the audit model as they relate to the audit manager role.
- Identify the internal control environment and risk in the control environment.
- Compare the roles and responsibilities of the board of directors and the audit committee, and executive management and management-level committees.
- Identify the audit engagement responsibilities of an audit manager.
- Identify audit manager responsibilities for audit planning, including defining the audit plan, setting the audit budget, resources, and schedule, project management tools, and reviewing the risk assessment, risk matrix, and internal controls.
- Identify audit manager responsibilities for audit fieldwork, including effective monitoring and feedback, and root cause analysis.
- Identify audit manager responsibilities as they relate to audit reports and audit wrap up.
- Identify the QAIP Framework and the formal quality assurance standards that the internal audit function is required to follow.
- Identify key concepts necessary to supervising and developing staff.
- Identify leadership skills necessary for audit managers
- Identify strategies necessary for managing change effectively.
- Identify strategies necessary for managing relationships and marketing the internal audit function from an audit manager perspective.
- Identify innovative problem-solving techniques.

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OUTLINE

Overview of the Audit Model

- Mission of internal audit
- The audit Model

Overview of the Internal Control Environment

- Control terms
- COSO Framework
- SOX overview
- Risk in the control environment
- Enterprise risk management

Audit Governance, Roles & Responsibilities

- Governance
- Audit governance roles and responsibilities
- Qualifications of audit team members (by level)
- Mission statement, vision statement, and audit charter
- Audit manager responsibilities during the engagement
- Independence and reporting relationships

The Audit Cycle - Audit Planning

- Defining the audit plan
- Applicable Standards
- Setting the audit budget, resources, and schedule
- Project management tools
- Reviewing the risk assessment, risk matrix, and internal controls

The Audit Cycle - Audit Fieldwork

- Workpapers and workpaper attributes
- Applicable Standards
- Standardized workpapers
- Audit review steps
- Effective monitoring and feedback
- Root cause analysis
- Strategy for presenting audit finding

The Audit Cycle - Audit Report & Wrap Up

- Preparing and reviewing the audit report
- The exit conference
- Reviewing and closing out the audit project
- Feedback from audit customers
- Common audit survey questions

Quality Assurance & Improvement Program

- What is a QAIP?
- Applicable Standards
- The QAIP Framework
- Five characteristics of a successful QAIP
- Reporting the results of a QAIP
- Balanced scorecards

Supervising and Developing Staff

- The hierarchy of needs
- Motivation and the outcome of human interaction
- Manipulators vs. motivators
- Managing conflict
- Changing behavior
- Effective monitoring and feedback
- Performance reviews
- Mentoring to provide guidance

Leadership Skills

- Becoming a leader and a manager
- Leadership skills for managers
- Managing vs. leading
- Characteristics of an effective leader
- Challenges of a leadership role
- What type of leader are you?
- Leadership identification tools

Managing Change

- The Change Model
- The effects of change
- The TACTFUL Approach
- Dealing with change
- Communicating change to the client
- Communicating results and criteria
- Communicating change - Additional concepts

Managing Relationships and Marketing Internal Auditing

- Internal auditing's role in an organization
- Typical internal audit functions
- Internal audit and external auditors
- Internal auditing and outsourcing, co-sourcing, and partnering
- Promoting the internal audit function
- Communicating with the audit committee

Innovative Problem Solving

- Defining innovative problem solving
- Innovative thinking
- The innovation process
- Steps in the innovation process
- Creative problem solving

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TARGET AUDIENCE

LEVEL III

ADMINISTRATIVE DETAILS

DATE

21,22,23 & 24 DECEMBER 2020

COURSE CODE

KL56

LOCATION

KUALA LUMPUR

MEMBER'S FEE

RM3,200.00

NON MEMBER'S FEE

RM3,700.00

FEES

(Early Bird Fee: 10% discount for registration with full payment received one (1) month prior to respective workshop dates)

Time: 9.00am – 5.00pm
(Registration on Day 1 at 8:30am)

CPD Points: 32

Trainer: Lim Hooi Hoon
CIA, CIMA, MSc Strategic Planning

ABOUT THE TRAINER

LIM HOOI HOON

CIA, CIMA, MSc Strategic Planning

Lim Hooi Hoon is lecturing finance and performance management subjects at Tunku Abdul Rahman University College and is a CIA Trainer with IIAM. She left her corporate career in 2008 to rediscover and be immersed in the world of education.

Her last position in the corporate world was that of a Finance Director in an international advertising agency. Prior to that, she was Chief Internal Auditor of a listed manufacturing company for several years. Being a professionally-qualified Management Accountant, she has worked in the manufacturing and engineering industry for almost 20 years, with some early years of exposure in corporate recovery services at Coopers & Lybrand.

She is a Certified Internal Auditor since 2003 and an Associate member of CIMA since 1994. She obtained her MSc in Strategic Planning from Heriot-Watt University in 2011.

ENQUIRY & REGISTRATION

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

Course Title _____

Course Code _____

Course Date(s) _____

DELEGATE 1

*Full Name (as per IC) _____

*Designation _____

*Mobile No. _____

*Email Address _____

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

Dietery Preferences Vegetarian Non-Vegetarian

DELEGATE 2

*Full Name (as per IC) _____

*Designation _____

*Mobile No. _____

*Email Address _____

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

Dietery Preferences Vegetarian Non-Vegetarian

DELEGATE 3

*Full Name (as per IC) _____

*Designation _____

*Mobile No. _____

*Email Address _____

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

Dietery Preferences Vegetarian Non-Vegetarian

CORPORATE DETAILS (only applicable for corporations)

Corporate Member Corporate Membership No: _____

Corporate Non-Member

CONTACT DETAILS

Organisation Name _____

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 _____

ENQUIRY & REGISTRATION

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

Payment Details	Member Rate (per person) for KL-code related courses	Non-Member (per person)	6% 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: UOVBMKYL

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@iam.com.my)

CREDIT CARD

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

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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 the hard copy course material, lunches, refreshment and Certificate of Attendance.
- Full payment is to be made before the date of the course. Fee is subject to 6% SST.
- Walk-in delegates will only be allowed if full payment is made, subject to the availability of the seat.

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.
 - a) Written cancellations should be received by 14 working days before the workshop date to get the refund.
 - b) 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.
 - c) 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.
 - d) 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 is not responsible for the action, advise or representations of the trainer / speaker.
- Registration will be on first-come, first-serve basis.
- 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.
- 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.

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 the Workshop 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. Upon signing the registration form, you are deemed to have read and accepted the terms and conditions.