

ROOT CAUSE ANALYSIS DONE RIGHT & EFFECTIVE SAMPLING TECHNIQUE FOR INTERNAL AUDITING & COMPLIANCE REVIEW

CLASSROOM
(in Virtual
Format)

DAY 1 – ROOT CAUSE ANALYSIS DONE RIGHT

Root cause identification if done right by the internal auditors, helps drive action and focus by management to strengthen the internal control design and practices to avert costly operational issues that may adversely impact the bottom line of the corporation.

This workshop is aim at equipping internal auditors with a holistic understanding of root cause in the context of assurance and applying the right technique to identify and validate root cause/s for each audit issue.

WORKSHOP HIGHLIGHTS

- Embracing the 'Trusted Advisor' role
- Root Cause being the main feature in the Audit Report?
- Seeing Root Cause in the context of Assurance
- Differentiating Excuses / Reasons / Symptoms from Root Cause
- The RIGHT Root Cause Analysis Tool & Technique
- How do RBA, COSO and ERM fit in?
- Expected Control: What is it and Why Care?
- Building your Root Cause Repository / Universe
- A MUST to Validate and Confirm the Root Cause
- Presenting a convincing Root Cause/s in the Audit Report

DAY 2 – EFFECTIVE SAMPLING TECHNIQUE FOR INTERNAL AUDITING & COMPLIANCE REVIEW

“How many samplings is enough?”

It is not uncommon to hear auditors extending their audit fieldwork timeline due to inability to complete testing of the audit samples selected. Question has also been raised on the need to select voluminous samples since audit is supposed to provide reasonable and not absolute assurance.

“Are you facing the same dilemma?”

If YES, join us to discover ways to overcome this issue & embrace the methodology and approach to identify and chose the right type and amount of audit sample.

WORKSHOP HIGHLIGHTS

- Revisit IPPF: Practice Advisory 2320-3 on Audit Sampling
- Overview of sampling and testing
- Statistical and non-statistical sampling approach
- Determining the right sample & methods to select sample
- What is the ideal sample size?
- When is sample not required?
- Inherent risk factors in sampling
- Compliance testing sample size

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ABOUT THE TRAINER

STEVEN YEE

GRC Consultant & Professional Trainer

Steven Yee is a professional member of the IIA Malaysia and MICPA (Malaysian Institute of Certified Public Accountants). He obtained his professional training in the Assurance and Business Advisory unit of PwC Malaysia from 1993-2003. He is the founder and Managing Director in Centegy Governance Consulting Group, a boutique consulting firm that provides a range of Governance, Risk & Control (GRC) Assurance services to corporations in Malaysia and other parts of the region.

Steven has headed various IA, Risk and Compliance functions in different industries with reporting lines to Board Audit & Risk Management Committees and CEOs over the past 15 years. Through his practical experience and passion, he brings an appreciation of the disciplined approach and innovation required to deliver a consistent and insightful assurance results to the clients. Steven is also a seasoned and enthusiastic trainer on GRC related subjects in the region and is a panel trainer with the IIA Malaysia for more than 10 years.

ADMINISTRATIVE DETAILS

TARGET AUDIENCE	LEVEL II-III
MEMBER'S FEE	RM1,900.00
NON-MEMBER'S FEE	RM2,400.00
	<i>All Fees will be subject to 6% SST</i>
EARLY BIRD FEE	10% discount for registration received one (1) month prior to respective workshop dates
DATE	15 & 16 November
TIME	9:00 am – 5:00 pm (Registration on Day 1 at 8:30am)
DELIVERY MODE	Virtual Platform
PROGRAMME CODE	KL04
TRAINER	Steven Yee GRC Consultant & Professional Trainer
CPD POINTS	16

ENQUIRY & REGISTRATION

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

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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)"

Dietary 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)"

Dietary 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)"

Dietary 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: UOVBMYKL

☐ 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 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.