

## Advanced Internal Audit

*London (UK)*

*9 - 20 December 2024*

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## Advanced Internal Audit

Code: QM28 From: 9 - 20 December 2024 City: London (UK) Fees: 7400 Pound

### Introduction

An ineffective audit can mean severe consequences; resulting in process failure, customer dissatisfaction, and regulatory noncompliance. You can optimize your auditing skills per the internationally recognized ISO 19011, Guidelines for Auditing Management Systems standard.

### Course Objective

- Gain the confidence to prepare, conduct, and follow up on audit activities.
- Be able to write factual audit reports and suggest corrective actions.
- Understand the guidelines of management system auditing according to ISO 19011.
- Develop professionally.

### Course Outlines

#### Day 1: Management systems overview

- Guidelines for Auditing Management Systems ISO 19011.
- Auditing terms and definitions.
- Process for auditing.
- Audit responsibilities.
- Audit evidence and program.
- Audit scope, objectives, and criteria.
- Principles of auditing.
- Typical audit activities.

#### Planning & Initiating

- Planning the audit.
- Initiating the audit.
- Document review.
- Auditing programming.
- Audit plan and sampling.
- Audit work documents.

#### Day 2: Execute the Audit

- Opening meeting.
- Communication.
- attributes and question types.

A graphic of a chessboard with several chess pieces (pawns and a king) on it, set against a background of concentric circles.

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- Verifying information and recording evidence.
- Internal audit video.
- Nonconformities.
- Simulated internal audit.
- Documenting nonconformities.
- Preparing audit conclusions and the closing meeting.

### Reporting

- Report an audit.
- Typical audit report contents.

### Day 3: Defining and Developing the Internal Audit Process and Establishing Roles within the Internal Audit Department

- Defining and developing the internal audit process and establishing the roles within the internal audit department.
- Defining, developing, and implementing an Internal Audit Function.
- Defining the distinctions and responsibilities between Internal and External Auditors.
- Identifying the Internal Audit Staff Positions.
- Developing the Audit Committee Charter for a Board of Directors.
- Review of Statements on International Auditing Standards Update and General Auditing Practice Issues.
- Identifying Internal Audit Staffing Requirements.

### Day 4: Examining & Understanding the Differences Between Various Types of Audits, Including Risk Factors

- Examining & Understanding the Differences between Various Types of Audits, including Risk Factors.
- Operational Audits.
- Financial Audits.
- Compliance Audits.
- Fraud and Forensic Audits.
- Information Systems Audits.
- Review of Current Year U.S. Audit Risk Alerts.

### Day 5: Selecting, Planning, and Conducting Internal Audit Examinations

- Selecting, Procedural Planning & Commencing Internal Audit Examinations.
- Developing Streamlined Processes for Conducting Internal Audit Examinations.
- Identifying Effective Audit Programs for the Various Types of Audits.
- Evaluating and Selecting Internal Audit Methodologies.
- Notifying the Internal Auditee and Supervisors of the Internal Audit Examination and Promoting Cooperation and Assistance in Achieving Common Goals.
- Evaluating Internal Controls Systems and Accessing Network and Computer Files and Folders.
- Effecting Changes to an In-Process Internal Audit Examination.

### Day 6: Internal Audit Leadership

- Effective leadership.

The logo for UK Training Partner features the text 'UK Training' in a small, black sans-serif font above the word 'PARTNER' in a large, bold, black sans-serif font. The text is positioned over a background of a chessboard with several chess pieces (a king, a queen, and a pawn) and a series of concentric white circles radiating from the center.

- The importance of steady management.
- Qualities of an effective internal audit leader.
- A reminder of leadership and management theory.
- The inspirational internal audit leader.
- Large versus small internal audit teams.
- The mission statement and definition of internal auditing.
- Relevant attribute and performance standards.
- Challenges all internal audit leaders face.
- Resolving common challenges.

### Day 7: Effective Internal Audit Planning

- Determining risk maturity.
- Designing the risk-based assurance universe.
- Developing an effective internal audit strategy.
- How you develop your universe and strategy.
- Coordination with other assurance providers.
- Advantages and disadvantages of working with other assurance providers.
- Determining the annual or six-monthly internal audit plan.
- Delivering the plan and working in an agile way.
- Discussion: Good practice planning.
- Internal audit delivery today and building team capability for tomorrow.

### Day 8: Getting Maximum Impact from our Internal Audit Resources

- Securing the necessary internal audit resources.
- Managing internal audit resources.
- Dealing with the dispersed team.
- Ensuring an effective internal audit engagement process.
- Maximizing efficiency.
- Managing co-sourcing and contractors.
- In-house versus outsourced contractors.
- Risk management in the internal audit function.
- Risk identification and management for internal audit.

### Day 9: Stakeholder Relationship Management

- Perceptions of internal audit.
- Stakeholder analysis.
- Effective stakeholder relations.
- Marketing internal audit.
- Internal audit's product mix.
- Best practice stakeholder management.
- Effective reporting and recommendations.
- Conflict management, negotiation, and persuasion.
- Networking.
- Conflict and solutions.

### Day 10: Insight, Added Value and Quality Assurance

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- What is insight?
- Delivering insight and impact.
- Enhancing and protecting organizational value.
- Adding value through assurance and consulting.
- The power and perils of advisory work.
- The quality assurance and improvement program.
- Internal assessments.
- External assessments.
- Elements of the improvement program.

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