



Marketing Partner



May 25 - 26, 2017 | Mumbai

# INTERNAL AUDIT TOOLS & TECHNIQUES FOR MANAGERS

[www.achromicpoint.com](http://www.achromicpoint.com)

**16 CPE  
Hours**



# ABOUT THE SEMINAR

Transitioning from Staff Auditor to Senior Management of an audit team means learning and mastering an entirely new skill set. Audit managers must not only be efficient auditors, but also effective communicators, teachers, and active listeners. This course focuses on providing new managers with the tools they need to lead effectively in an Internal Auditing Environment. Through practical exercises and case studies, participants will learn how to manage the roles and relationships of the diverse parties involved in the auditing process. Participants will learn how to maintain lines of communication with the CAE and executive management, and problem solve while motivating a team and delegating tasks.

## Benefits of Attending

1. To understand Principles of Personnel, time and financial resources distribution used in an Internal Auditor's Report Preparation.
2. To learn how to manage the roles and relationships of diverse parties involved in the auditing process.
3. To learn innovative ways of tackling complex problems and building rapport.
4. Networking opportunities with various corporates.

## Who should attend

1. Internal Audit Professional
2. Risk Professional
3. Practicing Chartered Accountants
4. Senior Level Management
5. Forensics Professionals



# SEMINAR OBJECTIVES

- Understand how to plan, manage and implement an audit from beginning to end.
- Discuss how to identify, prioritize and measure risks.
- Understand how to identify, document and evaluate internal controls.
- Use the preliminary survey to determine how and what to audit.
- Discover the best techniques for gathering audit evidence and preparing work papers.
- Enhance and practice interpersonal and team-building skills.
- Understand the importance of audit communication process.
- Effectively manage the audit staff and its resources.
- Develop effective channels of communication with the CAE and executive management.
- Master audit management techniques through effective planning, problem solving, motivation and vision.
- Learn techniques for managing time, assigning and delegating tasks and documenting and presenting audit results.
- Create an environment of trust, teamwork, accountability and responsibility and develop strategies to increase the participation and corporation of the audit staff.

## AGENDA

### **The Internal Audit Department's Structure, Roles and Responsibilities.**

- Identify the structure of the Internal Audit Department and the positions that make up a typical audit staff
- Identify the professional Standards that address staffing and managing the internal audit function
- Identify the key information that should be included in an organization's mission statement and audit chapter
- Identify factors that impact how internal audit resources are implemented.
- Identify the elements of a typical audit cycle.

### **Setting the Tone**

- Identify the roles and responsibilities; knowledge, skills, and abilities (KSA); and other factors that guide the vision and expectations of the CAE.
- Recognize the role of internal auditing within an organization.
- Recognize career options for internal auditors.

### **Internal Audit Relationships**

# AGENDA

## **Building Rapport**

- Identify ways to establish clear and effective communication and practice building rapport.
- Identify tools and techniques to motivate people
- Motivate people using incentives and by understanding the hierarchy of needs.
- Recognize two types of personality profiling tools, the Myers Briggs Indicator and Neurolinguistic Communication Programming (NCP) and how they are applied.
- Identify styles of management

## **Managing the Audit. (Can include some part of managing change)**

- Identify key elements of audit work papers and ways to manage them.
- Identify and practice methods for managing time, organizing, and prioritizing during an audit.

## **Training and Development**

### **Audit Planning**

### **Monitoring the Audit Process**

### **The Reporting Process**

- Identify ways internal auditors can provide value-added results to their organization.
- Identify audit report considerations and methodologies that add value for audit clients.
- Recognize details that the audit committee should be cognizant of
- Identify legislation surrounding internal control.

### **Marketing the Audit Function**

- Identify ways to market the audit function by promoting the profession and communicating with the audit committee.

### **Innovative Problem Solving**

- Define innovation, innovation process, and innovative thinking
- Identify the steps in the innovative problem solving process

# SPEAKERS

**Sunil Gaitonde**

*President*

*IIA India, Mumbai Chapter*

**Satish Shenoy**

*Head - Corporate Audit*

*Larsen & Toubro Limited*

**Srikrishna Sumant**

*Deloitte*

**Himanshu Vasa**

*Kotak Bank*

**Huzeifa Unwala**

*Partner*

*NMAH & Co.*

**Ashish Jain**

*Head Audit & Governance*

*Shell Upstream India*

**Nehal Shah**

*Partner,*

*CNK & Associates LLP*

**Nagesh Pinge**

*Director*

*NKGSB Bank*

**Ratul Neogi**

*Head Internal Audit & Business Excellence*

*Trent Limited*

# Internal Audit

## Tools & Techniques For Managers



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