

RISK BASED INTERNAL AUDITING for LOCAL GOVERNMENT UNITS

COURSE DETAILS

Schedule: October 1 – 4, 2018

Duration: 4 Days

Knowledge Level: Basic

Competency: Internal Audit Delivery; International Professional Practices Framework

Delivery Format: Seminar and workshops on-site.

COURSE DESCRIPTION

This program will share with the internal auditors the principles, practices and techniques of conducting a risk-based internal audit as applied to local government units (LGUs). This introductory course is appropriate for:

- New internal auditors;
- Heads of internal audit offices or services (IAO/IAS) who are expected to improve the internal audit function in the LGU;
- Accountants or supervising administrative officers who are tasked to establish an internal audit office or designated in an acting capacity (OIC) for internal audit functions;
- Experienced internal auditors who desire to have a refresher course or those who seek to benchmark practices with other LGUs; and
- Other key personnel (such as executive assistants, administrators and consultants to the LCE) who would like to know more about the risk-based internal auditing process.

COURSE OBJECTIVES

At the end of the seminar/workshop, the participants will be able to:

- Understand the role of internal auditing under a governance, risk management and control framework;
- Explain the risk-based audit process and the key elements, procedures and tools;
- Identify key issues, assess risks and vulnerabilities, and recommend areas for improvement;
- Contribute to strengthening internal controls and internal audit as expected or required by certain programs such as CMGP; and
- Apply the tools and lessons learned to improve work performance and deliver added value to the Local Chief Executive, management, local council and boards, and stakeholders

COURSE OUTLINE

- I. Internal Auditing Framework
 - a. Governance, risk management and control principles
 - b. The role of internal auditing
 - c. References (IPPF, LGIAM and others)
- II. Developing the Internal Audit Strategic Plan
- III. Establishing the Annual Risk-Based Plan of Engagements
 - a. Understanding the organization/LGU
 - b. Conducting risk assessment
 - c. Establishing or refining the audit universe
 - d. Identifying priority areas to audit
 - e. Determining resources needed
 - f. Completing the plan
 - g. Presenting and securing approval for the plan
 - h. Monitoring and reporting on the plan
- IV. Conducting the Individual Engagement
 - a. Planning the audit engagement
 - b. Performing the audit engagement
 - c. Communicating results
 - d. Monitoring and follow up

- Workshop/discussion per individual engagement
(Process objectives, risks, controls, audit procedures and tools, common audit issues and process gaps, and recommendations)

Sample individual engagements by process, type of service or department/units

1. Permits, Licenses and Clearance
2. Taxes
3. Civil Registry Services
4. Health Services
5. Social Welfare and Development Services
6. Agriculture Services
7. Veterinary Services
8. Environmental Management Services
9. Engineering Works
10. Project Implementation (Road Construction, by admin or contract)

11. Public Assistance and Action on Complaints
 12. Educational Services
 13. Employment Assistance
 14. Economic Enterprises
 15. Planning and Development
 16. Procurement
 17. General Services
 18. Human Resources
 19. Legal
 20. IT / MIS
 21. Budget
 22. Accounting
 23. Public Information
 24. Tourism
 25. Civil Security and Traffic
 26. Administrator
 27. Legislative (Sanggunian)
 28. Office of the Vice Mayor / Vice Governor
 29. Office of the LCE
 30. Other Services and Departments
- V. Quality Assurance for the Internal Audit Activity
- VI. Self-Assessment

FEES AND PAYMENT DETAILS

- Regular Rate - Php 15,680.00 inclusive of VAT.
- Fee includes lunch/snacks for four days, soft copy of presentation materials, and certificate of attendance.
- Group discount: 5% for group of three from the same organization; 10% for group of five or more from the same organization
- Limited slots. Class size is limited to 15 participants. Guaranteed seats will be given to those with paid registration.
- Payments can be made in cash or check.
- Please deposit payment to BPI checking account #1621-0070-72. Account Name: Center for Internal Advisory Services Philippines, Inc.
- For check payments, please make it payable to the account name

VENUE

Crown Regency Hotel Makati
1026 Arnaiz Avenue, Makati City

CONTACT DETAILS AND REGISTRATION

Email: information@ciasp.com.ph or centerforinternalauditservices@gmail.com

Website: www.ciasp.com.ph

Landline: (02) 788-7928 or 885-8474

To register, please consider the following options:

- Please visit CIASP website, www.ciasp.com.ph. Click on the "Inquire/Register" button for the seminar on Risk Based Internal Auditing for LGUs. You will be directed to an online Google form. Please fill in your details on the form and click 'Submit.' We will acknowledge your registration as soon as practicable.
- You can email or communicate with us through information@ciasp.com.ph and/or centerforinternalauditservices@gmail.com. Please provide your full contact details (full name, LGU, designation, email address, office phone and mobile phone). Please indicate how many from your LGU are attending this seminar so we can apply the appropriate group discount. Please also indicate if you need a formal invitation letter addressed to your LCE.

PREVIOUS ATTENDEES

- First Batch: August 6 – 9, 2018 (Makati City)
 - Maximum Class Size: 15 participants
 - Provincial Government of Isabela (5 pax)
 - Provincial Internal Audit Office
 - Provincial Government of Capiz (4 pax)
 - Provincial Internal Audit Office
 - City Government of Santa Rosa (2 pax)
 - City Administrator and Supervising Administrative Officer
 - City Government of Pasay (1 pax)
 - Executive Assistant to the Mayor
 - Municipal Government of Palanas, Masbate (2 pax)
 - Municipal Accountant and Municipal Treasurer
 - Municipal Government of Bacnotan, La Union (1 pax)
 - Consultant to the Mayor / Former LCE