



Internal Audit and Control

Date: February 24th-27th 2020
Venue: Kosovo Banking Association

COURSE OVERVIEW

At the end of the seminar the participants will get an overview of:

1. The duties & missions of the internal auditor, internal controller, compliance functions and risk functions
2. The evaluation of internal controls measures within the banking sector
3. The evaluation of the risks faced by the banks
4. The holistic view in force in connection with internal control and governance matters
5. The internal audit objectives, associated with a range of practical means and tools used to perform an internal audit mission.

METHODOLOGY

Lecture of the course and explanations about the concepts thanks to examples and case studies. Interactive seminar, group exercises, debates.

AUDIENCE

Internal auditors, risks controllers, bank representatives working in Compliance, accounting & control, back-office and middle-office with at least 2 years' experience in: Audit & control, bank processes / operational knowledge, procedures and organization.

A good command of English is required!

TRAINING CONTENT

Day 1

Governance principles: Introduction and state of the art

Corporate governance and internal governance

A. Governance and banks

E. Audit Standards

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- F. Audit and governance bodies
 - A. Responsibilities of the Board of Directors
 - B. Risk governance and cultural approach
 - C. Audit charter and communication
 - D. Audit committee and cybersecurity knowledge
 - E. Audit in the era of digital banking and business
- Conclusions

Day 2

Internal control and lines of defenses

- A. Internal control
 - B. 3 lines of defenses
 - C. Internal audit methodology, plan and KPIs
 - D. Risk Management
 - E. Compliance functions & AML
 - Examples, group exercises, videos
 - Key take away from the EU circular 19793 on UBO (Ultimate Beneficiary Owner)
- Exercises, Debriefing

Soft Skills for Auditors

- A. Risk and decisions biases
- B. Listening skills
- C. Negotiation skills
- D. Body language
- E. Presentation skills and conversational intelligence

Day 3

Internal Control, COSO Model and Treasury Audit

- A. Reminder on COSO model and internal control components
- B. How to audit operational risk management
- C. Audit of the credit process
 - Process
 - Credit risk appetite
 - Examples of credit models
 - Scenarios analysis
 - Stress tests
- D. Audit and Basle Accords Credit-Operational risk

Day 4

Computer Auditing

- A. Introduction to IT risk and controls
- B. Inherent computer risk management
- C. Risk treatment related to IT Organisation
- D. Risk treatment related to IT Operations
- E. Risk treatment related to IT Security
- F. Audit of IT General controls

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- G. Internal controls under the IT Management responsibilities
- H. Audit of Applications
- I. Transversal audit points related to an IT Migration
- J. Audit and Contingency plan - Disaster recovery plan

DAILY SCHEDULE

09:00 – 10:30	Training
10:30 – 10:45	Coffee break
10:45 – 12:00	Training
12:00 – 13:00	Lunch break
13:00 – 14:30	Training
14:30 – 14:45	Coffee break
14:45 – 16:30	Training
16:30	End of day ☺

COURSE INSTRUCTOR

Mr Yves Deceuninck worked in the banking sector in Luxembourg as Head of Audit and process reengineering manager using lean six sigma black belt methodology. He is now consultant in audit, risk, governance and coach in risk management. He performed internal audit assignments and credit risk reviews in the banking sector in Europe, Africa, Asia as well as audit reviews in many countries.

REGISTRATION

Send your filled registration forms via email at KBA, or contact us at:
kbatrainingcenter@bankassoc-kos.com or **038 246 171**

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