



BAIPHIL cordially invites you to the Seminar on:

Branch Banking Audits (BBA):

“Preliminary Risk Assessment and Audit Strategy for Branch Audits”

Resource Speakers/Facilitators:

Ms. Edel Mary D. Vegamora

CPA, CIA, CRMA, Fellow-ICD
EVP/Chief Audit Executive- RCBC

Noel Q. Tagupa

AVP-Audit Analytics and
Special Projects Department - RCBC

Training/Workshop Objectives:

1. To revisit the Standards for Audit Engagement Planning. To revisit the Branch Banking Group's Business Objectives/Strategic Thrusts /Core Processes
2. To discuss the Key Risk & Control Elements (for BBG Sales and Service operations), Possible Red Flags, that are important considerations for IAG's Audit Strategy for Branch Banking Audits;
3. To provide Participants with a venue for Understanding the Basics of a *Framework* for Internal Audit's Preliminary Risk Assessment (**PRA**) that impact the Engagement Planning phase of the Audit Process.
4. To discuss the integration of the various elements in the Internal Audit's PRA, into the Audit Heads' formulation of their customized Audit Strategy and BB Audit Engagement Plan.
5. To provide Participants with some case discussion workshop/learning assessment experience, via this BBA Seminar. The Participants are expected to be interactive in the discussions during this Seminar.

Target Audience:

- *Audit Managers and Audit Team Leaders: who are being assigned to take the Lead in the branch audit examinations of the Bank.*
- *Internal Audit Management, in general: The Branch Banking Audit Heads, who will direct and approve the BB Audit Strategy and Plan for the engagement, the Audit Working Papers, the BB Auditors' evaluations/assessments, the Auditors' assessment of the adequacy/relevance of management responses, and the final output, which is the Audit Report for particular branch audit engagements.*
- *Centralized Branch Operations Control Practitioners, or Operations Risk Management Practitioners, or Compliance Testing Practitioners: who perform the so-called “2nd-Line-of-Defense” roles that impact the business of Branch Banking.*
- **This BBA/Audit Strategy Seminar is not for Rank & File auditors.**

TOPICS AND DISCUSSION OUTLINE FOR THIS SEMINAR/WORKSHOP:

- I. Understanding the Overall Audit Objective for the Regular Audit of Branch Banking Units.
- II. Overview of the Audit Engagement Planning Phase [of the Audit Process] for Branch Audits.
- III. Internal Auditor's Understanding of the Branch's High Level Business Objectives.
- IV. Internal Auditor's Understanding of the Branch Banking Processes (Sales and Service/Operations).
- V. Internal Auditor's Preliminary Assessment of Key Risks & Controls in Branch Banking.
- VI. Internal Auditor's Understanding of Relevant Policies and Rules for Branch Banking, and What Branch Controls Shall be Tested.
- VII. Internal Auditors Formulation of Branch Banking Audit Strategy

Schedule: May 18, 2019, 8:30 A.M. to 5:00 P.M.

Venue: Dusit Thani Manila, Ayala Center, Makati City



Investment Fees:

Php4,500.00 / participant for Member Banks

Php5,000.00 / participant for Non-Member Banks

(Inclusive of AM/PM Snacks, Lunch, Certificate of Attendance and materials)

Payment Options:

- Deposit thru our Bank Account:

Account Name: Bankers Institute of the Philippines, Inc.

Name of Bank : Bank of Commerce – Dela Costa/Alfaro Rd.. Br.

Acct. No. : 101-00-004876-4

Please fax or email the deposit slip and indicate the name of your bank, participants and seminar to be attended

- Bring Check Payment on the day of Seminar. (Check payable to Bankers Institute of the Philippines, Inc. or BAIPHIL)
- Deliver check payment to BAIPHIL Office at Unit 2103, 21st Floor, The Peak Tower, #107 L.P. Leviste Street, Salcedo Village, Makati City.

Payment should be made on or before the seminar date payable to Bankers Institute of the Philippines, Inc. (BAIPHIL). NO PAYMENT IN CASH DURING THE SEMINAR DAY.

For inquiries, please call the BAIPHIL Secretariat at (02) 853-4457 or 519-2433.

Registration form may be reproduced, and fax at no. (02) 853-0889 or e-mail at: training@baiphil.org

Cancellation Guidelines:

Deadline of Submission of Registration is May 8, 2019 (Wednesday)

BAIPHIL reserves the right to cancel programs due to low turn-out of registration, illness of resource speaker, inclement weather or unforeseen events. As such, participants to the program or their HR representatives will be advised either through e-mail or by phone, at least five working days prior to the learning event otherwise same shall be billed accordingly.

BAIPHIL is responsible only for the full refund of the registration fee but not for the transportation expense of the participants who have booked their travel in advance.

Should a participant decide to cancel his/her registration, he/she may opt for a refund or transfer his/her participation in the program to another colleague by sending in writing his cancellation or transfer notice to BAIPHIL. A 100% refund or transfer will be made if the advice is received within five working days before the seminar run.