



BAIPHIL cordially invites you to the Seminar on:

Branch Banking Audits (BBA):

“Preliminary Risk Assessment and Audit Strategy for Branch Audits”

Speaker:

Ms. Edel Mary D. Vegamora
CPA, CIA, CRMA, Fellow-ICD
Chief Audit Executive
Internal Audit Group Head – RCBC

Training/Workshop Objectives:

1. To revisit the Standards for Audit Engagement Planning.
2. To revisit the Branch Banking key elements (Sales and Service operations), and the Results of the IAG Head's discussion with Retail Banking Head or Branch Banking Head or Branch Operations Head -- that are necessary considerations for IAG's Audit Strategy for Branch Banking Audits;
3. To familiarize with the Framework for Internal Audit's Preliminary Risk Assessment (PRA) that is integral to the Engagement Planning phase of the Audit Process.
4. To discuss the integration of the various elements of Internal Audit's PRA, when Audit Heads articulate their customized Audit Strategy and Plan for a Branch Banking Audit Engagement.
5. To provide the Participants with a Learning Assessment at the end of this BBA-Part 1.

Target Audience:

- Audit Managers and Audit Team Leaders, who are being assigned to Lead the branch audit examinations of the Bank (RCBC, RSB).
- Internal Audit Management, in general: *The BC Audit Heads-- Segment / Division / Department Heads, who will direct and approve the working papers in TeamMate system, the auditors' evaluations/assessments, adequacy/relevance of management responses, and the Audit Report for particular branch audit engagements.*
- This Audit Strategy seminar is not intended for Rank and 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 Auditors Gaining an Understanding of the Branch's High Level Business Objectives.
- IV. Internal Auditors Gaining an Understanding of the Branch Banking Processes and Operations.
- V. Internal Auditor's Preliminary Assessment of Risks in Branch Banking.
- VI. Internal Auditors 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: October 5, 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.

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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 September 25, 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.