

# INTERNAL AUDITING AND CONTROLS

## Date & Venue:

9-10 March-2017 Royal Palm Golf Club Lahore  
29-30 March-2017 Movenpick Hotel Karachi

Workshop Investment: 34,500/= Inclusive of GST  
Timings: 9:00 am to 5:30 pm



## Course Facilitator:

**Maraj Mahmood**- CIA, CCSA, CRMA, MBA

Director/Head of Internal Audit Department at State Bank of Pakistan Banking Services Corporation

Mr. Maraj has over 18 years of post-qualification experience in the profession of internal auditing and banking examination. He is associated with one of the most prominent public sector financial institutions in Pakistan, having wide area of influence including banking sector of Pakistan. His experience includes heading the internal audit function and leading the supervision/audit of a diversified range of banking institutions operating in Pakistan.

## Course Overview:

With the increased awareness of the importance and benefits of effective risk management frameworks in the business operations of virtually all types of organizations in different jurisdictions, the value of Internal Auditing has also increased manifold where Boards of these organizations seek to have assurance that risks are being managed in a way as to enhance the probability of achieving the business objectives set by them. This is best done by designing and implementing effective risk management systems and internal controls in the organizations, for which the assurance to the Boards and senior management is a critical requirement in today's organizations. In this backdrop, the journey to a risk centric internal auditing approach for giving such assurance has been a challenging area for the conventional auditors. This course trains the auditors and business managers to overcome this challenge.

## Course Content:

Following areas with specific reference to regulatory guidelines would be discussed in the course:

- Changing role of audit department and auditors
- Difference of approaches in risk based & compliance based audits
- Pre-requisites of Internal Auditing
- Types of risks and their components
- Thorough understating of internal controls
- Introduction to control risks and impact of audit approach
- Analysis of Internal Controls Mechanism and Processes
- How to balance risks & controls and audit focus
- Risk management cycle and role of controls & auditors therein
- Approaches of risk and controls assessment and deriving auditing techniques
- Concept of Audit Risk and its resolution
- Use of Risk Registers to improve business understanding, effectiveness of internal controls and of auditors
- Linkages of Internal auditing and control management function
- Risk centric audit approach and strategy
- How to define Audit Universe
- Developing the internal audit plan using risk centric internal auditing approach
- Implementation of risk centric audit approach to assess internal controls
- Discussion on COSO Framework and its use for auditors
- Role of auditing in reducing fraud incidents
- Quality assurance of Internal Audit
- Relationship of effective audit and punitive actions by regulators
- Impact of changes in business, internal controls and risk drivers on internal auditing

## Course Objectives:

To help clients implement and refine risk based Internal Auditing framework in their organizations.

## Methodology:

The course would be conducted in the discussion mode with real life examples, case studies and problem solving exercises.

## Who should attend?

Internal Auditors  
Business and Operations Managers  
Risk Managers  
Managers working in Internal Control Units





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His areas of expertise include; the Concepts of and Transformation to Risk Based Internal Auditing, Compliance Function, Banking Operations, advisory on internal controls and risk assessment for business owners, development of Off-Site Monitoring Frameworks, etc.

### Clientele:

His Clientele includes officials from MCB, Bank Alfalah, NBP, HBL, Pak Oman Micro Finance Bank and investment Company, Soneri Bank Limited, metropolitan Bank, etc.



Bank Alfalah



Habib Metropolitan Bank  
(Subsidiary of Habib Bank AG Zurich)



Soneri Bank

For registration(s) send us your Participants Name,  
Designation email, address & cell numbers  
Also please provide us organization's NTN #

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### Quickbiz Cancellation Policy:

Substitutions are welcome. cancellation must be confirmed by email. For Cancellation made in the 05 working days to the workshop, no refunds will be given.