



Bankers Institute of the Philippines, Inc. (BAIPHIL)

Tel. Nos. (02) 8853-4457 or (02) 8519-2433

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BAIPHIL cordially invites you to the Seminar on:

Branch Banking Audits (BBA):

“How to Audit the Branch Banking Sales & Service Operations and their AML Components”

Speakers:

Ms. Edel Mary Vegamora

CPA, CIA, CRMA, Fellow-ICD

EVP/Chief Audit Executive- RCBC Unibank

Ms. Carol P. Warner

Chief Audit Executive

Security Bank Corp.

Mr. Manuel C. Chan

General Audit Department Head

Security Bank Corp.

Training/Workshop Objectives:

At the end of this Seminar, the Participants are expected to

1. Articulate the Risk-Based Audit Strategy for Branch Banking (BB) Sales, as well as for BB Service Operations and the detailed Audit Procedures (APGs) that will effectively carry out the risk-based Audit Strategy Statements.
2. Devise a Framework for the Auditor's Evaluation of the (a) Adequacy of Internal Control Design and the (b) Effectiveness of Internal Control Implementation in the Branch Banking Sales and Service Operations.
3. Discuss the integration of the various elements and results into a Pro-Forma Audit Report for the Branch Banking Audit Engagement.
4. Participate and contribute ideas during the discussions, workshop, and complete the learning assessment activity for this BBA Part 2 Seminar.

Learning Level: IAFB - Advanced / Technical

Target Audience:

- Internal Audit Management, who would direct the branch audit project; who would ensure the propriety of the Audit Strategy and APGs; who would review & approve the working papers, the audit issues raised & recommendations, and the adequacy/ relevance of management responses; who would sign-off on the quality/propriety of the matters presented in the Audit Report to be issued for branch audit engagements; and who would present to the Audit Committee the results of the branch banking audit examination.
- EQAR Practitioners who independently assess the internal audit function of banks.
- Branch Banking Sales and Service Operations Personnel, who would be responsible for the implementation of an adequate and effective internal control system for Branches.
- Risk and Compliance professionals, as deemed necessary.
- External Auditors who would decide to rely on the work of Internal Audit.

TOPICS AND DISCUSSION OUTLINE FOR THIS SEMINAR/WORKSHOP:

- I. Preliminary Understanding and Risk Assessment for the Branch Banking Audit Examination:
 - a. Identifying the Significant Laws, the BSP Rules, and the Bank's Key Policies relative to Branch Banking (BB) Sales and Service Operations;
 - b. Revisiting the Core Processes/Products/Service for Branch Banking Sales and Service Operations, as well as their Inherent Risks.
 - c. Identifying the BB Management's Key Mitigants for BB Risk, Key Controls put in place, and any Exception Escalation & Monitoring Process, for BB Sales and Service Operations.
 - d. Arriving at the Auditor's Preliminary Assessment of Risks in the particular Branch (H, M, L) and the corresponding planned key audit approach/procedure, the specifications or parameters for Pre-audit analytics and computerized audit tests, that are part of the overall audit approach.
- II. Articulating the Risk-Based Audit Strategy on Focus Areas for the examination of BB Sales, and for BB Service Operations.
- III. Documenting the Detailed Audit Procedures (through APGs) that will effectively carry out the risk-based Audit Strategy Statements.
- IV. Common Audit Observations, Audit Exceptions, Risk & Control Issues as a results of audit examination of the Branch Banking Sales, and the Branch Banking Service Operations.
- V. Determining **the Framework for** the Auditor's Evaluation of the (a) Adequacy of Internal Control Design and the (b) Effectiveness of Internal Control Implementation in the Branch Banking Sales and Service Operations.
- VI. Integrating the Results of the Audit in the Pro-Forma Audit Report Executive Summary and in the Details of the Audit Issues, Recommendations, and Management Responses / Action Plans.
- VII. Group Work, Case Studies, and Presentations. Possible Written Exam during this Seminar.

Schedule:

February 22, 2020, 9:00 A.M. to 5:30 P.M.

BAIPHIL's Priority reservation will apply to the first 25 registered participants.

Venue:

Dusit Thani Manila, Ayala Center, Makati City



Registration:

Please complete the Registration Form below and send it to training@baiphil.org or fax to (02)8853-0889. Registration form received will serve as notice for reservation only.

Registration Form:

Full Name : _____
First Name M.I Surname

Nick Name: _____ Email Address: _____

Telephone no.: _____ Cellphone no.: _____

Designation: _____

Department: _____

Sponsoring Bank/ Institution: _____

How did you know about this program? (please check appropriate box)

- Email from BAIPHIL Program Handout
BAIPHIL Website BAIPHIL Facebook page
Others, please specify

REMARKS (on nominees specific & immediate training needs, potentials, etc.)

Blank lines for entering remarks.

Signature of Nominee:

Recommended by:

Signature Over Printed Name

Signature Over Printed Name

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) 8853-4457 or 8519-2433.

Registration form may be reproduced, and fax at no. (02) 8853-0889 or e-mail at: training@baiphil.org

Cancellation Guidelines:

Deadline of Submission of Registration is February 12, 2020 (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.