

Auditing Institute (Week One)

April 27-May 2, 2003; Kansas City, MO
September 7-12, 2008; Minneapolis, MN



Auditing I—The Basics is designed to provide tools and step-by-step procedures to establish and maintain an effective internal audit function within your bank.

Topics include:

- Steps to establish an internal audit function
- Phases of a complete audit cycle
- Methods for documenting and evaluating internal controls
- Various approaches for reporting audit results
- Follow-up steps on audit recommendations
- Auditors' responsibilities for fraud

Internal Auditing Working Papers will show you how to prepare, index, cross reference, file, and maintain clear and complete working papers that comply with the FDICIA and the internal audit professional standards.

Topics include:

- Documenting each phase of the audit cycle (including planning, performing, reporting and follow-up)
- Organizing a complete audit file
- Using risk assessment to develop an annual audit plan
- Using technology to automate work papers

Auditing II—Auditing Liabilities and Other Activities teaches key concepts related to auditing deposit activities, such as official checks, confirmation process control objectives, auditing non-insured investment products and more.

Topics include:

- Reviewing auditing risks associated with deposits, official checks, and other liabilities
- Understanding and planning the confirmation process
- Obtaining management commitment to act on the audit recommendations
- Reading major control objectives and audit procedures for deposits, wire transfers, and official check activities
- Auditing federal funds, FHLB borrowings, repurchase agreements, and other liabilities

*Exam given to those enrolled in the Certified Community Bank Internal Auditor program.

Schedule:

Sunday

Auditing I—The Basics

3:00 - 4:00 pm	Registration
4:00 - 6:30 pm	Program
6:30 - 7:30 pm	Dinner/Reception

Monday

Auditing I—The Basics (cont'd)

8:00 am - Noon	Program
Noon - 1:00 pm	Lunch
1:00 - 6:00 pm	Program
6:00 pm	Dinner on your own

Tuesday

Auditing I—The Basics (cont'd)

8:00 - 11:00 am	Program
11:00 - Noon	Auditing I - The Basics Exam*
Noon - 1:00 pm	Lunch

Internal Auditing Working Papers

1:00 - 5:00 pm	Program
5:00 pm	Dinner on your own

Wednesday

Internal Auditing Working Papers

8:00 - 11:00 am	Program
11:00 - Noon	Internal Auditing Working Papers Exam*
Noon - 1:00 pm	Lunch

Auditing II—Auditing Liabilities & Other Activities

1:00 - 5:30 pm	Program
5:30 pm	Dinner on your own

Thursday

Auditing II—Auditing Liabilities & Other Activities (cont'd)

8:00 am - Noon	Program
Noon - 1:00 pm	Lunch
1:00 - 6:00 pm	Program
6:00 pm	Dinner/Reception

Friday

Auditing II—Auditing Liabilities & Other Activities (cont'd)

8:00 am - Noon	Program
Noon - 1:00 pm	Auditing II Exam*
1:00 pm	Adjourn

Auditing Institute (Week Two)

May 4-9, 2008; Kansas City, MO

September 14-19, 2008; Minneapolis, MN



**ICBA
Designated
Certification
Program**

Auditing III – Auditing Assets builds on the auditing topics covered in Auditing I and Auditing II. You'll learn major control objectives and procedures for auditing assets, including loan activities, due from banks, and investments.

Topics include:

- Approaching the audit loans (including loan loss reserves, loan participations and other real estate owned)
- Understanding the lending function and internal controls related to lending
- Reviewing audit cash and due from banks
- Understanding the bank's investment portfolio
- Auditing a bank's investment portfolio

Auditing IV – Regulatory Accounting and Operational Auditing focuses on a number of advanced skills and is designed to round out your auditing tool kit.

Topics include:

- Understanding financial statements
- Learning how asset/liability management works and how it affects the audit process
- Achieving operational auditing (auditing for efficiencies)
- Preventing and detecting fraud
- Regulatory issues related to auditing

Bank Information Systems Auditing is designed to teach you step-by-step procedures to perform a thorough internal audit of bank information processing systems.

Topics include:

- Structure and hardware of the BIS center
- Functions of the network operating system and application software
- Disaster recovery planning and testing
- Risk analysis system
- Specific questions to include in a BIS internal control questionnaire

*Exam given to those enrolled in the Certified Community Bank Internal Auditor program.

Schedule:

Sunday

Auditing III – Auditing Assets

3:00 - 4:00 pm Registration
4:00 - 6:30 pm Program
6:30 - 7:30 pm Dinner/Reception

Monday

Auditing III - Auditing Assets (cont'd)

8:00 am - Noon Program
Noon - 1:00 pm Lunch
1:00 - 6:00 pm Program
6:00 pm Dinner on your own

Tuesday

Auditing III - Auditing Assets (cont'd)

8:00 - 11:00 am Program
11:00 am - Noon Auditing III Exam*
Noon - 1:00 pm Lunch

Auditing IV - Regulatory Accounting & Operational Auditing

1:00 - 6:00 pm Program
6:00 pm Dinner on your own

Wednesday

Auditing IV - Regulatory Accounting & Operational Auditing (cont'd)

8:00 am - Noon Program
Noon - 1:00 pm Lunch
1:00 - 5:30 pm Program
5:30 pm Dinner on your own

Thursday

Auditing IV - Regulatory Accounting & Operational Auditing (cont'd)

8:00 - 9:00 am Auditing IV Exam*

Bank Information Systems Auditing

9:00 am - Noon Program
Noon - 1:00 pm Lunch
1:00 - 6:00 pm Program
6:00 pm Dinner/Reception

Friday

Bank Information Systems Auditing (cont'd)

8:00 am - Noon Program
Noon - 1:00 pm Bank Information Systems Auditing Exam*
1:00 p.m. Adjourn

Week One

April 27-May 2, 2008; Kansas City, MO
September 7-12, 2008; Minneapolis, MN

Our instructors:

Jerry Felicelli is the principal in charge of the Financial Institutions Group of LarsonAllen LLP. Jerry's consulting and accounting experience includes assisting community banks with strategic planning, consulting on mergers and acquisitions, capital planning, regulatory issues, and other matters of importance.

Tom Danielson is a self-employed certified public accountant specializing in banking matters. Tom has over 25 years of experience in the banking area and is extensively involved in audit, tax and consulting engagements for community banks.

Mark Eich is a principal with the Financial Institutions Group of LarsonAllen LLP with more than 20 years experience providing auditing and consulting services to community banks.

Neil Falken is a principal in the Financial Institutions Group of LarsonAllen LLP, where his primary focus is providing audit and consulting services to community banks.

Who should attend:

Auditing personnel—regardless of previous experience and training

Week Two

May 4-9, 2008; Kansas City, MO
September 14-19, 2008; Minneapolis, MN

Hotel Information:

- To make your hotel reservation, contact the **Embassy Suites KCI Airport (MO)** at (816) 891-7788. To secure the negotiated rate of **\$132** for this program, you must make your hotel reservation by **4-9-08** or **Embassy Suites Hotel Bloomington (MN)** at (952) 884-4811. To secure the negotiated rate of **\$154** for this program, you must make your hotel reservation by **8-16-08**
- For special assistance needs, please call the hotel directly or contact the ICBA Education Department at (800) 422-7285.



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Prerequisites - No previous experience and training is necessary. Delivery Method: Group-Live
46 CPE Credits Program Level: Basic-Intermediate

Registration Information:

Applicant's Name (Mr. Mrs. Ms.) _____ Badge Name _____

Current Title at Bank _____

Sponsoring Bank (or Bank Client) _____

Mailing Address _____

City _____ State _____ Zip _____

Telephone (Area Code and Number) _____ Fax Number _____

E-mail _____

Send or Fax Registration To:

ICBA Education Dept, P.O. Box 267, Sauk Centre, MN 56378
Fax: (320) 352-5366
Phone: (800) 422-7285, ext. 7334
E-mail: Education@icba.org

Refund Policy: If registration is canceled more than 30 days prior to the seminar, you will receive a full refund. If cancellation is within 30 days of the seminar, 20 percent of the fee will be deducted for costs. No refund for registrations canceled after beginning of seminar.

ICBA Member Fee: \$1,995 / 1 week; \$2,995 / 2 weeks
Nonmember Fee: \$2,695 / 1 week; 4,295 / 2 weeks *

Certification Program Testing Fees:

ICBA Member Fee: \$25/course; \$75/week
Nonmember Price: \$50/course; \$150/week

Please enroll me in the certification program.

Week One

- (5170-1) April 29-May 4, 2007; Kansas City, MO
- (5170-2) September 9-14, 2007; Minneapolis, MN

Week Two

- (5175-1) May 6-11, 2007; Kansas City, MO
- (5175-2) September 16-21, 2007; Minneapolis, MN

*Nonmembers may apply \$400 of the registration fee to an annual membership in ICBA

- A check payable to ICBA is enclosed
- Charge to my VISA MasterCard

Credit Card Account No. _____ Expiration Date _____

Signature _____

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