



2016 Auditing InstituteSM (Week One)

April 25-29; Kansas City, MO

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.

- 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
- How to sample
- The importance of following up on audit recommendations
- Auditors responsibilities for fraud.

Internal Auditing Working Papers will show how to prepare, index, cross reference, file, and maintain clear and complete working papers that comply with the Federal Deposit Insurance Corporation Improvement Act and internal audit professional standards.

- 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 focuses on key concepts related to auditing deposit activities, wire transfers, Federal Home Loan Bank advances and other borrowings. Learn how to design and execute an effective plan for the confirmation process and best practices for the communication of audit results.

- Evaluating auditing risks associated with deposits, official checks and other liabilities
- Understanding and planning the confirmation process
- Obtaining management commitment to act on audit recommendations
- Developing techniques for effectively presenting audit findings to bank management and the Audit Committee
- Auditing federal funds, FHLB borrowings, repurchase agreements and other liabilities
- Understanding and auditing wire transfers and ACH transactions in your bank.

SCHEDULE

MONDAY

Auditing I—The Basics

- 7:30 am – 8:00 am** Registration
- 8:00 am – Noon** Welcome/Introduction/Auditing I—The Basics
- Noon – 1:00 pm** Lunch
- 1:00 pm – 5:30 pm** Auditing I—The Basics

TUESDAY

Auditing I—The Basics, cont'd

- 8:00 am – 11:00 am** Auditing I—The Basics
- 11:00 am – Noon** *Auditing I—The Basics Exam**
- Noon – 1:00 pm** Lunch
- 1:00 pm – 5:30 pm** Internal Auditing Working Papers

WEDNESDAY

Internal Auditing Working Papers

- 8:00 am – 11:00 am** Internal Auditing Working Papers
- 11:00 am – Noon** *Internal Auditing Working Papers Exam**
- Noon – 1:00 pm** Lunch
- 1:00 pm – 5:30 pm** Auditing II—Auditing Liabilities & Other Activities

THURSDAY

Auditing II—Auditing Liabilities & Other Activities, cont'd

- 8:00 am – 11:00 am** Auditing II—Auditing Liabilities & Other Activities
- Noon – 1:00 pm** Lunch
- 1:00 pm – 5:30 pm** Auditing II—Auditing Liabilities & Other Activities

FRIDAY

Auditing II—Auditing Liabilities & Other Activities, cont'd

- 8:00 am – 11:00 am** Auditing II—Auditing Liabilities & Other Activities
- 11:00 am – Noon** *Auditing II—Auditing Liabilities & Other Activities Exam**
- Noon** Adjourn

*Exam given to those enrolled in the Certified Community Bank Internal Auditor program. Certification requires completion of both weeks within a two year period.

www.CommunityBankerUniversity.com

SEND OR FAX REGISTRATION TO: Community Banker University, PO Box 267, Sauk Centre, MN 56378
FAX (320) 352-5366 **PHONE** (800) 422-7285, ext. 7334 **EMAIL** communitybankeruniversity@icba.org



2016 Auditing InstituteSM (Week Two)

May 2-6; Kansas City, MO

Auditing III—Auditing Assets builds on the auditing concepts covered in Auditing I and Auditing II, auditors will learn major control objectives and procedures for auditing assets, including loan activities, due from bank accounts and investments.

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

Auditing IV—An Internal Auditor's Guide to the Business of Banking, Regulatory Matters, Fraud and Related Topics focuses on a number of advanced skills and is designed to round out your auditing tool kit.

- Understanding the business of banking
- Learning how asset/liability management works and how it affects the audit process
- Learning about bank liquidity
- Designing and performing operational audits (auditing for efficiencies)
- Preventing and detecting fraud
- Understanding the regulatory process and how to effectively deal with examiners and the regulatory agencies.

Bank Information Systems (BIS) Auditing

Take control and audit electronic data processing and information systems with the tools and step-by-step procedures needed to perform a thorough internal audit of information processing systems.

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

SCHEDULE

MONDAY

Auditing III—Auditing Assets

7:30 am – 8:00 am Registration

8:00 am – Noon Welcome/Introduction/Auditing III—Auditing Assets

Noon – 1:00 pm Lunch

1:00 pm – 5:30 pm Auditing III—Auditing Assets

TUESDAY

Auditing III—Auditing Assets, cont'd

8:00 am – 11:00 am Auditing III—Auditing Assets

11:00 am – Noon *Auditing III—Auditing Assets Exam**

Noon – 1:00 pm Lunch

1:00 pm – 5:30 pm Auditing IV—An Internal Auditor's Guide to the Business of Banking, Regulatory Matters, Fraud and Related Topics

WEDNESDAY

Auditing IV—An Internal Auditor's Guide to the Business of Banking, Regulatory Matters, Fraud and Related Topics, cont'd

8:00 am – Noon Auditing IV—An Internal Auditor's Guide to the Business of Banking, Regulatory Matters, Fraud and Related Topics

Noon – 1:00 pm Lunch

1:00 pm – 5:30 pm Auditing IV—An Internal Auditor's Guide to the Business of Banking, Regulatory Matters, Fraud and Related Topics

THURSDAY

Auditing IV—An Internal Auditor's Guide to the Business of Banking, Regulatory Matters, Fraud and Related Topics, cont'd

8:00 am – 9:00 am *Auditing IV Exam**

9:00 am – Noon Bank Information Systems Auditing

Noon – 1:00 pm Lunch

1:00 pm – 5:30 pm Bank Information Systems Auditing

FRIDAY

Bank Information Systems Auditing, cont'd

8:00 am – 11:00 am Bank Information Systems Auditing

11:00 am – Noon *Bank Information Systems Auditing Exam**

Noon Adjourn

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2016 Auditing InstituteSM

Registration Form

HOTEL INFORMATION

- The Institute will be held at the **Embassy Suites KCI Airport**. To make your hotel reservation call (816) 891-7788. To secure the negotiated rate of \$142 for this program, you must make your hotel reservation by 4-1-16.
- For special requests, please call the hotel directly or contact the community Banker University Department at (800) 422-7285.

Community Banker University (powered by ICBA) is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: www.learningmarket.org.

43 CPE Credits: Auditing

Program Level: Intermediate

Prerequisites: No previous experience and training is necessary.

Delivery Method: Group-Live

OUR FACULTY

Jerry Felicelli is the principal in charge of the Financial Institutions Group of CliftonLarsonAllen LLP. His 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 principal in the Financial Institutions Group at CliftonLarsonAllen LLP. He has over 25 years experience in the banking industry and is extensively involved in audits, mergers and acquisitions, embezzlement and fraud investigations, financial planning, loan review, tax and consulting for community banks.

Mark Eich is a principal with the Financial Institutions Group of CliftonLarsonAllen LLP with more than 24 years experience providing auditing and consulting services to community banks, with special emphasis on IT and IT security.

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

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

REGISTRATION INFORMATION

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

Email

This fax was sent to you because ICBA believes you will benefit from this information. If you would like to opt out of future faxes of this type, please fax back a request to 800-824-7859, send an e-mail to fax@icba.org, or call 866-843-4222. Your request should contain: 1) Your name and bank name, city, state, phone and 2) the fax number(s) to be removed from our lists.

ICBA Member Fee: \$2,295 (with testing fee \$2,445) / 1 week
\$3,595 (with testing fee \$3,895) / 2 weeks
Nonmember Fee: \$3,495 (with testing fee \$3,745) / 1 week
\$5,195 (with testing fee \$5,695) / 2 weeks
Nonbanker Fee: \$3,895 (with testing fee \$4,145) / 1 week
\$5,995 (with testing fee \$6,495) / 2 weeks

Please enroll me in the certification program.

Week One:

(5170-1) Apr. 25-29, 2016; Kansas City, MO

Week Two:

(5175-1) May 2-6, 2016; Kansas City, MO

Certification Program Testing Fees:

ICBA Member: \$150 / week; Nonmember: \$250 / week

A check payable to ICBA is enclosed.

Charge to my VISA MasterCard American Express Discover

Credit Card Account No.

Expiration Date

CVV#

Signature

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.

Airfares will not be reimbursed if a seminar is cancelled.

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