



Education



2010 Auditing Institute (Week One)

April 25-30; 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 FDICIA and internal audit professional standards.

- Documenting each phase of the audit cycle (including planning, performing, reporting and followup)
- 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 and FHLB 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.

- 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
- 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 official check activities

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

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



Education



2010 Auditing Institute (Week Two)

May 2-7; Kansas City, MO

Schedule

Auditing III – Auditing Assets builds on the auditing topics 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 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

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*
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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

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





Education



2010 Auditing Institute

Week One
April 25-30; Kansas City, MO

Week Two
May 2-7; Kansas City, MO

Our Instructors:

Jerry Felicelli is the principal in charge of the Financial Institutions Group of LarsonAllen 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 LarsonAllen 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 LarsonAllen LLP with more than 20 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 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

Hotel Information:

- To make your hotel reservation, contact the **Embassy Suites KCI Airport (MO)** at (816) 891-7788. To secure the negotiated rate of **\$130** for this program, you must make your hotel reservation by **4-7-10**.
- For special assistance needs, please call the hotel directly or contact the ICBA Education Department at (800) 422-7285.

Independent Community Bankers of America (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 addressed to NASBA, 150 Fourth Avenue North, Nashville, TN 37219-2417. Web site: www.nasba.org.

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
Online: www.icba.org/education
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; \$3,195 / 2 weeks

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

Nonbanker Fee: \$3,495 / 1 week; 5,995 / 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 25-30, 2010; Kansas City, MO

Week Two

(5175-1) May 2-7, 2010; Kansas City, MO

*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

American Express Discover

Credit Card Account No. _____ Expiration Date _____

Signature _____