



**SOPAC<sup>®</sup>**

# CONFERENCE PROGRAM

**SOPAC<sup>®</sup> 2012 Conference**

Sydney Convention & Exhibition Centre

4 to 7 March 2012

*Experience + Connected + Valued = Assurance*

**60** YEARS  
experience

 The Institute of  
Internal Auditors  
Australia

## WELCOME MESSAGE

# 60 YEARS experience

Dear Colleagues

IIA-Australia is delighted to host the SOPAC® 2012 conference in Sydney from 4 to 7 March which will also celebrate the 60th year Diamond Jubilee Anniversary of the Institute, in Australia.

SOPAC® stands for the South Pacific and Asia Conference and over the years of growth and innovation it has become a trusted brand for internal auditors in Asia Pacific and is renowned as one of the largest and most valued internal audit conferences in the region.

We look forward to seeing you at SOPAC® 2012, the pre-eminent regional conference for professionals working in internal audit, risk management, compliance and governance.

Taking the theme of 'Experience + Connected + Valued = Assurance', this year's conference highlights that internal audit is increasingly becoming the 'go to' department due to its unique view of organisational operations, risks and opportunities.

This conference will provide the stage for the profession to tackle internal audit challenges bringing together thought leaders from Asia, Europe, North America and Australia to share knowledge and ideas. Delegates will be able to gain insights on wider business issues impacting the profession as well as develop technical and

practical skills around internal audit methodologies. In addition to the technical program the conference will provide many opportunities for networking so delegates can expand their knowledge by exchanging ideas with colleagues from Australia and abroad.

We anticipate over 900 attendees will attend the conference, including chief audit executives, IT audit directors, audit committee members, internal audit managers, internal audit technical staff and consultants working across many industry sectors.

With the diverse nature of our audience the program has been designed to deliver specific sessions to cater for the needs of new auditors through to CAE's while providing sector-specific sessions focusing on financial services, the public sector and small audit shops.

We encourage you to attend SOPAC® 2012 and further develop your capacity to tackle the challenges of the road ahead for the internal audit profession.

We look forward to seeing both past and new attendees in Sydney and welcoming you at SOPAC® 2012.

Yours sincerely



**Catherine Blunt CFIIA CIA**  
President, IIA-Australia



**David Barry MIIA(Aust)**  
Co-Chair, SOPAC® 2012



**Elma von Wielligh-Louw  
CMIIA CIA CGAP**  
Co-Chair, SOPAC® 2012



**Michael Quirk MIIA(Aust)**  
Co-Chair, SOPAC® 2012

## ACKNOWLEDGEMENTS

IIA-Australia would like to thank the following people for their time and support in the development of the SOPAC® 2012 program:

**David Barry MIIA(Aust)**  
Head of Internal Audit, AMP

**Elma von Wielligh-Louw CMIIA CIA CGAP**  
Partner, Deloitte

**Michael Quirk MIIA(Aust)**  
Head of Internal Audit, Willoughby City Council

**Christopher McRostie**  
Chief Executive Officer, IIA-Australia

**Deborah Manning**  
Director, Learning & Development  
IIA-Australia

**John Harmata**  
Conference Production Manager, IIA-Australia

**Sheryl Cole**  
Conference and Event Specialist, IIA-Australia

**Darshan Parmar**  
Head of Marketing & Communications,  
IIA-Australia

**Anna Soo**  
Manager, Sponsorship & Relationship  
Management, IIA-Australia

IIA-Australia would also like to thank all the members who participated in the focus group planning sessions.

# SOPAC® 2012 – A MUST-ATTEND INTERNAL AUDIT EVENT

## The Program

The program has been designed utilising a range of session formats, combining a balanced mix of thought provoking keynote addresses, leading edge technical sessions, panel discussions and practical masterclasses delivered by national and international experts. SOPAC® 2012 features up to six concurrent session streams. The streams are designed to meet the needs of the wide scope of the internal audit profession and are organised into the following categories:

**Technical – ‘how to’** – Practical sessions designed to deliver practical examples (case studies) and insights on how to undertake audits of various kinds.

**The Complete Practitioner** – Designed to assist professionals to become ‘complete practitioners’ by addressing current knowledge requirements and advanced audit issues.

**Professional Excellence** – Aimed at developing the non-technical skills essential for internal audit effectiveness.

**Sector Specific Issues** – Designed to explore issues in specific sectors including: public sector, financial services and small audit shops.

**Strategic Audit** – Tailored for CAEs and audit committee members and those seeking insights into the complex and strategic aspects of the internal audit environment.

**Research and Technical Papers** – Information sessions designed to relay information about research, surveys, articles and technical papers undertaken for the internal audit profession.

These categories should be treated as a guide only. The program is yours to tailor to meet your needs so feel free to follow a particular stream or to mix and match.

## Networking Opportunities

SOPAC® 2012 will offer delegates opportunities to build business relationships, catch up with friends and colleagues and to discuss the latest industry trends.

**Breakfasts and Breaks** – during the conference, delegates can unwind over refreshment, informal breakfasts, morning and afternoon teas, which will be served daily in the exhibition area.

**Communications Lounge** – the Communications Lounge will be a central point of activity for delegates to take time to relax and check emails and phone messages.

**Cocktail Party** – the first official social event of the conference, the Cocktail Party will be held in the exhibition area where delegates can network and familiarise themselves with old and new acquaintances as well as some unexpected special guests!

**Conference Dinner** – this is the social highlight of the conference. Enjoy a great night out of fine food and wine, music and entertainment with friends old and new.

## Exhibition

With over twenty exhibitors at the conference, the Exhibition is the ultimate resource for new products and services, news and developments in information sharing, networking, professional development and training.

Delegates have the opportunity to interact with software suppliers, business risk and assurance services firms, recruitment consultancies, security/data protection service providers, fraud detection organisations, publishing firms and many others who service the needs of the internal audit and risk profession. Delegates can browse at their leisure, ask questions, and pick up new ideas that will help them on the job.

## Continuing Professional Education (CPE)

Members of IIA-Australia are entitled to claim 19 CPE hours for attending the full conference program. (Monday – Wednesday). Additional hours can be accrued through attendance at the following activities:

**Chief Audit Executives’ Leadership Forum (invitation only)**  
6.5 CPE hours

**Internal Audit Breakfast**  
1 CPE hour

**Wednesday Half Day Masterclasses**  
3 CPE hours

**Thursday Full Day Masterclass**  
7 CPE hours

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The Partners and Supporters Program supports IIA-Australia’s strategy to increase the influence and recognition of the internal audit profession.

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# KEY SPEAKERS



## **SAM MOSTYN**

**Director, Institute for Sustainable Solutions at the University of Sydney and Non-Executive Director, Virgin Australia**

Sam is the Director of the Institute for Sustainable Solutions at the University of Sydney. Prior to her current role she was Group Executive, Culture & Reputation at Insurance Australia Group.

She has also held senior executive positions with Optus Communications and Cable & Wireless Plc, and was a policy advisor to two Federal Communications Ministers before joining the office of the Prime Minister Paul Keating as a senior communications policy advisor.

In 2005, Sam was appointed as a Commissioner with the Australian Football League, the first woman to hold such a position, and in September 2010 she was appointed a Non-Executive Director of the Virgin Australia Board.



## **SEAN AYLMER**

**Editor-in Chief, BRW, Deputy Managing Editor, Financial Review Group, Deputy Managing Editor, Australian Financial Review**

Sean Aylmer is an experienced writer and commentator who trained as an economist and worked for the Reserve Bank of Australia before shifting to journalism. He joined Fairfax Media in 1997 and has worked at the Sydney Morning Herald, The Australian Financial Review and BRW. He has worked in the Canberra press gallery, been a foreign correspondent based in New York and held senior management jobs including news editor at the AFR. He is currently deputy managing editor of the AFR and editor-in-chief of BRW.



## **DENNY BERAN CIA CCSA**

**Senior Vice President and Director of Auditing, JCPenney Company and Chairman of the Board, The Institute of Internal Auditors**

Denny Beran is the Senior Vice President of Audit for the JCPenney Company located in Plano, Texas. He oversees auditing for all JC Penney operations.

Denny is a long-time member of The Institute of Internal Auditors. In 1999, he received one of The Institute of Internal Auditors' most prestigious awards, the Victor Z. Brink Award for Distinguished Services.

Over the years, Denny has served in many positions with The IIA. He recently led The IIA's efforts to develop a formal value proposition articulating internal auditing's value to its stakeholders. He is currently the 2011-2012 Global IIA Chairman of the Board.



## **STUART MCLEAN**

**Australia and New Zealand, Managing Director, Google Enterprise**

Stuart joined Google in January 2011 to lead the Enterprise business in Australia and New Zealand. Google Enterprise helps organisations harness the power of information through fast, relevant search, cloud-based messaging and collaboration, security and archiving services, and tools for building maps and interactive, location-specific displays.

In 2001 Stuart co-founded NetReturn and secured the sole rights to launch the online business solution, NetSuite, in Australia and NZ - one of the first online applications of its type. Prior to founding NetReturn Stuart was at Oracle Corporation as Executive Director - Oracle.com. Stuart has held various leadership roles in Oracle, and encompassed a number of positions with Optus Communications, Telstra and PriceWaterhouseCoopers.



## **DR JOHN CLARKE** **Psychologist and Author**

John Clarke's PhD (completed through the School of Psychology at the University of Sydney) examined sexual homicide offenders and criminal profiling. John is also the main author of a best selling book examining psychopaths, sexual homicide, stalking, sexual assault, and criminal profiling. He has acted as a consultant in the area of workplace psychopaths and criminal psychology for both law enforcement and criminal law practitioners. John has extensive experience lecturing in the areas of workplace psychopaths, sexual homicide, forensic psychology and investigative interviewing to members of numerous law enforcement agencies as well as legal professionals, professional organisations and the general public. He is the author of two books on workplace psychopaths; Working With Monsters and The Pocket Psycho published by Random House.



## **JOHN ANDERSON** **Founder, The Contiki Group**

At the age of 22 John Anderson left New Zealand for a one-year trip overseas. He returned some 20 years later with a wife, four children and the international tourism business: Contiki Holidays.

With just 25 pounds in his pocket he created one of the world's leading tour operators (the largest catering for 18-35 year olds). When he sold the company a few years ago it was firmly established as an international 'brand' name. To date two million young people have travelled Contiki including just over one million Australians.

He now lives in Marlborough, New Zealand where he has just completed writing a book on one of the great untold Australasian business success stories - The Contiki story - titled 'Only Two Seats Left!'

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GROUP



**CAROLYN MILLER**  
Strategic Planning Director, Moon  
Communications and Gruen Transfer  
Panel Member

Carolyn is a highly regarded and well known figure within the Australian creative industries. As a regular panelist on the ABC's The Gruen Transfer, she is a recognised authority on creative persuasion and is also a writer for both Drum Media and designfederation.net.

She has been working in the Advertising and Marketing industry for over 12 years, and is currently Strategic Planning Director for Moon Communications. She has had considerable experience in both hosting symposiums and delivering exciting and engaging keynote addresses, including Creative Sydney, PHAA Social Media Symposium, and APMRG member events, to name but a few.



**STEVE VAMOS**  
Non-executive Director, Telstra and  
founding President of the Society  
for Knowledge Economics

Steve Vamos is a non-executive Director of Telstra and the founding President of the Society for Knowledge Economics.

Previously, he was the CEO of ninemsn, growing the Microsoft and PBL joint venture from start-up to an online media industry leader, and Vice President of Microsoft Australia and New Zealand until 2007, before moving to the United States to become the company's head of Worldwide Sales and International Operations for their Online Services Group. He also spent 14 years with IBM Australia before becoming Vice President and Managing Director of Apple Computer Asia Pacific and Managing Director of Apple Computer Australia.

He has also been twice named in the top five most influential members of the Australian technology industry by the Australian Financial Review.



**TONY JONES**  
Journalist, ABC

One of the ABC's most experienced and respected journalists, with more than 20 years experience in radio and television news and current affairs. Tony Jones has been hosting the award winning news and current affairs program, Lateline since 1999. He has also reported for Four Corners, Foreign Correspondent, and other TV and radio current affairs programs.

He has collected respected awards for reports such as "Horses for Courses" on the Waterhouse racing dynasty (Walkley), "My City of Sydney" on the city's development boom (Penguin), and "Frozen Asset" on the exploitation of Antarctica (Gold Medal, New York Film and Television Festival).



**MIKE THORNTON**  
Director, Group Risk Management,  
AMP

Mike has over 20 years experience in life insurance and wealth management, all of that with the AXA Group.

He has held a number of senior finance roles in both the UK and Australia, as well as spending time working at AXA's head office in Paris, and more recently, in Asia.

Over recent years has performed Appointed Actuary, Group Chief Actuary and Chief Risk Officer roles, successfully steering AXA Asia Pacific through the global finance crisis.

Mike is now focusing exclusively on risk management and was recently appointed to run the risk management teams in the newly merged AMP and AXA business.

7.30am	REGISTRATION DESK OPENS
7.30-8.45am	NETWORKING BREAKFAST AND EXHIBITION VIEWING
8.45-9.00am	OPENING REMARKS AND WELCOME
9.00-9.50am	KEYNOTE 1

## Will the sun rise tomorrow? Yes, but.....

Organisations today must take a contemporary approach to address the challenges of successfully doing business in an era of advancing technology, climate change, increasing globalisation, consumer and employee activism and increasing transparency and governance requirements. Drawing on her experience from the corporate, public and sporting sector, Sam Mostyn will share her perspectives of what all organisations need to do to in order to be successful and remain in business in this century and beyond. Key areas of focus will include:

- Understanding the impacts of a globally connected and vocal market place
- What are the emerging risks areas that should be on the minds of the Board?
- The importance of corporate communication, internally and externally
- Developing business success through corporate sustainability
- How the role of the Board and corporate management needs to change to ensure their organisations don't get left behind

**Sam Mostyn, Director, Institute for Sustainable Solutions at the University of Sydney and Non-Executive Director, Virgin Australia**

9.55-10.45am	CONCURRENT SESSIONS 1
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### TECHNICAL

#### 1A National Greenhouse & Energy Reporting (NGER) Demystified

- Overview of the NGER legislation and its core requirements
- Managing the complexity of data validation - procedures and strategies and the role of internal audit resources in the validation process
- Overview reporting process and audit requirements for NGER and the Clean Energy Future legislation
- Integrating sustainability and financial reporting

**David Barton, Manager Sustainable Development Assurance, Rio Tinto**

### THE COMPLETE PRACTITIONER

#### 1B Demystifying risk appetite

- The definitions of risk appetite and risk tolerance
- Problems in defining risk appetite
- Developing risk criteria for risk-based decisions
- What is the relevance of risk criteria to audit planning

**Grant Purdy, Associate Director, Broadleaf Capital International and Chair, Standards Australia and Standards NZ Risk Management Committee Head of Delegation, ISO TC 262 (Risk Management)**

### PROFESSIONAL EXCELLENCE

#### 1C Developing your EQ (Emotional Intelligence)

- Connecting with your team, clients and stakeholders
- Recognising the impacts of emotions in the business environment
- Building influence through EQ to achieve better outcomes
- How being a 'people person' can make a real difference

**Dominic Siow, Trainer - Speaker - Coach, EQ Strategist, People Empowerment Solutions**

### SECTOR SPECIFIC ISSUES

#### 1D Tackling syndicated crime - Stopping the big dollars leaving your organisation

- Recent cases - lessons learnt
- Emerging areas of risk, and tools of the trade for syndicated crime - Facebook; social media; identity fraud; e-fraud
- Expectations of internal audit and reporting obligations of companies - Legal obligation vs cultural obligation (right thing to do)
- Role of the police, the company and internal audit

**Colin Dyson APM, Detective Superintendent Commander, Fraud and Cybercrime Squad, State Crime Command, NSW Police Force**

### STRATEGIC AUDIT

#### 1E Governance, Risk and Controls (GRC) - Internal audit driving "quality" organisations

- Understanding the GRC framework for organisational decision making
- Structuring the internal audit function to play an integral role across the GRC framework
- Designing an audit program to deliver real value in driving better governance, risk management and internal controls
- Methodologies and practicalities in auditing the GRC framework to ensure you are getting it right
- The relationship factor - Internal audit working with the business and the Audit Committee

**Alan N. Siegfried CIA CCSA CFSA CGAP, Auditor General, Inter-American Development Bank**

10.45-11.15am	MORNING TEA
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11.15am-12.05pm	CONCURRENT SESSIONS 2
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### TECHNICAL

#### 2A What the workplace harmonisation laws mean for you

- Understanding the definitions and impacts of being: a worker; a volunteer; a contractor; on work experience from High School or a person doing vocational training while at Uni or TAFE
- The growing significance of employment risk
- Understanding fiduciary duties

**Brian Williamson, Director, WilliamsonLegal**

### THE COMPLETE PRACTITIONER

#### 2B Disaster Recovery - Queensland floods case study

- The declaration of four natural disasters in Queensland
- Suncorp's Business Continuity - four days of crisis management
- How Suncorp has responded to the natural disasters
- The three State and Federal Inquiries
- Overview of Suncorp's Insurance Fraud Mitigation Strategies

**Jimmy Higgins, Executive Manager - Fraud and Investigations (General Insurance) Suncorp Metway**

**PROFESSIONAL  
EXCELLENCE**

**2C Managing the recruitment lifecycle**

- Overview and trends in the internal audit recruitment market
- Understanding the real reasons why internal auditors change jobs
- Insights into what attracts internal auditors to stay or to move to other roles and organisations
- Building an internal audit career plan - how to develop a career health-check for yourself and your staff

**Tania Barnard, Adam Bell, Donna Read, Kim Thompson – Audit & Professional Services Practice, Ethos Corporation**

**SECTOR SPECIFIC  
ISSUES**

**2D Risk based capital –Basel III Impacts**

- Review of Basel III requirements
- Impacts on the composition of capital
- Areas of changes in risk tolerances
- Implementing the new compliance regime
- Interaction of the assurance functions in managing liquidity risk

**Andrew Harmer, Partner, Financial Services & Risk Management, Ernst & Young**

**Megan Holt, Executive Director, Financial Services & Risk Management, Ernst & Young**

**STRATEGIC  
AUDIT**

**2E Regulator round table – Compliance update**

This interactive panel session will provide you with the latest regulation updates from Australia's key regulators.

- What is on the horizon in 2012 and beyond
- Areas of regulation risk
- Key areas of focus for the regulators going forward
- Expectations from the internal audit function

**Robert Sharma, Head of Accounting Regulation, APRA**

**Peter Jenkins MIIA(Aust), Director Internal Audit (NSW) Australian Taxation Office**

**John Price, Director, Strategic Policy, ASIC**

12.10-12.50pm

**KEYNOTE 2**

**Economic update – From global to local**

- What does the state of the global economic landscape mean for companies in Australia?
- The key areas of economic risk and opportunity for the local economy
- The key statistics – where to for interest rates, inflation, employment rates and the dollar
- How is the economy shaping the risk appetite impacts for businesses and boards

**Sean Aylmer, Editor-in Chief, BRW, Deputy Managing Editor, Financial Review Group, Deputy Managing Editor, Australian Financial Review**

12.50-1.50pm

**LUNCH AND EXHIBITION VIEWING**

1.50-2.40pm

**CONCURRENT SESSIONS 3**

**TECHNICAL**

**3A Auditing emerging HR risk**

- Payroll risk – tips and tricks in identifying payroll fraud
- Compliance with legislation
- Identification of conflicts of interest in the workplace
- Employee performance management
- Application of policies

**Angus Dickinson CMIIA CIA, Partner, Head of Risk Advisory Services (Sydney), RSM Bird Cameron**

**THE COMPLETE  
PRACTITIONER**

**3B International compliance – Meeting the challenge of cross jurisdictional compliance**

- Overview of the wide reaching arm of international compliance including the UK Bribery ACT, FACTA (US) and Dodd-Frank(US)
- Understanding the challenges in covering your international compliance bases
- The essentials to develop an effective international compliance framework
- How risk management and internal audit can add value to the process
- Case study experiences in managing the requirements – wins and challenges

**Andrew Clinton, Managing Director, Asia Pacific Financial Services Group, Protiviti**

**PROFESSIONAL  
EXCELLENCE**

**3C Presentation skills –Talking the talk (double session)**

“There are four ways, and only four ways in which we have contact with the world. We are evaluated and classified by these four contacts; what we do, how we look, what we say and how we say it.” - Dale Carnegie.

Are we in fact seen as confident and competent presenters? This session will provide the theory, the skill development and the chance to apply these tips and techniques of effective presenters. Participants will be better able to reduce the many distracting presentation habits that can undermine the power of their messages.

- Reduce undermining effect of nerves
- Use effective eye contact, body language and stance
- Gain credibility through word choice and structure
- Leverage vocal quality to engage audiences

**Presented by Maura Fay Workshops**

**SECTOR SPECIFIC  
ISSUES**

**3D Blurred vision the new paradigm of the 3 lines of assurance**

- The changing nature of assurance – the combined roles, risk management and compliance in delivering effective integrated risk management
- How to assess the maturity and capability of your integrated risk framework
- Internal audit's role in shaping more robust enterprise risk and its critical role in the second line of defence

**Des Silberberg MIIA(Aust), Partner, Financial Services Deloitte**

**Peter Matruglio, Partner, Financial Services, Deloitte**

**STRATEGIC  
AUDIT**

**3E The changing stakeholder – From the Boardroom to “the man on the street”**

- Breaking down the decision making walls in the age of greater transparency
- How public opinion is influencing organisations
- How the Board is reacting to “the man on the street”
- The changing of the guard in Australia's business culture

**Senior Representative from ISS Governance**

2.45-3.35pm

## CONCURRENT SESSIONS 4

## TECHNICAL

**4A Planning the audit scope - The fundamentals**

- Building the succinct audit brief - Bringing efficiencies into the audit process
- Understanding the assignment - Engaging with stakeholders in planning process
- Covering the risk perspective - Risk based auditing
- The internal audit balancing act - Getting involved in the business but maintaining independence

**Tracey Lawrance MIIA(Aust), Chief Auditor, Airservices Australia****Michael del Castillo CIA MIIA(Aust), Audit Manager, Airservices Australia**

## THE COMPLETE PRACTITIONER

**4B The challenge of measuring the soft side of corporate value**

- Putting a value on the soft side of the business - Customer service, brand experience, consumer perceptions
- Barriers and challenges in measuring soft KPIs
- How to build effective qualitative performance measures
- Why the customer does come first

**John Parkin, Director, Customer Service & Satisfaction, Telstra**

## PROFESSIONAL EXCELLENCE

**4C Presentation skills - Talking the talk (double session)**

Double session continued from 3C

## SECTOR SPECIFIC ISSUES

**4D Insider trading - What internal auditors need to be looking for on the 'inside'**

- The role of ASIC Market Surveillance
- How ASIC identifies possible insider trading
- Key issues which ASIC are currently encountering
- Insights and learning from recent case studies

**Darryl Harvey, Senior Specialist, Trade Surveillance Team, ASIC**

## STRATEGIC AUDIT

**4E Horizon auditing - Scenario planning for Black Swans**

- Identifying and preparing for Black Swans - can it be done?
- Limitations of existing risk scanning techniques
- A practical framework to help remove your organisation's blind spots
- Putting it into practice - The SP AusNet case study

**Claire Hamilton MIIA(Aust), General Manager, Risk Assurance, SP AusNet****Todd Davies CFIIA CIA, Director, Todd Davies & Associates**

3.35-4.05pm

AFTERNOON TEA

4.05-4.55pm

KEYNOTE 3

**Enhancing the value of internal auditing**

- Importance of being a risk and control expert
- Advantages of being strategically focused
- Benefits of being a data wizard
- Advantages of building relationships with management and our governing bodies
- Benefits of being mindful of fraud and ethical exposures

**Denny Beran CIA CCSA, Senior Vice President and Director of Auditing, JCPenney Company and Chairman of the Board, The Institute of Internal Auditors**

5.30-7.30pm

COCKTAIL PARTY



## Join the IIA-Australia

*Be part of an ever increasing influential community...*

"Belonging to a group with members who perform and understand the nature of my work **that's what membership means to me**"

Jaelyn Biro MIIA(Aust)

7.30am	REGISTRATION
7.30-8.45am	NETWORKING BREAKFAST AND EXHIBITION VIEWING
7.30-8.45am	INTERNAL AUDIT BREAKFAST WITH GUEST SPEAKER <i>(additional registration fee applies)</i>
	<p><b>Pitch, perception, presumptions, reality – Does internal audit have an image problem?</b></p> <p>Join Gruen Transfer Panellist and Strategic Planning Director, Moon Communications, Carolyn Miller for breakfast and take a different look at the world of internal audit. Carolyn will share her secrets and insights on how the internal auditor can best sell the value of their profession. Key questions to be discussed include:</p> <ul style="list-style-type: none"> <li>• Why does internal audit have an image problem?</li> <li>• Does our perception deliver our reality?</li> <li>• How do we turn our customers / stakeholders into 'true believers' of internal audit?</li> <li>• What creative approaches can be used to get heard?</li> <li>• Is an internal auditor capable of getting the message across?</li> </ul> <p><b>Carolyn Miller, Strategic Planning Director, Moon Communications and Gruen Transfer Panel Member</b></p>
9.00-9.50am	KEYNOTE 4
	<p><b>Leadership for a connected world</b></p> <p>The world is now a very connected, complex and fast changing economic and social system. These characteristics of our environment are likely to continue to be dominant themes as we look forward.</p> <ul style="list-style-type: none"> <li>• Connectivity – information and communications technology has changed the world and amplified the potential of people</li> <li>• Stakeholders voice – can't be ignored as they have access to more information than ever and can join together to call for change</li> <li>• Leading in the information age requires a different mindset and capabilities</li> <li>• Clarity of purpose, strong alignment and building the right culture are the essence of high performing organisations</li> </ul> <p>Steve Vamos will discuss the imperative of developing our leadership and management capability in order to address the challenges of a more connected, fast changing economy and world.</p> <p><b>Steve Vamos, non-executive Director, Telstra and founding President of the Society for Knowledge Economics</b></p>
9.55-10.45am	CONCURRENT SESSIONS 5
<b>TECHNICAL</b>	<p><b>5A Auditing websites – Protecting your frontline</b></p> <ul style="list-style-type: none"> <li>• Common types of threats and risks related to websites today</li> <li>• Common mistakes made in auditing websites</li> <li>• How to scope a website audit</li> <li>• What to expect from a website audit</li> <li>• How to interpret the audit findings and securing your website</li> </ul> <p><b>Ron Brandis, Principal Security Consultant, Stratstec</b></p>
<b>THE COMPLETE PRACTITIONER</b>	<p><b>5B The tail that wagged the dog – Getting management acceptance of continuous monitoring</b></p> <ul style="list-style-type: none"> <li>• Building the brief and resourcing the project</li> <li>• Selling the concept</li> <li>• The challenge of getting the data</li> <li>• Practical learnings from technical implementation challenges</li> <li>• Seeing the results – was it all worthwhile</li> </ul> <p><b>Cathy Blunt CFIIA CIA, Manager Internal Audit, Griffith University and President, IIA-Australia</b>  <b>Mario Bojilov, Director, Meta Business Systems</b></p>
<b>PROFESSIONAL EXCELLENCE</b>	<p><b>5C Critical questioning and investigation techniques (double session)</b></p> <p>Auditors need to be aware that investigations are governed by rules of law and practice not least of which are the Principles of Natural Justice. An auditor conducting an investigation must clearly understand the process for the collection and protection of evidence and the subsequent presentation of their investigative findings. This session will examine the investigation process, the legal framework, the collection of evidence, relevance and case presentation. The session will also focus on the questioning of individuals considering planning an interview, question formulation, recording the interview, production of exhibits and the detection of deception through observation and listening.</p> <p><b>Robert Cockerell, Executive Director, KordaMentha</b></p>
<b>SECTOR SPECIFIC ISSUES</b>	<p><b>5D Staying airworthy with smart program management strategies</b></p> <ul style="list-style-type: none"> <li>• Effectively mapping, measuring and defining the ultimate value of the programs against the political and operational risk landscape</li> <li>• The principles of applying good program/project governance</li> <li>• Developing a review process that delivers early warning indicators</li> <li>• Effectively managing your resources to focus on the areas of concern</li> <li>• Success stories and lessons learnt in managing the hardware of Australia's Air Force</li> </ul> <p><b>Colin Thorne AVM, Head Aerospace Systems, Defence Materiel Organisation</b></p>
<b>STRATEGIC AUDIT</b>	<p><b>5E Managing your biggest asset – Brand and reputation</b></p> <ul style="list-style-type: none"> <li>• Why is brand risk a significant business risk</li> <li>• Putting a value on your brand and reputation – how do you measure it</li> <li>• Identifying sources of reputation risk</li> <li>• How can internal audit help protect brand and reputation</li> </ul> <p><b>Sally Loane, Director of Media and Public Affairs, Coca-Cola Amatil</b></p>
<b>RESEARCH AND TECHNICAL PAPERS</b>	<p><b>5F IIA-Australia Journal – Article presentation</b></p> <p>This session will feature a presentation from the author/s of our most popular articles published in the inaugural IIA-Australia Journal. These sessions will provide the opportunity to hear additional insights about current internal audit issues and/or research findings direct from the authors/s. The topics and presenters will be announced in February, stay tuned to the SOPAC® website for details <a href="http://sopac.org.au">sopac.org.au</a></p>
10.45-11.15am	MORNING TEA

11.15am-12.05pm

## CONCURRENT SESSIONS 6

## TECHNICAL

**6A Understanding and managing spreadsheet risk**

- The role of spreadsheets in planning and management reporting
- Sources of error in spreadsheets and their impact
- What is the business risk?
- Tools and methodologies to check and audit spreadsheets and formulas
- Strategies to manage and mitigate spreadsheet risk

**James Clarkson, Director, Clarkson ITT**

## THE COMPLETE PRACTITIONER

**6B Privacy – How far can you delve?**

- Update on the current issues on Privacy legislation – How does our approach to privacy compare to the rest of the world
- Critical risk areas for organisations – Lessons learnt from recent high profile privacy breaches
- The relationship between technology, information management and privacy laws
- What are the limits and boundaries using the legislation in the internal audit process – how deep can you delve into personal/ organisational details?

**Nick Abrahams, Partner, Norton Rose**

## PROFESSIONAL EXCELLENCE

**6C Critical questioning and investigation techniques (double session)**

Double session continued from 5C

## SECTOR SPECIFIC ISSUES

**6D Outsourcing government services – Does it remove the risk?**

- The efficiencies, challenges and risks of delivering services through outsourced providers
- Defining the 'risk' roles and responsibilities of both parties
- Designing a risk management, control and compliance regime that meets the needs of both the Government and service delivery provider
- The good and the bad – Reviews of outsourced Government services at work

**Ken Robertson MIIA(Aust), Manager Risk Management, Audit & Assurance, Mission Australia**

## STRATEGIC AUDIT

**6E Protection against emerging risks in IT**

- The IT paradigm shift – From traditional in-house systems to the external world of social media, the Cloud, mobile devices and beyond
- How does 'trust' and controls fit into the new IT environment
- The emerging risks – Brand, talent and information
- Effective controls for the emerging IT culture
- Making the most of technology – Balancing the pros and cons of using new technology

**Uantchern Loh, President, IIA Singapore**

## RESEARCH AND TECHNICAL PAPERS

**6F IIA-Australia and Protiviti Audit Committee Benchmarking Survey**

The session will highlight the results of a series of roundtables with leading Australian Audit Committee Chairs to compare and contrast their views to the views of Chief Audit Executives presented in the benchmarking surveys during the past three years. This will be a most informative session providing valuable insights on the expectations gap between the internal audit function and the Audit Committee.

12.10-12.50pm

## KEYNOTE 5

**Technology empowerment – A day in the life of a Googler**

Google's Stuart McLean will address the pertinent issues that his company is finding in the market - businesses experiencing challenges with mobility, collaboration, innovation, productivity, employee culture and teamwork. All of these challenges can be addressed by technology and Stuart will share some interesting ideas around these themes and will also give insights to how Google manages to constantly innovate to remain competitive and provide a snapshot of what's next from Google.

**Stuart McLean, Australia and New Zealand Managing Director, Google Enterprise**

12.50-1.50pm

## LUNCH AND EXHIBITION VIEWING

1.50-2.40pm

## CONCURRENT SESSIONS 7

## TECHNICAL

**7A Gorilla in the midst – Fraud detection techniques**

The risk of fraud to an organisation is a critical risk regardless of organisational size, geography or industry type. Complicating factors to this critical risk is that fraud is a covert crime which is difficult to detect with the fraudster (s) working 24/7 to perpetrate the fraud and to avoid detection. If we wish to detect and prevent fraud we need to understand the indicators of fraud and employ clever strategies to mitigate the risk of fraud whilst increasing 'the perception of detection'. This session will examine:

- Fraud types
- Motivating factors
- Fraud indicators
- Strategic data analysis
- Whistle blowing
- Fraud awareness training

These issues will be discussed against actual case studies demonstrating their importance and relevance in the fight against fraud and corruption whilst providing practical solutions and advice to auditors on clever solutions to prevent and detect fraud.

**Robert Cockerell, Executive Director, KordaMentha**

## THE COMPLETE PRACTITIONER

**7B Social media in the workplace – Developing a practical workplace policy**

- Identifying social media risks in the workplace
- Navigating the boundaries between professional and personal use
- Developing a practical workplace policy that balances risks with benefits
- Defining where responsibilities and liabilities lie with social media use
- Reviewing the success of your social media controls

**Michelle Fisher, Manager Policy and Research, Editorial Policies Division, Australian Broadcasting Corporation**

**PROFESSIONAL EXCELLENCE**

**7C Root cause analysis – Not just reporting the problem, reporting the reason (double session)**

- Why Root Cause Analysis (RCA) is a critical tool for internal auditors
  - Understanding the organisational value benefit of applying RCA
  - Developing a practical framework on how to apply the 5 Why's in an internal audit or investigation
  - Managing the RCA process to deliver effective recommendations using RCA – tips, tools, techniques and case study examples
- Nicole Cullen, Director, Cullaborate**

**SECTOR SPECIFIC ISSUES**

**7D Building robust governance frameworks and controls for the Public Sector**

- The importance of governance
- The Corporate Governance Lighthouse – A revision of the 17 key governance components first published in 2009
- Internal audit and risk management in New South Wales Public Sector
- How the public sector is performing in some key governance areas

**Peter Achterstraat, Auditor-General of New South Wales**

**STRATEGIC AUDIT**

**7E Is the strategic planning process adequate and effective? – Internal audits strategic assurance role**

- What assurances do the Board and management need regarding the strategic planning process?
- What science lies behind choosing the right strategy?
- How do we audit the grand, corporate and competitive strategic planning process?
- Managing relationships, boundaries and sensitivities - Is it our job?
- How can we add value to this process?

**Zach le Roux, CIA CCSA, Chief Executive, Audit and Governance Services**

**RESEARCH AND TECHNICAL PAPERS**

**7F IIA Research Foundation/Deloitte International Insight Study – Delivering value to stakeholders**

This session presents the highlights of an IIA Research Foundation / Deloitte international study into insights. Insight is commonly defined as: 'The capacity to gain an accurate and deep intuitive understanding of a person or thing.' One of the key goals of the internal audit function is to provide its stakeholders with insights gleaned while performing assessments, both with respect to the implication of those assessments and providing recommendations. The findings of this study will provide a view as to where internal audit can add real value within their organisations.

2.45-3.35pm

**CONCURRENT SESSIONS 8**

**TECHNICAL**

**8A Topic of the day built by LinkedIn**

Join our LinkedIn in group and have your say in building the topic of the day. LinkedIn notices about the topic of the day will be circulated in December 2011 with the topic finalised in February.

**THE COMPLETE PRACTITIONER**

**8B Continuous assurance – Providing value and providing comfort**

- How Coca-Cola Amatil have successfully implemented a Continuous Controls Monitoring solution for purchase cards – Challenges faced and benefits delivered
- How Coca-Cola Amatil has provided the business with additional controls and assurance which would have been difficult and expensive to introduce through operational system changes
- Data required for P-Card analysis and the various tests that can be performed. How these test can be transferred to other areas of the business and other companies

**Gavin Steinberg MIIA(Aust), Managing Director, Satori Group**

**Ray Armstrong, Group Security Manager, Coca-Cola Amatil**

**PROFESSIONAL EXCELLENCE**

**8C Root cause analysis – Not just reporting the problem, reporting the reason (double session)**

Double session continued from 7C

**SECTOR SPECIFIC ISSUES**

**8D Public Interest Disclosure Legislation – What will it mean for information controls?**

- Update on Public Interest Disclosure (NSW) legislation
- Reporting requirements under the new legislation
- What are the cross-jurisdictional issues of the legislation
- Interaction with GIPA and FOI
- Information access and availability – How is this likely to change?

**Bruce Barbour, NSW Ombudsman**

**STRATEGIC AUDIT**

**8E iPads in business**

- Managing the era of using the handheld devices in business
- Advantages of going portable and online
- Managing the key risk areas
- How it has been put into practice
- Audit implications

**Joanna Tsintzos MIIA(Aust), Senior Manager, Audit – Corporate and IT, BHP Billiton**

**RESEARCH AND TECHNICAL PAPERS**

**8F IIA-Australia Journal – Article presentation**

This session will feature a presentation from the author/s of our most popular articles published in the inaugural IIA-Australia Journal. These sessions will provide the opportunity to hear additional insights about current internal audit issues and/or research findings direct from the authors/s. The topics and presenters will be announced in February, stay tuned to the SOPAC® website for details [sopac.org.au](http://sopac.org.au)

3.35-4.05pm

**AFTERNOON TEA**

4.05-4.55pm

**KEYNOTE 6**

**C-Suite Round Table – The business of risk, technology and profit now and beyond**

Facilitated by the ABC's Lateline's host, Tony Jones, this Q & A session will uncover the news, moves and views of doing business in today's fast paced, dynamic and competitive market from some of Australia's leading CFOs, CROs and CIOs. The key area of discussion will focus on the exponential impact of technology and how it is changing and shaping the business operating environment in terms of efficiency, speed, global and social interconnectedness, business processes, culture, risk management and ultimately profit and performance.

**Panelists include: Darren Box MIIA(Aust), Chief Financial Officer, Department of Human Services**

**Mike Thornton, Director, Group Risk Management, AMP**

**Michael Harte, Group Executive, Enterprise Services and Chief Information Officer, Commonwealth Bank**

7.00-11.30pm

**CONFERENCE DINNER**

8.00am	REGISTRATION
8.00-9.00am	NETWORKING BREAKFAST AND EXHIBITION VIEWING
9.00-9.50am	KEYNOTE 7
	<p><b>Handling the manipulative, backstabbing office psychopath</b>                      Workplace psychopaths exist in a variety of workplaces. They are individuals who manipulate their way through life and leave an indelible mark on both their victims and society. They are destructive men and women – cunning, self-centered, ruthless and terrifying. They make working life a living hell for many of us. Dr John Clarke will go deep inside their minds and enlighten you on – What motivates these individuals? How can you protect yourself from these ‘monsters’ who hide behind a veneer of respectability? How to be wise to their tricks? Don’t miss this session so you don’t become their next victim.  <b>Dr John Clarke, Psychologist and Author</b></p>
9.50-10.20am	MORNING TEA
10.20-11.10am	CONCURRENT SESSIONS 9
<b>TECHNICAL</b>	<p><b>9A Project auditing – Experiences from the field</b></p> <ul style="list-style-type: none"> <li>• Auditing the risks to successful project delivery</li> <li>• Obtaining and applying specialist skills</li> <li>• Timing of audit involvement</li> <li>• Monitoring project performance with smart KPIs and effective reporting</li> </ul> <p><b>Steven McCann MIIA(Aust), Director of Corporate Governance and Assurance, Baulderstone</b></p>
<b>THE COMPLETE PRACTITIONER</b>	<p><b>9B Supply chain reviews – Reducing risk, increasing efficiency</b></p> <ul style="list-style-type: none"> <li>• The value and methodology used in completing a risk assessment of the supply chain</li> <li>• Identify the key risks in your supply chain including:                             <ul style="list-style-type: none"> <li>- Supply chain disruptions as a result of weather/natural disasters, carrier/supplier failures, raw materials shortages, systems failures</li> <li>- Cost fluctuations driven by changes in fuel costs, capacity, and raw materials supply</li> <li>- Sourcing risks related to the operational effectiveness of the supplier base, corporate reputational risks driven by the quality of manufacturing and the working conditions of the factory, and trade regulation compliance</li> </ul> </li> <li>• The role that internal audit plays in mitigating risk in the supply chain</li> </ul> <p><b>Denny Beran CIA CCSA, Senior Vice President and Director of Auditing, JCPenney Company and Chairman of the Board, The Institute of Internal Auditors</b>  <b>Audrey Anderson, CIA CCSA, Audit Senior Specialist, JCPenney Company</b></p>
<b>PROFESSIONAL EXCELLENCE</b>	<p><b>9C Getting what you want – Using smart communication and influencing tools</b></p> <ul style="list-style-type: none"> <li>• Position power vs personal power</li> <li>• Understanding your sphere of influence</li> <li>• Push or pull – what’s your style?</li> <li>• Putting it into words</li> </ul> <p><b>Linda Chander, Director, Enskills Learning and Development</b></p>
<b>SECTOR SPECIFIC ISSUES</b>	<p><b>9D Building the annual audit plan in a small audit shop</b></p> <ul style="list-style-type: none"> <li>• Mapping the audit universe</li> <li>• Defining what gets covered in the plan and why – taking a risk based approach</li> <li>• Building realistic time frames and flexibility into your plan</li> <li>• Costing out the audit plan</li> <li>• Monitoring the progress and value of your audit work</li> </ul> <p><b>Fred Taweel CIA FIIA(Aust), Chief Internal Auditor, NSW Teachers Credit Union</b></p>
<b>STRATEGIC AUDIT</b>	<p><b>9E Lean auditing – Smarter auditing</b></p> <ul style="list-style-type: none"> <li>• A crucial capability in increasing cost constrained environments</li> <li>• Applying lean production thinking to internal audit – Understanding how best to deliver value to stakeholders without waste</li> <li>• Deepening the dialogue with stakeholders about the role and value of internal audit using Kano techniques</li> <li>• Taking a fresh look at planning from a value as well as a risk perspective</li> <li>• Lean assignment planning and management to ensure audits focus on the key issues and stick to the time planned</li> <li>• A value approach to reporting and follow-up</li> </ul> <p><b>James C Paterson PIIA, Director, Risk &amp; Assurance Insights Ltd</b>  <i>By live video link from UK</i></p>
11.15am-12.05pm	CONCURRENT SESSIONS 10
<b>TECHNICAL</b>	<p><b>10A Auditing supplier agreements – Extracting the negotiated value</b></p> <ul style="list-style-type: none"> <li>• Reviewing contracts and agreements – Identifying the risk gaps in the value chain</li> <li>• Metric complexity – How easy is it to get it wrong?</li> <li>• Practical frameworks to effectively audit supplier agreements</li> </ul> <p><b>Brian Bogardus MIIA(Aust), Partner, KPMG</b></p>
<b>THE COMPLETE PRACTITIONER</b>	<p><b>10B What is the value of internal audit?</b>                      This session will combine stakeholder engagement models with practical tips and tricks that have worked for internal audit functions as they seek to add and communicate value.</p> <ul style="list-style-type: none"> <li>• Engaging with stakeholders to find out what they value from internal audit</li> <li>• Managing conflicting stakeholder expectations</li> <li>• Capturing the value of internal audit</li> <li>• Communicating the value of internal audit</li> </ul> <p><b>Robin Low MIIA(Aust), Partner, PwC</b></p>

**PROFESSIONAL  
EXCELLENCE**

**10C Making the most of your time – Time management tips and techniques**

- Identifying time wasters
- The key to prioritising
- Dealing with email
- Timely tips for getting organised

**Linda Chander, Director, Enskills Learning and Development**

**SECTOR SPECIFIC  
ISSUES**

**10D Resourcing the small audit shop**

This interactive panel discussion will explore that various models and structures that 'small' audit shops can put in place to effectively carry out the audit plan.

- Choosing the appropriate structure to match your audit plan and resources capabilities
- Resourcing and co-sourcing models
- Effectively meeting the requirements of the IIA Standards in small audit shops and how this can improve your audit function

**Panellists:**

**Kevin Yong FIIA(Aust), Head of Internal Audit, University of Wollongong**

**Michael Quirk MIIA (Aust), Head of Internal Audit, Willoughby City Council**

**Garran Duncan CIA MIIA(Aust), Managing Director, Protiviti**

**STRATEGIC  
AUDIT**

**10E Audit Committees – The new game plan after Centro**

- Has the Centro case changed the legal, risk and governance landscape for Audit Committees and the assurance function?
- What is the role of the Audit Committee post Centro? What are the expectations of directors?
- How does the Centro case impact on the role of internal audit, risk and assurance providers and their interaction with the Audit Committee?
- The risk and governance landscape of the future - Liability of Audit Committees both organisationally and personally

**Jeremy Low, Partner, Allens Arthur Robinson**

12.10-2.00pm

**CLOSING LUNCH WITH GUEST SPEAKER**

**Building success with opportunity, risk and adventure**

Be inspired and motivated by the unique story of the establishment of one of the worlds iconic travel brands (or it could be said institutions) Contiki Holidays. Contiki founder, John Anderson will share his story of how he grew his passion for travel into a multi-million dollar company that carries over 100,000 people per year. John will discuss the importance of self belief, team work, planning, reputation, customer service and entrepreneurship of turning your vision into reality. No business venture is without risk and a key perspective that John will provide is how to view both the downside and upside of risk.

**John Anderson, Founder, The Contiki Group**

**PRE-CONFERENCE EVENT  
SUNDAY, 4 MARCH 2012**



10.00am-4.30pm

**ACIIA CHIEF AUDIT EXECUTIVES' LEADERSHIP FORUM (incorporating IIA-Australia's annual Lunch Forum)**

This is an exclusive invitation-only event limited to chief audit executives (CAEs) which will focus on the emerging issues for the internal audit profession and the critical role of the CAE. This interactive forum will provide the opportunity for you to hear from key industry speakers and engage with, question and discuss various issues at strategic level with your peers as well as provide insight into senior executives' and directors' expectations of internal audit.

The forum is designed to challenge, engage and question you on the strategic issues that are shaping our environment and provide the opportunity to discuss these issues at a strategic level with your peers as well as provide insight into the future expectations of internal audit. The forum will be structured to start with the broader strategic issues then drill down to specific governance, risk and internal audit issues.



Sponsored by

2.15-5.15pm

### HALF DAY MASTERCLASS



Mary Morel

#### Masterclass 1: Write to govern – How to write effective senior management reports and board papers

Concise, yet complete, board papers allow companies to see how well the business has performed in the past and how well their strategy is serving them. They also stimulate debate and help directors make sound decisions. Surprisingly, quality board papers are rare. At this workshop, you will be reminded of the value of:

- Getting to the point
- Structuring your messages around a coherent narrative
- Deleting the drivel

This masterclass does not cover minutes or what should go into a board paper. Instead it looks at:

- Using templates well
- Writing effective recommendations and executive summaries
- Structuring a paper for directors
- Writing clearly and concisely
- Writing to influence
- Reviewing and editing techniques

**Mary Morel, Director, The M Factor**



Gavin Steinburg

#### Masterclass 2: Auditing accounts payables and vendor master files for SAP and Oracle Financials

In this masterclass Gavin will cover what is required to perform audit analytics on these ERP systems, what data tables are required, how to link them and the various CAATS tests you can perform.

This will be an interactive workshop and will provide participants with the following:

- Data tables required for SAP/Oracle Financials
- How these tables link with each other
- How to request/get this data from IT
- Some tips and hints when doing this analysis
- The various CAATS you can perform
- How this can be automated
- Benefits derived in a number of case studies

**Gavin Steinberg MIIA(Aust), Managing Director, Satori Group**



Stephanie Koehn

#### Masterclass 3: Assurance Mapping – Painting the picture of risk

Assurance mapping is a tool which enables CAEs to visually present all assurance activities of the organisation, both internal and external, as they apply to the organisation's risks. Once complete, risks with inadequate assurance coverage and/or areas with duplicated coverage can be identified.

This masterclass will take you through the assurance mapping process which can be practically applied in all organisations no matter how big or small. Key areas to be covered include:

- Identifying the essential enterprise risk management elements needed for assurance mapping
- Identifying which assurance providers can be included, and knowing why
- Knowing how to assess the extent of the assurance coverage for each process and sub-process
- Identifying various alternatives to consider when assessing potential gaps and / or duplicate coverage areas
- Strategies for building a practical assurance mapping action plan for CAEs

**Stephanie Koehn MIIA(Aust), Manager, Technical, IIA-Australia**

## DAY 4

## THURSDAY, 8 MARCH 2012

9.00am-5.00pm

### FULL DAY MASTERCLASS



Zach le Roux

#### Masterclass 4: Optimising the benefits of ERM

The global financial crisis exposed the large gap between risk management theory and practice and the requirement for risk management to be as important as accounting in an organisation. This masterclass explores how risk management processes and practices should look and the need for risk management to be an embedded process within your organisation with a focus on the fine tuning the processes for event identification, risk assessment and risk response.

##### Key learning points include:

- Understand how financial management in the past has appeared to fail, the fundamental contributors to the crisis and how to practically address risk management challenges
- Learn how to implement 'real' and 'living' risk management in your organisation
- Assess the practical components and processes of effective risk management
- Understand the real value add of good risk management to your organisation
- Explore how risk management should be embedded into your day-to-day management, processes and board reports.

##### The structure and key points of discussion to achieve this are:

- Introduction and background
- Optimising event identification techniques
- Risk assessment and the importance of inherent risk measurements
- The risk maturity model
- The law of diminishing returns in analysing cost vs benefit
- Combining risk responses
- The portfolio view and the role of risk appetite
- The ongoing nature of ERM

##### Zach le Roux CIA CCSA, Chief Executive, Audit and Governance Services

Zach le Roux founded Audit & Governance Services in 1998. His experience in auditing and consulting spans more than 25 years. He promotes the philosophies of the wider role of internal audit, management self-assessment and strategic business management. Currently he consults and trains internationally in the internal audit, risk management and corporate governance fields to clients in both the public and private sector. Zach is a retired director of the Institute of Internal Auditors in South Africa and past chairman of the IIA conference organising committee. He is a current Audit Committee member for the South African National Treasury and has spoken at various seminars and conferences in Australia, South Africa, Malaysia, Singapore, Dubai, Qatar, New Zealand, Ethiopia, Botswana and Namibia.

# 60 YEARS

# *experience*

**Established in 1952, IIA-Australia is proud to be celebrating its 60th year Diamond Jubilee Anniversary in 2012.**

From humble beginnings with thirteen formation members in the Sydney Chapter in 1952, IIA-Australia has grown and developed into a thriving and dedicated national organisation which represents internal auditors across Australia.

The Institute of Internal Auditors - Australia is part of IIA Global which is an international professional body of more than 170,000 members.

IIA Global and its affiliates are recognised as the internal audit profession's leader in certification, membership, learning and development, research, technical guidance, quality services, policy and advocacy throughout the world.

**For further information visit [www.iaa.org.au](http://www.iaa.org.au)**

**60 YEARS**  
*experience*

 **The Institute of  
Internal Auditors  
Australia**

# HOW TO REGISTER

## Online Registration

You can register online at [www.sopac.org.au](http://www.sopac.org.au) and follow the prompts. Each delegate must complete a separate online registration form. Please note this is a secure website.

Alternatively you can complete and return the registration form along with full payment. Each delegate must complete a separate registration form.

Registration forms can be returned by fax +61 2 9264 9240, email: [eventregistration@iia.org.au](mailto:eventregistration@iia.org.au), or mailed to: PO Box A2311, Sydney South, NSW 1235, Australia

IIA members must be financial for 2012 at the time of registration to be eligible for the member rate.

## Conference website

Visit the SOPAC® 2012 website at [www.sopac.org.au](http://www.sopac.org.au) for more information about the conference including the following:

- Program updates
- Hotels and maps
- Sponsorship and exhibition information
- Session outlines
- Conference contacts

## Conference fees

All fees are quoted in Australian Dollars and are inclusive of the 10% compulsory goods and services tax (GST).

## Conference Fees

	Early Bird (Before 11 Feb 2012)	Standard (11 Feb - 24 Feb 2012)	On-Site <sup>††</sup> (from 4 Mar 2012)
Member	\$2160	\$2360	\$2560
Non-Member	\$2440	\$2640	\$2840
Group (per delegate*)	\$1990	\$2190	N/A
Corporate Ticket <sup>**</sup>	\$2900	\$2900	N/A
One Day Registration (Mon) <sup>†</sup>	\$975	\$975	\$1175
One Day Registration (Tues) <sup>†</sup>	\$975	\$975	\$1175
One Day Registration (Wed) <sup>†</sup>	\$500	\$500	\$700

\* Three or more delegates from the same organisation must register and pay on the same day to be eligible for group registration.

\*\* Corporate tickets: One registration is shared between up to 5 people from the same organisation. Includes entitlements as per one delegate only.

† One day registration includes attendance to the technical sessions and refreshments only for the day. Social function tickets for the attended day must be purchased additionally.

†† On-site registrants will receive a conference satchel subject to availability.

## Additional Sessions

	Registered Delegate	Guest
Conference Lunch	Included in conference registration fee	\$70 per person
Cocktail Party	Included in conference registration fee	\$80 per person
Conference Dinner	Included in conference registration fee	\$150 per person
Internal Audit Breakfast	\$80 per person	\$80 per person

## Masterclasses

	Registered Delegate	Guest
Day 3 Half Day Masterclass	\$430	\$600
Day 4 Full Day Masterclass	\$600	\$835

## Schedule and General Changes

IIA-Australia endeavours to ensure that accurate information is contained in this brochure at time of printing, however program content, speakers and information within this brochure are subject to change without notice. At times it might be necessary to cancel or reschedule a conference after receipt of the confirmation letter. IIA-Australia will provide advance notice of such changes, and in doing so will not be responsible for penalties related to the cancelling or rescheduling of airfares, lodging, etc.

## Liability/Disclaimer

To the extent permitted by law, IIA-Australia is not responsible for the actions, advice or representations of delegates and speakers of SOPAC® 2012. In completing the registration form, the delegate indemnifies IIA-Australia for any direct, indirect or consequential loss or damage in connection with any personal accidents, losses or damage to the personal property of delegates and any later substitutes. It is strongly recommended that delegates take out adequate medical, travel and personal insurance prior to commencement of the conference and travel.

## What your SOPAC® registration includes (members, non-members, group, corporate)

- Networking breakfast, refreshments and lunch daily during the conference
- Attendance to keynote sessions and trade exhibitions held on Monday 5, Tuesday 6 and Wednesday 7 March 2012
- Attendance to your selected concurrent sessions
- Unlimited access to the Communications Lounge
- Access to conference papers online after the conference
- Name Badge and Pocket Program sponsored by 
- One conference satchel sponsored by 
- One ticket to the Cocktail Party on Monday 5 March 2012
- One ticket to the Conference Dinner on Tuesday 6 March 2012
- Attendance at the Closing Lunch sponsored by  on Wednesday 7 March 2012

# SOPAC® 2012 REGISTRATION FORM AND TAX INVOICE

## SOPAC® 2012 Conference

Sydney Convention & Exhibition Centre  
4 to 7 March 2012

### 1. PROVIDE PERSONAL DETAILS - Please use block letters

Title  Prof  Dr  Mr  Mrs  Ms  Miss  Other

Family name \_\_\_\_\_

Given name \_\_\_\_\_

Postnominal  CMIIA®  CIA®  CCSA™  CGAP™  CFSA™  Other

Position \_\_\_\_\_

Organisation \_\_\_\_\_

Job Code \_\_\_\_\_ Industry Code \_\_\_\_\_  
(please refer to the back of the conference brochure for codes)

Address for correspondence \_\_\_\_\_

City/State \_\_\_\_\_

Country \_\_\_\_\_

Postcode \_\_\_\_\_

Telephone ( ) \_\_\_\_\_

Facsimile ( ) \_\_\_\_\_

Mobile \_\_\_\_\_

Email \_\_\_\_\_

Name as you wish it to appear on name badge \_\_\_\_\_

Please indicate your membership affiliation and your membership number

IIA Member \_\_\_\_\_

### 2. CONFIRM CONFERENCE REGISTRATION TYPE

IIA Members must be financial for 2012 at the time of registration to be eligible for the member rate. Please tick appropriate box.

	Early Bird	Standard	On-Site <sup>††</sup>
Member	<input type="checkbox"/> \$2160	<input type="checkbox"/> \$2360	<input type="checkbox"/> \$2560
Non-Member	<input type="checkbox"/> \$2440	<input type="checkbox"/> \$2640	<input type="checkbox"/> \$2840
Group (per delegate*)	<input type="checkbox"/> \$1990	<input type="checkbox"/> \$2190	N/A
Corporate Ticket**	<input type="checkbox"/> \$2900	<input type="checkbox"/> \$2900	N/A
One Day Registration (Mon) <sup>†</sup>	<input type="checkbox"/> \$975	<input type="checkbox"/> \$975	<input type="checkbox"/> \$1175
One Day Registration (Tue) <sup>†</sup>	<input type="checkbox"/> \$975	<input type="checkbox"/> \$975	<input type="checkbox"/> \$1175
One Day Registration (Wed) <sup>†</sup>	<input type="checkbox"/> \$500	<input type="checkbox"/> \$500	<input type="checkbox"/> \$700

TOTAL REGISTRATION FEES \$ \_\_\_\_\_

Early Bird Registration Before 11 February 2012  
Standard Registration 11 February - 24 February 2012  
On-Site Registration From 4 March 2012

### 3. REGISTER FOR SPECIAL SESSIONS

#### TUESDAY 6 MARCH - INTERNAL AUDIT BREAKFAST

Registered Delegate \$80

Purchase Additional Ticket(s) \$80 per person

No. Persons \_\_\_\_\_ Total \$ \_\_\_\_\_

Additional ticket holder name(s) \_\_\_\_\_

TOTAL FOR SPECIAL SESSIONS \$ \_\_\_\_\_

### 4. CONFIRM ATTENDANCE AT SOCIAL EVENTS

NOTE: Tickets to social events are included in the cost of registration with the exception of one day delegates.

#### MONDAY 5 MARCH - COCKTAIL PARTY (included in registration fee)

Yes, I will attend

No, I will not attend

Purchase Additional Ticket(s) \$80 per person

No. Persons \_\_\_\_\_ Total \$ \_\_\_\_\_

Additional ticket holder name(s) \_\_\_\_\_

#### TUESDAY 6 MARCH - CONFERENCE DINNER (included in registration fee)

Yes, I will attend

No, I will not attend

Purchase Additional Ticket(s) \$150 per person

No. Persons \_\_\_\_\_ Total \$ \_\_\_\_\_

Additional ticket holder name(s) \_\_\_\_\_

TOTAL FOR SOCIAL EVENTS \$ \_\_\_\_\_

#### REGISTRATION CONDITIONS

\*Three or more delegates from the same organisation must register and pay on the same day to be eligible for group registration.

\*\*Corporate Tickets: One registration is shared between up to 5 people from the same organisation. Includes entitlements as per one delegate only.

<sup>†</sup>One Day Registration includes attendance to the technical sessions and refreshments only for the day.

Social function tickets for the attended day must be purchased additionally.

<sup>††</sup>On-site registrants will receive a conference satchel subject to availability.

Please complete one form for each registrant.

## 5. REGISTER FOR MASTERCLASSES (SPECIAL DELEGATE RATES)

### MC1 WEDNESDAY 7 MARCH, 2.15 - 5.15pm

Write to govern - How to write effective senior management reports and board papers

Member \$430  Non-Member \$600

### MC2 WEDNESDAY 7 MARCH, 2.15 - 5.15pm

Auditing accounts payables and vendor master files for SAP and Oracle Financials

Member \$430  Non-Member \$600

### MC3 WEDNESDAY 7 MARCH, 2.15 - 5.15pm

Assurance Mapping - Painting the picture of risk

Member \$430  Non-Member \$600

### MC4 THURSDAY 8 MARCH, 9.00 - 5.00pm

Optimising the benefits of ERM

Member \$600  Non-Member \$835

TOTAL FOR MASTERCLASSES \$ \_\_\_\_\_

## 6. SELECT YOUR CONCURRENT SESSIONS

### MON 5 MARCH

9.55 - 10.45am  1A  1B  1C  1D  1E

11.15am - 12.05pm  2A  2B  2C  2D  2E

1.50 - 2.40pm  3A  3B  3C  3D  3E

2.45 - 3.35pm  4A  4B  4C  4D  4E

### TUE 6 MARCH

9.55 - 10.45am  5A  5B  5C  5D  5E  5F

11.15am - 12.05pm  6A  6B  6C  6D  6E  6F

1.50 - 2.40pm  7A  7B  7C  7D  7E  7F

2.45 - 3.35pm  8A  8B  8C  8D  8E  8F

### WED 7 MARCH

10.20 - 11.10am  9A  9B  9C  9D  9E

11.15am - 12.05pm  10A  10B  10C  10D  10E

## 7. SPECIAL REQUIREMENTS

### Dietary requirements

Please specify if you have any meal requirements. Please note that some special meals will incur an additional charge. You will be notified if this is the case for the food type you have indicated.

### Special assistance

Please indicate if you have a disability or require assistance to participate fully. Please list the type of assistance you require.

### Cancellation Policy

Cancellations must be notified in writing to IIA-Australia. Cancellations prior to 6th February 2012 will receive a full refund less AUD\$200 administration charge. No refunds will be made for cancellations after 6th February 2012, however, a substitute delegate will be accepted at no extra charge, subject to membership status, if advised in writing. Transfer of monies to any other IIA product or service is not permitted.

### Privacy Policy

I, or a later substitute hereby consent to my/their name, position and organisation being included in the Conference Delegate list and contact details forwarded by IIA-Australia to related third parties including sponsors and exhibitors. I understand that if I do not provide consent my name will not be published in the list of participants that is distributed to each conference delegate upon registration.

I acknowledge that details will be used to confirm my membership status at IIA.  Consent  Do not consent  
If you do not indicate your preference it will be assumed that we may use your details as described.

### Liability/Disclaimer

On completing this registration form, I accept that to the extent permitted by law IIA-Australia is not responsible for the actions, advice or representations of delegates and speakers of SOPAC® 2012. In completing the registration form I indemnify the IIA-Australia for any direct, indirect or consequential loss or damage in connections with any personal accidents, losses or damage to personal property of myself and any later substitutes.

## 8. PAYMENT DETAILS

### Method of payment

1  I have enclosed an Australian cheque (cheques should be made payable to Institute of Internal Auditors - Australia)

2  I have enclosed a bank draft (must be drawn on an Australian bank and made payable in Australian dollars). For all drafts drawn on a bank outside Australia, add AUD\$40.00 bank collection charge

3  I will transfer the above sum to the SOPAC® 2012 bank account (details below)

Account Name: Institute of Internal Auditors - Australia

Bank: Westpac Banking Corporation

Address: 84 King Street, Sydney NSW 2000

Branch (BSB): 032003

Account Number: 478233

Swift code: WPACAU2S

When sending payment by telegraphic transfer from overseas, please add AUD\$20.00 for bank fees. The delegate is responsible for all fees associated with the transaction. To enable us to identify your payment, please ensure that your NAME and SOPAC® 2012 appear on the transfer. Please email a record to [accounts@iia.org.au](mailto:accounts@iia.org.au).

4  I wish to pay by credit card\*

\*3% surcharge for Amex/Diners 1.5% surcharge for Visa/MasterCard  
Please complete the following:

Visa  MasterCard  Amex  Diners

Amount in AUD \$ \_\_\_\_\_

Credit Card Number \_\_\_\_\_

Expiry Date \_\_\_\_\_

Name of Card Holder \_\_\_\_\_

Signature \_\_\_\_\_

## 9. RETURNING FORM

### Please return form and payment to

SOPAC® 2012

Institute of Internal Auditors - Australia

PO Box A2311

Sydney South NSW 1235 Australia

Fax +61 2 9264 9240

[eventregistration@iia.org.au](mailto:eventregistration@iia.org.au)

*Each delegate must complete a separate registration form*

### General enquiries

[conferences@iia.org.au](mailto:conferences@iia.org.au)

Tel +61 2 9267 9155

Tel Toll free (within Australia) 1800 236 366

[www.sopac.org.au](http://www.sopac.org.au)

Level 7, 133 Castlereagh Street

Sydney NSW 2000 Australia

### Office Use Only

Cheque \$

Credit card \$

Entered

Date

Comments

## JOB CODES

200 Chief Audit Executive  
210 Director of Auditing  
220 Auditing Manager  
230 Audit Staff  
245 IT Audit Director  
250 IT Audit Manager  
260 IT Audit Staff  
275 Audit Services Contractor  
280 External Public Accountant  
300 Corporate Management  
310 Educator  
320 Student  
330 Retired  
340 Audit Committee Member  
350 Management Consultant  
360 Other

2800 Chemicals  
2830 Drugs and research  
2840 Petroleum refining and related industries  
3010 Rubber & plastic products  
3100 Leather, stone and glass products  
3300 Primary metal industries  
3400 Fabricated metal products (including nonelectric machinery)  
3500 Industrial and commercial machinery  
3510 Aerospace  
3520 Computers and related devices/equipment  
3600 Electrical machinery, electronic equipment & supplies  
3700 Transportation equipment  
3800 Scientific, photographic, medical goods  
3900 Miscellaneous manufacturing industries

### Financial, Insurance and Real Estate

6000 Banking & financial institutions  
6030 Nonbanking bank services (eg. leasing)  
6040 Thrift and savings & loan organisations  
6100 Credit unions  
6130 Other credit agencies  
6200 Security & commodity services  
6300 Insurance carriers, agents, services  
6500 Real estate services  
6700 Holding/investment companies

### Services

7000 Hotels/lodging services  
7200 Personal/social services  
7300 Contracted audit services  
7310 Management consultants  
7320 Information technology services  
7330 Executive placement services  
7500 Repair services  
7600 Gaming/lottery  
7800 Motion pictures/amusement and recreational services  
8000 Health services  
8100 Legal services  
8200 Educational services  
8600 Membership organisations  
8900 Public accounting/accounting/bookkeeping services  
8910 Miscellaneous services

### Government

9100 Federal/National Government  
9200 State Government  
9300 Local Government  
9400 International government

### Non-classifiable

9900 Non-classifiable establishments  
9999 Not for profit

## INDUSTRY CODES

### Agriculture, Forestry, Fisheries

0100 Agriculture, forestry, fisheries

### Mining

1000 Mining  
1300 Oil/Gas extraction

### Contract Construction

1500 Construction

### Manufacturing

2000 Food/kindred products  
2100 Tobacco manufacturers  
2200 Textile mill products/apparel  
2400 Lumber/wood products (incl. furniture/fixtures)  
2600 Paper & allied products (incl. printing/publishing)

### Transportation, Communications

#### Utility Services

4000 Land transportation  
4400 Water transportation  
4500 Air transportation  
4700 Other transportation services  
4800 Communication services  
4810 Telecommunications  
4900 Electric/gas/sanitary services  
4910 Gas services  
4920 Gas and electric services  
4930 Sanitary services

### Wholesale and Retail Trade

5000 Wholesale trade  
5300 Retail trade  
5800 Eating and drinking places



## Introducing our new **Professional Member** designation

### Moving membership in a new direction

### Validate your expertise, enhance your professional standing

#### Professional Member - CMIIA®

As of 1 November 2011, the new 'Professional Member' designation will identify members by the new post-nominal of Certified Member, Institute of Internal Auditors - Australia (CMIIA®).

'Professional members' will be identified by unique post-nominals that will signal to employers, peers and the broader community that they have met a prescribed set of competencies and therefore have the essential skills to practise as effective internal auditors. It will be a real asset to internal auditors and strengthen the quality of the internal audit profession.

For more information visit [www.iaa.org.au](http://www.iaa.org.au)



**The Institute of  
Internal Auditors**  
Australia

## **Institute of Internal Auditors - Australia**

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ABN 80 001 797 557

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