



Insurance Internal Audit Group

Venue:
Deloitte, 2 New Street Square,
London EC4A 3TR

Programme Outline

- 09:30 Registration
- 09:50 Welcome from iiag Chair
- 10:00 A strategic review of internal audit
- 10:45 Practical CAATs: some war stories
- 11:30 Coffee break
- 11:50 Ethics and control culture: getting comfort
- 12:30 Mini Survey – Integrated Assurance
- 13:00 Open Forum
- 13:15 Lunch

Speaker profile

Diane Cote

is a Chartered Accountant and joined Aviva in Nov 2006 as the Chief Audit Officer. Prior to this role, Diane worked for Standard Life at Group level where she held the positions of Group Risk and Compliance Director and of Group Audit Director. She has over 20 years experience in internal audit, compliance and risk management in the life insurance industry. Throughout her career she has led several transformation programmes aiming at improving governance and effectiveness of oversight functions. Diane is Canadian and started her career with E&Y in Canada.

Chris Paley-McKenzie

has worked in the IT industry since 1993 and has in-depth experience of a number of IT and forensic systems particularly within large server and e-mail environments. Since 2002, he has specialised in the application and management of computer forensics processes, firstly at KPMG and, since 2006, at RGL Forensics. This focus includes conducting investigations, implementation of document and data e-disclosure systems, data analysis, and data visualisation. He has handled operations in the United Kingdom, Europe and the Middle East as Head of Internal Audit, Royal London Group since .

Richard Sheath

is a co-founder of Independent Audit, the governance specialists. He specialises in board and audit committee effectiveness and risk governance. He is currently working on methods for giving boards a view on the ethical environment, in part based on recent client work in this area. Formerly a risk management partner with PricewaterhouseCoopers, Richard is also the audit committee chairman of a major Russian chemicals company.

iiag Programme 21 May 2010

❖ A strategic review of internal audit

Diane Cote, Chief Audit Officer, Aviva plc

In this session, Diane provides a critical look at the way Internal Audit functions should be raising the effectiveness bar in a challenging and continuously evolving landscape. Based upon her experience of transforming the Aviva Internal Audit function, Diane will outline the strategic path she followed and explore the hurdles she had to overcome along the way.

❖ Practical CAATs: some war stories

Chris Paley-McKenzie, Head of Forensic Technology, RGL

Every auditor instinctively knows the value of using computer tools to help in the analysis of large, complex data repositories yet fears the unknown depths of the subject. Chris will delve into his anecdotal fund to show us how the use of computer tools has helped with his forensic audit work and whether the same techniques can benefit the generalist internal auditor.

❖ Ethics and control culture: getting comfort

Richard Sheath, Director, Independent Audit Limited

"You need a change in culture", the FSA says to a firm which was fined recently; to another, the FSA talks about "risky sales culture". As regulators expect more of firms to change the way they do business, how should control and assurance functions help senior management get a picture of the culture that is prevailing across the organisation? And as boards become more aware of the impact of behaviour on risk taking and management, how can they be given more comfort that the ethical environment and control culture are what they think they are or want them to be?

In this session, Richard will discuss the practical considerations such as scoping assurance work on ethics and culture, communicating and selling the idea to top management, clarifying responsibilities and aligning work across the "lines of defence" and reporting to the audit committee.

❖ IIAG mini survey feedback – Integrated Assurance

A colleague from Independent Audit Limited

A summary of the results of the recent survey of the three key functions - internal audit, risk and compliance are organised amongst the IIAG membership.

IIAG Notice Board

Date for your diary: Conference Sept 23rd/24th and November forum 26th 2010

Subject to confirming our venue, our conference in September should be going ahead. Our proposed theme is "Fit for purpose: Shaping up for the new regulatory order". In addition to a focus on governance, we will spotlight on raising the bar for the assurance agenda and capability of the key control functions. If our plans should fall through, we will proceed with our normal agenda of a quarterly forum.

Please continue to post your ideas and topics for discussion at the conference or a future event, or if you would like to hear from a particular speaker. Let us know via the IIAG website: www.iiag.org.uk

Any queries about the IIAG and its activities, contact any member of the IIAG Committee at Contact@iiag.org.uk or visit our website.

*Vicky Kubitscheck, Chair
Fraser White, Secretary
Adrian Herbert, Committee Member*

*Graham Ayre, Financial Oversight
Neal Writer, Committee Member
Stephen Moore, Committee Member*

How to Register

Online at:
www.iiag.org.uk
Alternatively contact us:
Tel: +44 (0)207 220 6545
Email: bookings@iiag.org.uk

Complete and return this form to:
Vicky Kubitscheck, IIAG Chair
c/o Independent Audit Ltd
Holland House, 4 Bury Street,
London EC3A 5AW

Delegate rates

NB: We are waiving membership fees this period. Based on your payment method, fees per person are payable in advance, as follows:

Please state your method of payment:

- £ 75.00 if paid by direct transfer to: Insurance Internal Audit Group account at Barclays Bank
Sort Code: 20-68-79 Account No: 20842028
Reference: <Your company name> and re **May** meeting
- £ 80.00 if paid by cheque. Make your cheque payable to the Insurance Internal Audit Group.
Please check you are using the right IIAG address as shown above

I wish to register _____ delegate(s) for the **May 2010** IIAG Seminar

Contact Name

Company

Address

Postcode

Telephone

Email

	Name of Delegate(s)	Position	Email	Fee £
1.				
2.				
3.				
4.				

I confirm my remittance for £ _____ (cheque enclosed). Payment must be received prior to the conference to secure a booking.

Signed _____

Date _____

Refunds of 80% will be made if written notice (including email) is received by the iiag at least seven days before the event. Beyond that time no refunds are allowed but a nominee is always acceptable. We reserve the right to alter published programmes, speakers, fees or venues without prior notice. We also reserve the right to cancel programmes at our discretion in which case our liability shall be restricted to a refund of any fees paid to us. The IIAG is not a commercial organisation and attendees are required to make their payments at the time of booking to confirm catering orders and minimise administration. The venue may refuse entry to delegates arriving without prior booking or notification.