CONCEPT

Global Internal Audit Standards and QAIP: Conformance and Quality Assessment

4 – 8 October 2027
Dubai - Five-star CBD venue



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Introduction:

Many internal audit functions still run on manuals, charters and ethics statements written for the previous framework, and discover the gaps only when an external assessor or the board asks for evidence of conformance with the Global Internal Audit Standards. This Core Concept course takes heads of audit, audit managers and senior auditors through the five domains and fifteen principles, the essential conditions for the board and senior management, and the quality assurance and improvement programme QAIP that proves conformance. Participants finish with a Conformance Gap Assessment and QAIP Plan for a case audit function.

Course Objectives:

- Interpret the five domains and fifteen principles of the Global Internal Audit Standards and explain what changed from the previous International Professional Practices Framework
- Redraft the internal audit mandate and charter so that purpose, authority, independence and board essential conditions are documented and approved
- Design the audit function's strategy, resourcing model, methodology manual and stakeholder communication protocol to meet the Managing domain
- Evaluate conformance of engagement planning, execution and results communication against the Performing domain and record evidence gaps
- Build a quality assurance and improvement programme covering ongoing monitoring, periodic self-assessment and external quality assessment readiness
- Produce a Conformance Gap Assessment and QAIP Plan with prioritised remediation actions and performance indicators for the board

Target Audience:

- Heads of internal audit functions accountable to the board for conformance with the professional standards
- Audit managers who own the methodology manual, engagement supervision and working-paper review
- Senior auditors leading quality reviews of completed engagements and conformance self-assessments
- Quality and professional practice leads preparing the function for an external quality assessment
- Governance and assurance managers coordinating audit charter revisions with the board and senior management

Course Outline:

Day 1: Standards Architecture and Transition from the Previous Framework

- Five Domains and Fifteen Principles: Requirements, Considerations and Evidence of Conformance
- Previous IPPF Attribute and Performance Standards Mapped to the New Structure
- Essential Conditions for the Board and Senior Management Explained
- Purpose of Internal Auditing Domain and the Value Proposition Statement
- Current-State Conformance Heat Map for the Audit Function

Day 2: Ethics, Professionalism and Governing the Audit Function

- Integrity, Objectivity, Competency, Due Professional Care and Confidentiality Principles
- Internal Audit Mandate Definition and Charter Redrafting Template
- Board Authorisation, Organisational Independence and Functional Reporting Line Design
- Impairment Disclosure Protocol and Declarations of Conflict for Auditors
- Board Briefing Pack on Standards Conformance and Mandate Approval

Day 3: Managing the Function: Strategy, Resources, Methodology and Communication

- Internal Audit Strategy and Vision Statement Aligned to Organisational Objectives
- Competency Framework, Skills Inventory and Co-Sourcing Decision Matrix
- Methodology Manual Rewrite: Policies, Procedures and Working-Paper Standards
- Stakeholder Communication Protocol and Board Reporting Calendar
- Performing Domain Conformance Review of Engagement Files and Results Communication

Day 4: Quality Assurance and Improvement Programme and Audit Performance

- Ongoing Monitoring Controls: Engagement Supervision, Checklists and Hot Reviews
- Periodic Self-Assessment Methodology and Conformance Rating Scale
- External Quality Assessment Options: Full Assessment Versus Self-Assessment with Independent Validation
- Assessor Selection Criteria, Evidence Library and Interview Preparation
- Audit Function KPIs, Balanced Scorecard and Stakeholder Satisfaction Survey

Day 5: Case Function Conformance Review and QAIP Plan Build

- Case Audit Function Document Review: Charter, Manual and Engagement Files
- Conformance Gap Rating by Principle with Evidence Citations
- Remediation Roadmap with Owners, Milestones and Board Reporting Points
- QAIP Plan Drafting: Monitoring Cycle, Self-Assessment Schedule and External Assessment Timeline
- Panel Challenge of the Conformance Gap Assessment and QAIP Plan

Skills You Will Gain:

- Standards Conformance Interpretation
- Audit Charter Drafting
- Independence Safeguard Design
- Methodology Manual Governance
- Quality Programme Design
- External Assessment Readiness
- Audit Performance Measurement
- Board Conformance Reporting

Why Attend This Course:

- Take away a Conformance Gap Assessment and QAIP Plan that can be adapted to your own audit function
- Test your charter, manual and engagement files against each principle with peers who challenge the evidence
- Prepare the evidence library and interview approach an external quality assessor will expect
- Compare quality programmes and audit KPIs with audit leaders from public, financial and industrial organisations

Conclusion:

Conformance with the Global Internal Audit Standards is demonstrated through evidence, not asserted in a charter. The week moves from the structure of the five domains and fifteen principles and the shift from the previous framework, through ethics, mandate and board essential conditions, to strategy, resourcing, methodology and communication, and then to ongoing monitoring, self-assessment and external quality assessment readiness. The final day turns this into a Conformance Gap Assessment and QAIP Plan that participants can present to their board.