25/2021: *Common findings on AML/Audit monitoring visits*

Agenda

09:00 – 9:30	Registration & coffee
09:30 – 10:50	• Introduction • Audit monitoring process • Assessing the outcome of an audit file examination • Common deficiencies in ISQC 1 compliance • Introduction to Quality Management Standards (ISQM 1 & 2) • Ethical breaches • Access to clients – control of audits
10:50 – 11:10	Coffee break
11:10 – 12:50	• Common deficiencies in audit planning • Common deficiencies in audit evidence • Common deficiencies in audit completion
12:50 – 13:00	Questions & Answers