



# Fundamentals of Compliance Auditing

### COURSE DESCRIPTION

In 2022 the SEC charged 16 publicly traded organizations over 1.1 billion USD in penalties after discovering widespread recordkeeping failures and other regulation compliance wrongdoings. Globally, top GDPR fines of 2022 totaled nearly 218 million Euros-across just 4 notable companies. "Finance, ultimately, depends on trust. By failing to honor their recordkeeping and books-and-records obligations, the market participants we have charged today have failed to maintain that trust," said SEC Chair Gary Gensler. Can your organization afford to be out of compliance?

Compliance auditing is typically used to evaluate whether the organization is following external regulations; however, it can also be used at a corporate level to determine whether a subsidiary company follows the wider corporation's procedures and policies. Internal auditors should exhibit high levels of proficiency and professional due care to ensure adequate testing is performed, reducing the likelihood of failing regulatory and other stakeholders expectations.

This course provides a comprehensive overview of key compliance auditing concepts that are fundamental for all internal auditors. This course will introduce participants to a host of common regulations - both domestic to the United States, and globally - in addition to the controls needed to maintain compliance, and how to apply each regulation within the internal audit process. This course will also explore the associated reporting requirements (including but not limited to: SOX, PCI, HIPAA, breach notification, OFAC, ESG, GDPR), including tactics to collect evidence and perform internal audit activities against the regulatory reporting guidelines.

### COURSE TOPICS

- Compliance Overview.
- General Regulatory Compliance Risk and Controls.
- Data Privacy Regulations.
- Cybersecurity Regulations.
- Response to a Rapidly Shifting Global Work Environment.
- Public Sector Regulations.
- Sarbanes-Oxley.
- PCI-DSS.
- HIPAA.
- GLBA and FINRA.
- Block Chain Technology.
- Expanding Public Reporting: ESG, DEI, and Beyond.

### COURSE INVESTMENT


#### Member

 IDR 2,500,000

#### Non-Member

 IDR 3,500,000

### COURSE SCHEDULE

Online Training via  ZOOM

 08.30 - 16.30 WIB

 2 Days

 16 CPE

**29 - 30**  
APR

**30 - 31**  
OCT

Registration on : [www.iaa-indonesia.org](http://www.iaa-indonesia.org)