
Internal Audit Standards Conformance Training Course: Mandate, Quality Programme and Evidence Files

12 – 16 September 2027
Zoom





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Programme Summary

Internal audit standards conformance is the subject of this one-week training course for heads of audit and audit managers, ending in a conformance evidence file for one function. The Global Internal Audit Standards set requirements for how an audit function is mandated, governed, managed and performed, yet many functions cannot show where they meet each one. The programme moves from the structure of the standards to gap diagnosis and quality design, applied to the participant's own function. Mars Training Centre UK delivers this programme on internal audit standards conformance to mixed-organisation cohorts.

The Business Case

Boards, audit committees and external assessors expect an audit function to show, with records, that it works to a recognised standard. Dated mandate wording, irregular reviews and scattered evidence weaken the function's defence of its independence and conclusions. Leaders who map each requirement to proof and close gaps in order of risk give stakeholders a dependable basis for reliance.

- Stakeholder Reliance: Rises as the board sees the mandate, independence safeguards and quality results set out against the standards.
- Assessment Readiness: Rises as evidence is filed by requirement and gaps carry owners and dates.
- Rework in Engagements: Falls as planning, supervision and review steps follow one documented method.

Principles and Evidence Base

- Global Internal Audit Standards: The five domains, 15 principles and 52 standards form the reference against which Sessions 1 to 4 test the function.
- Requirements, Considerations and Examples of Evidence: The three layers within each standard guide how participants separate what is mandatory from what is advisory.
- Quality Assurance and Improvement Programme: The internal assessment and periodic external quality assessment structure the design work in Session 4.
- Control Self-Assessment Logic: A rated, evidence-based self-review is applied to score each principle in Session 2.

Intended Participants

- Leaders who own the audit mandate and report the function's status to the board and audit committee.
- Managers who run the quality programme and prepare for internal and external assessment.
- Senior auditors who plan, supervise and review engagements.
- Committee secretaries who handle audit reporting to the board.



Typical sectors include banking, energy, healthcare and public bodies.

Learning Outcomes

1. Participants will be able to classify the requirements of each domain and separate mandatory from advisory content.
2. Participants will be able to diagnose gaps between current practice and the standards using rated evidence.
3. Participants will be able to construct a mandate, charter and independence safeguards that meet the governing requirements.
4. Participants will be able to design a quality assurance and improvement programme with internal and external assessment cycles.
5. Participants will be able to evaluate engagement files for planning, supervision, evidence and reporting quality.
6. Participants will be able to justify a conformance report and remediation plan to a board.

Programme Structure

Day 1: Internal Audit Standards Conformance and the Structure of the Standards

What do the standards require, and which parts are mandatory?

- Five Domain Map
- Principle and Standard Index
- Requirements and Considerations Split
- Examples of Evidence Catalogue
- Topical Requirements Scoping

Day 2: Gap Diagnosis and Rated Self-Assessment

Where does current practice fall short of each principle?

- Principle Rating Scale
- Evidence Sampling Protocol
- Conformance Gap Register
- Root Cause Grouping
- Gap Priority Matrix

Day 3: Mandate, Independence and Governance of the Function

Is the function set up and overseen as the governing domain requires?



- Internal Audit Mandate Drafting
- Charter Review Checklist
- Independence Safeguard Register
- Board and Senior Management Oversight Plan
- Chief Audit Executive Role Profile

Day 4: Quality Programme and Engagement Evidence

How is quality assessed, and what proof does an engagement file hold?

- Quality Assurance and Improvement Programme Design
- Internal Assessment Schedule
- External Assessment Preparation Pack
- Engagement File Review Template
- Performance Measure Set

Day 5: Conformance Report and Remediation Plan

Do the gap register, mandate, quality programme and file reviews hold together for one function?

- Applying the Session 2 Conformance Gap Register
- Testing the Session 3 Independence Safeguard Register
- Checking the Session 4 Engagement File Review Template
- Board Conformance Report Drafting
- Completing the Conformance Evidence File

Methodology

The programme uses a structured exercise method built on a shared case of a mid-sized audit function with an outdated charter, irregular reviews and scattered files. Participants rate the case against the standards, then repeat each step on their own function, with written facilitator feedback.

- Suggested activity: Rating a sample charter against the governing requirements and listing missing items.
- Suggested activity: Reviewing a sample engagement file and marking evidence that is absent.
- Suggested activity: Drafting a one-page conformance statement for an audit committee.

Capstone Output

Each participant completes a conformance evidence file for one audit function. It holds a rated gap register, a revised mandate outline, an independence safeguard register, a quality programme calendar and a board report with a remediation plan. The file is used at work to prepare for assessment and brief the audit committee.



Frequently Asked Questions

Is internal audit standards conformance training suitable for audit managers new to the Global Internal Audit Standards?

Yes. Internal audit standards conformance is taught from the structure of the standards upward, so the programme assumes audit experience at managerial level but no prior use of the current standards.

Which standards does internal audit standards conformance training rest on?

Internal audit standards conformance training rests on the Global Internal Audit Standards, with their domains, principles, requirements, considerations and examples of evidence, plus the quality assurance and improvement programme.

How is the file from internal audit standards conformance training used at work?

You use the conformance evidence file to prepare for internal and external assessment, brief the audit committee, and track remediation of each gap with an owner.

How does internal audit standards conformance differ from risk-based audit planning training?

Internal audit standards conformance centres on proving that the function meets the standards, while risk-based audit planning training centres on choosing which areas to audit.