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Managing Principal,  
**COHERENT ADVICE**



**Richard Leblanc,**  
Professor of Governance, Law &  
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**Peter Lok,**  
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**John Wilkins,**  
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**Claudine Hebert,** Manager, Internal  
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**INNOVATION SCIENCE AND ECONOMIC  
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Manager, **CITY OF LETHBRIDGE**



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**CANADA SCHOOL OF PUBLIC SERVICE**



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**Andrew Kerandi,**  
Compliance Consultant, Compliance,  
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**Nick Rolfe,**  
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**KPMG RISK CONSULTING SERVICES**

**Amie Das,**  
Senior Manager, Forensic Services,  
**KPMG LLP**

**Victor Abele,** Director General  
(retired), Service Delivery  
Improvement, **SHARED SERVICES  
CANADA**

**Nick Rolfe,**  
Partner,  
**KPMG RISK CONSULTING SERVICES**

# INFONEX

Professional Development

May 22 – 23, 2019 • Ottawa, Ontario

# Public Sector Internal Controls

*The Essentials of Good Governance for Municipalities, Crown  
Corporations and Canadian Public Sector Agencies*

## 2018 Event Highlights

- ✓ Identify and communicate over-control and control deficiencies
- ✓ How to conduct an Internal Controls over Financial Reporting (ICFR) assessment
- ✓ What's the relationship between enterprise risk management, internal audit, and internal controls
- ✓ Potential cyber attacks against your organization and countermeasures
- ✓ Mitigating outsourcing risks by setting standards for outsourced providers
- ✓ Integrate anti-fraud practices into your risk management programs
- ✓ How to successfully prepare for and conduct fraud investigations

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# Public Sector **Internal Controls**

May 22-23, 2019 • Ottawa, Ontario

## DAY ONE PROGRAM AGENDA: WEDNESDAY, MAY 22, 2019

7:30 – 8:30 Registration and Continental Breakfast

8:30 – 8:40

### Welcome and Opening Remarks from the Chair

*John Lark, Managing Principal, Coherent Advice*

8:40 – 9:40

### Opening Keynote Address- Public Sector Governance: Insights for Internal Controls and Risk Governance in Public Institutions

*Dr Richard Leblanc, Professor of Governance, Law & Ethics, York University*

- Role of the Board of Directors in internal control oversight
- Risk appetite framework and internal controls
- Assurance over the design and testing of internal controls
- Where internal control weaknesses frequently occur
- Internal controls over non-financial risks
- The link between risk-taking and incentive pay
- Independence of internal audit, risk and compliance functions

9:40 – 10:00

Networking Break



10:00 – 11:00

### Data Analytics, Risk & Compliance Update

*Darrell Mathews, Financial Processes & Controls Manager, City of Lethbridge*

- Benefits of data analytics and Continuous Controls Monitoring
- Why the City of Lethbridge needed a solution
- Integrating risk assessments and data analytics for Policy Compliance and Risk Mitigation
- Examples of Continuous Controls Monitoring and data analytics for Policy Compliance and Risk Mitigation
  1. Employee Reimbursement Analytics (T & E Expenses & Cell Phones)
  2. Policy attestations
  3. PCI Assessments
- Where Lethbridge's control program is heading

11:00 – 12:00

### Cash Handling Compliance Reviews in a Municipal Organization: Lessons Learned

*Andrew Kerandi, Compliance Consultant, Compliance, Business Support Services, Corporate Services, City of Ottawa*

- Leveraging data analytics in planning for cash handling reviews
- Continuously adapting review methodology to ensure review effectiveness
- Understanding and coping with known and unknown risks
- Ensuring clarity of policies and procedures to facilitate effective monitoring
- Regular tracking of recommendations to ensure ongoing compliance

12:00 – 1:15

Luncheon Break

1:15 – 2:15

### Lessons from the Frontlines: Internal Controls in the Federal Government

*Howard Godby, Manager, Financial Policy and Internal Control, Canada School of Public Service*

- Operations of internal controls in the federal government environment
- Practical realities of working daily on the frontline
- Challenges of communicating financial risk to senior management
- Experience matters - lessons learned from case studies
- Valuing media and the Office of the Auditor General in supporting internal controls

2:15 – 2:30

Networking Break



2:30 – 3:30

### Industry Insights on Using Analytics in Internal Controls

*Amie Das, Senior Manager, Forensic Services, KPMG LLP*

- Tools and tricks to analyzing data
- Detecting inappropriate activity and fraud
- Increase certainty in your decision making by utilizing data analytics
- Explore the benefits of increasing departmental transparency

3:30 – 4:20

*John Lark, Managing Principal, Coherent Advice*

4:20

End of Day One

**OTTAWA, ONTARIO**  
**EVENT LOCATION: OTTAWA, ONTARIO**

*Public Sector Internal Controls will be held at a convenient downtown location in Ottawa, Ontario. Detailed venue information will be forthcoming as it becomes available.*

# Public Sector **Internal Controls**

May 22-23, 2019 • Ottawa, Ontario

**DAY TWO PROGRAM AGENDA: THURSDAY, MAY 23, 2019**

7:30 – 8:30 Registration and Continental Breakfast

8:30 – 8:40

## Welcome and Opening Remarks from the Chair

*John Lark, Managing Principal, Coherent Advice*

8:40 – 9:40

## The Second Line of Defence - Internal Assurance Providers

*Claudine Hebert, Manager, Internal Audit, Internal Audit Directorate Innovation, Science and Economic Development Canada*

- The importance of the design and operating effectiveness of internal assurance providers
- Effective governance processes over internal assurance activities
- Defined testing methodologies and processes
- Timely and effective reporting of assurance activities
- Increasing control efficiency through continuous improvements

9:40 – 10:00

Networking Break



10:00 – 11:00

## The A3 Management Method for the Public Sector

*Peter Lok, Lean Advisor, Public Services and Procurement Canada*

*Sébastien Arsenault, Program Manager - National Programs, Technical Programs, Evaluation and Coordination, (AARTT) Civil Aviation Standard Branch, Transport Canada*

- The Lean A3 management method is a problem-solving methodology pioneered by Toyota and has been adopted by thousands of private and public sector organizations around the world to support their continuous improvement efforts.
- This presentation explores the collaborative, consensus building philosophy behind the A3 management method, the basic format of the A3 (think of an 11"x17" "placemat") and how to use this tool to support continuous improvement efforts.

11:00 – 12:00

## COSO Update - Fraud Risk Management Guide

*Pascal Jolicoeur, Senior Manager, Advisory, KPMG Forensic Inc.*

- Key elements in the Response Protocols
- Prevention and Detection tools
- Pitfalls of poor Fraud policies or investigation processes
- The need for root cause analysis to deal with volumes of investigations
- Root Cause Analysis tied to Fraud Risk Assessments
- End-to-end continuous review and improvement methodology to address the risk of fraud

12:00 – 1:15

Luncheon Break

1:15 – 2:15

## Accountability: A Question of Balance

*John Wilkins, Associate: Public Management, School of Public Policy and Administration, Schulich School of Business, York University*

- The challenges of good governance in public institutions
- The elusive equilibrium between accountability and autonomy
- The role of self-control in public management
- Lessons learned from federal and international experience
- Good practice in modern public sector accountability

2:15 – 2:30

Networking Break



2:30 – 3:30

## Internal Controls - Making or Breaking Enterprise Value

*Victor Abele, Director General (retired), Service Delivery Improvement, Shared Services Canada*

- Governance standards, methods, operational experiences
- Maintaining a "guiding star" of assuring the success of the enterprise
- Balancing trust and control while exploiting process and system controls
- Giving special attention to ERP's
- Understanding the hierarchy of measurements
- Establishing effective feedback loops to guide control efforts

3:30 – 4:20

## Internal Audit's Role in Supporting Good Governance in the Public Sector

*Nick Rolfe, Partner, KPMG Risk Consulting Services*

- Speaking frankly to key stakeholders
- Embedding internal audits to ensure discussions
- Understanding clear roles in governance
- Managing complex multi-year initiatives
- Making sure the right information is being reported
- Risk, delays and overruns

4:20

End of Seminar

### SPONSORSHIP AND EXHIBITION OPPORTUNITIES

Increase your visibility with senior business strategy, technology, analytics, and business intelligence professionals at *Public Sector Internal Controls*. A limited number of sponsorship options are available.

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# Public Sector **Internal Controls**

May 22-23, 2019 • Ottawa, Ontario

## WHO SHOULD ATTEND THIS EVENT

- Internal Controls Directors, Managers and Analysts
- Internal Audit Professionals
- Corporate Performance, Evaluation, and Accountability Personnel
- Risk Management Professionals
- Accounting Personnel
- Assurance Services
- Advisory Services
- Quality Assurance Professionals
- Financial Services and Financial Compliance Personnel

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### 2 SELECT YOUR PREFERRED PAYMENT METHOD

Prices subject to HST.	FULL PRICE	Register by March 22
Course for Groups of 3 +	\$2,199 each	<b>\$1,899 each</b>
Course for Groups of 2	\$2,299 each	<b>\$1,999 each</b>
Course for 1 Registrant	\$2,399	<b>\$2,099</b>

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## LOCATION:

Public Sector Internal Controls will be held at a convenient location in Ottawa, Ontario. Detailed venue information will be forthcoming as it becomes available.

## YOUR REGISTRATION INCLUDES:

Registration fees include all course materials, continental breakfast, lunch, and refreshments. **Parking and accommodation are not included.**

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## CANCELLATION POLICY:

Substitutions may be made at any time. If you are unable to attend, please make cancellations in writing and email to register@infonex.ca or fax to 1-800-558-6520 **no later than May 8, 2019**. A credit voucher will be issued to you for the full amount, redeemable against any other INFONEX course and which is valid for twelve months (one year) from the date of issue.

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