

AUDITING AND GOVERNANCE RISK AND COMPLIANCE | COURSE BROCHURE

Audit Working Papers and Documentation

5 days | Classroom training | English

SMART HORIZON

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Course content

Why attend

Audit documentation must show what was done, what was found and why conclusions are justified. This course covers audit working papers: standards, planning documents, testing documentation, evidence referencing, review notes, electronic audit tools, retention and quality review.

Poor documentation undermines audit conclusions and fails quality reviews. You will learn to document work clearly and efficiently.

Professional Problems This Course Is Designed to Solve

• Difficulty translating subject knowledge into practical workplace decisions.
• Inconsistent approaches to the activities covered in the course outline.
• Lack of a structured plan for applying and reviewing new skills.

Course methodology

Working paper exercises, review simulations, examples of good and poor documentation and tool demonstrations.

Course objectives

By the end of this course, participants will be able to:
• Explain documentation standards
• Document planning and risk assessment
• Record testing and evidence clearly
• Cross-reference findings to evidence
• Perform and respond to reviews
• Manage electronic working papers

Target audience

This course is suitable for:
• Internal auditors
• Audit seniors and managers
• Quality assurance reviewers
• External auditors
• Compliance testers



Course content

Target competencies

Participants will develop competencies in:

- Documentation
- Evidence referencing
- Review
- Tool use
- Quality

Course outline

Day 1: Documentation Standards

09:00–10:08	Purpose
10:08–11:00	Standards
11:00–11:30	**Coffee break**
11:30–11:45	Standards (continued)
11:45–12:53	Common deficiencies
12:53–14:00	Exercise

Day 2: Planning Documents

09:00–10:08	Scope and objectives
10:08–11:00	Risk and control matrices
11:00–11:30	**Coffee break**
11:30–11:45	Risk and control matrices (continued)
11:45–12:53	Programmes
12:53–14:00	Workshop

Day 3: Testing Documentation

09:00–10:08	Test records
10:08–11:00	Evidence
11:00–11:30	**Coffee break**



Course content

11:30–11:45	Evidence (continued)
11:45–12:53	Exceptions
12:53–14:00	Exercise

Day 4: Review

09:00–10:08	Review notes
10:08–11:00	Responding
11:00–11:30	**Coffee break**
11:30–11:45	Responding (continued)
11:45–12:53	Sign-off
12:53–14:00	Simulation

Day 5: Tools and Retention

09:00–10:08	Electronic tools
10:08–11:00	Retention
11:00–11:30	**Coffee break**
11:30–11:45	Retention (continued)
11:45–12:53	Quality reviews
12:53–14:00	Action plan

The timings provided are estimates and may vary depending on the number of participants and the discussions taking place during the sessions. They are indicative only and do not constitute a binding commitment.



Course content

Dates, venues and fees

Current published course plans. Fees are per participant in GBP, excluding unconfirmed taxes.

Venue	Start date	End date	Fee (GBP)
Barcelona Confirmed dates	9 Nov 2026	13 Nov 2026	**£2,840.–**
Online Confirmed dates	9 Nov 2026	13 Nov 2026	**£1,250.–**
Dubai Confirmed dates	30 Nov 2026	4 Dec 2026	**£3,150.–**
Online Confirmed dates	30 Nov 2026	4 Dec 2026	**£1,250.–**
Vienna Confirmed dates	4 Jan 2027	8 Jan 2027	**£2,940.–**
Online Confirmed dates	4 Jan 2027	8 Jan 2027	**£1,250.–**
Cape Town Confirmed dates	18 Jan 2027	22 Jan 2027	**£1,890.–**
Online Confirmed dates	18 Jan 2027	22 Jan 2027	**£1,250.–**
Paris Confirmed dates	8 Feb 2027	12 Feb 2027	**£2,860.–**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Online Confirmed dates	8 Feb 2027	12 Feb 2027	**£1,250.–**
Rome Confirmed dates	1 Mar 2027	5 Mar 2027	**£2,450.–**
Online Confirmed dates	1 Mar 2027	5 Mar 2027	**£1,250.–**
Vienna Confirmed dates	22 Mar 2027	26 Mar 2027	**£2,940.–**
Online Confirmed dates	22 Mar 2027	26 Mar 2027	**£1,250.–**
London Confirmed dates	12 Apr 2027	16 Apr 2027	**£2,450.–**
Online Confirmed dates	12 Apr 2027	16 Apr 2027	**£1,250.–**
Frankfurt Confirmed dates	26 Apr 2027	30 Apr 2027	**£2,650.–**
Online Confirmed dates	26 Apr 2027	30 Apr 2027	**£1,250.–**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Rome Confirmed dates	17 May 2027	21 May 2027	**£2,450.–**
Online Confirmed dates	17 May 2027	21 May 2027	**£1,250.–**
Dubai Confirmed dates	7 Jun 2027	11 Jun 2027	**£3,150.–**
Online Confirmed dates	7 Jun 2027	11 Jun 2027	**£1,250.–**
Kuala Lumpur Confirmed dates	28 Jun 2027	2 Jul 2027	**£1,450.–**
Online Confirmed dates	28 Jun 2027	2 Jul 2027	**£1,250.–**
Barcelona Confirmed dates	19 Jul 2027	23 Jul 2027	**£2,840.–**
Online Confirmed dates	19 Jul 2027	23 Jul 2027	**£1,250.–**
Cape Town Confirmed dates	2 Aug 2027	6 Aug 2027	**£1,890.–**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Online Confirmed dates	2 Aug 2027	6 Aug 2027	**£1,250.-**
Dubai Confirmed dates	23 Aug 2027	27 Aug 2027	**£3,150.-**
Online Confirmed dates	23 Aug 2027	27 Aug 2027	**£1,250.-**
London Confirmed dates	13 Sept 2027	17 Sept 2027	**£2,450.-**
Online Confirmed dates	13 Sept 2027	17 Sept 2027	**£1,250.-**
Istanbul Confirmed dates	4 Oct 2027	8 Oct 2027	**£2,650.-**
Online Confirmed dates	4 Oct 2027	8 Oct 2027	**£1,250.-**
Cape Town Confirmed dates	25 Oct 2027	29 Oct 2027	**£1,890.-**
Online Confirmed dates	25 Oct 2027	29 Oct 2027	**£1,250.-**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Rome Confirmed dates	8 Nov 2027	12 Nov 2027	**£2,450.-**
Online Confirmed dates	8 Nov 2027	12 Nov 2027	**£1,250.-**
Amsterdam Confirmed dates	29 Nov 2027	3 Dec 2027	**£2,540.-**
Online Confirmed dates	29 Nov 2027	3 Dec 2027	**£1,250.-**

Plan your next step

Dates, availability, exact venue, taxes, inclusions and payment terms require written confirmation. This brochure is not a quotation, registration, booking confirmation or visa invitation. Participants receive a Smart Horizon UK certificate of attendance; programmes are not externally accredited and do not award a professional qualification or designation. Confirm arrangements before booking travel.

For group or in-house training, contact our learning team to discuss your objectives and delivery arrangements.

Contact Smart Horizon

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View the latest course details online