THE IIA’S CAE RESOURCE GUIDE

Providing the Tools to Enhance Your Success for 2016 and Beyond
Expansive Support for Your Vast Responsibilities

As a chief audit executive (CAE) juggling competing priorities such as emerging risks, regulatory compliance, and team development, finding support that allows you to focus on strategic performance is critical.

The IIA supports CAEs by offering the most accessible and relevant internal audit leadership tools and resources available in the marketplace focused on the issues that matter most to you:

- Emerging Risks
- Risk Management
- Regulatory and Compliance Matters
- Recruitment and Talent Development
- Audit Committee Communications
- IT Audit Issues
- Governance
- Internal Controls
- Industry Demands

CAEs who tap The IIA's expansive resources find what they are looking for and usually discover something they didn't know they needed. In the pages that follow, reacquaint yourself with the IIA leadership tools you've come to rely on and explore those you might not be aware are at your fingertips.
Keeping on top of best practices and learning what has worked and what hasn’t — from peers who have lived it — is essential.

Easily Digestible Reads on Rapidly Evolving Issues

*Tone at the Top®* boils down big issues like steps for managing compliance overload, strategies for sustaining an ethical culture, and tips for governing social media into quick reads you can share with key stakeholders. Every other month *Internal Auditor®* magazine delivers relevant, timely developments about the profession that you won’t read anywhere else in print, online, or in any blogs. *IIA SmartBrief* curates hundreds of global news sources to deliver a weekly snapshot of market news and issues affecting you and your stakeholders to your inbox.

The Framework and Exchanges That Serve as Our Foundation

The IIA’s International Professional Practices Framework® (IPPF®), including the International Standards for the Professional Practice of Internal Auditing (*Standards*) and the Code of Ethics, addresses issues such as continuous auditing and CAE reporting lines, anti-bribery, whistleblowing programs, talent management, and more. In addition, The IIA provides comprehensive resources on risk guidance, publications, certifications, training, events, and more available through and outside The IIA called Exchanges, where CAEs can access the tools and resources to expand knowledge on COSO, emerging risks, and audit committees.

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Practitioner-Reviewed Educational Content and Research

The IIA Research Foundation™ shapes, advances, and expands knowledge of internal auditing by providing relevant research, like The Politics of Internal Auditing; Job Satisfaction for Internal Auditors: How to Retain Top Talent; and Cybersecurity: What the Board of Directors Needs to Ask. The IIARF Bookstore™ offers hundreds of educational products, reviewed by internal auditors for internal auditors. Recent releases such as Become a Strategic Internal Auditor: Tying Risk to Strategy, Bribery: Identify Hidden Risks in Your Organization; and CAE Strategic Relationships: Building Rapport with the Executive Suite ensure the insights you need to navigate today’s issues are at hand.

A Center Focused on CAE Needs

The IIA has designed an exclusive resource developed to support CAEs in answering the demands of their evolving roles. The Audit Executive Center® empowers its members to perform through delivering unparalleled access to unique resources including:

- An online Knowledge Center of nearly 950 pieces of thought leadership and more than 1,200 tools, templates, and planning resources.
- Exclusive peer-to-peer knowledge sharing with CPE opportunities including forums, networking events, and exclusive Center webinars.
- E-bulletins, news publications, blogs, and weekly alerts geared specifically for CAEs.

“Having a go-to resource like the Audit Executive Center has helped me open the lines of communication with stakeholders and build credibility. For instance, I really appreciated the information the Global Risk Assessment provided, especially since it broke it down by industry. I shared it with our CEO and he took interest in the results. Now that is adding value!”

Rick Wardrip, CIA
Corporate Auditor
Salt River Project
Keeping current on emerging trends, validating what you’re doing through benchmarking, and continually examining your processes by using assessments strengthens your team and your organization.

What’s Trending?
Whether you’re reviewing audit plan coverage or budget forecasts, The IIA offers resources including the *Pulse of Internal Audit* and *Internal Audit Compensation Study* that outline what other internal audit functions are doing.

To document and look forward to the evolution of the profession, The IIA conducts the Global Internal Audit Common Body of Knowledge (CBOK®) Study every five years. With monthly releases that began in July 2015, more than 30 new reports are being produced with significant findings from two separate CBOK study components. One of the key issues facing internal auditors is adapting their skill sets to the changing requirements of the profession. These reports will provide perspectives on global internal audit practices, trends, and insights as a practical resource for internal audit strategic planning and decision-making.

Helping You Hit the Mark
How do you know that the resources you’re working with and the structure you’re working within are adequate to get the job done? And compare to your peers? The IIA’s Global Audit Information Network® (GAIN®) Benchmarking Tool provides the answers by allowing you to benchmark your internal audit department easily, affordably, and transparently using metrics you choose.

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Mapping Your Team’s Development

IIA Career Map™, the new free online tool that allows you and your team to evaluate skill sets against The IIA’s Global Internal Audit Competency Framework according to a job role, providing an invaluable snapshot of your department talent to close the gaps and deliver value to stakeholders.

Enhance the Strategic Performance of Your Internal Audit Activity

IIA Quality Services offers a wealth of experience and comprehensive understanding of the challenges internal audit activities face. This allows us to provide CAEs resources for aligning with the objectives of their organization, fostering continuous improvement, and exceeding the expectations of key stakeholders.

“I participate annually in GAIN to help me understand how my team benchmarks against a large population of other audit (functions) in comparable industries. It’s one of the few tools that helps me to really get a glimpse into how we compare using a wide variety of metrics. This was one of the selling points of the Center, and it continues to be one of the areas I find the most value.”

Steve Sanders, CRMA
Vice President of Internal Audit
Computer Services, Inc.
Whether you’re a seasoned or newly appointed CAE, The IIA offers some of the most unique and engaging leadership development opportunities anywhere.

**THE Event for Audit Executives**

More than 1,000 of the world’s leading internal audit executives convene annually at The IIA’s General Audit Management Conference™ (GAM™). Designed for an executive audience, GAM offers inspiring general sessions, targeted educational tracks, and interactive panel and roundtable discussions. Combined with unmatched networking events, it creates an atmosphere of curiosity and reciprocity where real solutions are discovered and shared around critical issues such as talent and resource strategies, emerging risks, innovation and technology, stakeholder relationships/expectations, and more. Plus, the annual All Star Conference features The IIA’s highest rated presenters from the past year of conferences as ranked by attendees. It is a cutting-edge event for insights on issues impacting the internal audit environment and beyond.

**Where a CAE’s Path Begins**

Vision University is The IIA’s premier CAE development program. This unique training brings together world-class CAEs and facilitators during four days of intensive interactive work sessions. The innovative yet practical curriculum is designed in part by CAEs and is constantly updated to reflect current best practices. Gain the tools, techniques, and strategies to prepare yourself and your organization for the future. Plus benefit from the opportunity to build relationships with your classmates as class sizes are limited to maximize the potential for networking and camaraderie among participants.

**Be A Leader Among Leaders**

Networking, Learning, and Designations
“The career experiences of Vision University’s instructors, course materials, and especially the opportunities to network with other CAEs were invaluable in shaping the strategic vision of my internal auditing group. Whether your career advanced entirely through internal auditing or you are new to auditing, I think you will find this to be one of the most valuable training courses of your career.”

David Poroch
Chief Audit Executive
Southern Company

Enhancing Leadership for Today and the Future

Whether you are an experienced audit executive looking to gain professional validation and enhanced credibility with your stakeholders and peers, or an aspiring or new leader in your organization seeking advancement and personal development, the Qualification in Internal Audit Leadership™ (QIAL®) helps you build and enhance skills to further establish your credibility as a leader of the future.

Supporting Unique Industry Needs

The IIA provides CAEs and their teams a deeper dive into select industries through access to specialty centers and groups in the government, financial services, and gaming sectors to successfully navigate their ever-changing environments and stakeholder expectations. The Centers and groups provide timely and relevant guidance, resources, and thought leadership as well as events such as conferences and virtual symposia for professional development and networking with like-minded professionals who encounter the same industry challenges.

Our new Financial Services Center, launched June 2015, is dedicated to advancing the professional practice of internal auditing in the financial services sector. It models the successful American Center for Government Auditing™ (ACGA™) launch in 2014 for public sector internal auditors. ACGA currently serves more than 11,000 members in the United States. The Center enhances and expands services currently provided by The IIA’s Financial Services Auditor Group with a broader array of premium content that is timely, relevant, and practical. **Coming in 2016:** Environmental, Health, and Safety Center.
You are only as good as your team. The IIA’s robust training programs are designed to fulfill the CPE requirements of IIA designations plus other credentials and allow you to maximize your team’s ability to excel in their current positions and prepare for the next level within your organization.

Credibility-Building Endeavors: Designations

Build credibility with stakeholders by encouraging team members to become certified. Whether it’s the globally recognized Certified Internal Auditor® (CIA®) credential, one of four specialty certifications, or the new leadership designation—QIAL—stakeholders will take notice and your team members will benefit from the processes of strengthening their knowledge base, compliance to the Standards, and accomplishment of earning a designation. New! Candidates can earn the Internal Audit Practitioner designation by taking and passing the CIA Part One exam. It is a great way for new and rotational staff to quickly demonstrate internal audit aptitude during the onboarding process.

Face-to-face Interactions: Education and Networking

Year-round seminars, local chapter events, and conferences cater to skill levels and the hottest topics facing the profession while providing key peer-to-peer networking opportunities. These programs cover the full gamut of experience levels from the Beginning Auditor Tools and Techniques to Audit Report Writing to soft skills seminars to The IIA’s annual International Conference, which brings audit professionals from around the world together to share insights, best practices, and innovations you can’t get anywhere else. In addition, local chapter events and training provide accessible knowledge sharing and networking opportunities for all levels of your team.
Shared Team Development

If there’s a skill your entire team needs to build on or enhance, we can bring the seminar to you through our On-site Training program, which offers more than 100 course options. This allows you to maximize shared learning as well as save time and travel expenses for your team’s development and training.

You can gain substantial savings by enrolling as few as two team members in an IIA Audit Group membership. It provides further knowledge sharing, training, and tools to support their roles throughout the year.

Virtual Experiences: eLearning

IIA eLearning provides quality educational experiences in formats including eSeminars, self-study courses, eWorkshops, and webinars.

- The IIA’s eSeminars cover the same information as their onsite counterparts offered in real-time, facilitator-led Internet courses in short sessions over multiple days.
- Through a yearly subscription, your staff can have on-demand access to hundreds of online, self-study courses.
- The IIA’s Industry Center eWorkshops also offer a flexible way to explore sessions on a popular topic in financial services and government, of which participants can attend one or all sessions.
- Our webinars offer short but impactful sessions dedicated to one topic per event.
- The IIA offers 12 free Members-only Webinars annually for CPE credit.

“Today there is a tremendous emphasis placed on demonstrating your qualifications. It’s a world that truly values certifications. People will ask you, far more frequently than when I first joined the profession, ‘what type of credentials do you have?’”

Michael J. Fucilli
CIA, QIAL, CGAP, CRMA
Auditor General,
New York Metropolitan Transportation Authority

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The mark of a true leader is the desire to be part of something greater than themselves. Seize the opportunity to leave your mark on the profession through any or all of these IIA opportunities.

Leave Your Mark
Donate Your Time, Perspective, and Resources

Raise Your Hand and Voice

As a CAE, you can raise your voice formally by sharing your perspective to help other professionals through Internal Auditor magazine articles and AuditChannel.tv video content as well as participating in IIA advocacy initiatives, committees, and surveys. As a leader, you can play a key role in shaping the future of our profession and those aspiring to be the next generation of leaders. Whether it’s contributing to The IIA Research Foundation and Internal Auditing Academic Advancement Fund in a volunteer capacity or donating to these worthy funds, your perspective, leadership, and support is invaluable to moving this profession forward.

2014-2015 IIA Chairman of the Board Anton van Wyk, CIA, QIAL, CRMA says it best, “Advocacy has been and will always be key to internal audit’s survival. If we don’t understand what’s happening outside of our world of internal audit and conversely if the outside world doesn’t understand what we’re doing, it will have a massive impact on the relevance of internal audit into the future.”

Each internal audit professional has the power to advocate for the profession by executing their responsibilities with unparalleled skill and professionalism. However, as a CAE, you can raise your voice formally by participating in IIA advocacy initiatives. The IIA has formed relationships with internal audit stakeholders, sister organizations, and regulatory bodies and legislative branches impacting the profession that need to be nurtured and expanded to bring these initiatives to fruition. You can be a part of making it happen.
Make a Donation

The IIA Research Foundation (IIARF) has published more than 200 research reports that provide insight into critical issues facing the profession. Many people do not realize that these reports are funded directly by donations to The IIARF, not IIA member dues. Supporting The IIARF ensures that the invaluable research the profession has come to rely on remains current and continues to expand the knowledge base of practitioners around the world.

Another key area that relies directly on donations is The IIA’s Internal Auditing Academic Advancement Fund (IAAAF). The IAAAF works with colleges and universities around the world to develop internal audit curriculum and make students aware of internal audit career opportunities to help fill the pipeline with qualified and competent practitioners. By contributing to the IAAAF, you are literally helping to groom future generations of internal auditors.

Have an Impact

As an internal audit leader, you have an invaluable perspective to contribute to the many initiatives The IIA undertakes to advance the profession. The Global Internal Audit Common Body of Knowledge (CBOK®) is the world’s largest ongoing study of the internal audit profession conducted its third global survey in 23 languages with participation from approximately 14,500 practitioners representing 156 chapters and 113 institutes in nearly 150 countries in early 2015.

Reports gleaned from this data are being released on a monthly basis free of charge, thanks to the generous contributions and support from individuals and organizations. More than 30 report titles are being released and focus on the profession’s emerging issues in areas including the future of internal auditing, governance, global perspective, management, risk, standards, talent, and technology.
Access The Support You And Your Team Deserve

Every level of IIA membership provides you with valuable benefits. The greater the level of support you choose, the greater the return will be on your investment.

As a chief audit executive (CAE), you are at the top of your profession. To build and maintain your position as a trusted advisor and continue to meet evolving stakeholder expectations, you give your best every day. It’s why The IIA offers the most accessible and relevant internal audit leadership tools and resources available in the marketplace to help you successfully navigate whatever opportunities and challenges you encounter.

Take advantage of these tools and resources to support meeting your stakeholder demands and taking your internal audit function to the next level at www.theiia.org/goto/cae-resources.
GLOBAL HEADQUARTERS
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