IIA Training 2018-19

Learn From The Leader

ALL PLATFORMS OPEN

The Institute of Internal Auditors
**YOUR GUIDE TO**

Internal Audit Training & Development

You are challenged to keep up with ever-changing risk, while establishing yourself as a trusted advisor. Training and education play a critical role in your success. The IIA’s 2018–19 Training Catalog is here as a trusted resource to support your professional development plan.

If you or your team needs practical, high-impact training on topics like data analysis, communication, risk management, internal controls, and more, The IIA can help. As the recognized authority and principal educator for the internal audit profession, we are here to provide comprehensive and relevant training to keep you up to speed.

Use this catalog as a guide to build your annual development plan. You can search by category, delivery method, and course delivery date. It’s a great resource to keep at your desk. You can also access and bookmark the catalog online at [www.theiia.org/2018-19IIATraining](http://www.theiia.org/2018-19IIATraining).

**GROUP TRAINING SOLUTIONS**

Organizations with a need to train multiple team members can take advantage of group training solutions through The IIA. Our Group Training Solutions consultants will deliver a training program based on your organization’s priorities, the needs of your staff, and the learning objectives you set.

Your group training solutions consultant can group training packages that bundle all training: In-person, Online, and OnDemand, as well as CIA exam preparation. We can provide a package with savings and convenience to support your entire team’s training needs.

**Your consultant will:**

- Conduct a detailed needs analysis to understand your challenges.
- Match your team with a skilled facilitator who specializes in the specific training you need.
- Collaborate with IIA instructional designers and your facilitator to present a proposed training outline.

Group Training Solutions help you control costs and reduce your staff’s downtime by bringing The IIA’s industry-leading training to you.

For a complimentary consultation, contact us at +1-407-937-1388 or TeamDevelopment@theiia.org or visit [www.theiia.org/TeamDev](http://www.theiia.org/TeamDev).
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The IIA’s 2018–19 course schedule can be found in the gatefold insert in the center of this guide. Please refer to it to schedule your training.

**Note:** All courses and dates are subject to change without notice.
TOOLS & TECHNIQUES I: NEW INTERNAL AUDITOR

FOR: PRACTITIONERS / LEVEL: BASIC

DESCRIPTION:
Learn the basics of auditing at the new internal auditor level. This course provides an overview of the life cycle of an audit from a new internal auditor’s perspective, while examining the internal control environment and audit governance.

TOPICS INCLUDE:
- Defining the phases of an audit life cycle
- Interviewing and communication skills
- Developing documentation, including audit reports
- Performing an audit risk assessment and walk-through of internal controls
- Utilizing sampling and data analysis in fieldwork
- Developing audit observations and findings

RELATED TITLES:
- Audit Report Writing
- Fundamentals of IT Auditing
- Tools & Techniques II: Lead Auditor
- Tools & Techniques III: Audit Manager

DURATION: 4 DAYS
32 CPEs IN-PERSON ON-SITE
TOOLS & TECHNIQUES II: LEAD AUDITOR

FOR: PRACTITIONERS / LEVEL: INTERMEDIATE

DESCRIPTION:
Gain insight at the lead auditor level. This course helps you develop the organizational, time management, and problem solving skills necessary to lead a successful team, while examining the life cycle of an audit from a lead auditor’s perspective. This course is designed for internal auditors with 2–4 years of experience who want to learn the concepts, tools, and techniques to enhance their effectiveness and transition into a lead auditor role.

TOPICS INCLUDE:
- Communicating with audit staff
- Defining audit scope, objectives, hours, resources, and key activities
- Prioritizing workload and managing efficient use of resources
- Reviewing audit evidence and workpapers
- Becoming an effective leader
- Leading audit staff

RELATED TITLES:
- Enterprise Risk Management: A Driver for Organizational Success
- Fundamentals of IT Auditing
- Tools & Techniques I: New Internal Auditor
- Tools & Techniques III: Audit Manager

DURATION: 4 DAYS
32 CPEs

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# TOOLS & TECHNIQUES III:
## AUDIT MANAGER

**FOR:** MANAGERS  /  **LEVEL:** INTERMEDIATE

<table>
<thead>
<tr>
<th>DESCRIPTION:</th>
<th>TOPICS INCLUDE:</th>
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| Learn the essential skills required at the audit manager level. This course provides new managers with the tools needed to manage efficiently and effectively in an internal auditing environment, while examining the life cycle of an audit from an audit manager’s perspective. | • Communicating with the CAE, board of directors, and audit committee  
• Preparing a value-added audit program  
• Developing a strategy for presenting audit findings and recommendations  
• Developing management leadership skills  
• Understanding the difference between managing and leading  
• Managing relationships  
• Managing conflict and change  
• Marketing internal audit |

<table>
<thead>
<tr>
<th>CPES</th>
<th>32</th>
<th>DURATION: 4 DAYS</th>
<th>IN-PERSON</th>
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**RELATED TITLES:**
- Enterprise Risk Management: A Driver for Organizational Success
- Fundamentals of IT Auditing
- Tools & Techniques I: New Internal Auditor
- Tools & Techniques II: Lead Auditor
ETHICS FOR INTERNAL AUDITORS

FOR: PRACTITIONERS, MANAGERS
LEVEL: BASIC

DESCRIPTION:
The primary focus of this course is to provide you with an overview of ethics and how the Code of Ethics, Principles, and Rules of Conduct apply to internal audit.

RELATED TITLE:
• Code of Ethics Conformance

IIA-certified individuals are required to earn two of their CPE/CPD credits in ethics. The IIA continues to develop more courseware to support this requirement. Take advantage of the Ethics for Internal Auditors and Code of Ethics Conformance OnDemand courses to maintain your certification, and be on the lookout for more IIA ethics training.

CODE OF ETHICS CONFORMANCE

FOR: PRACTITIONERS, MANAGERS
LEVEL: BASIC

DESCRIPTION:
The primary focus of this course is to provide you with an introduction to Code of Ethics conformance for internal auditors.

RELATED TITLE:
• Ethics for Internal Auditors

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## Fundamentals of Internal Auditing

**For:** PRACTITIONERS  
**Level:** BASIC

**Description:**  
If you are new to internal auditing and looking for a solid foundation as you enter the profession, this course is the perfect first step for you to become proficient in your new role. Think of it as your road map to understanding the fundamental concepts and knowledge that will help you succeed in the world of internal auditing. During this course, you will learn about the professional standards, frameworks, and competencies you need to become competent in the profession, as well as the various career paths available to you as an internal auditor.

**CPEs:** 4  
**Duration:** 5 Days

**Related Titles:**  
- Beyond the Basics: Essential Skills and Practices  
- The Standards of Internal Audit  
- Tools & Techniques I: New Internal Auditor

## Beyond the Basics: Essential Skills and Practices

**For:** PRACTITIONERS  
**Level:** INTERMEDIATE

**Description:**  
This course is designed for internal auditors with 1–5 years of experience who are proficient in the foundational elements of internal auditing and now need to move to the next level, adding value and providing future-focused insight when performing audit engagements. In this course, you will learn essential skills and practices, such as employing critical thinking to apply key IPPF guidance principles to internal audit challenges, as well as identifying opportunities to improve the efficiency and effectiveness of the internal audit process with process improvement techniques and innovation.

**CPEs:** 16  
**Duration:** 2 Days

**Related Titles:**  
- Enterprise Risk Management: A Driver for Organizational Success  
- Internal Controls  
- Tools & Techniques I: New Internal Auditor
AUDIT REPORT WRITING

FOR: PRACTITIONERS
LEVEL: BASIC

DESCRIPTION:
Persuasive communication is an essential skill high atop CAEs’ and stakeholders’ lists of desired traits for internal auditors at all levels. High-quality audit reports are a key communication tool. This hands-on course will allow you to focus on the content, organization, and structure of audit reports, and uses case study activities to allow you to apply the basics of audit report writing.

RELATED TITLES:
• Audit Evidence & Workpapers
• Audit Report Quality
• Audit Reports – Communicating Assurance Results

OPERATIONAL AUDITING:
INFLUENCING POSITIVE CHANGE

FOR: MANAGERS
LEVEL: INTERMEDIATE

DESCRIPTION:
Organizations are reshaping their strategies to achieve sustainable business growth in new ways and seek value creation through improved operational performance. In this course, you will explore current and emerging business trends and issues across industry sectors, and discover that operational auditing plays an important role in today’s business environment.

RELATED TITLES:
• Analyzing & Improving Business Processes
• Root Cause Analysis for Internal Auditors
ANALYZING & IMPROVING BUSINESS PROCESSES

FOR: PRACTITIONERS / LEVEL: BASIC

DESCRIPTION:
Internal auditors are constantly searching for better tools and techniques for business process analysis. This course provides you with methods that can be used in any process analysis engagement and opportunities to apply these methods to real-world scenarios. Learn to conduct analyses at a holistic level — considering the customer and focusing on the associated objectives and risks — to find ways to create efficiencies, analyze work being conducted, or provide better customer service.

RELATED TITLES:
- Operational Auditing: Influencing Positive Change
- Root Cause Analysis for Internal Auditors
PROJECT MANAGEMENT SKILLS FOR INTERNAL AUDITORS

FOR: MANAGERS / LEVEL: INTERMEDIATE

DESCRIPTION:

This course provides you with the skills and techniques necessary to embed project management methods into your internal audit process. Formal project management methodologies can help reduce and alleviate many of the struggles with delays, prioritization, scope, and timeliness that many audits routinely face. The tools and systems shared in this interactive course can be immediately implemented, and real-life examples of project management failures and successes will be covered to enhance the learning experience through multiple hands-on exercises for you to practice what you learn.

RELATED TITLES:

- Analyzing & Improving Business Processes
- Root Cause Analysis for Internal Auditors
ROOT CAUSE ANALYSIS FOR INTERNAL AUDITORS

FOR: PRACTITIONERS, MANAGERS / LEVEL: INTERMEDIATE

DESCRIPTION:
This course will provide you with key root cause analysis tools and techniques that can be utilized in the planning, fieldwork, and reporting phases of an internal audit — to enhance audit effectiveness, strengthen audit observations reported, and facilitate deeper discussions with management on issues identified. You will have the opportunity to practice and apply the skills learned during the course through a case study and exercises, which should enable you to integrate the tools and techniques into your audit engagement activities.

RELATED TITLES:
- Analyzing & Improving Business Processes
- Audit Report Writing
**VISION UNIVERSITY**

**FOR: EXECUTIVES / LEVEL: ADVANCED**

**DESCRIPTION:**
Join your executive-level colleagues at Vision University, a unique educational program for chief audit executives (CAEs). Vision University provides you with strategies, best practices, and tools to help you strengthen your audit team and inspire peak performance. This course is highly suited for new and aspiring CAEs or experienced executives who are looking to refresh and extend their capabilities. The program is facilitated by expert instructors who will guide you and your peers to meet today’s internal auditing challenges.

**THIS PROGRAM INCLUDES:**
- Proven solutions for real problems, delivered through presentations and small group discussions.
- Ideas and knowledge from expert instructors and guest speakers.
- Techniques to elevate you and your internal audit function to the role of trusted advisors.
- Opportunities to network and build lasting relationships with top executives of major corporations and notable leaders in our profession.

For more information on how to apply for Vision University, please contact VisionU@theiia.org.

**LEAD COURSE DEVELOPER:**
Patricia K. Miller, CIA, QIAL, CRMA, Founder, PKMiller Risk Consulting, LLC

Patty is an experienced internal audit professional with expertise in governance, risk management, and internal control, along with significant consulting and managerial experience in finance, accounting, internal auditing, and risk management. She worked with Deloitte & Touche for 14 years before founding her own consulting firm. Patty has been active in global leadership roles with The IIA and has served as chairman of the International Internal Audit Standards Board. She is also a frequent speaker on governance, control, and risk management topics, and has co-authored research projects and articles for the Internal Audit Foundation and *Internal Auditor* magazine.

**RELATED TITLES:**
- Auditing Culture: Challenges and Proven Techniques
- Leadership Skills for Auditors
- Leveraging and Influencing Generational Differences
BUILDING A SUSTAINABLE QUALITY PROGRAM

FOR: MANAGERS  
LEVEL: INTERMEDIATE  

DESCRIPTION:
Building an effective quality assurance and improvement program (QAIP) is similar to establishing a total quality management program, where products and services are analyzed to verify they meet stakeholder expectations, operations are evaluated to determine their efficiency and effectiveness, and practices are assessed to confirm their conformance to standards. This course will help you learn how to build and maintain an effective QAIP, leading to a successful external quality assessment.

RELATED TITLE:
• Performing an Effective Quality Assessment

PERFORMING AN EFFECTIVE QUALITY ASSESSMENT

FOR: PRACTITIONERS, MANAGERS  
LEVEL: INTERMEDIATE  

DESCRIPTION:
An organization’s quality monitoring must keep pace with its evolution as a whole. To ensure consistent quality in a dynamic environment, internal audit’s QAIP (quality assurance and improvement program), encompassing both internal and external assessments, can provide evidence to stakeholders that internal audit is efficient, effective, and adding value. This course will provide you with the appropriate knowledge and skills to plan, perform, and evaluate the results of an external quality assessment case study. You will also learn about the processes and tools in the IIA Quality Assessment Manual (QA Manual) that can help you identify opportunities to improve your internal audit quality activities.

RELATED TITLE:
• Building a Sustainable Quality Program
FINANCIAL AUDITING FOR INTERNAL AUDITORS

FOR: PRACTITIONERS, MANAGERS / LEVEL: INTERMEDIATE

DESCRIPTION:
For internal auditors and managers who want to understand and expand their roles related to financial reporting, as well as those who simply need a refresher on financial accounting, this course is the ideal way to get up to speed. You will explore concepts that go beyond basic accounting and learn how key business processes relate to financial statements, the impact of technology on financial auditing, and how to recognize “red flags” in financial statement reporting.

RELATED TITLES:
• Catching the Bad Guys: Fraud Auditing for Internal Auditors
• FCPA: Anti-Corruption Overview
• Fraud Detection, Deterrence, and Incident Response for Internal Auditors

DURATION: 2 DAYS
CPAs 16 ON-SITE IN-PERSON
CIA LEARNING SYSTEM COMPREHENSIVE INSTRUCTOR-LED COURSE — PART I

FOR: PRACTITIONERS / LEVEL: BEGINNER

DESCRIPTION:
The Certified Internal Auditor® (CIA®) credential is the only globally accepted professional certification for internal auditors and remains the standard by which individuals demonstrate their competency and professionalism in the internal audit field. This CIA exam preparation course provides CIA candidates, internal auditors seeking professional development, and students in accounting, business, or financial degree programs with a comprehensive review of the first part of the CIA exam. Taking this course prepares an internal auditor to take Part 1 of the three-part CIA exam, and, upon successfully passing the exam, apply for the Internal Audit Practitioner designation.

RELATED TITLES:
- CIA Learning System Comprehensive Instructor-led Course — Part 2
- CIA Learning System Comprehensive Instructor-led Course — Part 3
- The Standards of Internal Audit
- Tools & Techniques I: New Internal Auditor

DURATION: 2.5 DAYS

CPEs: 19.5
CGAP EXAM PREP PROGRAM

FOR: PRACTITIONERS / LEVEL: BEGINNER

DESCRIPTION:
This four-course, self-study program prepares you to sit for the Certified Government Audit Professional® (CGAP®) Exam. The program is based on source materials from The IIA, as well as the latest expertise on the roles and expectations of government auditors in the current era of enhanced accountability in the public sector.

THE CGAP EXAM PREP PROGRAM COMPRISSES:
- Domain I: Standards, Governance, and Risk and Control Frameworks
- Domain II: Government Auditing Practice
- Domain III: Government Auditing Skills and Techniques
- Domain IV: Government Auditing Environment

RELATED TITLE:
- CGAP Exam Review Courses

CPES 16
DURATION: 2 DAYS
ONDEMAND
ON-SITE
### ENVIRONMENTAL, HEALTH AND SAFETY AUDIT SKILLS

**FOR:** PRACTITIONERS  
**LEVEL:** INTERMEDIATE

**DESCRIPTION:**  
This flagship course focuses on the key competencies auditors need to enhance their environmental, health and safety (EHS) auditing skills. All course materials are consistent with recognized auditing performance practices and standards from certification organizations such as the Board of Environmental, Health & Safety Auditor Certifications® (BEAC®) and the International Organization for Standardization (ISO).

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**RELATED TITLE:**  
- Environmental, Health and Safety Lead Auditor

### ENVIRONMENTAL, HEALTH AND SAFETY LEAD AUDITOR

**FOR:** MANAGERS  
**LEVEL:** INTERMEDIATE

**DESCRIPTION:**  
This one-day course is focused on preparing you to lead environmental, health and safety (EHS) audits, including compliance audits and management systems assessments, whether you work as an in-house EHS auditor or as a third-party auditor.

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**RELATED TITLE:**  
- Auditing Health and Safety Compliance
### Introduction to Process Safety Management and Risk Management Plans

**FOR:** PRACTITIONERS  
**LEVEL:** INTERMEDIATE  

**DESCRIPTION:**  
This course focuses on the OSHA Process Safety Management (PSM) Standard (29 CFR 1910.119) and the EPA Chemical Accident Prevention Provisions (commonly known as the Risk Management Plan), or RMP Rule, 40 CFR 68. Course materials are designed to enhance professional growth and education for environmental, health and safety (EHS) auditors who are responsible for auditing PSM and RMP compliance, and to assist you in preparing for BEAC® auditor certification as a Certified Process Safety Auditor® (CPSA®).

**RELATED TITLE:**  
- Advanced Process Safety Management

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<th>CPEs</th>
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### Advanced Process Safety Management

**FOR:** PRACTITIONERS  
**LEVEL:** INTERMEDIATE  

**DESCRIPTION:**  
This course is targeted to those who are familiar with Process Safety Management (PSM) regulatory requirements and who now need to conduct PSM audits. In-house EHS auditors and third-party auditors will benefit from understanding the requirements of these complex regulations.

**RELATED TITLE:**  
- Introduction to Process Safety Management and Risk Management Plans

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<th>CPEs</th>
<th>Duration: 2 Days</th>
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AUDITING ENVIRONMENTAL COMPLIANCE

FOR: PRACTITIONERS
LEVEL: INTERMEDIATE

DESCRIPTION:

Nearly every industry today incorporates sustainability initiatives, nonfinancial reporting, and monitoring of environmental risks. This course serves as preparatory training for those working to obtain the Certified Professional Environmental Auditor® (CPEA®) credential. It is also an excellent refresher for those who want to enhance their environmental auditing skills.

CPEs 16
DURATION: 2 DAYS
ON-SITE IN-PERSON

RELATED TITLE:
- Auditing Health and Safety Compliance

AUDITING HEALTH AND SAFETY COMPLIANCE

FOR: PRACTITIONERS
LEVEL: INTERMEDIATE

DESCRIPTION:

This course has been designed to provide auditors with health and safety audit skills consistent with updated auditing performance practices and standards from the Board of Environmental, Health & Safety Auditor Certifications® (BEAC®). It is also a preparatory course for those working to obtain the Certified Professional Environmental Auditor® (CPEA®) credential.

CPEs 16
DURATION: 2 DAYS
ON-SITE IN-PERSON

RELATED TITLE:
- Auditing Environmental Compliance
CONSTRUCTION ACTIVITY: AUDIT STRATEGIES

FOR: PRACTITIONERS / LEVEL: INTERMEDIATE

DESCRIPTION:
Capital construction projects can create significant exposure for organizations that may be unaware of the risks associated with excessive costs, project delays, and quality issues. This course reviews detailed audit strategies to address risk and exposure in each phase of the life cycle, with emphasis on construction project delivery and compensation methodologies.

RELATED TITLE:
• Project Management Skills for Internal Auditors
FRAUD DETECTION, DETERRENCE, AND INCIDENT RESPONSE FOR INTERNAL AUDITORS

FOR: PRACTITIONERS / LEVEL: INTERMEDIATE

DESCRIPTION:
For many auditors, management’s anti-fraud expectations exceed the audit team’s capability to deliver. Result: a challenging gap to fill and difficult decisions to be made regarding the application of scarce resources and management of stakeholder expectations. This program will show you how to close that gap. You will learn a comprehensive anti-fraud response that will fit in any organizational setting, as well as discover how to build a tailored battle plan for fighting fraud. Step-by-step instructions will allow you to meet and exceed your professional obligations to objectivity and independence while leading management through what it must do to foster an anti-fraud environment.

RELATED TITLES:
- Auditing Culture: Challenges and Proven Techniques
- Catching the Bad Guys: Fraud Auditing for Internal Auditors
- Cybersecurity Auditing in an Unsecure World
- FCPA: Anti-Corruption Overview
- Risk Fraud and Illegal Acts

MEMBERSHIP MEANS MORE.
As a member of The IIA, you receive exclusive access to the premier standards-setting and guidance-producing organization for the internal audit profession. Your membership benefits can save you money through discounts on internal audit training and materials.

The IIA offers multiple membership types to fit your professional and career goals, and groups of three or more individuals can get a Group Membership and save even more. Connect with more than 190,000 worldwide members of The IIA by joining today at www.theiia.org/Join.
COSO INTERNAL CONTROL CERTIFICATE

FOR: PRACTITIONERS, MANAGERS
LEVEL: INTERMEDIATE

DESCRIPTION:
This course offers you a unique opportunity to develop expertise in designing, implementing, and conducting an internal control system. This 25.5-credit program takes you through the COSO Internal Control – Integrated Framework (Framework) from start to finish and, through the use of real-world scenarios, allows you to understand the principles-based approach, identify and analyze risks, develop confidence in the internal control system, and learn from experts as well as share your experiences with your peers. Upon completion of the course, you will be eligible to sit for the exam and earn your COSO Internal Control Certificate.

RELATED TITLES:
- COSO-based Auditing: Auditing for Control Activities
- COSO-based Auditing: Overview
- COSO-based Auditing: Risk Assessment
- COSO-based Internal Auditing

CPEs: 25.5
DURATION: 2.5 DAYS
IN-PERSON
ON DEMAND
ON-SITE
ONLINE

COSO-BASED INTERNAL AUDITING

FOR: PRACTITIONERS, MANAGERS
LEVEL: INTERMEDIATE

DESCRIPTION:
COSO’s landmark frameworks, Internal Control – Integrated Framework (2013) and Enterprise Risk Management – Integrated Framework (2017), offer guidance to ensure effective controls and proficient risk management. These frameworks can contribute value to strategic business planning, governance, and executing, monitoring, and adapting processes for any organization. This course provides an opportunity for you to develop the level of understanding of the COSO frameworks needed to carry out your role and responsibilities. You will explore how to leverage the COSO frameworks in their audit process through various activities.

RELATED TITLES:
- COSO-based Auditing: Auditing for Control Activities
- COSO-based Auditing: Overview
- COSO-based Auditing: Risk Assessment
- COSO Internal Control Certificate

CPEs: 16
DURATION: 2 DAYS
IN-PERSON
ON-SITE
COSO ENTERPRISE RISK MANAGEMENT CERTIFICATE PROGRAM

DESCRIPTION:
The complexity of enterprise risk has changed, new risks have emerged, and managing this has become everyone’s responsibility. The new COSO Enterprise Risk Management Certificate offers you the unique opportunity to learn the concepts and principles of the newly updated ERM Framework and be prepared to integrate the framework into your organization’s strategy-setting process to drive business performance.

IN-PERSON WORKSHOP
The in-person workshop offers a combination of self-study pre-work and a two-day live training session to provide the knowledge necessary to understand and apply COSO’s Enterprise Risk Management—Integrating with Strategy and Performance.

SELF-STUDY OPTION
The self-study option offers seven self-paced modules to complete from the location of your choice.

RELATED TITLES:
• COSO-based Auditing: Auditing for Control Activities
• COSO-based Auditing: Overview
• COSO-based Auditing: Risk Assessment
• COSO-based Internal Auditing
• COSO-based Internal Control Certificate
FUNDAMENTALS OF RISK-BASED AUDITING

FOR: PRACTITIONERS
LEVEL: BASIC

DESCRIPTION:
This course provides the fundamental knowledge needed to become effective in performing risk-based internal audits. Foundational concepts such as the nature of risk, risk sources and categories, risk appetite and tolerances, and risk frameworks are provided to help you understand their application to the audit engagement. This course is designed for internal auditor practitioners who want to learn the principles and concepts of risk and risk management, as well as the tools and techniques used to perform a risk-based audit.

RELATED TITLES:
• Advanced Risk-based Auditing
• COSO Enterprise Risk Management Certificate Program
• Enterprise Risk Management: A Driver for Organizational Success
• Risk Management

ADVANCED RISK-BASED AUDITING

FOR: PRACTITIONERS, MANAGERS
LEVEL: INTERMEDIATE

DESCRIPTION:
This course provides participants with the knowledge to develop an audit universe and risk-based internal audit plan. This course also addresses emerging and advanced risk management topics such as governance risk, strategic risk, fraud risk, information technology risk, and auditing the risk management process. Be prepared to walk away with concepts and tools to develop a value-added, risk-based audit plan for your organization. This course is designed for senior internal audit practitioners and audit managers who want to build on their knowledge and increase their value to the organization by developing effective risk-based audit plans that address emerging risks.

RELATED TITLES:
• COSO Enterprise Risk Management Certificate Program
• Enterprise Risk Management: A Driver for Organizational Success
• Fundamentals of Risk-based Auditing
• Risk Management
ENTERPRISE RISK MANAGEMENT:
A DRIVER FOR ORGANIZATIONAL SUCCESS

FOR: PRACTITIONERS, MANAGERS / LEVEL: INTERMEDIATE

**DESCRIPTION:**
ERM is not a process, a tool, a department, or a list of risks — it is how an organization makes better business decisions. COSO recently updated the ERM Framework with increased emphasis on recognition that risk management is fundamental for an organization to align its actions with its strategy. ISO also recently finished updating its Standard 31000. With the advent of these two significant updates, it is time to reconsider the foundations of risk and risk management.

**TOPICS INCLUDES:**
- Strategy and objective setting
- Performance – Identifying and assessing risks
- Performance – Risk responses
- Information, communication, and reporting
- Governance and culture
- Review and revision

**LEAD COURSE DEVELOPER:**
Douglas J. Anderson, CIA, CRMA, CPA, CMA
Doug is the Managing Director for CAE Solutions at The Institute of Internal Auditors (IIA). His career includes a variety of experiences involving governance, risk management, and control. Doug has an extensive background as a chief audit executive, internal auditor, external auditor, GRC consultant, and university professor; he’s also served in various finance roles, as well as in volunteer positions with The IIA. He was on the COSO Advisory Council for the update of its ERM Framework issued in 2017. In addition, Doug is The IIA’s liaison to the ISO working group that updated ISO 31000. He is the author of a number of IIA publications and is a frequent presenter on GRC topics for The IIA and other organizations.

**RELATED TITLES:**
- Advanced Risk-based Auditing
- COSO Enterprise Risk Management Certificate Program
- Fundamentals of Risk-based Auditing
- Risk Management
AUDITING CULTURE:
CHALLENGES AND PROVEN TECHNIQUES

FOR: PRACTITIONERS, MANAGERS / LEVEL: INTERMEDIATE

DESCRIPTION:
Systemic cultural deficiencies are often at the root of unethical behavior and underpin the kinds of practices that have caused major corporate scandals in recent years. One study states that over 90 percent of CEOs and CFOs see culture as critical and believe that improving it would increase organizational value. Culture proves difficult to audit because it is intangible and defies traditional audit methods, but it can be done. This course offers proven methods and techniques to adapt to your organization.

RELATED TITLES:
• Tools & Techniques II: Lead Auditor
• Tools & Techniques III: Audit Manager

Register early and save! The IIA delivers quality internal audit training in a variety of ways, including in-person, online, on-site, and on-demand. Members gain added savings; access tools, guidance, and publications; and build local to global networks. Learn more about training savings at www.theiia.org/Training.
COMMUNICATION AND NEGOTIATION SKILLS FOR THE 21ST CENTURY AUDITOR

FOR: PRACTITIONERS
LEVEL: INTERMEDIATE

DESCRIPTION:
Skilled communication, including the art of negotiation, can be the difference between success and failure in auditing — or in business itself. Tools, techniques, and perceptions will be reviewed, discussed, and practiced in this training to enable internal auditors to meet stakeholder expectations more successfully. This course is recommended for auditors who may be technically proficient, but desire to polish their soft skills necessary for success.

RELATED TITLES:
- Audit Interviews
- Communication Basics
- Communication Skills for Auditors

INTERVIEWING TECHNIQUES FOR SUCCESSFUL AUDITS

FOR: PRACTITIONERS, MANAGERS
LEVEL: INTERMEDIATE

DESCRIPTION:
Having strong interviewing skills is an essential element for gathering audit evidence to support audit conclusions. That includes staying on track, summarizing important insights, and asking key follow-up questions. This course helps you develop interview skills, prepare for difficult interviews, and strengthen your current skills. Use of the tips, techniques, and tools provided will enable you to become a more effective interviewer.

RELATED TITLES:
- Audit Interviews
- Communication and Negotiation Skills for the 21st Century Auditor
- Communication Basics
- Communication Skills for Auditors
THE EFFECTIVE AUDITOR: UNDERSTANDING AND APPLYING EMOTIONAL INTELLIGENCE

FOR: PRACTITIONERS, MANAGERS, EXECUTIVES
LEVEL: INTERMEDIATE

DESCRIPTION:
Auditors need specific technical skills to be successful in their jobs, but that’s only half the picture. They must be able to deal with all kinds of people, too. In this course, you will learn to improve your effectiveness by identifying the communication style of others, allowing you to tailor your delivery to their method of receiving, use empathy to build engagement with team members, improve your listening skills to uncover hidden information, and enhance your emotional intelligence to increase your communication effectiveness.

RELATED TITLES:
- Communication Basics
- Communication Skills for Auditors

RELATIONSHIPS, INTERPERSONAL SKILLS, AND AUDITING: BECOMING A TRUSTED ADVISOR

FOR: PRACTITIONERS, MANAGERS, EXECUTIVES
LEVEL: INTERMEDIATE

DESCRIPTION:
The ultimate goal of any internal auditor, regardless of career stage, is to become a trusted advisor — someone to whom others look for counsel and advice, a trusted confidante who will listen when times get difficult. During the course, you will learn the why and how of developing relationships that will assist you in becoming a trusted advisor. Tips, techniques, and reference materials will assist you in personal and team development, impacting effectiveness positively.

RELATED TITLES:
- The Effective Auditor: Understanding and Applying Emotional Intelligence
- Leadership Skills for Auditors
LEADERSHIP SKILLS FOR AUDITORS

FOR: MANAGERS
LEVEL: INTERMEDIATE

DESCRIPTION:
Learn tools and techniques for cultivating and maintaining an effective and efficient team, while staying motivated and productive through the entire audit process. Experienced facilitators will utilize various teaching methods and provide valuable input on understanding human behavior, helping you focus on the needs of individuals and improve communication abilities within an audit team as well as with stakeholders.

RELATED TITLES:
• The Effective Auditor: Understanding and Applying Emotional Intelligence
• Relationships, Interpersonal Skills, and Auditing: Becoming a Trusted Advisor

CRITICAL THINKING IN THE AUDIT PROCESS

FOR: PRACTITIONERS, MANAGERS

DESCRIPTION:
This course demonstrates how critical thinking can be weaved throughout key elements of the audit process such as risk assessment, interviewing, testing and analysis, process documentation, and reporting. Critical thinking is disciplined thinking that is clear, rational, open-minded, and informed by evidence, which makes it ideally suited for application in an audit setting. The critical thinking concepts and practices presented are designed to enhance audit effectiveness and deliver measurable value to audit customers that win internal audit a seat at the table for key business decisions.

RELATED TITLES:
• The Effective Auditor: Understanding and Applying Emotional Intelligence
• Leadership Skills for Auditors
• Relationships, Interpersonal Skills, and Auditing: Becoming a Trusted Advisor
LEVERAGING AND INFLUENCING GENERATIONAL DIFFERENCES

FOR: MANAGERS, EXECUTIVES / LEVEL: INTERMEDIATE

DESCRIPTION:
This course cultivates the best in millennials and other generations by showing you how to embrace and leverage generational differences within your organization as they relate to the audit function. Special focus is placed on how millennials and other generations affect succession planning and organizational performance. You will learn key strategies to produce quality outcomes within an age-diverse audit staff.

LEAD COURSE DEVELOPER:
Ed Robinson
Ed is a thought leader and recognized expert in the areas of leadership development and revenue growth. For more than 30 years, he has been transforming professionals into leaders and leaders into rainmakers. As a Certified Speaking Professional (CSP), business growth coach, and former CPA, Ed has shared his insights with hundreds of leading organizations across the globe. His winning strategies, paired with his engaging delivery style, motivate audiences to embrace change.

RELATED TITLES:
- The Effective Auditor: Understanding and Applying Emotional Intelligence
- Tools & Techniques III: Audit Manager

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CYBERSECURITY AUDITING IN AN UNSECURE WORLD

FOR: PRACTITIONERS, MANAGERS, EXECUTIVES / LEVEL: BASIC

DESCRIPTION:

Cybersecurity issues present grave risks beyond IT security. A severe breach can be costly enough to sink a company or substantially impact its shareholder value, oust its leadership, potentially bury its reputation, and worse. Developed by leading industry experts, this course views cybersecurity from preventive, detective, and corrective angles, and applies audit processes and protections to the cloud and today’s ever-present mobile devices.

LEAD COURSE DEVELOPER:

Daimon Geopfert

Daimon specializes in penetration testing, vulnerability and risk management, security monitoring, incident response, digital forensics and investigations, and compliance frameworks within heavily regulated industries. He has more than 20 years of experience in a wide array of information security disciplines. Daimon serves as RSM’s national leader for the security and privacy practice, responsible for developing the firm’s overall strategy related to security and privacy services and applicable methodologies, toolkits, and engagement documentation.

RELATED TITLES:
- Application Controls
- Application Security
- Audit Recovery Processes
- Fundamentals of IT Auditing
FUNDAMENTALS OF IT AUDITING

FOR: PRACTITIONERS, MANAGERS, EXECUTIVES
LEVEL: BASIC

DESCRIPTION:
The continued advent of technology means that to be fully effective and focused on the areas of greatest return, auditors can no longer afford to ignore IT auditing. Auditors, even those without a technical background, can and should develop knowledge of basic IT audit concepts that can be used to facilitate integrated audits. After this course, internal auditors will be able to perform an audit of IT applications supporting key business processes and perform a risk assessment and evaluation of controls over end-user computer applications.

RELATED TITLES:
- Application Controls
- Application Security
- Cybersecurity Auditing in an Unsecure World
- End-user Computing
- Logical Security: Application, Database, and Operating System Layers
- Logical Security: The Network Layer

DURATION: 3 DAYS
CPES: 24
ON-SITE IN-PERSON ONLINE

DATA ANALYSIS AND SAMPLING

FOR: PRACTITIONERS, MANAGERS, EXECUTIVES
LEVEL: INTERMEDIATE

DESCRIPTION:
Suitable for practitioners in both the public and private sectors, this course explores the challenges in selecting the most appropriate sampling methods, calculating and adjusting sample size, and integrating this knowledge into audit planning and reporting. It will also review properly reducing large data sets down to critical subsets based on risk or importance, determining which sampling method is most appropriate depending on the situation, and estimating sample size to get the most information at the lowest cost.

RELATED TITLES:
- Data Analysis for Internal Auditors
- Defining Populations for Data Analytics
- Implementing Data Analytics in Internal Audit

DURATION: 2 DAYS
CPES: 16
ON-SITE IN-PERSON ONLINE
DATA ANALYSIS FOR INTERNAL AUDITORS

FOR: PRACTITIONERS, MANAGERS, EXECUTIVES / LEVEL: INTERMEDIATE

DESCRIPTION:
Executing a cost-effective and value-add audit requires an understanding of population analysis. Without this knowledge, you run the risk of spreading your resources and your sampling over low-risk subsets of the population. This could result in crucial data not being collected. In this course, you will learn when and how to use population analysis in the planning phase of the audit and how to identify subsets of the population that behave differently from a benchmark data set.

LEAD COURSE DEVELOPER:
Don Dickie, CIA, CCSA

Don is a professional statistician who has spent significant time in internal audit. This experience has provided a unique opportunity to understand how the needs of the auditor can be addressed through the appropriate use of statistical sampling techniques. Since 2003, Don has developed and taught seminars for internal auditors that specialize in various methods of random and nonrandom selection, calculation of sample size, and development of risk-based sampling strategies that minimize cost and maximize information.

RELATED TITLES:
- Data Analysis and Sampling
- Defining Populations for Data Analytics
- Implementing Data Analytics in Internal Audit
IMPLEMENTING DATA ANALYTICS IN INTERNAL AUDIT

FOR: PRACTITIONERS, MANAGERS
LEVEL: INTERMEDIATE

DESCRIPTION:
Data analytics programs can provide the opportunity for an audit function to add value to their organization, while enhancing assurance for audits, fraud detection, and Sarbanes-Oxley testing. It is also an excellent basis for fraud detection programs, allowing audit and fraud teams to identify potential fraud without having to “sample” large quantities manually to detect fraud and fraud patterns. However, implementing an effective program can pose a significant challenge. This course lays the groundwork of how to develop a functional data analytics program.

RELATED TITLES:
• Data Analysis and Sampling
• Data Analysis for Internal Auditors

STATISTICAL SAMPLING FOR INTERNAL AUDITOR

FOR: PRACTITIONERS, MANAGERS, EXECUTIVES
LEVEL: INTERMEDIATE

DESCRIPTION:
Knowing which method of sampling is most appropriate for different situations, estimating the sample size needed to provide the desired confidence level, and assigning sample size strategically to get the most information at the lowest cost are critical steps to executing a successful audit. This course, appropriate for public and private sector auditors, covers methods of random sampling and non-random selection, adjusting for population size and resource constraints, how to combine results and extrapolate, and what to report.

RELATED TITLES:
• Data Analysis and Sampling
• Data Analysis for Internal Auditors
• Defining Populations for Data Analytics