Your Training Compass

The Art of Networking

5 Steps to an Audit Tune Up

January – June 2014 Seminar Schedule

On-site Training is Online and Virtual

OCTOBER 2013
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Dear Reader,

How do you and your team keep up to date on the latest internal audit tools and techniques? We invite you to check out all The IIA has to offer.

We can help you with hands-on training through our seminars — from the fundamentals to IT to performing a quality assessment and all things in between. You can participate in the many courses we offer at a location near you, at your computer through eLearning or on-site at your location. Contact us to help you design a plan that will best fit your needs.

In addition, IIA conferences offer you the opportunity to network with your peers and hear what others are doing to deal with the same challenges you may be facing.

Are you looking to increase your knowledge of the internal audit profession? Then check out The IIA’s CIA Learning System. It is the premier product to help you become a Certified Internal Auditor.

Looking for something more specific? Contact us and let us help you find it.

Sincerely,
Bonnie Ulmer

Bonnie Ulmer
Vice President, Learning Solutions
The Institute of Internal Auditors
BE PROACTIVE RATHER THAN REACTIVE

It’s important for our team to stay on top of regulatory changes as they happen. They need to explore the impact of changes to thought leadership in the profession, such as the updated COSO Framework and IIA Standards. In order for the team to remain on the leading edge of industry changes and be proactive rather than reactive, we utilize the full gamut of IIA training.

In considering which training will suit our needs, we review staff members’ developmental objectives and current projects. With the variety of options The IIA offers, such as webinars, conferences, and seminars, the training is flexible, attainable, and meets our requirements.

With continued time-sensitive regulatory changes, as well as soft skills which periodically need to be reviewed and revisited, we go to The IIA as the authoritative voice of the profession for all our training needs. Our staff returns to the office with the validation that they are on the right track and specific technical tools which add to their confidence levels.

J. Michael Joyce, Jr., CIA, CRMA
Chief Auditor & Compliance Officer
Blue Cross Blue Shield Association
THE
Art
of
NETWORKING
Why invest in networking? Todd Horbasenko, CIA, CCSA, Calgary City Auditor (retired), provides a compelling answer. "Internally, internal auditing is a people business. We must rely on other people to gather information and properly assess where the most significant risks lie, which requires that we develop relationships," says Horbasenko. "Externally, audit work must be as efficient as possible…meaning, don’t re-invent the wheel! Developing a network of peers you can call to discuss an audit issue can save hours of research and help you avoid pitfalls already experienced by others."

From getting advice and information to learning about unadvertised positions and connecting with new people, everyone we spoke to agreed that networking is an essential part of a successful career. Three general networking philosophies also emerged.

Redefine Networking and Your Network

Many people compartmentalize networking as something that only happens at a conference while making small talk with strangers at a banquet table, or they think it is something you only do when you are looking for a job. But networking extends far beyond the confines of events and job boards. It can and should happen at your desk, in line at the grocery store, or on an airplane. Opportunities are everywhere. The trick is to recognize them, create them, and act on them…consistently.

Take the advice of Seth Peterson, CIA, CRMA, an internal manager at MetaBank featured in Internal Auditor magazine’s “20 Under 30”, who attributes 100 percent of the positions he has held to networking. “It may mean getting more involved at your church or with your favorite charity,” says Peterson. “Regardless of what it is, people notice others who are engaged in what they are doing, show joy in serving, and are accessible.”

Viewing networking as something that happens organically while you’re doing things you already enjoy makes it easier to grow your network and more likely that you will do it with some consistency. But where do you start? Make sure the word itself does not intimidate you. Half the battle, according to Pamela Short Jenkins, chief audit executive for US Foods, is to “Forget the word network. Network sounds scary. It’s simply people you know — people you have a good rapport with and with whom you have built a relationship.” She contends that everyone has a network, whether they know it or not. “Put 10 people on paper who you have interacted with in the last five years that you would feel comfortable picking up the phone and calling. That’s a network! It’s that simple.”

Shift Your Mindset

While you might never love networking, make a conscious decision not to hate it. Just as it is hard to yell at someone while you’re smiling, it is challenging to have a meaningful exchange with a potential addition to your network if you are listening...
Forget the word network. Network sounds scary. It’s simply people you know.

to your inner voice saying “I’m so uncomfortable. Is it time to go home yet?” View networking as an opportunity to make meaningful connections, rather than a chore on your “to do” list. Enjoy the process and it will come across in your body language, your choice of words, and your ability to make a positive impression.

Greg Estes, CIA, internal audit manager for the Americas Region of Fossil Group, Inc., explains, “Although the truest form of networking still provides me with some anxiety, I realize that I wouldn’t have the knowledge I do today, nor have the contacts that I’ve made, if it wasn’t for networking events,” says Estes. “More specifically, I recently received three job offers and landed my current job as a result of relationships I made by networking within my IIA chapter leadership and board of governors.”

There is no such thing as a healthy, one-sided relationship because a one-sided relationship usually doesn’t last. The same rule applies to networking relationships; they should not be self-serving. Just as you are always looking for opportunities to grow your network, you should also look for ways to help others. Know what you have to offer and be willing to share your knowledge, expertise, and connections. Realize that the person you help may not be the person who helps you, at least not today. It’s about keeping the giving cycle in motion.

“I believe in a ‘pay it forward’ philosophy,” says Jenkins. She stresses that just because you add someone to your network, it doesn’t mean you should expect an immediate benefit. “You never know where a relationship will lead or when your paths will cross again. I can call on people I worked with 15 years ago for advice because I maintain the relationship on some level.”

Things You Can Do Today

In today’s digital age, you cannot discount the impact of your arms-length persona. To polish your personal brand:

• Record a strong and confident voicemail greeting.
• Upgrade your e-mail signature with all avenues for contacting you.
• Proofread your e-mails and make sure spell-check is an auto setting.
• Update your LinkedIn profile (or create one if necessary).
• Scrub your online presence (Facebook, Twitter, Instagram, etc.).

Then hit the ground running, attending a professional conference, setting up coffee with a colleague, or volunteering with your local IIA chapter.
5 Tips For Networking Success

1 Be Polite
In person, actively engage with the person you are talking with rather than scanning the room for someone more interesting or staring at your phone. In writing, communicate in a friendly but concise way that clearly articulates the purpose of your communication.

2 Be Prepared
Always carry business cards. Even in the day of smart phones, business cards are expected and speak to your professionalism. Carry a pen to jot a note on the back of each card you receive to trigger your memory.

3 Be Personable
The best way to have a person become interested in you is to show interest in them. Most people are comfortable talking about themselves. Ask open-ended questions that begin with “what” or “how.”

4 Know What You Want and What You Offer
People are willing to help if they know what you need, but you have to know what you need. Identify individuals who can help and ask for something specific (i.e., advice, a referral, an interview). If asking for a referral or an interview, be able to articulate why you are right for the position.

5 Quality Trumps Quantity
There is no prize for the greatest number of LinkedIn connections or tallest stack of business cards. Although a numeric goal can be motivating, connections that never take root are pointless. Invest more time connecting than collecting.

5 Networking No-No’s

1 Don’t Hide Behind Your Computer
Don’t underestimate the impact of a face-to-face meeting. It makes you stand out in a world of tweets and status updates, and it’s a lot harder to leave a meeting than it is to ignore an e-mail.

2 Don’t Put the Cart Before the Horse
Although pitching yourself for a position is natural, given the dynamic of networking relationships, it is not something that should occur the first time you meet. When people feel like you are only after one thing, it can put a roadblock up for future opportunities.

3 Don’t Forget to Follow Up
A stack of business cards from an event is worthless if you don’t follow up. Record the contact information into your database, and then reach out within a few days of meeting your new network addition. A short LinkedIn note or e-mail will suffice. And if you do invite a new contact to join your LinkedIn network, don’t forget to personalize the canned language LinkedIn provides; remind your contact of your initial meeting time and place.

4 Don’t Wear Out Your Welcome
It is imperative that you stay in touch with your network on a regular basis, but gauge how often you should reach out. Don’t abuse your network by too-frequent contact. Sometimes less is more.

5 Don’t Discount the Value of “Thank You”
While it sounds like common sense, you would be surprised how many people neglect to say thank you. Acknowledging someone’s efforts will go a long way to ensure that the next time you are in need, they will be ready and willing to help.
When searching for training, wading through the sea of options can leave your head spinning and your schedule compromised. You’re often left wondering, “where is my time best spent?” If your priorities include high-quality training that is convenient, affordable, and effective, spend a few minutes with Jason Green, CIA, director, financial and operational audit for Waste Management, whose team recently completed an audit report writing course delivered virtually by The IIA’s On-site Training group.

With a large team of auditors located across North America, travel costs and logistics are always a consideration. When Green realized he could take advantage of The IIA’s on-site training — and that it could be delivered virtually to multiple locations simultaneously — the decision was simple. “The cost for such a large training session of 30-plus people was very reasonable, and our company saved thousands in travel costs,” says Green.

Green’s organization tried to conduct its own virtual training sessions in years past, but found the team was not engaged. With IIA On-site Training’s format, participation was not an issue. “The engagement of the staff was enhanced by having a skilled instructor and facilitator who could provide numerous examples from his own professional experience,” says Green. “There was also a virtual whiteboard that was used in breakout sessions to gain participation.”

The results speak for themselves. “I am seeing better development of original audit findings; clarity in our audit writing has improved; and our recommendations are more appropriate in the first draft of our audit reports. I see improvement in all skill levels, and I think this course improved our audit manager’s ability to coach because of the common training we all participated in.”

Green, who says he would recommend this format to colleagues, especially for those who have geographically dispersed teams, is considering using this same format for training on performing quality risk assessments or effective data analysis. “By providing training through The IIA, we get CPE credits for our auditors while training on the topics that we believe are most relevant for their professional development in our organization.”
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(Courses through June 2014 Updated 10/2/13)
Continuously improve audit capabilities. Internal auditors are often seen as generalists, and many audit functions are structured to provide general assurance services. Now more than ever senior management is relying on internal audit’s judgment to identify risks and provide advice on timely risk mitigation controls. The IIARF’s report *A Call to Action: Stakeholders’ Perspectives on Internal Auditing* states that CAEs need to be well-connected to the executive branch to stay up-to-date on the activities of the organization. Unfortunately, internal audit departments structured to provide general audit services might not have the business acumen necessary to understand key organizational issues/risks, and their impact on the organization’s control environment.

To aN audiT TuNe uP

Regularly replacing your car’s air and fuel filters, rotating the tires, and changing the oil are essential preventive measures to ensure the ongoing performance and reliability of your car. An internal audit department is not that different.

With changing business dynamics and ever-evolving complexity in the way organizations innovate, grow, and mature, ensuring the ongoing performance of your team is vital to delivering strategic audit services. Consequently, performing key preventive activities can help chief audit executives (CAEs) ensure the continued delivery of value-added services and their internal audit department’s relevance and credibility among stakeholders. For CAEs looking for preventive steps to ensure the ongoing performance of their audit team, here are five easy ways to an internal audit tune up.

1. **Validate the internal audit charter and its alignment with The IIA’s Standards.** CAEs should validate the audit charter and ensure that it clearly establishes internal audit’s purpose, authority, and responsibility in the organization.

2. **Periodically reassess your audit committee’s expectations.** One of the toughest challenges for CAEs is managing the expectations of stakeholders. And today’s rapidly changing business environment makes this challenge even harder. In fact, The IIA Research Foundation report *Imperatives for Change: The IIA’s Global Internal Audit Survey in Action* lists the need to periodically reassess stakeholder expectations, especially those of the audit committee, as a must-do activity for CAEs. Doing so will enable CAEs to ensure audit efforts are tied back to key business strategies and goals.

3. **Establish protocols to effectively engage with all stakeholders.** The internal audit profession has come a long way from the “check-the-box” compliance function it was several decades ago. However, CAEs should work in partnership with key stakeholders to continue embracing the dynamic role that internal auditors play in their organization’s pursuit to meet its strategic objectives. In addition to the audit committee and executive management team, stakeholders such as line managers, regulators, and external auditors can significantly impact the perception others have on the value of audit efforts.

4. **Assess audit team performance throughout the year.** Although most, if not all, CAEs formally develop performance metrics for the entire audit team, it is essential to measure the progress of audit efforts collectively and individually.

This is an excerpt from The IIA’s Audit Executive Center publication titled *Quick Insights* that provides easy, actionable information for CAEs on internal audit management issues. Over 600 Center members and 5,000+ staff associates have access to a robust repository of information and resources such as benchmarking studies, thought leadership, peer-to-peer knowledge sharing, exclusive networking events, and news publications. Learn more at www.theiia.org/cae.
Ensure your audit function is ready to implement the COSO 2013 Framework for 2014 and beyond.

The COSO Internal Control – Integrated Framework is the original framework that has gained broad acceptance and is widely used around the world. In the 20 years since its inception, business and operating environments have changed drastically (i.e., more technologically driven, more global, more complex), which has driven the need for an updated Framework.

This course examines how a principles-based approach can be used to design, implement, and evaluate a system of internal controls. You will have an opportunity to discuss the implications that the updated Framework presents to the internal audit profession and to individual internal audit activities. You will also identify opportunities for utilizing the updated Framework in your internal audit process and increase the value of your assurance and consulting services.

COSO has universal applicability, regardless of industry, sector, department size, etc. We recommend auditors and key management stakeholders attend, but this course is appropriate for a variety of audiences who have an interest in learning about the Framework (and its updates).

Upon completion of this course, you will be able to:

- Apply newly learned concepts, techniques, and skills in the workplace.
- Restate major concepts, techniques, and skills learned during the course.
- Develop an action plan to apply select concepts, techniques, and skills.
- Identify opportunities to utilize the updated COSO IC-IF in your internal audit process and increase the value of your assurance and consulting services.

Course Duration: 2 days / CPE Hours Available: 16

Visit www.theiia.org/Seminars for more information.
Assure that your internal audit function is deploying its resources to fulfill its mission within the organization.

After reviewing real examples of risk assessment models used by leading internal audit functions, participants will develop their own risk assessment frameworks by selecting those elements and best practices that best meet the risk assessment needs of their organization, no matter the size or maturity level of their internal audit function. This course provides practical insights relating to contemporary best practices of risk assessment activities and allows participants to apply what they have learned so they can implement risk assessment activities at their organization.

Upon completion of this course, you will be able to:

• Explain the fundamental nature of risk.
• Identify the essential building blocks of a risk assessment.
• Discuss contemporary trends relating to risk concerns of internal audit stakeholders.
• Assess the completeness of the audit universe.
• Develop a risk assessment methodology for assessing the audit universe.
• Develop a risk assessment framework for engagement planning.
• Perform a fraud risk assessment.
• Integrate risk appetite into the risk assessment framework.
• Minimize risk assessment implementation issues.
• Apply newly learned concepts, techniques, and skills to the workplace.

Course Duration: 2 days  /  CPE Hours Available: 16

Visit www.theiia.org/Seminars for more information.
Learn the ins and outs of an audit from beginning to end.

Gain a foundation of knowledge that will allow you to prepare properly for and conduct a successful audit, using preliminary surveys and evidence-gathering techniques. A basic understanding of how to identify risks and internal controls in auditing will be stressed, along with interpersonal and team-building skills.

Upon completion of this course, you will be able to:

- Discuss some of the best practices within internal audit today.
- Mitigate risks to help ensure management directives are carried out.
- Discuss the audit planning process.
- Explain how interviewing is used within an audit.
- Contrast a basic narrative and a flowchart.
- Describe the development and use of audit programs.
- Discuss tools that automate the audit process.
- Describe methodologies used to gather audit evidence.
- Write an audit report using the five components.
- Discuss methodologies for “selling” audit findings to stakeholders.
- Explain how teamwork is essential to an audit project.

Course Duration: 4 days / CPE Hours Available: 32

Visit www.theiia.org/Seminars for more information.
Invigorate and revitalize your operational auditing toolkit.

Participants of this course will discover that operational auditing plays an important role in today’s business environment well beyond the realm of money, compliance, and traditional internal controls, and into the realm of a trusted business partner influencing management’s pursuit of operational excellence.

They will also learn how to employ various methods, tools, and skills to collect and analyze operational information and data, identify causes of operational issues and risk exposures, and develop solutions to enhance the operational performance of business activities, processes, and/or resources deployed across the organization.

This highly interactive and dynamic program engages participants through group sharing, focused activities, and case study based simulations.

Upon completion of this course, you will be able to:

• Determine the factors that influenced past trends in operational auditing.
• Determine how to drive a positive change in management’s mindset about the internal auditor and internal audit activity.
• Recognize the key aspects of, and differences in, planning for operational audit engagements.
• Identify the assumptions associated with a risk-based approach to operational auditing.
• Describe the application of business process improvement concepts to an operational audit.
• Explain the application of benchmarking concepts to an operational audit.
• Assess the impact of various reporting approaches and structure.

Course Duration: 2 days / CPE Hours Available: 16

Visit www.theiia.org/Seminars for more information.
Audit Manager Tools and Techniques

Lead effectively in an internal auditing environment.

Learn to manage the roles and relationships of the diverse parties involved in the auditing process. Maintain lines of communication with the CAE and executive management, and problem-solve while motivating a team and delegating tasks. As an audit manager, you must not only be an efficient auditor, but also an effective communicator, teacher, and active listener. This course focuses on providing new managers with the tools needed to lead effectively in an internal auditing environment.

Upon completion of this course, you will be able to:

- Establish clear and effective communication.
- Build rapport.
- Identify the difference between leadership and management, and why both qualities are needed in an organization.
- Identify strategies that audit managers can use to manage change with audit staff.
- Monitor and provide feedback to audit staff.
- Discover strategies for coaching and providing 360-degree feedback.
- Discuss audit report considerations and methodologies that add value for audit clients.
- Employ the innovative problem-solving process.
- Discuss ways to market the audit function.

Course Duration: 4 days / CPE Hours Available: 32

Visit www.theiia.org/Seminars for more information.
Lead a high-performing audit team.

Whether you are a recently promoted auditor-in-charge, assuming the role, or seeking a refresher, this informative session covers the organizational, time management, and problem solving skills necessary to manage a successful team. Leading an audit team not only requires a great deal of knowledge, it also requires dedication, efficiency, and effective leadership skills. Acquire the skills needed to lead with confidence.

Upon completion of this course, you will be able to:

- Describe the duties of the auditor-in-charge.
- Identify the tools and techniques used in audit planning.
- Explain the auditor-in-charge supervisory responsibilities.
- Estimate the resource requirements for a project.
- Identify audit concerns, client reactions to audit concerns, ways to sell audit concerns, and the elements of an audit concern.
- Identify the functions of audit reports, key IIA communication standards, and characteristics of effective reports.
- Describe the keys to a successful exit conference.
- Identify the criteria used by auditors-in-charge to determine if audit responses are adequate.
- Discuss strategies for successful performance appraisal meetings.

Course Duration: 4 days  /  CPE Hours Available: 32

Visit www.theiia.org/Seminars for more information.
Project professionalism and convey ideas with ease through effective communication.

Successful auditors are effective communicators, clearly conveying thoughts, ideas, and suggestions during meetings, presentations, interviews, and negotiations with audit customers and executives. Learn to respond to the styles of others, get your message across clearly, maintain poise, and project your own professionalism. Auditors at all levels will learn the best practices for presentations, interviewing, negotiations, and practice techniques for mastering public speaking.

Through facilitator presentations, group discussions, case studies, practical exercises, and individual coaching and feedback, participants will learn to see themselves as others see them, in terms of style and the impressions they create, and increase their ability to reach negotiated agreements in a wide range of audit situations.

Upon completion of this course, you will be able to:

- Apply the Communication Model to written and verbal business communication.
- Analyze communication breakdowns to identify potential causes.
- Utilize public speaking techniques designed to enhance your confidence and composure.
- Recognize personal social styles and how they impact communications.
- Apply techniques for communicating effectively among differing personal social styles.
- Practice specific interview techniques, including effective listening and questioning.
- Demonstrate best practices for negotiations, including strategies for handling confrontation.

Course Duration: 4 days / CPE Hours Available: 32

Visit www.theiia.org/Seminars for more information.
Leadership Skills for Auditors

Implement the tools and techniques of effective leadership.

Strong leadership qualities are imperative to running any audit team at the highest possible level. In this course, audit leaders, supervisors, and managers will learn tools and techniques for cultivating and maintaining an effective and efficient team, keeping them motivated and efficient through the entire audit process. Various teaching methods will help attendees focus on the needs of individuals and improve communication abilities within an audit team as well as with customers.

Upon completion of this course, you will be able to:

- Discuss techniques and attributes associated with leaders.
- Use motivational theories and techniques to motivate others.
- Gauge your own leadership style and skills.
- Discuss styles of conflict management and their applications in the workplace.
- Explain how effective communication is essential to effective leadership.
- Identify methods for effective problem-solving approaches to decision making and potential pitfalls.
- Implement methods for evaluating, reprimanding, and counseling audit staff.

Course Duration: 4 days / CPE Hours Available: 32

Visit www.theiia.org/Seminars for more information.
NEW! Analyzing & Improving Business Processes

Gain the tools and techniques that can be used in any process analysis engagement.

The best way to build business process analysis skills is by doing the work, and this course is full of hands-on applications using case studies and the participants’ understanding of their own processes to apply these tools and techniques often.

For staff auditors, it will provide solid instruction on how the tools can be used to analyze any environment. For auditors-in-charge, it will provide an arsenal of tools that can be used in completing audit assignments. For audit managers, it will provide the information necessary to direct others in completing these analyses as well as demonstrate how to appropriately review the completed work.

Upon completion of this course, you will be able to:

- Apply the concepts of “objective” and “risk” to any process.
- Apply the concept of “process components” to the review of individual processes.
- Employ process mapping techniques to produce a visual depiction of any process and be able to identify opportunities for improvement.
- Apply customer mapping techniques to the examination and analysis of business processes, focusing on improving the organization’s interaction with customers.
- Use concepts, techniques, and skills learned in spaghetti mapping to analyze process workflows and identify opportunities for improving the workflows.
- Model concepts, techniques, and skills learned to optimize accountabilities and responsibilities in business processes.

Course Duration: 2 days / CPE Hours Available: 16

Visit www.theiia.org/Seminars for more information.
Critical Thinking for Internal Auditors

Develop or refresh familiar concepts of critical thinking, professional skepticism, and professional judgment.

Learn and apply critical thinking concepts to planning and executing an audit, to being alert to negative indicators during an audit, and to judging the significance of issues and how to report them. Apply these concepts to various stages of an audit—from preparation and planning, to assessing and testing, to communicating and reporting.

Upon completion of this course, you will be able to:

• Develop a professional judgment framework.
• Demonstrate critical thinking.
• Apply business risk assessment concepts to planning and interviewing.
• Interpret concepts of assessing and testing.
• Determine sufficiency of evidence.
• Identify when to expand testing.

Course Duration: 2 days / CPE Hours Available: 16

Project Management Techniques

Assess the value of applying project management tools and techniques.

Apply the knowledge, skills, tools, and techniques that enable a project team to balance the demands of scope, time, cost, quality, resources, and risk to produce a product, service, or result that meets stakeholder needs, expectations, and specifications with effective project management.

Upon completion of this course, you will be able to:

• Plan the scope, time, and cost management of the audit engagement.
• Identify quality, human resources, communications, and risk management issues.
• Lead a project team.
• Monitor and control scope, change, performance, and risk management as well as time and cost management—earned value—in an audit engagement.

Course Duration: 2 days / CPE Hours Available: 16
Lean Six Sigma for Internal Audit Planning

Employ Lean Six Sigma methodology during an internal audit engagement.

Gain exposure to some of the basic Lean Six Sigma tools that can be used during the planning phase of an internal audit to enhance audit effectiveness, provide deeper insights into business operations, and identify process streamlining opportunities.

The fundamental objective of the Lean Six Sigma methodology is the implementation of a measurement-based strategy that focuses on process improvement and variation reduction. Lean Six Sigma seeks to improve the quality of process outputs by identifying and removing the causes of defects (e.g., errors) and minimizing variability in business processes by using a set of quality management and statistical tools.

These tools can be used independently or in conjunction with existing audit methodologies, tools, and techniques. Participants will have the opportunity to practice and apply the skills learned during the course through case study and exercises, which should enable them to integrate the tools and techniques into their audit engagement activities.

Upon completion of the Planning course, you will be able to:

• Correlate the Lean Six Sigma methodology to the phases of an internal audit.
• Prepare a project charter that states the scope, outlines the objectives, and delineates the roles and responsibilities for a project.
• Complete a RACI diagram that is useful for clarifying decision-making assignments in cross-functional/departmental projects and processes.
• Produce a SIPOC diagram that captures key suppliers, inputs, process steps, outputs, and customers of a selected process.
• Map the value stream of a given process to analyze the flow of materials and information required to bring a product or service to a customer.
• Construct an “as-is” spaghetti diagram adapted from a process flowchart that highlights the number of key steps and spatial relationships of a particular process.
• Perform a waste walk and recognize common wastes in a business process.
• Utilize the 5S workplace organization methodology to assess work space efficiency and effectiveness.

Course Duration: 2 days / CPE Hours Available: 16

Visit www.theiia.org/Seminars for more information.
Employ Lean Six Sigma methodology during an internal audit engagement.

Gain exposure to some of the basic Lean Six Sigma tools that can be used during the fieldwork phase of an internal audit to enhance audit effectiveness, provide deeper insights into business operations, and identify process streamlining opportunities.

The fundamental objective of the Lean Six Sigma methodology is the implementation of a measurement-based strategy that focuses on process improvement and variation reduction. Lean Six Sigma seeks to improve the quality of process outputs by identifying and removing the causes of defects (e.g., errors) and minimizing variability in business processes by using a set of quality management and statistical tools.

These tools can be used independently or in conjunction with existing audit methodologies, tools, and techniques. Participants will have the opportunity to practice and apply the skills learned during the course through case study and exercises, which should enable them to integrate the tools and techniques into their audit engagement activities.

Upon completion of the Fieldwork course, you will be able to:

- Correlate the Lean Six Sigma methodology to the phases of an internal audit.
- Use a control chart to determine process capability.
- Apply Eliyahu Moshe Goldratt’s Theory of Constraints to identify and resolve process bottlenecks.
- Employ a cause-and-effect (Fishbone) diagram to determine the root cause(s) of process breakdowns.
- Practice the “Five Whys” technique for drilling down to the ultimate root cause of issues.
- Build a Pareto chart to assist with highlighting the vital, most common causes of defects in a given process from among the various other causes.
- Construct a “to-be” spaghetti diagram that streamlines the number of key steps and spatial relationships of a particular process.
- Use Poka-yokes to build controls into rather than onto a process.

Course Duration: 2 days  /  CPE Hours Available: 16

Visit www.theiia.org/Seminars for more information.
New! Data Analysis for Internal Auditors

Approach the challenge of finding the needle in the haystack with data analysis.

**Improve the effectiveness of your audit planning.**

In order to have a cost-effective and value-added audit, you need to make maximum use of the tools available to the auditor in planning. Learn about the analysis of large data sets, particularly how to summarize data, display data, and determine the appropriate measures for describing data. The course includes determining the types of evidence needed and the various evidence collection methods. Ensure that your results can be generalized to total populations.

Upon completion of this course, you will be able to:

- Evaluate shapes of distribution relevant to their important characteristics.
- Determine which measure of central tendency and variation to use based on the frequency of distribution.
- Evaluate the important differences between a set of data and a chosen benchmark standard using shape, central tendency, and variation.
- Determine when to use correlation and linear regression.
- Determine the type of evidence needed to evaluate the effectiveness of controls and their appropriate evidence collection.
- Discuss the differences among census, judgmental, and random sampling.
- Create a questionnaire.
- Identify evidence collection methods and tools as well as data collection that can be performed with allotted resources.

**Course Duration:** 1 day / **CPE Hours Available:** 8

Visit [www.theiia.org/Seminars](http://www.theiia.org/Seminars) for more information.
Building a Sustainable Quality Program – UPDATED

Create the foundation for a cost-effective quality assurance and improvement program (QAIP) for your internal audit activity.

Identify opportunities to improve your internal audit activity’s ability to add value and improve operations — and develop actions to move forward on the path to quality. This is one of two IIA courses designed to assist participants with their internal audit activity’s ability to comply with Standard 1300. It focuses on how to build quality into your internal audit activity and create a cost-effective ongoing review program (Standard 1311). This course will also help participants determine where they are on the path to quality and their level of readiness for an external assessment.

Upon completion of this course, you will be able to:

• Learn how to apply The IIA’s International Professional Practices Framework (IPPF) quality standards to establish an effective QAIP within their internal audit practice.
• Gain experience with the quality assessment process model and related tools contained in the new IIA Quality Assessment (QA) Manual to identify areas of focus for their own QAIPs.
• Practice building the two key components of an effective QAIP: ongoing and periodic assessments.
• Experience developing metrics and designing reports of results of their internal audit’s QAIP.
• Assess the readiness of their internal audit activity for an external quality assessment.

Course Duration: 2 days / CPE Hours Available: 16

Visit www.theiia.org/Seminars for more information.

Performing An Effective Quality Assessment – UPDATED

Realize the benefits of an effective quality assurance and improvement program.

This is one of two IIA courses designed to assist participants with their internal audit activity’s ability to comply with Standard 1300 and, more importantly, realize the benefits of an effective QAIP. This course focuses on the assessment process that is used in a periodic internal assessment (Standard 1311) and an external quality assessment (Standard 1312).

Upon completion of this course, you will be able to:

• Examine the process flow and tools in the new IIA Quality Assessment (QA) Manual and identify opportunities for improvement.
• Practice using the QA Manual tools to plan, perform, and evaluate the results of an external quality assessment case study.
• Design an efficient and effective periodic internal assessment program for their internal audit activity.

Course Duration: 2 days / CPE Hours Available: 16

Visit www.theiia.org/Seminars for more information.
Statistical Sampling for Internal Auditors

Examine the concept of strategic sampling.

Appropriate for audit executives, audit managers, and auditors in both public and private sectors, the course includes different methods of random sampling (simple, stratified, dollar unit, stop/go) and non-random sampling (quota, judgmental); explains how to calculate sample size and adjust for population size and resource constraints; and examines the concept of strategic sampling to get the most information for minimum cost, including how to combine results and extrapolate, and what to report. Time is provided for participants to raise issues and concerns they are currently facing in today’s environment and to apply what they have learned to audits currently underway, particularly typical challenges faced by auditors in sample selection, data interpretation, generalization, and representativeness.

Upon completion of this course, you will be able to:

• Employ random sampling techniques.
• Identify non-random sampling techniques.
• Apply the binomial equation formula to calculate sample size.
• Employ methods for adjusting sample size.
• Practice combining results, given a scenario.
• Describe elements within the report.
• Track key information at a high level throughout the planning phase.

Course Duration: 2 days / CPE Hours Available: 16

Visit www.theiia.org/Seminars for more information.
What prompted you to become a CIA? If you have other audit related certifications, why did you get the CIA and why is it different?

Having started in public accounting, I was already a CPA. My desire to attain the CIA was a combination of working in the internal audit function for a few years and my CAE, Steve Goepfert, leading by example as he sat for the exam and encouraging me to invest in the mark of excellence that would show the world that I valued my work enough that I would show proficiency in the profession.

How did you prepare for the exam?
I set a firm study regimen to pass the exam within a year. Starting two months prior to the exam, my colleagues and I gave up going out to lunch four days a week and sat quietly in a conference room to prepare using computer-based study guides and taking practice tests.

How many of your colleagues are certified?
Ninety percent of our team is certified with either a CIA, CPA, or CISA.

What do you require for your staff in the way of certification, and why?
I advise all internal auditors to take the time to invest in themselves and become a CIA because it is a reflection of excellence that represents our proficiency in our field. This brings confidence and credibility to our management and stakeholders of our competency in The IIA’s principles and standards. I firmly believe the discipline and rigor that the study of the CIA requires helps define and shape the staff into stronger, more focused internal audit professionals.

What motivated you to acquire the CRMA designation?
This is an exciting time to be in the internal audit profession, and a key driver of our role is assessing and evaluating risk. I felt acquiring the CRMA provides a level of assurance to our management, audit committee, and other stakeholders that affirms my experience and proficiency in this area.
2014 IIA CONFERENCES

GENERAL AUDIT MANAGEMENT CONFERENCE
March 24–26, 2014
Hilton Bonnet Creek / Orlando, FL
The essential experience bringing together CAEs, audit committee and board members, and financial and executive management from around the world.

GAMING CONFERENCE
April 14–16, 2014
The Mirage / Las Vegas, NV
The gaming industry’s only dedicated conference for internal audit, risk, and related professionals.

CENTRAL REGIONAL CONFERENCE
May 19–21, 2014
Hyatt Regency / Indianapolis, IN
Hone your skills and professionalism in a regionally focused training opportunity led by multi-sector subject matter experts.

2014 INTERNATIONAL CONFERENCE
July 6–9 / London, England
ExCeL London Exhibition and Conference Centre
The internal auditing profession’s premier training and networking event of the year with recognized speakers from around the world discussing the hottest topics impacting the profession now and in the future.

GOVERNANCE, RISK, AND CONTROL CONFERENCE
An IIA and ISACA collaboration
August 18–20, 2014
The Breakers / Palm Beach, FL
 Remain at the forefront of your organization’s GRC efforts by tapping into the shared experiences of practitioners.

NORTHEASTERN REGIONAL CONFERENCE
September 7–10, 2014
New York Marriott at the Brooklyn Bridge / Brooklyn, NY
With this regionally focused training and its strong financial focus, you’ll be moving at the speed of change with some of the industry’s most recognized audit professionals.

ITAC 2014
An IIA/MIS conference
September 29–October 2, 2014
The Hilton San Diego Resort & Spa
You will learn how world-class IT auditors deal with technical and operational challenges, and come away with proven techniques to achieve effective, risk-based controls in your organization.

Canadian National Conference
October 2–4, 2014
Ottawa, Canada
This is your exclusive educational and knowledge-sharing opportunity with Canadian practitioners that covers a wide array of topics from risk management to IT.

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