Raven Global Training’s course library includes over 210+ courses designed for risk managers, auditors, and compliance professionals. This library also includes business skills and “soft skills” necessary for success in the professional world. Topics can be customized to meet your needs. If you don’t see a program or topic on the list, please ask. Our network of training partners has a variety of courses not included in our catalog.

Raven Global Training’s programs:

* Are customized to meet the needs of your audience;
* Are created by experienced instructional designers;
* Are facilitated by engaging, entertaining industry experts;
* Use a variety of learning techniques such as practice activities, small and large group discussions, case-studies and role-plays;
* Explore real world examples; and
* Qualify for NASBA CPE.

Our most popular course topics

Agile AuditingTM

Critical Thinking

Intelligent Internal Controls

Project Management

Raven’s Extreme Risk Based Auditing TM

Risk Assessments Done Right! TM

Root Cause Analysis

Writing Effective Audit Reports

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Coaching and Leadership for Agileists (8CPE) [CLA8.]

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Effective Challenge and Radical Candor Done Right! (2 CPE) [ECC.2]

Effective Interviewing for Auditors (8 CPE) [EIA8.]

Encouraging the Critical, Skeptical Mind (4 CPE) [CSM.4]

Evaluating and Testing Internal Controls (16 CPE) [EIC16.]

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Global Internal Auditing Standards Domain 2 and Ethics Training (4 CPE) [GIAS2.4]

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Persuasive Presentations for Auditors (8 CPE) [PPA8.]

Risk and Control Self Assessment (16 CPE) [RCSA16.]

Risk Assessment Done Right! (8 CPE) [RAD8.]

Risk Assessment Done Right!: Assessing Risks (4 CPE) [RRA.4]

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The Art of Negotiation (8 CPE) [AoN8.]

Understanding, Identifying, Assessing, and Documenting Controls (8 CPE) [IDC8.]

Workpapers: For your reader (2 CPE) [WFR.2]

Writing Effective Audit Reports (8 CPE) [ARW8.]

Agile Auditing: Beyond the Theory Course Overview

Who should attend:

* All individuals interested in learning a new approach to audit project management
* Staff auditors participating in pilot agile audits
* Auditors seeking to apply better techniques in every audit
* Supervising auditors responsible for managing audit projects

Learning Objectives:

At the end of this program, attendees will be able to:

* Explain Agile Auditing
* Describe the Agile Framework
* Compare Agile Auditing to traditional audits
* List Agile Auditing techniques

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit for the program: Field of Study – Auditing (4)

Program registration requirements: Contact the Client to register. We accept Cash, Check, and PayPal.

Course Outline (4 CPE):

1. Introduction and learning objectives
2. Agile Auditingoverview
3. What is Agile Auditing
4. What can Agile Auditing do for me?
5. How does Agile Auditing make me a better auditor?
6. How can Agile Auditing solve my audit process challenges?
7. Agile concepts and audit translation
8. Agile and Scrum principles applied to internal audit

Skills Practice: Fighting scope creep in Agile Audits

1. Agile Auditing terminology, roles, and responsibilities

Skills Practice: Agile Auditing Roles

1. Adding value through Agile Auditing
2. Creating the Agile Auditingmindset and culture
3. Building the Agile Auditing team
4. Behaviors and skills for effective agile audits

Skills Practice: Agile Auditing behaviors and skills

1. Changing to an agile culture
2. Building relationships through Agile Auditing
3. The myth of perfection and how you can eliminate it
4. The Agile Auditing framework and your culture
	1. Agile Auditing At A Glance (based on Agile Auditing: Fundamentals and Applications by Raven Catlin and Ceciliana Watkins published 2021)
	2. Traditional audit project management contrast with agile audit project management
5. Wrap Up

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Course Registration:

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Agile Auditing: Fundamentals and Applications Course Overview:

Agile Auditing is more than a mindset. Audit processes today aren’t much different than they were 20 years ago. Auditing of the future requires various tools and alternative methods of approach. Agile Auditing is a tool for auditors to complete audits on time that leverages risk-based Auditing and a participative audit approach. Agile is quickly becoming the go-to method/approach to build efficient audit teams, create collaborative relationships with audit clients, and deliver results timely. Through Agile Auditing, you will improve audit delivery time, give better customer service, solve audit process problems, and reduce delays, rework, and waste. In this course, you will learn how to implement an Agile Audit by a pioneer and leading trainer in Agile Auditing.

Who should attend:

* All individuals interested in learning a new approach to audit project management
* Staff auditors participating in pilot agile audits
* Auditors seeking to apply some agile audit techniques in traditional audits
* Supervising auditors managing audit projects
* Auditors and leadership championing agile Auditing within their organization

Learning Objectives:

At the end of this program, attendees will be able to:

* Explain Agile Auditing
* Implement Agile Auditing techniques to overcome typical obstacles encountered during the traditional audit life cycle
* Create meaningful, realistic, and achievable Agile AuditingTM audit project plans (aka Audit Programs)
* Complete audit project ahead of budgeted time and reduce audit cost
* Implement an Agile Audit Methodology
* Measure performance and success of Agile Audit Methodology

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit for the program: Field of Study – Auditing

Program registration requirements: Contact the Client to register. We accept Cash, Check, and PayPal.

Course Outline (16 CPE):

1. Introductions & Learning Objectives
2. Understanding the foundations of project management for all audits
3. Project Management Body of Knowledge concepts
4. The Basics of Project Management
5. Introduction to Scrum Project Management
6. Introduction to Agile Project Management
7. Starting your next audit project
	1. Project Inputs
	2. Project Outputs

Skills Practice: Identifying project inputs and outputs

* 1. Project Outcomes
	2. Project Constraints

Skills Practice: Identifying project constraints

* 1. Project Risks & Risk Response

Skills Practice: Building a risk response plan

1. Agile Auditingoverview
2. What is Agile Auditing
3. Agile Auditing At A Glance (based on Agile Auditing: Fundamentals and Applications by Raven Catlin and Ceciliana Watkins published 2021)
4. What can Agile Auditing do for me?
5. How does Agile Auditing make me a better auditor?
6. How can Agile Auditing solve my audit process challenges?
7. Agile concepts and audit translation
8. Agile and Scrum principles applied to internal audit
9. Agile Auditing terminology, roles, and responsibilities

Skills Practice: Agile Auditing Roles

1. Adding value through Agile Auditing
2. Traditional audit project management contrast with agile audit project management
3. Creating the Agile Auditingmindset and culture
4. Building the Agile Auditing team
5. Behaviors and skills for effective agile audits

Skills Practice: Agile Auditing behaviors and skills

1. Changing to an agile culture
2. Building relationships through Agile Auditing
3. The myth of perfection and how you can eliminate it
4. Implementing Agile Auditing
5. Assessing your current process

Gamification: Virtual game real-life scrum experience

1. The Agile Auditing manifesto

Skills Practice: Creating your Agile Auditing manifesto

1. Agile Auditing core values

Skills Practice: Selecting your Agile Auditing values

1. Agile Auditing principles

Skills Practice: Creating your Agile Auditing principles

Skills Practice: Fighting scope creep in Agile Audits

1. Building the 3 pillars of Agile Auditing

Gamification: Transparency, inspection, adaptation

1. Starting with Agile Auditing
2. Understanding the sprint/iteration
3. Entity Planning Using Agile Auditing
	1. Using an audit universe versus a risk universe
	2. Risk assessments in Agile Auditing
	3. Product Backlogs and writing epics and user stories

Skills Practice: Writing user stories and determining level of effort

* 1. Product Backlog Grooming

Skills Practice: Entity planning with Agile Auditing

1. Agile Auditing Project Planning
2. Sprint planning meetings

Skills Practice: Sprint planning meeting

1. Sprint capacity planning

Skills Practice: Determining the sprint/iteration capacity

1. Right-sizing the Agile Audit scope

Skills Practice: Determining the sprint/iteration scope

1. Project tracking tools, including the project task board

Skills Practice: Project task board

1. Sprint/iteration backlogs

Skills Practice: Sprint backlog

1. Scrum activities introduction
2. Agile Auditing Execution
3. Getting client documentation
4. Executing audit test steps though audit collaboration

Skills Practice: Mock testing

1. Dealing with unexpected risks, problems, and errors

Gamification: Dealing with scope creep

1. The daily scrum

Skills Practice: Mock daily scrum

1. Creating and reviewing working papers

Skills Practice: Peer/agile team workpaper reviews

1. Overcoming obstacles
2. Staying out of the weeds
3. Agile Auditing Monitoring and Communication
4. Audit reporting in an Agile Auditing world
5. Getting to “yes” for client action plans
6. Sprint review

Skills Practice: Mock sprint review

1. Sprint retrospectives

Skills Practice: Mock sprint retrospective

1. Answers for success on Implementing Agile Auditing
2. Can we use agile auditing and pass a QAR?
3. Why you need Agile Auditing in your audit toolbelt
4. What approach do I use to implement Agile Auditing?

Skills Practice: Creating an Implementation Strategy

1. When do I choose Agile Auditing versus a traditional audit?

Skills Practice: Identifying audit audits in your audit plan

1. Identifying and communicating improvements in the Agile Audit process
2. Why Agile Auditing may not work for you
3. Wrap Up

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Agile Auditing: Overview and Framework Course Overview

The buzz-word in Internal Audit today is Agile Auditing. Agile Auditing is more than a mindset. Internal Audit processes today aren’t much different than they were 20 years ago. Internal Auditing of the future requires various tools and alternative methods of approach. Agile Auditing is a tool for auditors to complete audits on time that leverages risk-based Auditing and a participative audit approach. Agile is quickly becoming the go-to method/approach to build efficient audit teams, create collaborative relationships with audit clients, and deliver results timely. Agile Auditing will improve audit delivery time, give better customer service, solve audit process problems, and reduce delays, rework, and waste.

Who should attend:

* All individuals interested in learning a new approach to audit project management
* Staff auditors participating in pilot agile audits
* Auditors seeking to apply better techniques in every audit
* Supervising auditors responsible for managing audit projects

Learning Objectives:

At the end of this program, attendees will be able to:

* Explain Agile Auditing
* Implement Agile Auditing techniques to overcome typical obstacles encountered during the traditional audit life cycle
* Implement Agile Audit Methodology and tools within your audit

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit for the program: Field of Study – Auditing

Program registration requirements: Contact the Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introduction & Learning Objectives & The Agile Mindset
2. Project Approaches and Basics
3. Introduction to Agile Project Management
4. Agile Audit terminology, roles, and responsibilities
5. Understanding agile project constraints & risks

Skills practice on project risks

1. Traditional audit project management contrast with agile audit project management
2. Agile Auditing Lite
3. Starting your agile auditing journey
4. The Agile Auditing At a Glance
5. What can Agile Auditing do for me?
6. Using Agile techniques without implementing Agile Auditing

Skills Practice: Agile techniques

1. Implementing Agile Auditing
2. Getting started with Agile Auditing
3. Approaches to implement agile auditing

Optional Skills Practice: Creating Your Agile Workflow

1. Agile Auditing Framework (based on Agile Auditing: Fundamentals and Applications by Raven Catlin and Ceciliana Watkins published 2021) and Case Study
2. Starting the Sprint
3. Right-sizing audit scope

Skills practice: Sprint Planning Meeting/Scoping the Agile Audit

1. Project tracking tools and monitoring through the daily scrum
2. Daily scrum activities

Skills practice: Mock Daily Scrum

1. Identifying and communicating improvements in the Agile Audit process

Skills Practice: Conducting a Sprint Retrospective

1. Wrap Up

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Assessing Corporate Culture Course Overview:

Culture eats Strategy for breakfast – Peter Drucker. We’ve all heard this and similar phrases. We’ve seen this in action in recent years with corporate scandals. Culture is a key component of Governance, and bad culture may cause organizations to fail, but how do you really know if you have a good culture, the right culture, the wrong culture, or a bad culture. The answer is a culture assessment, not just through an elaborate corporate survey, but through thoughtful assessment of what makes the culture. This interactive session explores the do's and don'ts of assessing corporate culture and tackles the hard topics, including where to start, who to include, how to evaluate culture, and what to report.

Who should attend:

* CEOs, Presidents, Executive Officers
* CFOs & Controllers
* Risk managers
* Internal auditors
* Business process owners

Learning Objectives:

At the end of this program, attendees will be able to:

* Explain organizational culture
* Recognize the elements of culture
* Conduct an assessment of culture
* Communicate culture practices

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Audting (8)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introductions and Learning Objectives
2. Understanding corporate culture
	1. Defining culture
	2. Understanding the relationship between culture and strategy
	3. Identifying subcultures and their impact on entity culture
	4. Communicating the benefits and challenges of assessing culture
3. Identifying elements of culture
	1. Gaining clarity
	2. Determining the culture elements
4. Performing the assessment
	1. Assessing components
	2. Using COSO to assess culture
	3. Assessing risk management
	4. Assessing integrity and ethics
	5. Evaluating leadership
5. Positioning Internal Audit to assess culture
	1. Branding your internal audit activity
	2. Assessing your activity’s culture
6. Communicating results
	1. Creating a roadmap
	2. Communicating bad news
7. Wrap-Up and Review

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Assessing Entity Level Controls Course Overview

Entity-Level Controls (ELCs) are overarching controls established at the top level of an organization. They provide the foundational framework for maintaining an effective internal control system, ensuring the organization meets its objectives in financial reporting, compliance, operations, and safeguarding assets. Entity level controls and the control environment are the foundation on which organizations are made and operate on. Understanding and assessing entity level controls is likely the most important control assessment that auditors and risk managers can evaluate.

Who should attend:

* CEOs, Presidents, Executive Officers
* CFOs & Controllers
* Risk managers
* Internal auditors
* Business process owners

Learning Objectives:

At the end of this program, attendees will be able to:

* List the entity level controls
* State the components of the COSO control environment
* Conduct assessment of the entity level controls
* Communicate entity level control deficiencies

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Audting (8)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introductions and Learning Objectives
2. Entity level control classifications
	1. Strategy
	2. Culture
	3. Management philosophy
	4. Leadership
	5. Risk management philosophy
	6. Human resource practices
	7. Organizational structure
	8. Organizational governance
	9. Tone at the top
	10. Competency
	11. Accountability
	12. Ownership
	13. Policies and procedures
	14. Anti-fraud policies and practices
	15. Information quality/data governance
	16. Whistleblower and ethics reporting hotlines
	17. Information technology general controls
3. Entity level control (ELC) assessments
4. Using surveys to evaluate ELCs
5. Control self-assessments
6. Audits of ELCs
7. Auditing ELCs
	1. Understanding risks
	2. Determining criteria
	3. Creating test plans
	4. Reaching conclusions
	5. Communicating results
8. Wrap-up and Review

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Audit Engagement Planning and Engagement Level Risk Assessments Course Overview:

This interactive, one day seminar allows participants to explore all the steps needed to prepare an effective audit program. Participants will build a strong foundation in risk and control concepts and, when offered as an in-house course, participants will have the opportunity to decide on a risk methodology. Participants will understand the importance of the engagement level risk assessment and will prepare a risk-based audit program. You will learn how to determine the engagement scope and set engagement objectives. By incorporating the use of frameworks, you will be able to quickly identify relevant controls and write audit test steps to test those controls. We will also explore concepts for effective audits, including computer assisted audit tools (CAATs), planning, sampling, and integrated auditing.

Who should attend:

* Auditors who perform audit program test steps
* Auditors who prepare audit programs
* Auditors who approve audit programs
* Business process owners preparing for a risk based audit

Learning Objectives:

At the end of this program, attendees will be able to:

* Plan audit engagements
* Develop a risk assessment methodology
* Complete a risk and control matrix
* Set audit objectives and scope
* Write well crafted test steps to test identified controls

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Auditing (16)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (16 CPE):

1. Introductions & Learning Objectives
2. Understanding the audit/entity planning process
	1. Overview of the risk universe and entity planning
	2. Using the entity plan to create the engagement program
	3. Setting and understanding preliminary engagement scope and objectives
3. Planning audit projects
	1. Right-sizing audit scope
	2. SMART requirements and objectives
	3. Identifying and setting audit project milestones and the critical path
	4. Project risks and risk responses
	5. Creating project plans and audit programs

Case Study: on Audit Project Plans (budgets, scope, milestones)

1. Engagement risk assessment
	1. The 3 Pillars of Internal Auditing: Business Objectives, Risks, and Controls
	2. Risk assessment methodology
2. Identifying Engagement Risks
	1. Risk definition
	2. 4 proven techniques to identify risks
	3. Risk assessment interviews

Skills Practice: Identifying engagement risks

* 1. Risk statements

Skills Practice: Writing risk statements

1. Assessing Engagement Level risks
	1. Likelihood
	2. Impact
	3. Velocity
	4. Persistence

Skills Practice: Assessing Inherent & Residual Risks

1. Documenting risks
	1. Using the engagement level risk assessment document
	2. Prioritizing risks
2. Setting Audit Objectives and Audit Scope
3. Identifying and documenting controls that respond to risks
	1. Control identification techniques
	2. Control classifications
	3. Documenting the risk and control matrix (RCM)
4. Assessing the adequacy of control design and drawing conclusions
	1. Risk / Control relationship
	2. Entity level controls
	3. Process level controls
	4. Risk level
	5. Individual control level
	6. Strong vs. weak design

Skills Practice: Design assessment

1. Determining audit tests for control effectiveness
	1. Types of audit tests
	2. Sampling methods
	3. CAATs
2. Creating an audit program
	1. Elements of an audit program
	2. Writing test steps
	3. Making test step assignments

Small Group Activity: Writing Test Steps

1. Wrap-Up

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Audit Engagement Management (Internal Audit 301) Course Overview:

* Do your audits run over-budget?
* Do you miss key milestones and target dates for your audit?
* Do you struggle with balancing resources, audit scope, budgets, audit and workpaper quality, and deadlines?

If you answered yes to any of these questions, this is the perfect seminar for you. Each day, we are faced with projects – big or small – that must be completed. Our audits are a project and each person on the team must complete their assignments and tasks to meet audit deadlines and milestone. Learn how to create meaningful, realistic, and achievable audit project plans and how to manage successful audit projects. During this course, we will leverage PNC I-Leed practices to help you manage your audit project successfully.

Who should attend:

* All auditors interested in learning project management techniques and tips
* Auditors seeking to apply project management techniques in an audit.
* Supervising auditors responsible for managing audit projects.

Learning Objectives:

At the end of this program, attendees will be able to:

* Create meaningful, realistic, and achievable audit project plans
* Overcome typical obstacles encountered during the audit life cycle
* Complete audits on time and within budget
* Control scope creep

Program level: Intermediate

Prerequisites: familiarity with audit processes

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Prof. Development / Project Management (2); Auditing (6)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introduction & Learning Objectives
2. Identifying typical audit engagement challenges
3. Basic principles to effective audit project management
4. Audit constraints
5. Audit project risks
6. Risk response planning
7. Planning the Audit Project
8. Right sizing audit scope
9. SMART requirements and objectives
10. Identifying audit project milestones
11. Planning audits backwards, including estimating time needed to complete tasks
12. Creating an audit project plan
13. Assigning audit resources for optimal load-balance, available hours / calendar dates, development opportunities, and expertise
14. Executing the Audit Project
	1. Staying on track responsibilities for audit staff to audit managers
	2. Monitoring and managing to the critical path
	3. Getting out of the weeds
	4. Identifying and breaking audit bottlenecks
15. Supervision techniques during audit projects
	1. Overcoming obstacles in the audit life cycle
	2. Reviewing audit workpapers
	3. Communicating expectations
	4. Supervision strategies that work
16. Communicating audit status & results
17. Providing Daily, weekly, monthly audit updates
18. Final audit deliverables
19. Shortcuts to audit report writing
20. Closing the Audit Project
21. Project evaluations
22. Lessons learned
23. Wrap-Up & learning review

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Coaching and Leadership for Agileists Course Overview:

In the world of Agile Auditing, Agile Coaches and Agile Scrum Masters work to motivate teams to complete the desired goals. Many audit teams assign the important role of Agile Coaches and Scrum Masters to audit leads, supervisors, managers, and auditors-in-charge. Serving in this role is both challenging and rewarding. This course helps those in this role overcome the challenges and reap the rewards. As an agileist in this role, your goals should include developing staff, delegating effectively, maintaining audit quality, and leading the team. Through interactive discussion, group, and individual activities, you will build and enhance skills to become an effective lead serving on Agile Auditing teams.

Who should attend:

* New and recently promoted in-charge and lead auditors
* Internal Audit Managers
* Experienced auditors leading and coaching Agile Audit teams

Learning Objectives:

At the end of this program, attendees will be able to:

* Describe your roles and responsibilities as a lead in Agile Audits.
* Manage Agile Audit projects effectively.
* Retain a motivated, qualified, and engaged team.
* Develop staff.
* Manage time effectively.

Program level: Intermediate

Prerequisites: Knowledge of Internal Audit Processes

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Auditing (8)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introductions and Learning Objectives
2. Becoming a great coach and leader in Agile Audits
	1. Coach vs Leader
	2. Leadership and coaching skills, behaviors, and traits

Individual skills assessment activity

* 1. Coaching strategies and techniques
	2. Leading to encourage team collaboration
	3. Building transparency in Agile Auditing
	4. Coaching and leading in increment planning and points estimation
1. Delegating effectively
	1. The “how-tos” of effective delegations
	2. Determining which tasks to delegate (e.g., scheduling meetings, administrative tasks)
	3. Communicating and negotiating expectations

Skills Practice – Pairs/Small Group Activity: Delegating tasks

1. Developing customer relationships in an Agile Auditing world
	1. Understanding the importance of relationships in agile collaborations
	2. Techniques to develop and improve relationships
	3. Moving up the learning curve of auditor/client collaboration

Skills Practice – Small Group Activity: Developing relationships

1. Managing conflicts to strengthen relationships
	1. The conflict management model
	2. Types of conflicts on teams and in Agile Audit projects
	3. Negotiating conflicts

Skills Practice – Small Group Activity: Conflict resolution

1. Applying coaching, leading, and delegating in your projects
	1. Coaching through Agile Audit scope conflicts
	2. Coaching through the Agile ceremonies

Individual Activity: What is my coaching role in each ceremony?

* 1. Coaching to empower teams to identify and assign tasks in Agile Auditing
	2. Identifying and removing the team’s roadblocks
	3. Achieving the final audit report deliverable
1. Wrap up and review

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Communicating Bad News Course Overview:

There are many forms of bad news, the challenge is identifying what is bad news and deciding on the right way to communicate the bad news. You may need to communicate a necessary improvement in an organization’s operations or communicate where change is needed. Have you considered your improvement or the need for change may be bad news to others? Bad news also comes in the form communicating risks, process deficiencies, and opportunities for improvement to management and other interested parties. As we progress in our careers, we regularly communicate potential bad news when we assign jobs, provide performance feedback, and even promote an employee. This interactive course helps participants identify what may be bad news, create approaches to communicate the bad news using one of three techniques, and practice communicating bad news with tact and professionalism.

Who should attend:

* Managers communicating feedback to others
* Auditors and risk managers providing recommendations
* Professionals participating on projects that require changes or experience delays

Learning Objectives:

At the end of this program, attendees will be able to:

* Communicate feedback and issues effectively
* Select a communication strategy
* Implement a communication approach
* Sell your bad news to stakeholders

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Professional Development (8)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introduction and Learning Objectives
2. Identifying bad news
3. Tough / crucial conversation strategies
4. Three methods to communicate bad news
5. Tips for getting your bad news message across
6. Selling your bad news
7. Influencing skills
8. The Art of Persuasion
9. The Art of Negotiation
10. Best practices and pitfalls communicating bad news
11. Wrap Up & Learning Objective Review

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Communicating Control Gaps Course Overview:

Learning Objectives:

At the end of this program, attendees will be able to:

* Facilitate discussions on control execution concerns to confirm understanding of potential control effectiveness gaps (could related to the overall control environment and/or an underlying control within the environment)
* Advise on developing or enhancing controls
* Communicate risks, process deficiencies, and opportunities for improvement effectively

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Professional Development (2)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (2 CPE):

1. Introduction & Learning Objectives
2. Leveraging the message to communicate internal control concerns for your audience
	* 1. Starting with your hypothesis
		2. Determining your message from the audience perspective (i.e., the business/process owner) to get them to take action
		3. Using and identifying the five elements for findings to facilitate discussions
		4. Matching issue importance / risk concern with the right tone, language, and word choices
3. Building clarity and readability in the written communications
	* 1. Readability
		2. Dealing with jargon
4. Wrap-Up & learning review

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# Conducting Effective Interviews to Understand Processes, Risks, and Controls Course Overview:

Learning Objectives:

At the end of this program, attendees will be able to:

* Conduct process, risk and control interviews with associates and leaders at all levels
* Break down and effectively maneuver the key stages of an interview
* Ask the right questions in the right way to get the information you need
* Listen for and evaluate responses
* Facilitate discussions on the key control(s) to understand:
	+ where in the process does a control(s) reside
	+ who owns each respective control
	+ what does each respective control do (detect risk, prevent risk, transfer risk, etc.)
	+ why the control is needed (what would happen if it wasn't there or wasn't working as expected)
	+ How would they recognize if the control isn't working
* Communicate and validate agreement on the key controls with the process owner and SMEs
* Facilitate discussions on control execution concerns to confirm understanding of potential control effectiveness gaps (including those related to the overall control environment and/or an underlying control within the environment)

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Professional Development (6)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (6 CPE):

1. Introduction & Learning Objectives
2. Understanding the interview process
	1. Navigating the stages of an interview
3. Listening for Understanding
	1. Listening with your eyes and your ears
	2. Using the PEALTM technique for effective listening
	3. Maintaining professional skepticism and objectivity
	4. Identifying and reducing bias in your listening
	5. Taking effective notes
4. Designing interview and walkthrough questions
	1. Leveraging the funnel technique to ask better questions and to listen to responses
	2. Types of questions
	3. Preparing starter interview questions
	4. Phrasing the question in the right way
	5. 7 Questions you must ask in every walkthrough / interview
5. Asking the right questions to get the right results
	1. Using critical thinking to identify probing questions during the interview
	2. Knowing when to stop asking questions
	3. Deciding when it is right to pursue a question
6. Wrap-Up & learning review

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# Conflict Management Course Overview:

Conflicts are part of everyday life. Even if you are uncomfortable with conflict, you can still learn to effectively manage them. This session will teach you conflict assessment, management, and resolution skills vital to your professional (and personal) life.

Who should attend:

* Individuals encountering conflict
* Individuals seeking to manage conflict
* Individuals involved in resolving conflict

Learning Objectives:

At the end of this program, attendees will be able to:

* Identify conflict
* Distinguish their personal conflict management style
* Determine counterpart’s conflict management style
* Solve conflict

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Personal Development (8)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introduction and Learning Objectives
2. Understanding conflict
	1. Sources of conflict
	2. Types of conflict
	3. Workplace conflicts, including typical conflicts in remote work environments
3. Preventing conflicts
4. Reasons for conflict
5. Prevention techniques
6. Handling tough conversations
7. With audit clients, including responding to difficult people and anger management
8. With audit teammates
9. With audit leadership
10. Resolving arguments
11. The conflict assessment
12. Evaluating the conflict
13. Determining your action plan
14. Conflict management responses and styles
15. Tools and methods in conflict management
16. Conflict management steps
17. Interest based relational approach
18. Techniques in conflict management
19. Conflict resolution and solution
20. Types of negotiation
21. Conflict resolution steps
22. Wrap Up & Learning Objective Review

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Critical Thinking for Everyone Course Overview:

The obvious answer isn’t always the right answer. The surface is often just the tip of the iceberg. Sometimes, it is the little hints that we miss that could be the key to identifying problems and making process improvements.

* Do you want to improve learn to look past the obvious answers?
* Do you want your brain to work more efficiently to solving problems?
* Do you want to be more creative and innovative?
* Do you want to recognize more opportunities, avoid mistakes and make decisions faster?

If you answered yes to any of these questions, this course is for you.

Managers are responsible for looking at business processes objectively and delivering results timely. By applying critical thinking methods to analyzing information, looking at data, evaluating objectives and risks, and observations, you will be in a better position to provide creative, innovative, timely solutions.

This course is designed for managers and their teams who collaborate on planning programs, identifying problems and working to resolve issues. Individual contributors will also study examples to improve individual critical thinking skills using current issues facing the attendee.

Who should attend:

* Any decision makers in your organization
* Program workgroup members
* Management providing criteria, guidance, and oversight on decisions
* Managers seeking to delegate critical thinking

Learning Objectives:

At the end of this program, attendees will be able to:

* Develop a mindset that will help you examine problems and opportunities for timely solutions
* Explain the relationships between creative thinking and critical thinking
* Differentiate between automatic thinking and critical thinking
* Apply the critical thinking methods used by experts
* Examine processes and issues thoroughly

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Prof. Development (16)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (16 CPE):

1. Introductions and learning objectives
2. Understanding critical thinking
3. Defining critical thinking
4. Benefits of critical thinking
5. Types and elements of thinking
6. Associations and linkages
7. Contrast with Traditional Problem solving
8. The single, most important, most profound concept in critical
9. Creative thinking integration
	1. Defining creative thinking
	2. Methods to think creatively
* Skills practice
1. Critical thinking methods and process
	1. Intuition in critical thinking
	2. Linear thinking methods
	3. Steps to critical thinking
* Skills practice
1. Critical thinking influences: leadership and vision
2. Critical thinking for teams
	1. Roles and responsibilities
	2. Leading others
	3. Individuality
	4. Motivation
	5. Champions of success
3. Problem analysis and critical thinking
	1. Identifying problems
	2. Stating the problem
	3. 8 steps of problem analysis
	4. Gaining clarity
4. Questioning skills for discovery and information gathering and gaining clarity
	1. Gaining clarity
	2. Understanding assumptions
	3. Types of questions
	4. When to ask questions
	5. Asking better questions
	6. Listening to responses and details
		1. Skills practice
5. Critical thinking uses for professionals
	1. Risk assessments
	2. Control identification and implementation
	3. Data analytics
	4. Root cause analysis
	5. System builds
	6. Process redesign
	7. Policy and procedure design
6. Conclusions and decision making
	1. Encouraging innovation
	2. Establishing criteria
	3. Identifying stakeholders
	4. Determining wants and needs
	5. Setting goals and objectives
	6. Making practical decisions
	7. Implementing practical solutions
7. Wrap-Up and Review
	1. The path forward
	2. Additional resources / references

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# Critical Thinking: Applying Judgement to Making Decisions for Everyone Course Overview:

Who should attend:

* Any decision makers in your organization
* Management providing criteria, guidance, and oversight on decisions

Learning Objectives:

At the end of this program, attendees will be able to:

* Determine criteria for critical thinking based solutions
* Examine options objectively
* Make timely decisions

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Prof. Development (2)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (2 CPE):

1. Introductions and learning objectives
2. Conclusions and decision making
	1. Encouraging innovation
	2. Establishing criteria
	3. Identifying stakeholders
	4. Determining wants and needs
	5. Setting goals and objectives
	6. Making practical decisions
	7. Implementing practical solutions
3. Wrap-Up and Review

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Data Analytics: Crawl, Walk, Run! Course Overview:

It has been said that we live in a world that is data rich, but information poor. More than 90 percent of the world’s data has been created in the last twenty-four months, and this vast upsurge in the volume of data means that internal audit and compliance professionals are faced with understanding, analyzing, and reporting on more data than ever before. If you are an auditor in a virtual environment, you are likely facing auditing virtually using data.

Is evaluating a sample of 25 transactions still the best way to evaluate if an internal control is functioning as intended? Even if we analyze the entire population with modern data analysis software or other computer assisted audit techniques, communicating the results of this data analysis often calls for something more effective than a Word document or PowerPoint slide with a static table of numbers.

Students who complete this course will have the tools, techniques, and templates to incorporate audit data analytics into their work, including tools for acquiring and validating data, reporting on findings, and using the latest in color, chart types, and related techniques to influence others into acting on the results of the analytics.

Who should attend:

* Anyone who wants to use data to make better business decisions
* Internal audit staff, seniors, managers, and executives
* Business process owners who want to improve the quality of their analysis

Learning Objectives:

At the end of this program, attendees will be able to:

* Answer key questions in data analytics and visual reporting
* Create an implementation plan for using data analytics
* Categorize business and audit questions
* Match chart types best suited to answer business and audit questions

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Auditing (12)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (12 CPE):

1. Introductions and Learning Objectives

CRAWL:

1. How and why for data analytics and visual reporting (swiss cheese)
2. Four steps to implementing an effective data analytics program
3. Audit data analytics maturity model
4. CMMI model basics
5. Data analytics maturity components
6. VRIQ QuickStart & Data Analytics Methodology
	1. Brainstorming
	2. Data acquisition
	3. Data analysis
	4. Reporting
7. Starting with the Basics
	1. Fraud / Accounts Payable / Payroll / Travel & Entertainment
	2. Outliers
	3. Exceptions
	4. Confirmatory versus exploratory questions and analytics

WALK

1. Brainstorming and Audit Planning
2. Applying critical thinking methods to think better about your analytics and questions
3. Asking business questions
4. Cross-referencing to data sources
5. Answering business and audit questions
6. Behind the scenes: What you need to know about data acquisition to help the person pulling the data
	1. Data dictionary
	2. Delimited vs. fixed length files
	3. Variable length records
	4. Structured and unstructured data
	5. Data custody / data security
	6. Balancing to control totals

RUN (Visualization):

1. Tables and Charts
2. Chart types
3. Visual Reporting techniques
	1. Dashboards
	2. Visual appeal
4. Creating a “State of the Art” program
	1. Repeatable data acquisition
	2. Workflow / exception tracking
	3. Closed loop exception resolution
5. Wrap-Up and Review
6. Wrap-Up and Review

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# Effective Challenge and Radical Candor Done Right!

Learning Objectives:

At the end of this program, attendees will be able to:

* Apply radical candor to challenge status quo
* Challenge effectively while maintaining relationships
* Ask the right questions in the right way to get the information you need

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Prof. Development (2)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (2 CPE):

1. Introductions and learning objectives
2. Understanding professional skepticism, effective challenge, and candor
3. Defining professional skepticism
4. Defining effective challenge
5. Defining candor
6. Asking the right questions in the right way to effectively challenge and get the right results
	1. Preparing for radically candid conversations, discussions, and interviews
	2. Phrasing the question in the right way
	3. Using critical thinking to identify follow-up questions during the conversation
	4. Asking tough questions / challenge questions to ensure due diligence and apply professional skepticism
7. Wrap-Up and Review

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Effective Interviewing for Auditors Course Overview:

* Are you struggling to get the information you need during interviews and walkthroughs?
* Do you find yourself contacting the process owners and process doers multiple times after an interview to resolve open questions or conflicting information?
* Have you ever walked out of an interview and felt clueless or felt that you had even less of an understanding of the information you were seeking than when you went into the interview?
* Do your interviews and walkthroughs need more structure?
* Is developing the personal confidence to ask the right questions important to you?
* Do you want to develop the interviewing skills necessary to have productive interviews?

If you answered yes to any of these questions, this is the perfect seminar for you. An essential skill required for every type of review, including compliance reviews, operational audits, financial reviews, SOX audits, governmental reviews, control assessments, and technology evaluations is the ability to interview effectively. This course helps you understand the roles and responsibilities in an interview, prepare for an interview, ask better questions, listen effectively, evaluate responses received, and maintain professional skepticism and objectivity. You will master interview techniques, including techniques for use in walkthroughs and fraud investigations. You will be prepared to interview in remote, in-person, individual and group environments.

Who should attend:

* Professionals seeking the “how to” for effective interviews and walkthroughs.
* Individuals performing remote walkthroughs and interviews.
* Individuals conducting laboratory reviews and walkthroughs.
* Professionals wishing to improve their listening and questioning techniques to gather the information desired during an interview.
* Reviewers who fear they “interrogate” the process owners.
* Individuals desiring to be more aware of and understand non-verbal communication during the interview.
* Control / process owners designing controls or preparing a review.
* Managers responsible for training and supervising auditors or reviewers.

Learning Objectives:

At the end of this program, attendees will be able to:

* Break down and effectively maneuver the key stages of an interview
* Ask the right questions in the right way to get the information you need
* Listen for and evaluate responses, including non-verbal responses

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Auditing (8)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introduction, learning objectives, and skills assessment
2. Understanding the interview process
	1. Navigating the stages of an interview, including Stage 1: Interview planning/preparation
	2. Understanding the importance of critical thinking, professional skepticism, effective challenge in interviews and walkthroughs
	3. Using the interviews to plan audits and create better audit programs
3. Listening for Understanding
	1. Listening with your eyes and your ears
	2. Using the “PEAL” technique for effective listening
		* Skills Practice: Practicing PEAL
	3. Maintaining professional skepticism and objectivity
	4. Identifying and reducing bias in your listening
		* Skills Practice: Identifying bias
	5. Taking effective notes
		* Skills Practice: Partner interviews to practice listening and note taking
	6. Reading the room: Introduction to non-verbal cues
4. Documenting the interview and walkthrough
	1. Audit workpapers and template requirements
	2. Narratives
	3. Workflow diagrams and process maps
	4. Risk and control matrix
5. Designing interview and walkthrough questions
	1. Leveraging the funnel technique to ask better questions and to listen to responses
		* Skills Practice: The funnel technique
	2. Types of questions
	3. Preparing starter interview questions
	4. Phrasing the question in the right way
		* Skills Practice: Designing questions
	5. 7 Questions you must ask in every walkthrough / interview
6. Asking the right questions to get the right results
	1. Using critical thinking to identify probing questions during the interview
		* Skills Practice: Identifying needed probing and clarifying
	2. Asking tough questions / challenge questions to ensure due diligence and apply professional skepticism (for example, thresholds for management review controls)
	3. Interpreting responses to identify follow-up questions
		* Skills Practice: Partner interviews on audit process
	4. Knowing when to stop asking questions
	5. Deciding when it is right to pursue a question
		* Skills Practice: Small group interviews on probing, pursuing, and abandoning questions for an upcoming audit
7. Wrap-Up and learning objective review
	1. Tips and tricks for successful interviews
	2. Overcoming mindset obstacles
	3. Overcoming technology obstacles
	4. Managing remote interviews

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CPE:

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Encouraging the Critical, Skeptical Mind Course Overview:

Who should attend:

* Auditors looking to enhance their critical thinking
* All auditors performing independent assessments
* Managers supervising internal audit resources

Learning Objectives:

At the end of this program, attendees will be able to:

* State the essential elements needed to remain professionally skeptical
* Think critically about your internal processes
* Encourage others to be better critical thinkers

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Auditing (4)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (4 CPE):

1. Introductions and learning objectives
2. Understanding professional skepticism
	1. Professional skepticism and the Global Internal Audit Standards
	2. Applying professional skepticism to listening
3. Identifying and overcoming bias
	1. Types of bias
	2. Handling assumptions
4. Understanding critical thinking
	1. The relationship between creativity and critical thinking
	2. Steps to critical thinking
	3. Factors that affect critical thinking
5. Using problem analysis to think critically about the right stuff
6. Critical thinking tools
	1. Brainstorming
	2. Fishbones
	3. Mind maps
	4. Intuitive thinking techniques
7. Wrap-Up and Review

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Ethical Barometers and the Choices Auditor Course Overview:

Ask 300 people to raise their hands if they are Ethical, and 300 people will raise their hands. Auditors are generally ethical individuals and our individual ethical barometers, developed since birth, may not align to another’s ethical barometer. Throughout a professional’s career, we encounter ethical dilemmas that challenge our ethical barometer. Some stand strong and ethical and yet others adjust and even erode their ethical barometer. How does Ethical Erosion occur? Is it "the way business is done'? Is it "how others play the game"?

This session begins by identifying your ethical barometer. We then review other ethical barometer including the timeline of questionable ethics practices (pre-Enron to present day), what went wrong, and how to identify and correct ethical erosion. Participants will evaluate the auditors responsibility with respect to control environment, fraud, and maintaining our ethics based on the CPA and CIA Ethical principles.

Who should attend:

* Auditors and professionals in the three lines facing ethical dilemmas
* CPAs and CIAs seeking 2 CPE on ethics
* Individuals interested in improving the ethical climate at your organization

Learning Objectives:

At the end of this program, attendees will be able to:

* Define ethics
* Measure your ethical barometer
* List Code of Ethics principles
* Identify indicators of Ethical Erosion
* Respond to ethical dilemmas that challenge your ethical barometer
* Contribute to a healthy ethical climate of your organization

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Ethics (2)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (2 CPE):

1. Introduction & Learning Objectives
2. Understanding ethical barometers
3. Defining the ethical barometer
4. Identifying your ethical barometer
5. Evaluating an individual’s ethical barometer
6. Ethical barometer adaptations
7. Ethical barometer alignment with professionals and organizational culture

Skills Practice: Identifying ethical dilemmas

1. Indicators of ethical erosion
2. Defining ethical erosion
3. Timeline of questionable ethics practices
4. Identifying ethical erosion
5. Review of Code of Ethics Principles
6. Confidentiality
7. Objectivity
8. Competency
9. Integrity
10. Contributions auditors make to the ethical climate of your organization
11. Ethics and your control environment
12. Ethics and fraud
13. Ethics and culture
14. Wrap up and Review

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# Evaluating and Testing Internal Controls Course Overview:

* Do ever wonder why you are testing a control?
* Have you ever read an audit program and asked “What am I supposed to do?”
* Have you identified more effective methods for testing a control, but been told to just execute the test as designed?
* Do you struggle with identifying key controls?

If you answered yes to any of these questions, this course is for you. You will learn to identify and evaluate entity level and activity level internal controls. You will walk away with strategies to determine and communicate the sampling technique and evidence to efficiently test the effectiveness of controls. Participants will be introduced to the leading control frameworks, COSO, and understand how frameworks can be used to ensure your organization has “Intelligent Internal Controls.” We will also explore the impact of Sarbanes-Oxley on identifying and evaluating internal controls and meeting the expectations of regulators and external auditors. All attendees will have hands-on skills practice designing test steps for identified controls. Participants will be actively engaged in facilitated group discussions, small group activities and lectures throughout the course.

Who should attend:

* Business management and process owners seeking to implement and understand Intelligent Internal Controls to help meet their business objectives.
* Auditors looking for hands-on practice of identifying internal controls through interviews, walkthroughs, and process maps.
* Auditors who prepare audit programs.
* Auditors who perform audit program test steps.
* Auditors seeking tips for efficient evaluation of entity-level and activity-level controls.
* Control testers interested in efficient methods of evaluating control adequacy and effectiveness

Learning Objectives:

At the end of this program, attendees will be able to:

* Promote Intelligent internal Controls
* Explain the relationship of the 3 pillars of auditing, internal controls, and risk management
* Perform an effective risk assessment Assess the effectiveness of entity level controls (ELCs)
* Explain the GAO Greenbook and COSO control framework and risk management framework
* Identify entity level to transaction level controls
* Identify controls and select key controls for evaluation
* Differentiate between key controls and secondary controls
* Apply principles to evaluate Intelligent Internal Controls
* Evaluate control design and effectiveness
* Assess and improve process / activity / transaction level controls so they are intelligent
* Write test of controls that anyone can understand

Program level: Intermediate

Prerequisites: Understanding of risk management process and relationship of controls and objectives

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Management Systems (2) & Auditing (14)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (16 CPE):

1. Introductions and Learning Objectives
2. The 3 Pillars of Internal Controls, Auditing and Risk Management
	1. Understanding business objectives
	2. Identifying business objectives
3. Risk Assessment review
	1. Risk types
	2. Proven techniques to identify risks
	3. Risk ratings
	4. Risk prioritization for control testing
	5. Engagement level risk assessments
	6. Risk and control matrix review
4. Entity level control (ELC) assessments
5. ELC identification
6. Using surveys to evaluate ELCs
7. Auditing ELCs
8. Intelligent Internal Controls
9. Purpose of internal controls
10. Types of internal controls
11. Control classifications
12. GAO Greenbook and COSO internal control framework
13. Enterprise risk management frameworks
14. Introduction to other control frameworks
15. Relationship between ELCs, process-level controls, activity-level controls, and transaction level-controls
16. Operational dependence on Information Technology controls
17. Designing and implementing Intelligent Internal Controls
18. Defining intelligent internal controls
19. Building value through controls
20. Understanding limitations of controls
21. Understanding the cost-benefits of controls
22. Control alternatives and options
23. Techniques for building controls into a process
24. Process, activity, and transaction level control identification
25. Facilitated workshops
26. Walkthroughs and interviews
27. Procedural reviews
28. Process mapping
29. Questionnaires
30. Evaluating the design of controls for adequacy
	1. Risk level
	2. Process level
	3. Activity level
	4. Control level
31. Data analytics (DA) usage for control evaluations
	1. Introduction to DA
	2. How and why for DA
	3. VRIQ Quickstart and DA methodology
	4. DA basics
	5. Brainstorming for business questions to use DA in risk assessments and control testing
	6. Tables, charts, and graphics
32. Evaluating the effectiveness of controls
	1. Monitoring controls
	2. Reviewing control self assessments
	3. Writing test steps to evaluate the effectiveness of controls
	4. Writing data analytics tests
33. The future of risk management and auditing
	1. Documenting risk and control registers and inventories
	2. Data analytics and business intelligence
	3. Agile auditing
34. Wrap-up & Review

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# Extreme Risk Based Auditing Course Overview:

Risk based audits are the leading method for performing value-added Internal Audits. This course is designed to teach the skills necessary to perform effective and efficient risk-based audits. Participants will have hands on experience preparing a risk-based audit program, including risk-based audit scoping and control identification & testing techniques. We will also explore in-depth concepts for efficient risk-based audits, including sampling strategies, using technology and gaining corrective actions. This is extreme risk based auditing and participants will be challenged to learn, select, apply the 6 key differences between this method and all others to incorporate into their audit methodology.

Who should attend:

* Audit managers, senior auditors and staff auditors performing risk-based audits
* Auditors seeking to learn skills to effectively plan audits
* Auditors performing integrated auditors
* Control testers with limited time
* Managers interested in understanding risks and controls

Learning Objectives:

At the end of this program, attendees will be able to:

* Prepare an effective audit program
* Differentiate between risk based testing and standard testing
* Test controls in risk based auditing
* Communicate residual risk based audit results

Program level: Basic

Prerequisites: Experience with Risk Assessments

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Auditing (8)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introductions and Learning Objectives
2. The Extreme Risk Based Audit (RBA) Model and the IIA Standards
	1. Establishing the need for RBA (IIA Standards support)
	2. Defining RBA
	3. Comparing traditional auditing with risk-based auditing
	4. Exploring the Extreme RBA model
3. Using the risk and control matrix (RCM)
	1. Identifying risks
	2. Using risk assessments to determine scope
	3. Setting audit objectives and risk based audit scope
	4. Completing the RCM template
4. Identifying and documenting controls (interviews and process documentation)
5. What documentation do I review?
6. How do I identify the true control vs. a process step?
7. Concluding on the design of controls using an Extreme RBA approach
	1. Identifying controls
	2. Assessing the design of controls at the risk level
8. Creating an Extreme Risk-Based audit approach (selecting the 8 RBA options)
9. Audit Test Step Development
10. Which controls to test?
11. CAATs & automation considerations
12. Sampling strategy
13. Testing, but not over-testing the effectiveness of controls
14. Assessing Residual Risk & Communicated Risk Based Audit Results
15. Wrap Up

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Facilitation Skills Course Overview

Auditors conduct meetings daily, but sometimes instead of conducting meetings we need to facilitate meetings. In this workshop, you will learn skills necessary to facilitate effective meetings and workshops. You will also gain tips and strategies to improve your presentation skills to make you a more effective facilitator. Through lectures, group discussions, exercises, and coaching and feedback sessions, you will become more equipped to effectively facilitate meetings.

Who should attend:

* Everyone running meetings
* Individuals facilitating group discussions
* Professionals conducting risk and control workshops
* Anyone desiring to facilitate effective, productive meetings

Learning Objectives:

At the end of this program, attendees will be able to:

* List key skills of a successful facilitator
* Explore and practice facilitation techniques
* Resolve activities and behaviors disruptive to meetings
* Identify the characteristics of excellent facilitators
* Analyze your facilitated session participants
* Prepare for a facilitated session
* Create dialogue
* Address difficult/inappropriate participant conduct
* Reach consensus

Program level: Basic

Prerequisites: Experience with Risk Assessments

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Auditing (8)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introductions and Learning Objectives
2. Facilitator responsibilities
3. Individual personality types & group dynamics
4. Promoting a positive environment
5. Setting objective
6. Getting agreement on expectations
7. Facilitator attributes
8. Skills required for effective facilitation
9. Questioning and interviewing skills
* Posing critical questions
* Listening attentively
* Encouraging discussion
1. Presentations skills
* Understand essential concepts and techniques for formal and informal presentations
* Organize and deliver effective presentations
* Techniques to address public speaking fears
1. Negotiating and conflict resolution skills
* Understand why negotiations are difficult
* Get to the bottom of why an individual is being difficult
1. Planning a facilitation
2. Agendas
3. Visual aids
4. Conducting the facilitated session
	1. Icebreakers & community builders
	2. Observing contributors and participants
	3. Intervention
5. Closing the facilitated session
6. Documenting and recording meetings and resolutions
7. Wrap-up and Review

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Global Internal Auditing Standards Domain 2 and Ethics Training Course Overview:

Understanding and applying the ethical principles are essential to conforming to the new Global Internal Auditing Standards (GIAS).

To satisfy the ethical training requirements of the new GIAS, the 2024 ethics course “Ethical Barometers and the Choices Auditors Make” is included in this program.

Auditors are generally ethical individuals and our individual ethical barometers, developed since birth, may not align to another’s ethical barometer. Throughout a professional’s career, we encounter ethical dilemmas that challenge our ethical barometer. Some stand strong and ethical and yet others adjust and even erode their ethical barometer. How does Ethical Erosion occur? Is it "the way business is done'? Is it "how others play the game"?

Ethical Barometers and the Choices Auditors Make begins by identifying your ethical barometer. We then review other ethical barometer including the timeline of questionable ethics practices (pre-Enron to present day), what went wrong, and how to identify and correct ethical erosion. Participants will evaluate the auditor’s responsibility with respect to control environment, fraud, and maintaining our ethics based on the CPA and CIA Ethical principles.

Who should attend:

* Auditors who need Ethics CPE
* CPAs and CIAs seeking 2 CPE on ethics
* Auditors and professionals in the three lines facing ethical dilemmas
* Individuals interested in improving the ethical climate at your organization
* Auditors struggling to apply the principles in Domain II

Learning Objectives:

At the end of this program, attendees will be able to:

* List your competency needs
* Define Integrity
* Explain the difference between objectivity and independence
* Handle confidential audit evidence
* Demonstrate professional skepticism
* Define ethics
* Measure your ethical barometer
* List ethics principles of the new GIAS
* Identify indicators of Ethical Erosion
* Respond to ethical dilemmas that challenge your ethical barometer
* Contribute to a healthy ethical climate of your organization

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-internet based

Recommended CPE credit to be awarded for the program: Field(s) of Study – Professional Ethics (4)

Program registration requirements: Contact the Client to register. We accept Cash, Check, and PayPal.

Course Outline (4 CPE):

1. Introduction & Learning Objectives
2. Determining your competency needs
	1. Competency frameworks
	2. Competency gaps
	3. Communicating competency development needs and opportunities
3. Defining integrity
4. Distinguishing between objectivity and independence
	1. Objectivity
	2. Independence
	3. Impairments to objectivity and/or independence

Skills Practice: Identifying and handling impairments

1. Protecting confidentiality
	1. Identifying confidential information
	2. Handling confidential information
	3. Preserving confidential information

Skills Practice: Confidentiality of audit evidence

1. Applying professional skepticism
	1. Encouraging the critical, skeptical mind
	2. Defining professional skepticism
	3. Understanding bias

Skills Practice: Professional Skepticism scenario analysis

1. Understanding ethical barometers
	1. Defining the ethical barometer
	2. Identifying your ethical barometer
	3. Evaluating an individual’s ethical barometer
	4. Ethical barometer adaptations
	5. Ethical barometer alignment with professionals and organizational culture

Skills Practice: Identifying ethical dilemmas

1. Indicators of ethical erosion
	1. Defining ethical erosion
	2. Timeline of questionable ethics practices
	3. Identifying ethical erosion
2. Contributions auditors make to the ethical climate of your organization
	1. Ethics and your control environment
	2. Ethics and fraud
	3. Ethics and culture
3. Wrap-up, Nuggets, Top 5 Take-aways

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Governance: From Good to Great Course Overview

Our understanding of governance morphs daily as attention on governance expands from the initial focus on corporate scandals that rocked the financial markets in 2001 and 2008 to government entities trying to improve efficiencies, processes and oversight. As many entities struggle to get it right, it is a work in process even for those with mature governance. Participants will be able to explain governance and evaluate their governance structures.

Who should attend:

* Managers interested in efficient methods of improving governance
* Internal auditors evaluating governance processes

Learning Objectives:

At the end of this program, attendees will be able to:

* Identify corporate governance principles
* Explain the relationship between governance principles and COSO
* Explain the relationship between governance, risk, and control

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Risk Management

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introductions and Learning Objectives
2. Governance Overview
3. Definition of Corporate Governance
4. Relationship between governance, risk, and control
5. IT Governance
6. Data Governance
7. Benefits of effective corporate governance
8. Corporate Governance Principles
9. Applying the governance principles
10. Evaluating the governance principles
11. Governance & COSO Control Environment
12. Skills Practice: Principles Evaluation
13. Governance and Culture
14. Understanding the relationship of governance and culture
15. Organizational objectives and strategy
16. Governance and Ethics
17. Defining Ethics
18. Ethical decision-making models
19. Ethics and compliance programs
20. Governance roles \*Updated with the 2020 Three Lines of Model
21. The 3 lines of model
22. Board
23. Management
24. Assurance
25. Shareholders
26. Governance Instruments
27. Statutes
28. Regulations
29. Articles
30. Bylaws
31. Agreements
32. Creating a Governance Maturity Model Assessment Tool
33. Wrap Up & Learning Objective Review

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Internal Audit 101: Beginning Auditor Bootcamp Course Overview

Internal Audits are essential in the success of every organization, regardless of industry or size. As internal auditors work to become trusted advisors to management and the Board of Directors, we continue to sustain our independence and objectivity. Business professionals, executives, and shareholders respect internal audit functions and expect auditors to provide assurance on risk management and controls.

If being helpful to an entity’s sustainability appeals to you, you made the right choice to pursue the internal audit profession. Now, it is time to figure out what you’re in for, what to expect, and how to do it well. In this course, you will establish a solid foundation in auditing, risks, and controls. You will learn the skills necessary to be a great internal auditor.

With this program, new auditors, as well as non-auditors with internal control responsibilities, can learn the ins and outs of an audit from beginning to end. You will learn how to plan an audit, conduct effective audit interviews, perform tests of evidence, document your work, sell and communicate your audit results, and perform follow-up on management’s corrective actions.

Through team exercises, group discussion, and lectures, attendees will gain a foundation of knowledge that will allow them to properly prepare for and conduct successful audits.

Who should attend:

* Risk managers with control responsibilities
* Internal auditors with 2 years or less of internal audit experience
* Experienced auditors transitioning from SOX or external auditing into internal auditing, including audits of operations, IT, and integrated audits.
* Business process owners who are trying to prepare for an audit

Learning Objectives:

At the end of this program, attendees will be able to:

* Explain the professional standards for internal auditing
* List the knowledge and skills needed to be a great auditor
* Assess and apply your skills to be a great internal auditor
* Develop critical thinking skills
* Conduct effective audit interviews
* Build a foundation to become a Certified Internal Auditor
* Maintain professional skepticism
* Describe data analytics concepts
* Integrate information technology into every audit
* List the typical steps in the audit lifecycle
* Identify and assess risks
* Gather audit evidence
* Identify controls
* Interpret audit test steps
* Test and evaluate controls
* Document the results of your testing
* Communicate audit findings effectively

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Auditing (32)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (32 CPE):

1. Introduction & Learning Objectives
2. What it Takes to be an Internal Auditor in Today’s Fast-Paced Business World
	1. Knowledge areas
	2. Skills
	3. Personal abilities
	4. Responding to change & being agile
	5. Meeting the needs of your supervisor
3. The Internal Audit Life Cycle and Types of Audits
	1. The audit life cycle
	2. Types of audits
	3. Risk based auditing
4. Roles and Responsibilities of Internal Auditors
	1. Typical roles
	2. Responsibilities by professional level
	3. Expectations of business process owners and management
	4. Introduction to the 3 lines model
	5. Remaining objective
5. Introduction to the IPPF, Internal Auditing Standards, and the Certified Internal Auditor (CIA) Exam
	1. Mandatory guidance
	2. Nonmandatory guidance
	3. Department manuals/policies and procedures
6. Introduction to Information Technology (IT)
	1. IT concepts and definitions
	2. IT general controls
	3. IT application controls
	4. Becoming the integrated auditor
7. Key Concepts of Internal Controls
8. Control terminology
9. Risk and control frameworks (COSO, COBIT, ISO 31000)
10. Relationship between objectives, risks, and controls
11. Control limitations
12. Why auditors test controls
13. Interviewing Skills to Help You Get the Information You Need
	1. Types of audit interviews
	2. Dealing with interview volume and timing
	3. Building rapport
	4. Listening with the intent to understand and remember
	5. Asking the right questions the right way
	6. Interpreting the interview and documenting the results
14. Introduction to Fraud: Overview & Auditor Responsibility
	1. Types of fraud
	2. Fraud and the IIA standards
	3. Fraud risk assessments
	4. Fraud red flags
15. Sarbanes – Oxley Legislation (SOX)
	1. SOX history
	2. SOX purpose
	3. Financial reporting risks
	4. Financial reporting controls
16. Introduction to Data Analytics (DA): Concepts and Overview
	1. DA terminology
	2. Uses of data analytics in auditing
17. Audit Engagement Planning
	1. Audit planning checklists
	2. Expectations of staff auditors
	3. Opening meetings
	4. Understanding audit scope
	5. Reading and interpreting the audit program
18. Risk Assessments
	1. Techniques to identify risks
	2. Contributing to the risk and control matrix
	3. Documenting the engagement level risk assessment (ELRA)
19. Control Identification
	1. Using procedures to initial identify controls
	2. Using interviews / walkthroughs to confirm / validate existing controls
	3. Documenting the risk and control matrix (RCM)
20. Engagement Fieldwork and Testing Controls
	1. Test of control design
	2. Identifying populations
	3. Verifying populations
	4. Sampling introduction
	5. Test of control effectiveness
	6. Gathering evidence
	7. Substantive tests
	8. Testing evidence
	9. Drawing conclusions
21. Engagement Documentation and Workpaper Requirements
	1. Types of working papers
	2. Workpaper requirements and expectations
	3. Handling review notes
22. Introduction to the 5Cs of Audit Observations / Issues
	1. Using an audit point form / issue template
	2. Documenting the details
	3. Cause versus root cause analysis
23. Status Updates and Communicating Results
	1. Updating the audit team
	2. Updating the audit client
24. Overview of Audit Follow-Up Procedures
25. Wrap-up & Review of Learning Objectives

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Internal Audit 201: Senior Auditor/Auditor In Charge Course Overview

As we progress through our careers, you'll inevitably become the boss, supervisor, manager, or any other term of endearment that we use for those from whom we seek direction, motivation, and guidance. This course will help the new auditor-in-charge, senior auditor, supervisor, and manager understand their roles and responsibilities and prepare you for future roles in the organization. You will learn to perform the demands of the job, including conducting risk assessments, planning the audit, preparing the audit program, managing the audit, overseeing the performance of testwork, providing feedback to staff, motivating staff, writing the audit report, leading meetings, managing the audit budget, and more all while doing your work. With all these added responsibilities, the course will also provide some time management techniques for you and your team.

With so many demands on an Auditor-In-Charge (AIC), we wonder how we don't go crazy.  Well, to be honest, some do go crazy, but the remaining AICs have some tried and true tricks up their sleeves (or under their green visors) to get audits done spectacularly.  In this workshop, you will learn tricks to meet your audit management, audit staff, and audit clients' demands while continuing to provide valuable services to your organizations.  You'll walk away with powerful, pragmatic tricks for determining audit scope and managing the audit project.

4 Reasons Why You Can't Afford to Miss This Course

Reason #1: Reason #1: You can't afford to be the "boss" that makes your organization's #1 asset (the employees) leave

Reason #2: You will not learn how to build & motivate a high performing "TEAM"

Reason #3: You will miss valuable networking opportunities with other professionals.

Reason #4: You will miss the opportunity to explore internal audit trends and best practices.

Who should attend:

* In-charge auditors
* Senior auditors with supervision responsibilities
* Internal audit managers
* Auditors seeking to apply project management techniques in an audit

Learning Objectives:

At the end of this program, attendees will be able to:

* Supervise a high-performing team of auditors
* Apply essential project management knowledge and tools to help run an effective audit
* Design time management strategies for you and your team
* Explain risks and intelligent controls to others
* Plan an audit, including mastering the delicate audit budget to audit scope dilemma

Program level: Basic

Prerequisites: Beginning Auditor Bootcamp or 1.5 years of audit experience

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field(s) of Study – Professional Development (8), Auditing (8)

Program registration requirements: Contact the Client to register. We accept Cash, Check, and PayPal.

Course Outline (16 CPE):

1. Introduction & Learning Objectives
2. Auditing basics & refresher
3. Skills for Audit Supervisors & Audit Managers
4. What makes a good AIC?
5. Manager traits and behaviors
6. AIC roles and responsibilities
7. Time Management for auditors
8. Time management techniques
9. Team time management

Skills Practice: Tracking Time

1. Basics of Project Management
2. The project team
3. The project plan
4. The project risks & risk responses

Skills Practice: Project Risk Response Plan

1. Scope creep: Prevention, Detection, and Response
2. Project status reports and interim meetings
3. Escalation planning
4. The Power of Good Facilitation/Presentation Skills
5. Organizing presentations
6. Informal presentations

Skills Practice: Presenting in Virtual Environments

1. Risk Assessments: The Why, How, and How Nots!
	1. The 3 Pillars of Auditing
	2. "We've always done it that way" isn't the right response
	3. Annual audit/entity planning overview
2. Planning Your Audit Engagement
3. Setting audit objectives
4. Completing the risk and control matrix (RCM)
5. Right-sizing the audit scope
6. Capacity planning and budgeting
7. Determining audit milestones

Skills Practice: Audit Project Planning (budget, scope, milestones)

1. Using checklists
2. Creating the Audit Program
3. Identifying objectives
4. Identifying and assessing risks
5. Identifying controls
6. Designing test of control adequacy and test of effectiveness of controls

Skills Practice: Using the RCM to Create an Audit Program

1. Writing audit procedures/test steps
2. Supervising Audit Staff
3. Setting expectations
4. Motivating staff
5. Engaging staff
6. Teaching the acid test
7. Reviewing workpapers

Skills Practice: Workpaper review notes

1. Reviewing audit issues/concerns
2. Closing the audit
3. Wrap-up, Nuggets, Top 10 Take-aways

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Internal Audit 401: Senior Audit Manager School Course Overview

Managing audits and audit team in the internal audit process is one of the most rewarding career experiences. In additional to growing as a manager of people and processes, internal audit provides opportunity to expand knowledge of business processes, operations, compliance, risk management, and internal controls. As you manage audit teams, your objectives include staff development, audit quality, and engagement objectives achievement. This course aids in the development of the skills needed to successfully fulfill your objectives and manage audit projects at PNC Financial. Through interactive discussion, group, and individual activities, you will build and enhance skills to become an effective senior audit manager.

Who should attend:

* New and recently promoted Senior Audit Managers
* Managers who want to manage audit teams effectively

Learning Objectives:

At the end of this program, attendees will be able to:

* Apply the skills needed to be a great manager
* Teach audit skills and techniques to audit staff
* Build a winning audit team
* Implement strategic and department vision
* Communicate audit results effectively

Program level: Intermediate

Prerequisites: Knowledge of Internal Audit Processes

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Auditing (2) & Professional Development (6)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introductions and Learning Objectives
2. Becoming a great manager / leader
	1. Manager vs Leader
	2. Learning to manage
	3. Accountability
	4. Effective delegation techniques
3. Identifying knowledge and skills gaps – team assessments
	1. Developing and applying competency frameworks
	2. Skills assessment
	3. Gap assessment
4. Managing expectations
	1. Identifying your expectations
	2. Communicating expectations
5. Motivating your team
	1. Drawing out individual motivations
	2. Motivating one-to-one
	3. Motivation for teams
6. Managing conflict
7. Conflict assessment model
8. Tools and methods in conflict management in audit teams
9. Conducting project evaluations
	1. What do discuss
	2. When to discuss
	3. How to discuss
	4. Designing and measuring development plans
10. Managing reactions to “bad news”
11. Wrap up and review

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Moving Up the Maturity Scale with Risk and Control Statements Course Overview:

* Does it feel like the business partners and auditors don’t speak the same language?
* Would it be desirable to discuss risks without others assuming there are problems?
* Do you want to write risk statements that help others understand, assess, and respond to the risks?
* Is explaining the differences between control gaps, control design weaknesses, and control failures difficult?
* Are you looking for a consistent structure to write control statements?
* Could you use help with identifying controls instead of process steps?
* Would you like guidance on how to select key controls?
* Is communicating risks and controls in the business context important to you?

If you answered yes to any of these questions, it sounds like you are ready to move up the maturity scale.

Learning Objectives:

At the end of this program, attendees will be able to:

* Explain the relationship of the 3 pillars of auditing, internal controls, and risk management
* State true risks
* Write risk statements that help assess the risk
* Identify controls
* Write control statements that anyone can understand
* Write control statements that help evaluate the design of the control
* Promote Intelligent internal Controls

Program level: Intermediate

Prerequisites: None

Advanced Preparation: none

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Auditing (16)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (16 CPE):

1. Introduction and learning objectives
	1. NASBA requirement for learning objectives, course outline, and attendance
	2. Individual learning expectations and challenges to address in class
2. Understanding the 3 Pillars of Auditing and Risk Management
	1. Defining business objectives
	2. Defining risks
	3. Defining controls
		* Skills Practice: Applying the 3 pillars
3. Identifying risks
	1. Risk identification techniques
	2. Selecting risk categories
	* Skills Practice: Identifying risk
4. Writing risk statements
	1. Stating risk criteria and business concerns
	2. Distinguishing between risk categories and risk statements
	3. Learning the rules of risk statements
	* Skills Practice: identifying risk statement rule violations
	1. Distinguishing between control gaps and risks
	2. Writing specific risk statements
	* Skills Practice: Writing risk statements
	1. Communicating risk statements using “if”…”then” phrasing
5. Assessing risks
	1. Likelihood, impact, persistence, and velocity assessments
	2. Singular and dual approaches to rating risks
	* Skills Practice: Assessing risks
6. Identifying intelligent internal controls
	1. Purpose of internal controls
	2. Identifying and classifying controls - refresher
	3. Defining intelligent internal controls
	4. Understanding limitations of controls
	5. Breaking down a process to identify the controls that mitigate risks
	6. Confirming control existence through walkthroughs
	7. Selecting controls from walkthrough and procedural documentation
	* Skills Practice: Selecting controls
7. Writing Internal Control Statements
8. Understanding and documenting the who, what, when, where, why, how, and how often of a control
	* Skills Practice: Writing control statements
9. Evaluating Controls
	1. Distinguish between control gaps, design flaws, and effectiveness failures
	2. Defining key control
	3. Selecting the key control
	* Skills Practice: Selecting key controls
	1. Assessing and documenting the evaluation of control design
	* Skills Practice: Control design and risk-control relationships
10. Wrap-Up & learning review

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Operational Auditing Course Overview:

Internal Auditing is a forward thinking profession; therefore, our audits should reflect our abilities to focus on the forward progress of our organization through reviews of management goals, objectives, and initiatives. This course will help auditors understand and design operational audits that concentrate efforts on future rather than past events, assess control systems to manage key business risks, and evaluate operational efficiency and effectiveness. You will also understand the importance of teaming with management to develop solutions to audit concerns that meet business needs and mitigate control weaknesses.

3 Reasons Why You Can’t Afford to Miss This Course

Reason #1: You’ll miss the opportunity to learn three operational auditing tools.

Reason #2: You’ll miss valuable networking opportunities with other internal auditors.

Reason #3: You’ll miss the opportunity to explore trends and best practices in operational auditing.

Who should attend:

* Anyone seeking to understand an operational audit.
* Executives desiring to learn more about operational audit or who are exploring a transition to operational or integrated auditing.
* Auditors in transition from financial and compliance based audits to operational auditing.
* Auditors currently performing operational audits seeking to gain tips and tools to complete efficient and effective operational audits

Learning Objectives:

At the end of this program, attendees will be able to:

* Define and explain operational auditing and operational auditing benefits
* Apply operational auditing tools
* Associate audit efforts on future risks
* Perform value-added operational audits

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Auditing (8)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introductions & Learning Objectives
2. Defining and understanding operational auditing
	1. Types of internal audits
	2. Operational Objectives
	3. Business Relationships
	4. Operational auditing basics and tools
	5. Operational audit process
3. Implementing Operational auditing tools
4. COSO tools
5. Flowchart analysis
6. Time and cost analysis
7. Value for money analysis
8. Risk based operational auditing tools

Skills Practice: Applying the tools to an audit of Internal Audit

1. Leveraging management in your quest for an efficient and effective operational audit
2. Working with business area/operations management
3. Management’s role in having an efficient and effective OA
4. Identifying and selecting operational audit criteria
5. Essential Documents in Operational Auditing
6. Planning Memo
7. Risk and Control Matrix
8. Audit Program
9. Workpapers
10. Audit Report
11. Operational Audit Planning
12. Objectives, Risk, Control relationship to the audit test steps
13. How much time is enough to complete the audit?
14. How much time should I spend on planning?
15. How do I set scope?
16. Resources (laws, SMEs, industry standards & internal policies and procedures)
17. Questions to ask when planning an audit
18. Go/no go decisions before fieldwork

Skills Practice: Risk Assessment for Operational Audit

1. Creating an Outstanding Operational Audit program
2. Wait! What? I don’t have a prior audit program to leverage! There is no template! Where do I start?
3. Determining effective testing techniques
4. How do I know when I have sufficient, competent, relevant, useful evidence?

Skills Practice: Audit Program for Operational Audit

1. Reviewing the audit program with audit and operational management
2. Testing effectiveness and efficiency
3. How much do I test (sampling)?
4. Do I chase the rabbit down the rabbit hole?
5. Working paper considerations
6. Communicating audit results and determining corrective actions
7. Report Structure
8. Report Content
9. Writing Audit Observations (tie to workpapers)
10. Issue vetting (critical thinking, tone, early communication, no surprises, differences from audit to audit)
11. Determining Root Causes
12. Developing Recommendations
13. Getting corrective actions
14. Wrap Up

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Persuasive Presentations for Auditors Course Overview:

In a 2020 Global Audit Information Network Survey, CEOs identified communication skills as the number one skill needed for auditors. Auditors constantly communicate risk, risk responses, evaluation criteria, controls, remediation activities, audit deliverables and audit tests to audiences who may not always agree. Thus, auditors also need to persuade others. The power to influence and persuade audit clients, peers, and stakeholders is also a critical skill for an auditor’s success. Persuasion requires an ability to communicate effectively, including in informal, oral presentations such as opening meetings, status meetings, and exit meetings. Many individuals and professionals struggle with presentations. Jerry Seinfeld’s skit which points out that studies show public speaking is a bigger fear than death means that, for many people, being in the casket is more comfortable than doing eulogy. Individuals must present themselves and information throughout the entire audit process. The presentations may be informal and formal. During this interactive session, you will learn how to provide clear, concise, and persuasive oral communication and apply the stages of a presentation in audit settings.

Who should attend:

* Auditors leading informal presentations
* Professionals in the three lines seeking to enhance their communication skills
* Individuals responsible for discussing or writing review outcomes, results, conclusions, and opinions

Learning Objectives:

At the end of this program, attendees will be able to:

* Improve your presentation comfort quotient (PCQ)
* Design informal presentations for maximum effectiveness
* Communicate effectively in informal meetings
* Deliver successful informal presentations
* Identify and use the 5 elements of a finding/issue/observation
* Communicate project status, business risks, process deficiencies, and improvement opportunities effectively

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Professional Development (8)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introduction & Learning Objectives: Oral Communications
2. Essentials of Oral Communications
	1. The TAC4O expectations of audit communications
	2. Delivering clear oral messages
	3. Delivering concise oral messages
	4. Delivering persuasive oral messages
* Leveraging emotional intelligence to influence and persuade (anticipating reactions & looking at things from different angles)
* Influencing audit clients (e.g. risk, controls, criteria, recommendations)
1. Measuring your comfort with presentations
	1. Presentation types and formats (e.g., formal, informal, email, phone, video, face-to-face)
	2. Facts and fictions of presentations
	3. Presentation comfort quotient (PCQ)
	4. Presentation stages (i.e., planning, preparing, presenting, and finalizing)
	5. Understanding and handling presentation nerves and fear

Individual Activity – Self Discovery with PCQ

1. Planning your presentation
	1. Purpose
	2. Content
	3. Audience
2. Preparing for your presentation
3. Leveraging Artificial Intelligence (AI)
4. Presentation Tools
5. Managing You as the visual aid (body language and movement)
6. Visual aids/supporting material

Skills Practice – Presentation planning and preparation

1. Presenting the Audit Opening/Kick-off Conference
2. Agenda and content
3. Participant roles and responsibilities
4. Listening and audience engagement
5. Communicating effectively in the opening conference
	* Clear and concise messages
	* Communicating audit purpose and scope
	* Persuading the audience to aid in a successful audit

Skills Practice: Leading entrance/kick-off conferences (small group)

1. Presenting the Audit Status Meetings
2. Agenda and content
3. Participant roles and responsibilities
4. Listening and audience engagement
5. Communicating the project status and significant discrepancies

Skills Practice: Leading status meetings (small group)

1. Presenting the Audit Exit Conference/Meeting
2. Agenda and content
3. Participant roles and responsibilities
4. Listening and audience engagement
5. Using the 5Cs to communicate audit findings

Skills Practice: Leading exit meetings (small group)

1. Wrap up and Review

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Process Mapping Course Overview

From the GAO to PCAOB and COSO to SOX; everyone is talking about process mapping. Business process mapping is an essential tool to visualizing and analyzing a process. Whether you are an experience “flowcharter” or just starting out, this course will teach you the skills necessary to be an effective and efficient process mapper. You will learn how to storyboard, employ 3 different process mapping technique, and avoid mapping pitfalls.

Who should attend:

* Audit managers, senior auditors, staff auditors, SOX auditors, and risk managers mapping processes
* Supervising auditors providing feedback on process maps

Learning Objectives:

At the end of this program, attendees will be able to:

* Build effective process maps
* Create a storyboard for your process
* Employ at least 3 different technique to visualize business processes
* Create maps efficiently
* Analyze business processes for effectiveness and efficiency

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Auditing (16)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (16 CPE):

1. Introduction and Learning Objectives
2. Defining Processes
3. Process objectives
4. Process risks
5. Process controls
6. Process stakeholders
7. Process actors
8. Process inputs, actions, and outputs
9. Storyboarding
10. Picking the Right Map
11. Mapping perspective
12. Decision Trees
13. Processing Map (with Verb/Noun relationships)
14. Spaghetti Map
15. RACI Map
16. Narratives & narrative transformation
17. Basics of Map Generation
18. Flowcharting
19. Types of flowcharts
20. Charting outlines and details
21. Symbols
22. Decision points
23. Verb / Noun format
24. Creating the Process Map
25. Flowcharting / mapping tools
26. Spaghetti map creation
27. RACI map creation
28. Process Map / Flowcharting Analysis
29. Looking for unknown / unidentified risks
30. Identifying control gaps
31. Searching for process improvement opportunities
32. Process Map / Flowcharting Analysis
33. Pitfalls & traps and how to avoid them
34. Wrap Up & Learning Objective Review

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Project Management for Auditors Course Overview

* Do your audits run over-budget?
* Do you miss key milestones and target dates for your audit?
* Do you struggle with balancing resources, audit scope, budgets, audit and workpaper quality, and deadlines?

If you answered yes to any of these questions, this is the perfect seminar for you. Each day, we are faced with projects – big or small – that must be completed. Our audits are a project and each person on the team must complete their assignments and tasks to meet audit deadlines and milestone. Learn how to create meaningful, realistic, and achievable audit project plans and how to manage successful audit projects.

Who should attend:

* All individuals interested in learning project management techniques and tips
* All individuals desiring time management tips to help them complete their projects.
* Auditors seeking to apply project management techniques in an audit.
* New auditors looking for tips to manage their workload and multitask.
* Supervising auditors responsible for managing audit projects.

Learning Objectives:

At the end of this program, attendees will be able to:

* List PMBOK knowledge areas
* Identify the competing forces in a project and learn how to manage those forces
* Create meaningful, realistic, and achievable audit project plans
* Collaborate with diverse team members
* Motivate audit team members
* Complete audits on time and within budget
* Control scope creep

Program level: Intermediate

Prerequisites: familiarity with audit processes

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Professional Development (16)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (16 CPE):

1. Introduction & Learning Objectives
2. Project Management Body of Knowledge overview (Project Management Institute (PMI)
3. Section 1: The Project Management Framework
4. Section 2: The Standard for Project Management
5. Section 3: The Project Management Knowledge Areas related to Auditing
6. The project life cycles
7. Waterfall
8. Agile
9. Typical audit life cycle
10. Principles for effective project management
11. Inputs
12. Outputs
13. Outcomes
14. Constraints
15. Risks
16. Risk response plan
17. Project plans
18. Preliminary audit planning
19. Entity (annual) audit planning
20. Understanding the “forest”
21. Creating audit profiles
22. What, When, Who & How – audit resource assignment and allocation
23. Planning the audit project
24. Focusing on the tree
25. Assessing audit scope
26. Project risks and risk response plans for audits
27. Project milestones and the critical path & planning backwards
28. Communicating expectations through roles and responsibility meeting
29. Creating the audit project plan (audit programs)
30. Right sizing audit scope
31. SMART requirements and objectives
32. Selecting controls
33. Assessing the adequacy of controls
34. Audit procedures to test controls
35. Team management
36. Understanding your team
37. Team development
38. Audit project supervision strategies (including workflow with automated workpapers)
39. Setting team goals
40. Communicating with your team members (analysis of communication models)
41. Motivating team members
42. Managing up
43. Time management
44. Individual time management
45. Team time management
46. Executing the project
	1. Completing audit project documentation
	2. Staying on track
	3. Tips & tricks for staying out of the “weeds”
47. Controlling the audit project
48. Key performance indicators
49. Getting out of the “weeds”
50. Overcoming obstacles
51. Breaking bottlenecks
52. Communicating status & results
53. Daily, weekly, monthly updates
54. Final deliverables
55. Audit report basics
56. Wrap-Up & learning review

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Providing Assurance through Risk Based Auditing (4 CPE)

Risk based audits are the leading method for performing value-added Internal Audits.  In this course, participants will shift to a risk based assurance mindset to guide the entire audit process.

Learning Objectives:

At the end of this program, attendees will be able to:

* List the options in risk based auditing
* State the risk based auditing mindset
* Differentiate between risk based testing and traditional/standard testing
* Test controls in risk based auditing

Program level: Intermediate

Prerequisites: familiarity with audit processes

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Auditing (4)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (4 CPE):

1.    Introductions and Learning Objectives

2.    The Risk Based Audit (RBA) Model and the IIA Standards

a.    Establishing the need for RBA (IIA Standards support)

b.    Defining RBA

c.    Exploring the Extreme RBA model

3.    The risk based auditing mindset

a.    Differentiating between traditional auditing and risk based auditing

b.    Defining your risk thinking

c.     Setting audit objectives and risk based audit scope

d.    Using the risk and control matrix to determine risk based audit scope

4.    Concluding on the design of controls using an RBA approach

a.  Identifying true control and not process steps

b. Creating a model for testing the design of controls

c. Assessing the design of controls at the risk level

5.    Testing Control Effectiveness in a risk based audit world

a.   Selecting controls to test the effectiveness

b.    Sampling and testing strategy in a risk based audit world

6.    Wrap-up and review

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Risk and Control Self Assessment Course Overview:

* Are you trying to identify and understand risks facing your operations?
* Do you struggle with documenting risks and controls in a easy to understand format?
* Have you been appointed to facilitate an RCSA?
* Are you looking for techniques to evaluate your RCSA and the related controls?

If you answered yes to any of these questions, this course is for you. Participants will be introduced to a variety of RCSA frameworks to help you determine the best framework for your organization. We will explore methods to compile RCSA information, including workshops and surveys. You will be prepared to facilitate RCSA workshops for your organization. Participants will also learn how to conduct walkthroughs to identify controls and testing techniques to evaluate control effectiveness.

Who should attend:

* Business management and process owners seeking to implement and complete an RCSA.
* Second or third line professionals responsible for implementing or refining SOX practices.
* Professionals looking for hands-on practice of identifying internal controls using walkthroughs.
* Auditors who are providing assurance on the adequacy and effectiveness of controls.
* Control testers interested in efficient methods of evaluating control adequacy and effectiveness

Learning Objectives:

At the end of this program, attendees will be able to:

* Select RCSA frameworks and methods
* Facilitate RCSA workshops
* Learn how to address activities and behaviors disruptive to workshops
* Explain the relationship of the 3 pillars of risk management
* Conduct walkthroughs to identify and evaluate controls
* Identify key controls for evaluation
* Evaluate control design and effectiveness
* Document opportunities to improve existing RCSA methods

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live or group-internet based

Recommended CPE credit to be awarded for the program: Field of Study – Management Systems (16)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (16 CPE):

1. Introductions and Learning Objectives
2. The 3 Pillars of Risk Management
	1. Identifying business objectives
	2. Identifying risks
	3. Identifying controls
3. RCSA Frameworks
	1. COSO guidance
	2. ISO guidance
	3. Risk Management Institute (RIMS) guidance
	4. Institute of Internal Auditors guidance
	5. Financial services industry guidance
4. RCSA methods
	1. Surveys
	2. Workshops
	3. Audit’s and business management’s role in the RCSA
5. Facilitation Skills
	1. Personality types
	2. Group dynamics
	3. Attributes of facilitators
	4. Presentation concepts and techniques, including visual aids
	5. Conflict intervention and resolution techniques
6. Facilitating RCSA Workshops
	1. Planning for workshops
	2. Promoting a positive environment for workshops
	3. Agreeing on workshop expectations
	4. Engaging workshop participants
	5. Observing and responding to participant behaviors
7. Assessing risks
	1. Facilitated workshops to identify controls
	2. Critical thinking exercise to look for unknown/unidentified risks
	3. Risk types
	4. Proven techniques to identify risks
	5. Risk ratings
	6. Risk prioritization
8. Process, activity, and transaction level control identification
9. Facilitated workshops
10. Walkthroughs
11. Using control classifications to identify controls
12. Procedural reviews
13. Critical thinking exercise to look for unidentified controls
14. Conducting walkthroughs
	1. Asking better questions
	2. Using PEAL to listen to responses
	3. Encouraging dialogue
15. Documenting the RCSA
	1. Templates
	2. Working papers
	3. Reviewing RCSA documentation
16. Evaluating the design of controls
	1. Risk level
	2. Process level
	3. Activity level
	4. Control level
	5. Identifying duplicate, redundant, and inefficient controls
17. Testing the effectiveness of controls
	1. Monitoring controls
	2. Writing test steps to evaluate the effectiveness of controls
18. Communicating RCSA
	1. Communicating improvement opportunity
	2. Communicating internal control assessment results
	3. Recommending corrective actions
19. Wrap-up & Review

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# Risk Assessment Done Right! Course Overview

Attaining a higher level of thinking is essential to performing effective risk assessments. During this interactive course, you will gain skills essential to perform effective risk assessments the right way, how to help others perform a risk assessment, and how to explain risk assessments to your clients and team members. By using a higher level of thinking, you will learn to look past the obvious risks, identify risks across your organization, and assess risks to help prioritize review efforts..

Who should attend:

* CEOs, Presidents, Executive Officers
* CFOs & Controllers
* Risk managers
* Internal auditors
* Business process owners

Learning Objectives:

At the end of this program, attendees will be able to:

* Develop a risk assessment methodology
* Identify risks
* Assess risks
* Prioritize risks
* Perform effective & efficient risk assessments

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Risk Management (8)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introduction & Learning Objectives
2. Risk & Control Basics & Refresher
	1. Defining risk
	2. Defining controls
	3. ERM frameworks
	4. The 3 pillars of risk management
3. Risk Assessment Methodology
	1. Quarterly risk assessments
	2. Dynamic risk assessments
	3. Group activity on creating risk assessment methodology
4. Identifying risks
5. Proven techniques to identify risks
6. Group activity on risk identification
7. Critical Thinking Activity to Identify Risks
8. Assessing risks
	1. Likelihood
	2. Impact
	3. Velocity
	4. Persistence
	5. Risk and Control Matrix Activity with Inherent & Residual Risk Assessments
9. Wrap-Up

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# Risk Assessment Done Right!: Assessing Risks

Attaining a higher level of thinking is essential to performing effective risk assessments. During this interactive course, you will gain skills essential to perform effective risk assessments the right way, how to help others perform a risk assessment, and how to explain risk assessments to your clients and team members. By using a higher level of thinking, you will learn to look past the obvious risks, identify risks across your organization, and assess risks to help prioritize review efforts..

Who should attend:

* CEOs, Presidents, Executive Officers
* CFOs & Controllers
* Risk managers
* Internal auditors
* Business process owners

Learning Objectives:

At the end of this program, attendees will be able to:

* Facilitate discussions on the key risks to understand
	+ likelihood of the risk occurring
	+ potential impact ($s, time, reputation, etc.)
	+ exposure (conditions that result in a possible loss/gain)
	+ correlation (other risks that may be correlated to this risk, which could increase overall risk if a specific action/event occurs)
	+ at what point would we be uncomfortable with the amount of risk (e.g., risk tolerance)
* Perform effective & efficient risk assessments
* Documenting the risk assessment

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Risk Management (4)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (4 CPE):

1. Introduction & Learning Objectives
2. Techniques to assess risks
	* + 1. Qualitative: Delphi method, expert/SME method, facilitated workshops
			2. Quantitative
3. Understanding risk management philosophy
	* + 1. Risk appetite
			2. Risk tolerance
			3. Risk acceptance criteria
4. Assessing risks
5. Likelihood
6. Impact
7. Velocity
8. Persistence
9. Correlation
10. Review and wrap up

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# Risk Assessment Done Right!: Identifying Risks

Attaining a higher level of thinking is essential to performing effective risk assessments. During this interactive course, you will gain skills essential to perform effective risk assessments the right way, how to help others perform a risk assessment, and how to explain risk assessments to your clients and team members. By using a higher level of thinking, you will learn to look past the obvious risks, identify risks across your organization, and assess risks to help prioritize review efforts..

Who should attend:

* CEOs, Presidents, Executive Officers
* CFOs & Controllers
* Risk managers
* Internal auditors
* Business process owners

Learning Objectives:

At the end of this program, attendees will be able to:

* Evaluate a process to identify risks and use professional judgement to determine the key risks which need to be managed to achieve process objectives and strategic goals
* Document the key risks
* Communicate and validate agreement on the key risks with the process owner and SMEs

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Risk Management (2)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (2 CPE):

1. Introduction & Learning Objectives
2. The 3 Pillars of Risk Management
3. Risk Assessment Methodology Discussion
4. Identifying risks
	1. 4 Proven techniques to identify risks
	2. Leveraging your understanding of the business process to identify risk
	3. Validating risks with process owners and SMEs
5. Documenting risks
6. Wrap-up and review

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Root Cause Analysis for Everyone Course Overview:

* Have you even communicated a recommendation only to discover the implemented recommendation didn’t resolve the problem?
* Do you feel like you identify symptoms of problems?
* Does your organization use the Band-Aid approach to correcting deficiencies?

If you answered yes to any of these questions, this course is for you.

Root cause analysis is a process to identify and resolve the root cause behind problems to prevent recurring failures. However, conducting a thorough root cause analysis (RCA) presents many challenges:

1. To conduct a thorough RCA requires time, resources, and some essential skills, including emotional intelligence, relationship building, communication, analytical, and critical thinking.
2. Process owners, management, and auditors engaging in Root Cause Analysis often find identifying the root cause is hard especially when you don’t have the right tools and methods to perform the RCA.
3. The root cause may be politically sensitive and left uncommunicated.

This workshop is designed to help you overcome the above challenges. Participants of this workshop will be able to apply the needed skills, tools, and methods to conduct a root cause analysis for the most important problems. Through hands on practice with a problem you are currently facing, you will apply proven root cause analysis tools and techniques to identify the cause. Moreover, participants will also be able to communicate the root causes and identify alternative solutions.

Who should attend:

* Process owners responsible for fixing problems
* Consultants performing root cause analysis
* Risk managers identifying findings and communicating results
* Control owners seeking answer as to why the problems are reoccuring

Learning Objectives:

At the end of this program, attendees will be able to:

* Differentiate between stating a cause and determining the root cause
* Explain the benefits of RCA to create an approach for your company
* Apply 2 root cause analysis methods

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Professional Development (8)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introduction & Learning Objectives
2. The Seeds and Sprouts of Root Cause Analysis (RCA)
3. Key concepts in RCA
4. Culture needs, including leadership skills
5. Critical skills for RCA, including communication, analytical, and critical thinking
6. Problem identification and problem statements
7. Identifying problems
8. Gaining clarity
9. Challenging the challenge
10. Case Study
11. Root cause analysis tools and methods
12. Fishbone / Cause and effect diagrams
13. 3, 5, and 7 Why’s
14. Case Study
15. Problem resolution
16. Generating alternatives
17. Determining criteria
18. Wrap-up

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Sampling and Testing Course Overview:

Course Overview:

When it comes to examining audit evidence and drawing an accurate conclusion, a few questions come to mind:

* "How many should I test?"
* "How do I pick the sample?"
* "Do I even need to look at a sample?"
* “What is the best way to test the evidence?”
* “Should I test the entire population?”

Get answers to these questions and a few more during this interactive session. Attendees will examines various sampling and testing methodologies available for use.

Who should attend:

* Internal audit staff performing testing
* Internal audit seniors and managers writing test steps

Learning Objectives:

At the end of this session, attendees will be able to:

* Verify populations
* Explain and mitigate sampling risk
* Determine appropriate samples
* Select samples and testing methods to reach conclusions

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Auditing (8)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introduction & Learning Objectives
2. Testing Methodology
3. Linking the control to the audit test objective
4. Test of Control Design
5. Test of Control Effectiveness
6. Substantive Testing
7. Population testing
8. Identifying and obtaining the population
9. Determining the population in relation to the control testing
10. Importance and value of population testing
11. Population verification / validation
12. Relationship with data analytics
13. Sampling Theory
14. Sampling risk
15. Sample size selection
16. Variables testing
17. Attributes testing
18. Sampling grids
19. Sampling policies
20. 4 steps to selecting samples
21. Statistical Sampling
22. Statistics overview
23. Using statistical sampling
24. Techniques, Tools, and Resources for Statistical Sampling
25. Probability Proportion to Size
26. Mean per unit, ratio, and difference estimation for extrapolation
27. Non-statistical sampling
28. Types of non-statistical samples
29. How to use it
30. When to use it
31. What do the results tell me
32. Correlation
33. Nonstatistical sampling advantages and disadvantages
34. Sampling methods
35. Random
36. Interval
37. Cluster
38. Stratified
39. Sampling test results and techniques
40. Stop and go: the right and wrong way
41. Discovery sampling
42. Computer aided testing methodology
43. CAATs
44. Data Mining
45. Data Analysis
46. Risk Based Audit’s Impact on Sampling and Testing
47. Outcome Testing / Effective Challenge
48. Evaluating management decision and judgment (outcome testing / effective challenge)
49. Evaluating assumptions in models
50. Wrap-up and Review

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# The Art of Negotiation

Negotiation. The word alone makes some queasy. As business professionals, we face negotiations daily, sometimes successfully, sometimes not. We must become comfortable with negotiations. More importantly, you must understand the value negotiation brings to an organization and to individuals. If you don’t ask for what you want, you will only get what someone is willing to give. Through this interactive and practical seminar, you will gain the skills to become an effective negotiator.

Who should attend:

* Everyone involved in negotiations

Learning Objectives:

At the end of this program, attendees will be able to:

* Identify the types of negotiations
* Develop focused techniques for your negotiation style
* Negotiate problems and conflicts

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Personal Development (8 CPE)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introduction and Learning Objectives
2. Types & sources of negotiations
3. Negotiating style
4. Self-assessment
5. Style preferences of others
6. Understanding negotiations – the Art & the Science
7. It’s “We” not “I”
8. Value
9. Results
10. Respect
11. Creating a Battle Plan
12. Using interviewing and persuasion skills
13. Dealing with flaws and weaknesses
14. Gender based negotiations
15. Understanding unique approaches to negotiating
16. Creating the Negotiation Strategy
17. Planning negotiations
18. Moving from No to Not Yet to Maybe to Yes
19. Understanding hostile negotiations
20. Strategies to negotiate the win-win
21. Wrap Up & Learning Objective Review

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# Understanding, Identifying, Assessing, and Documenting Internal Controls Course Overview:

You will learn to identify, evaluate, and document activity and transaction level internal controls. All attendees will have hands-on skills practice to improve our ability to identify and evaluate internal controls. Participants will be actively engaged in facilitated group discussions, small group activities and lectures throughout the course.

Who should attend:

* Auditors evaluating controls.
* Auditors completing compliance control testing.
* Business management and process owners seeking to improve how controls are designed and written to help meet their business objectives.
* Auditors seeking tips for efficient evaluation of activity-level controls.

Learning Objectives:

At the end of this program, attendees will be able to:

* Explain the relationship of the 3 pillars of internal controls and auditing
* Identify transaction level controls
* Differentiate between control classifications to aid in assessing the adequacy of control design
* Write control statements that anyone can understand

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Auditing (8)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introductions and Learning Objectives
2. The 3 Pillars of Internal Controls
3. The 3 pillars of internal controls and how they drive assessment and audit efforts
	* + Skills practice activity
4. Clarifying compliance and controls based testing expectations
5. Introduction to risk based auditing (RBA)
6. Introduction to engagement level risk assessments (ELRA) for all audit types
7. Review risk assessment template
8. Using the risk and control matrix (RCM) in operational and compliance audits even when the control is a regulatory requirement
9. Reviewing the auditor’s job and expectations for professional skepticism
	1. Defining professional skepticism
		* Skills practice on professional skepticism for auditors
10. Understanding and defining internal controls
	1. Introduction to the COSO internal control framework
	2. Purpose of internal controls for regulatory compliance
	3. Types of internal controls
	4. Control classifications
	5. Distinguishing between process steps and controls
	6. Introduction to control maturity models and control statements
		* Skills Practice: Process steps and control statements
11. Identifying internal controls
12. Leveraging control inventories provided by the business to identify and document controls
13. Confirming control existence through walkthroughs
14. Using procedures and process maps to identify controls
15. Obtaining sufficient support of controls during walkthroughs to reduce follow-up
	* + Skills Practice: Walkthrough evidence
16. Elevating existing control descriptions
	1. Understanding and documenting the who, what, when, where, why, how, and how often of a control
	2. Evaluating of the design of controls at the control level
	3. Improving control descriptions and statements
		* Skills Practice: Evaluating and improving provided control statements
17. Gathering control evidence
	1. Determining how to test a regulatory control
		* Skills Practice: Tests for controls
	2. Identifying the evidence needed to test the controls
		* Skills Practice: Control evidence
	3. Relevance, reliable, sufficient evidence
	4. Collecting evidence in walkthroughs
	5. Obtaining sufficient evidence to develop and support engagement conclusions
		* Skills Practice: Determining sufficient evidence
	6. Review internal sampling policy and expectations
18. Testing the effectiveness of controls
	1. Starting with the audit work program
	2. Testing the controls provided to the state regulators
	3. Identifying rabbit holes and what to do before you jump in
19. Documenting assessments and conclusions in workpapers
	1. Documentation essentials (e.g., source, population, sample selection)
	2. Lead sheet template
	3. Observation document template
	4. Knowing observation/finding details like the back of your hand
20. Open Discussion and Wrap-up & Review

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# Workpapers: For your reader Course Overview

The best auditors know how to ask questions, communicate with people, identify risk and test controls, however none of these matters if the best auditor cannot document the results of their work. This course is designed to educate auditors on standards for documenting their work. Attendees will learn the international documentation standards, techniques and best practices for documenting their work, and the variety of tools available to automate workpaper documentation.

Who should attend:

* Auditors seeking to improve workpaper documentation techniques
* Auditors wishing to reduce workpaper review notes
* Audit supervisors training audit staff on workpaper criteria, standards, and quality
* Internal audit staff performing audits
* Internal audit seniors and managers supervising audits and auditors

Learning Objectives:

At the end of this program, attendees will be able to:

* Describe workpaper documentation practices and techniques
* Determine department workpaper best practices
* Prepare complete and relevant documentation on work performed
* Adequately document the testing methodology, steps, detailed work and conclusions in a workpaper
* Document standalone workpapers
* Reduce reviewer and supervisory questions and review notes

Program level: Basic

Prerequisites: None

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Auditing (8)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introductions and Learning Objectives
2. Working paper purpose and preparation
3. IIA documentation guidance
4. Audit evidence and information attributes
5. Working paper contents
6. Types of working papers
7. Documentation criteria and expectations
	1. Qualities of good workpapers
	2. Getting the “grade”
8. Documenting assessments and conclusions in workpapers
	1. Documentation essentials (e.g., source, population, sample selection)
	2. Providing answers to unasked questions
	3. Knowing the details like the back of your hand
	4. Preparing workpapers to facilitate supervisory review
9. Best practices and techniques to complete workpapers and reduce review notes
10. Supervisor oversight and working paper review notes
11. Securing and controlling access to working papers
12. Automated auditing tools
13. Q&A and Wrap-up

Refunds and Cancellations:
Refunds and cancellations are subject to the written contract between Raven Global Training and the Client. Contact info@ravenglobaltraining.com, for additional administrative policies, including refunds, cancelations, and complaints. For more information regarding administrative policies such as complaint and refund, and cancellation please contact our offices at 571-283-1878.

Course Registration:
Registration is processed exclusively by the Client. Contact info@ravenglobaltraining.com for registration questions.

CPE:

Raven Global Training is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: [www.learningmarket.org](http://www.learningmarket.org/)

# Writing Effective Audit Reports Course Overview:

Internal Audit reports are often viewed as a necessary evil to both auditors and management alike. Communicating audit results is sometimes difficult, but it doesn’t have to be painful. Imagine business management actually requesting an audit report because they see the report as a welcomed tool that assists them with meeting their business objectives. This course is designed to help auditors learn techniques to communicate risks, process deficiencies, and opportunities for improvement to management and other interested parties. Participants will learn the elements of an audit observation, including elements most useful in selling observations to management. Participants will learn how to apply the principles of effective report writing, including writing accurate, clear, complete, concise, timely, objective, and constructive reports. The course teaches techniques to complete the audit reporting process timely and create audit reports that show management the value that Internal Auditors provide to an organization.

Who should attend:

* Calling all auditors who desire effective and meaningful audit reports that are concise and address the risks of the business
* Auditors desiring to expedite audit report delivery
* Auditors who need to learn techniques to write clear, concise, effective and meaningful audit reports

Learning Objectives:

At the end of this program, attendees will be able to:

* Identify, understand, and analyze your audience
* Write concise summaries of audit activities performed in executive summary and audit committee reports
* Apply and identify the 5 elements of an audit issue
* Write concisely
* Improve clarity and readability of written communications
* Communicate risks, process deficiencies, and opportunities for improvement effectively
* Sell observations and recommendations to management
* Write effective audit reports
* Deliver meaningful reports timely
* Develop a department style guide

Program level: Intermediate

Prerequisites: at least 4 months of audit experience or completion of Beginning Auditor Training

Advanced Preparation: None

Instructional Method: Group-live

Recommended CPE credit to be awarded for the program: Field of Study – Auditing (8)

Program registration requirements: Contact Client to register. We accept Cash, Check, and PayPal.

Course Outline (8 CPE):

1. Introduction & Learning Objectives
2. Leveraging the message to write findings for your audience
	1. Understanding the purpose of the report
	2. Understanding your audience and their needs, including the audit client, executives, board, and regulators
	3. Starting with your hypothesis
	4. Determining your message from the audience perspective (i.e., the business/process owner) to get them to take action
	5. IIA standards and guidance, including TAC4O
3. Writing audit findings
4. Using and identifying the five elements for issues
5. Translating work performed to stakeholders effectively
6. Providing enough (but not too much) detail in the audit issue
7. Matching issue importance / risk concern with the right tone, language, and word choices

Skills Practice: Completing the five elements

1. Writing an executive summary
2. Executive summary contents and options (e.g., background, scope, objectives)
3. Executive summary conclusion/rating and summary of the key observations
4. Writing, editing, and revising your audit findings and reports
	1. Determining your writing, editing, and revision timeline
	2. Using peer reviewers
	3. Reducing revisions
5. Styling your report
6. Establishing the right tone (if you don’t your message will get lost)
7. Identifying passive voice and deciding if active voice sends a better message
8. Remaining empathetic while being objective and unbiased
9. Making sure management hears the hard truth (avoiding sugar coating and diluting the message)

Skills Practice: Matching the tone to the message

1. Writing concisely
	1. Getting to the point and saying what needs to be said
	2. Writing and editing for conciseness

Skills Practice: Recognizing verbose statements

1. Building clarity and readability in the report
	1. Readability
	2. Dealing with jargon

Skills Practice - Clarity

1. Wrap-Up & learning review

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Course Registration:
Registration is processed exclusively by the Client. Contact RGT for registration questions.

CPE:

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# All Courses Offered by Raven Global Training

1. 5 Ls to Coordinated Assurance (4 CPE) [5LCA.5]
2. 7 Questions you must ask in every walkthrough / interview (4 CPE) [7QWI.5]
3. A-123 Compliance (16 CPE) [A1232.]
4. Accounting Concepts for Internal Auditors (8 CPE) [ACIA1.]
5. Accounting Foundations for Internal Auditors (8 CPE) [AFIA1.]
6. Advanced Internal Auditing (16 CPE) [AIA2.0]
7. Advanced Risk-Based Internal Auditing for Audit Supervisors (8 CPE) [ARBA1.]
8. Aggressive Risk ManagementTM (8 CPE) [ARM1.0]
9. Agile Auditing: Creating the Agile AuditTM (16 CPE) [AGILE2.]
10. Agile Risk ManagementTM (16 CPE) [ARM2.0]
11. AML Audits (8 CPE) [AML1.0]
12. Applying Creativity and Innovation [to Any Career](http://ravenhenderson.com/files/Project_Management_-_Half_Day.doc) (8 CPE) [ACI1.0]
13. Assessing Corporate Culture (8 CPE) [ACC1.0]
14. Audit Manager Training (24 CPE) [AMGR3.]
15. Audit Readiness (4 CPE) [AUDR.5]
16. Audit Sampling and Testing Methodology (4 CPE) [ASAM.5]
17. Auditing Accounts Payable [AUDAP1]
18. Auditing and COSO Principles (16 CPE) [AUDC2.]
19. Auditing Application Controls (4 CPE) [AAPP.5]
20. Auditing Change Management (4 CPE) [ACM.5]
21. Auditing External Service Providers (8 CPE) [AEXT1.]
22. Auditing for Efficiencies (4 CPE) [AEFF.5]
23. Auditing Investment Products (16 CPE) [AINV2.]
24. Auditing Investments and Derivatives (32 CPE) [AID4.0]
25. Auditing Investments and Derivatives: Advanced (16 CPE) [AIDA2.]
26. Auditing Mortgage Banking Processes [AMBP1.]
27. Auditing Mutual Fund Activities [AMFA1.]
28. Auditing Not for Profits [ANFP1.]
29. Auditing Oversight and Governance Functions (8 CPE) [AGOV1.]
30. Auditing Overview (8 CPE) [AUDO1.]
31. Auditing Procure to Pay (2 CPE) [AP2P2.]
32. Auditing Security Access (4 CPE) [ASEC.5]
33. Auditing Travel & Entertainment Expenses [ATE2.0]
34. Auditing Using COSO 2013 (8 CPE) [COSO1.]
35. Auditor-In-Charge [AIC] (24 CPE)
36. Banking Supervision and Basel II Reviews
37. Beginning Auditor Bootcamp (32 CPE)
38. Better Governance, Risk, and Control (4 CPE)
39. Book Club for Millennials (32 CPE)
40. Branding and Marketing Your Internal Audit Activity (16 CPE)
41. Branding Your Internal Audit Activity Workshop (8 CPE)
42. Business Continuity Planning and Disaster Recovery (32 CPE)
43. Business Writing for Results (8 CPE)
44. CAATs & Continuous Auditing (8 CPE)
45. CIA Exam Prep – Comprehensive Part 1 (16 CPE)
46. CIA Exam Prep – Comprehensive Part 2 (16 CPE)
47. CIA Exam Prep – Comprehensive Part 3 (40 CPE)
48. CIA Exam Prep – Intensive Part 1 (8 CPE)
49. CIA Exam Prep – Intensive Part 2 (8 CPE)
50. CIA Exam Prep – Intensive Part 3 (16 CPE)
51. Communicating Audit Results (8 CPE)
52. Communicating Bad News (8 CPE)
53. Communicating Bad News: For Auditors (8 CPE)
54. Communication Skills (32 CPE)
55. Computer Assisted Audit Tools / CAATs (8 CPE)
56. Conflict Management (8 CPE)
57. Conflicts – They Happen! Learn to Manage Them (8 CPE)
58. Continuous Auditing (8 CPE)
59. Continuous Auditing & Data Analytics (16 CPE)
60. Continuous Monitoring (8 CPE)
61. COSO 2013: Getting the Most from the Updated Framework
62. Creating the Integrated Auditor (32 CPE)
63. Creating Your Audit Program (8 CPE)
64. Creative Thinking (8 CPE)
65. Critical Thinking and Root Cause Analysis (24 CPE)
66. Critical Thinking for Auditors (16 CPE)
67. Critical Thinking for Everyone (16 CPE)
68. Critical Thoughts on Critical Thinking (8 CPE)
69. Customer Relationship Management (16 CPE)
70. Data Analytics – Crawl, Walk, Run! (8 CPE)
71. Deliberate Risk ManagementTM (16 CPE)
72. Effective and Efficient Process Mapping (8 CPE)
73. Effective Use of Automated Audit Tools, including CAATs (8 CPE)
74. Engagement Planning & Engagement Level Risk Assessments – Workshop (16 CPE)
75. Enterprise Risk Management (ERM) (16 CPE)
76. Entity Level Risk Assessment / Annual Audit Planning – Workshop (8 CPE)
77. ERM and A-123 (16 CPE)
78. ERM: COSO ERM 2017 (8 CPE)
79. ERM: Foundations (8 CPE)
80. ERM: Moving Up the Maturity Model (8 CPE)
81. ERP Implementation (4 CPE)
82. Establishing a World-Class Internal Audit Function (8 CPE)
83. Executive Training on Risks, Controls, and Internal Auditing (8 CPE)
84. Facilitating Fraud Risk Assessments (8 CPE)
85. Facilitation Skills (8 CPE)
86. Federal Deposit Insurance Corporation Improvement Act (FDICIA) Basics
87. Financial and Managerial Accounting for Auditors – A CIA Perspective (16 CPE)
88. Financial Auditing for Internal Auditors (16 CPE)
89. Financial Reporting for IT Auditors (4 CPE)
90. Financial Reporting for IT Professionals (4 CPE)
91. Financial Statement Analysis and Fraud (8 CPE)
92. Financial Statement Fraud (8 CPE)
93. Flowcharting (16 CPE)
94. Foreign Corrupt Practices Audit (FCPA) Reviews (8 CPE)
95. Fraud for Financial Services (8 CPE)
96. Fraud Investigations (8 CPE)
97. Fraud Risk Assessment – Workshop (8 CPE)
98. Fraud Risk Assessments (8 CPE)
99. From Risks to Roots (16 CPE)
100. Fundamentals of Internal Auditing (16 CPE)
101. Getting Buy-In for Audit Findings (4 CPE)
102. Global Internal Auditing Standards Domain 2 and Ethics Training (4 CPE)
103. Governance, Risk, and Compliance (GRC)
104. Governance, Risk, and Compliance (GRC): What is a Good GRC? (4 CPE)
105. History of SOX (2 hours)
106. How to Audit ITGC (Information Technology General Controls) (4 CPE)
107. How to Turn an Audit into an Advisory Engagement (4 CPE)
108. Identifying and Evaluating Internal Controls (8 CPE)
109. Implementation Risk Management (4 CPE)
110. Implementing Data Analytics (4 CPE)
111. Implementing SOX (16 CPE)
112. Implementing SOX and FDICIA (16 CPE)
113. Implications of IFRS Implementation on Internal Auditors (8 CPE)
114. Improving Your Audit Department’s Performance and Best Practices (8 CPE)
115. Integrated Auditing (32 CPE)
116. Integrated IT Auditing for Non-IT Auditors (24 CPE)
117. Integrated Auditors (32 CPE)
118. Intelligent Internal Controls (16 CPE)
119. Internal Audit: Theory vs. Reality (8 CPE)
120. Internal Audit 101: New Auditor School (16 CPE)
121. Internal Audit 201: Senior Auditor School (16 CPE)
122. Internal Audit 301: Senior Auditor School for Banking (32 CPE)
123. Internal Audit 401: Audit Manager School (24 CPE)
124. Internal Audit Basics (8 CPE)
125. Internal Audit Consulting Principles (16 CPE)
126. Internal Audit Fundamentals (8 CPE)
127. Internal Audit Green Belt (Six Sigma) (32 CPE)
128. Internal Audit Standards and Best Practices (8 CPE)
129. Internal Auditing Process (8 CPE)
130. Internal Auditing for Banks and Financial Institutions (16 CPE)
131. Internal Controls (16 CPE)
132. Interviewing and Documentation Techniques (24 CPE)
133. Interviewing Skills for Auditors (16 CPE)
134. Interviewing Skills: Getting the Information You Need (8 CPE)
135. Introduction to Internal Auditing (8 CPE)
136. Introduction to IT Auditing (16 CPE)
137. Introduction to IT Auditing (for new auditors and business [auditors)](http://ravenhenderson.com/files/Introduction_to_IT_Auditing_-_2_day.doc) (8 CPE)
138. Introduction to SOX - IT Focus (16 CPE)
139. Introduction to SOX (8 CPE)
140. IT Application Controls (16 CPE)
141. IT Auditing for Non-IT Auditors (8 CPE)
142. IT Auditing for Non-IT Auditors: CIA Exam Prep (16 CPE)
143. IT Basics (16 CPE)
144. IT Governance (4 CPE)
145. IT Oversight (4 CPE)
146. IT Management Frameworks (4 CPE)
147. IT Risk Management (4 CPE)
148. ITGC (General Controls) for Beginners (4 CPE)
149. ITGC (General Controls) for Non-IT Auditors (4 CPE)
150. Leadership Skills: The Basics (8 CPE)
151. Leading through Change: Innovation with Risk Assessments (8 CPE)
152. Making the transition to Internal Auditing (for business professionals and external auditors) (8 CPE)
153. Managing and Motivating Your Employees (16 CPE)
154. Marketing the Internal Auditing Activity…Strategies that Work: Workshop (8 CPE)
155. Mid-level Auditor (24 CPE)
156. Mortgage and Lending Audits (8 CPE)
157. Negotiating Skills (8 CPE)
158. Operational Auditing (16 CPE)
159. Organization Value Creation: The COSO Way (8 CPE)
160. Performance Auditing (16 CPE)
161. Performing Operational Audits (16 CPE)
162. Performing Value-Added Audits (16 CPE)
163. Picture This: Data Analytics and Visual Reporting (8 CPE)
164. Pragmatic ERM (8 CPE)
165. Pragmatic FDICIA (16 CPE)
166. Presentation Skills (16 CPE)
167. Process Mapping (8 CPE)
168. Project Management (24 CPE)
169. Project Management for Auditors (16 CPE)
170. Quality Assurance Review: Prepare to Pass (8 CPE)
171. Quality Assurance Review: Prepare to Pass Your QAR - Workshop (16 CPE)
172. Raven’s Agile AuditingTM
173. Raven’s Extreme Risk Based AuditingTM (16 CPE)
174. Reading People Like a Book CoverTM
175. Refining and Mastering SOX (8 CPE)
176. Risk Assessment (16 CPE)
177. Risk Assessment and Audit Planning (24 CPE)
178. Risk Assessment and Internal Controls (16 CPE)
179. Risk Assessment Leading Practices (16 CPE)
180. Risk Assessments Done Right!TM (8 CPE)
181. Risk Based Auditing for Community Banks
182. Risk Based Internal Auditing (16 CPE)
183. Risk Based Internal Auditing for Audit Supervisors: Advanced (8 CPE)
184. Risk Management and Internal Controls (8 CPE)
185. Root Cause Analysis for Everyone (16 CPE)
186. Root Cause Analysis for Auditors (16 CPE)
187. Sampling (8 CPE)
188. Sampling and Testing Techniques for Internal Auditors (8 CPE)
189. Scoping ITGC Audits (4 CPE)
190. Senior Auditor School (24 CPE)
191. Setting up your Internal Audit Department
192. Six Sigma for Internal Audit (16 CPE)
193. Skills for Audit Success (32 CPE)
194. SOC Readiness (4 CPE)
195. SOX: Myth versus Reality (4 CPE)
196. SOX 404: Mastering the Review (8 CPE)
197. SOX Fundamentals Process Level Risks and Controls (2 CPE)
198. SOX Walkthroughs and COSO Controls (4 CPE)
199. Strategic Planning and Risk Assessments (8 CPE)
200. Strategic Selling (24 CPE)
201. Supervising Audits & Auditors (24 CPE)
202. The Art of Negotiation (8 CPE)
203. The Chicken or the Egg: Strategic Planning & Risk Assessments (8 CPE)
204. The Mindset of Making the Manager / Executive Successful (8 CPE)
205. Time Management Strategies (8 CPE)
206. Trends and Best Practices in Internal Auditing (8 CPE)
207. Understanding and Implementing ERM (16 CPE)
208. Understanding COSO Internal Control Framework (16 CPE)
209. Understanding IT Frameworks (4 CPE)
210. Value Added Audit Leadership (4 CPE)
211. Value Added Internal Audits (16 CPE)
212. Value Added Operational Auditing (8 CPE)
213. Visual Reporting for Auditors (8 CPE)
214. What You Need to Know about Internal Controls (8 CPE)
215. Working with Your Audit Committee (8 CPE)
216. Workpaper Documentation Techniques (8 CPE)
217. Writing and Selling Observations (8 CPE)
218. Writing Effective Audit Reports (16 CPE)
219. Yellow Book Primer (8 CPE)
220. Your Internal Controls (16 CPE)

# Testimonials from Prior Clients and Participants

## Real Tools for Critical Thinking

Betty Hall, Internal Audit Manager at Navarro: "First I would like to tell you how much I truly enjoyed [Raven’s] teaching.  I had dreaded the whole webinar because I did not understand critical thinking and you made it real for me.”

## Professional and Insightful

Emily Hayes, Audit Manager at Moss Adams: " I simply feel at a loss for words to articulate how incredibly valuable I found this weeks' critical thinking seminar.  I honestly have been scouring for resources related to this topic, as our team has rapidly grown, and I've struggled to feel like I have the correct vocabulary / shared reference points to help develop the team. The content and ideas you've shared with us were so relevant and well crafted, I just want to say thank you again. Wishing you the very best and I hope to attend another training of yours in the future!”

## Highly Recommend

Samantha Reed, CIA: " I took your September CIA certification prep course and just wanted to reach out and let you know that I have now successfully passed all three parts of the exam (each on the first attempt)! I want to thank you for a really engaging class, the notes and insights (particularly the acronyms) were instrumental during my preparation. It was particularly helpful to know which concepts to prioritize and the advice to not worry so much about problems with numbers because there aren’t many helped to ease my anxiety and define my approach to the exams themselves.”

## Stepping Up Our Game

Jay Shaw, Auditor at US Army IR: "Thank you once again for an excellent series of presentations, Raven. Your advice for approaching internal audits is invaluable and will undoubtedly help our Army IR auditors to "step up their game”

## What a sense of humor!

Sophia Nguyen, Audit Specialist at California State Controller’s Office “I wanted to take a moment to thank you for coming and teaching us the three-day training -the Auditor Essentials Course here at the SCO. l enjoyed every minute of your lecture as well as your marvelous sense of humor. I gained a solid foundation of knowledge and skills that will allow me to properly plan, prepare for and conduct a successful audit.

I’ve never been moved to write a thank you note to a training instructor before. But that’s probably because I’ve never had an instructor like you.

I thank you for your guidance, wisdom and compassion... Please know that your influence on my life will affect me until the end of time, and I will forever be thankful for that.”

## Enjoyable and includes ongoing support

Jennifer Boen, Chief Internal Auditor at Capital Development Board: "I enjoy all of your trainings!  I learn so much.  I would love the spreadsheet you use for the risk assessment.  Thank you!”

## High Caliber Virtual Training

Michelle Ledoux, Audit Process Manager at Arvest Bank: "I thought the audit training Raven Catlin conducted for us last year was very good and certainly useful.  As expected, Raven’s follow-up webinar did not disappoint.  Raven is obviously extremely knowledgeable and has a gift for teaching.  To maintain three certifications, I frequently attend online webinars.  I would have to say that not many are of the same caliber as the training Raven provided to us in this webinar. !"

# Pricing

1 CPE - $1,300 plus travel expenses

4 CPE - $4,500 plus travel expenses

8 CPE = $7,000 plus travel expenses

16 CPE = $13,000 plus travel expenses

24 CPE = $18,500 plus travel expenses

32 CPE = $23,500 plus travel expenses

40 CPE = $28,500 plus travel expenses

* Additional fees apply for recording the sessions ($5,000 per agreement) and hybrid sessions ($2,000 per agreement).
* Agreements require 50% deposit on total course fee
* Further discounts apply for multiple deliveries of the same course
* Virtual courses do not incur travel expenses