



Behavioral skills

Behavioural Skills courses provide internal auditors with the opportunity to develop the essential soft skills to enhance their service delivery and add value within their department and their organisations.





ART OF FACILITATION (FACIL)

(SPECIALIST COURSE)

LIMITED SPACE

Behavioral skills

PRESENTER:

Rudi Frigenti B Admin, B Com (Hons), M Com (Ind Psych) – Rudi Frigenti Resource Development Consulting

KEY INFORMATION:

DURATION: 3 DAYS
CPD HOURS: 24
VENUE: JOHANNESBURG
DATE / S: 11-13 JULY
3-5 OCTOBER

COST PER DELEGATE (INC VAT):

MEMBERS: 6 150
NON MEMBERS: 7 150

SPECIALIST COURSE

HOW WILL THIS COURSE BENEFIT YOU?

Participants will be able to

- Facilitate a CSA workshop
- Determine how to manage a group's process rather than intervening in their discussion content
- Differentiate the skill of facilitation from presentation, training, chairing a meeting and problem-solving sessions
- Understand the synergy and dynamics amongst group members
- Identify communication patterns of groups
- Establish and maintain a positive group climate to ensure maximum participation
- Listen, ask open-ended questions, perform reflection/paraphrasing and maintain eye contact and rapport
- Ensure open and fair participation
- Use problem-solving and decision-making techniques to resolve issues
- Understand the basic framework for mediating conflict
- Evaluate, review, and report results
- Set up a room, prepare administration and equipment checklists, use questionnaires to evaluate outcomes and perform follow-ups.

Participants will be required to participate in presentations and practice CSA workshop facilitation techniques during this course.

COURSE CONTENT

The Art of Facilitation

- Generic vs CSA facilitator responsibilities
- Traits of an effective facilitator
- Handling different types of behaviour
- Rules for group decision-making
- Getting a group to reach consensus
- Practicing facilitation and recording skills
- Selecting workshop objectives
- Selecting workshop participants
- Logistics and setup of facilities

Hands-on CSA Workshop Practice

- Running a CSA workshop
- Identifying objectives for use in CSA workshops
- Providing feedback to others as they practice their facilitation skills
- Role-playing various personality types to gain experience in handling different workshop situations
- Refining your questioning techniques
- Using a control framework during the workshop
- Recording data for a workshop
- Checklist for running a workshop
- Checklist: What to consider when selecting the first workshop and participants

WHO SHOULD ATTEND?

Participants who wish to participate in presentations and practice workshop facilitation techniques during this course and who want to write the Certification in Control Self-Assessment (CSSA) examinations.

Level 2

Internal auditors who are already practicing internal audit and have a basic understanding of the subject

Level 3

Supervisory/competent/senior internal auditors: those who already have a sound, practical grasp of the fundamentals of internal auditing and manage staff

Level 4

For advanced internal auditors: Auditors with excellent understanding of topics being presented, who are interested in exchanging knowledge with instructors and other participants

This course satisfies the facilitation requirement for Certification in Control Self-Assessment (CSSA)

DEVELOPING AND MEASURING INTERNAL AUDIT PERFORMANCE (DIAP)

Behavioral skills



HOW WILL THIS COURSE BENEFIT YOU?

By attending this course, participants will be able to develop and measure internal audit performance standards and techniques.

COURSE CONTENT

- Setting internal audit performance standards
 - Determining appropriate standards of performance
 - Consulting with management and the audit committee on required standards of performance
- Measuring the performance of the internal audit department
 - Measurement standards
 - Measurement techniques
 - Reporting techniques
- Using gain (global audit information network) as a benchmark
- Corrective actions to enhance internal audit performance
- Templates and examples

WHO SHOULD ATTEND?

Level 3

Supervisory/competent/senior internal auditors: those who already have a sound, practical grasp of the fundamentals of internal auditing and manage staff

Level 4

For advanced internal auditors: Auditors with excellent understanding of topics being presented, who are interested in exchanging knowledge with instructors and other participants

PRESENTER:

IA Professional Placements and Related Services

KEY INFORMATION:

DURATION: 1 DAY
CPD HOURS: 8
VENUE: JOHANNESBURG
DATE / S: 22 FEBRUARY
6 SEPTEMBER

COST PER DELEGATE (INC VAT):

MEMBERS: 1 550
NON MEMBERS: 1 900

A 10% discount applies if 2 or more participants from the same company attend this course.

Please be advised of the terms and conditions set out in the General Information and Fee Information sections of this booklet.

Delegates are also requested to review the content and the levels of the courses presented before booking, to ensure they are attending the right course.



ETHICS AT WORK AND IN THE INTERNAL AUDIT PROFESSION (EWIP) **NEW**

Behavioral skills

PRESENTER:

PROZIOLOG

KEY INFORMATION:

DURATION: 2 DAYS

CPD HOURS: 16

VENUE: JOHANNESBURG

DATE / S: 18-19 JUNE

COST PER DELEGATE (INC VAT):

MEMBERS: 3 100

NON MEMBERS: 3 800

SEMINAR OBJECTIVES

- Defining and discussing different Ethics vocabulary
- Understanding and discussing the business case for ethics
- Understand the governance / management of ethics within the organisation
- Understand the role of the Internal Audit Activity and the internal auditor in the ethical culture of the organization.

COURSE CONTENT

Ethics vocabulary:

- Definition of ethics;
- Dimensions of ethics:
 - o personal ethics
 - o business ethics
 - o professional ethics
- Ethics and values;
- Ethics and the law
- Codes of conduct – organizational and professional codes

Business case for ethics:

- Reasons for ethics in business:
 - o improved governance
 - o fraud prevention
 - o reputation
 - o sustainability

Governance/Management of ethics within organisations:

- Ethics programmes / ethics management programmes
- Best practices guidance: Federal Sentencing Guidelines and KING III

Role of the internal auditor:

- Professional ethics:
 - o IIA Code of Ethics
 - o Ethics and professions
 - o Principles and virtues
 - o Principles and rules from Code used as guideline to guide ethical behaviour and solve ethical dilemmas
 - o Ethical decision-making
- Organisational ethics:
 - o IPPF: Standard 2110 and related Practice advisory:
 - o Internal auditor must assess the ethical culture of the organization as well as the adequacy and effectiveness of the ethics programmes.
- Practical case studies to test ethics principles

WHO SHOULD ATTEND?

Level 1

Entry or introductory level for those requiring a fundamental understanding

Level 2

Internal auditors who are already practicing internal audit and have a basic understanding of the subject

Level 3

Supervisory/competent/senior internal auditors: those who already have a sound, practical grasp of the fundamentals of internal auditing and manage staff

A 10% discount applies if 2 or more participants from the same company attend this course.

Please be advised of the terms and conditions set out in the General Information and Fee Information sections of this booklet.

Delegates are also requested to review the content and the levels of the courses presented before booking, to ensure they are attending the right course.

TOOLS AND TECHNIQUES FOR THE NEW AUDIT MANAGER (TNAM)

Behavioral skills



HOW WILL THIS COURSE BENEFIT YOU?

Participants will be able to:

- Plan, manage, and implement an audit from beginning to end.
- Identify, prioritize, and measure risks and their role in auditing.
- Understand how to identify, document, and evaluate internal controls.
- Use the preliminary survey to determine how and what to audit.
- Discover the best techniques for gathering audit evidence and preparing work papers.
- Enhance and practice interpersonal and team-building skills throughout the audit.
- Understand the importance of the audit communication process.
- Effectively manage the audit staff and its resources.
- Develop effective channels of communication with the CAE and executive management.
- Master audit management techniques through effective planning, problem solving, motivation, and vision.
- Learn techniques for managing time, assigning and delegating tasks, and documenting and presenting audit results.
- Create an environment of trust, teamwork, accountability, and responsibility and develop strategies to increase participation and cooperation of the audit staff.

COURSE CONTENT

The Internal Auditor Manager's Roles and Responsibilities

- Chief Audit Executive vision
- Managing styles and expectations
- Internal audit department life cycle and company role
- Audit manager responsibilities
- Structure of the typical audit function
- Organizational expectations of the audit staff

- The different roles that internal audit functions serve within an organization from compliance to internal consulting

Internal Auditing Standards and Ethics

- Code of Ethics for internal auditors
- International Standards for the Professional Practice of Internal Auditing
- Professional standards for staffing and managing the internal audit function

External Relationships - Cooperation

- Outsourcing vs. co-sourcing
- Internally loaned staff
- Managing new direct reports
- Peer relationships
- Interns, temporaries, and part time
- Communicating with the audit committee
- Cooperation exercises

Internal Relationships - Teamwork

- Training development (self and staff)
- Mentoring, coaching, setting performance objectives
- Recruitment, dismissal, disciplining, coaching
- Administration, performance reviews
- Transitioning into your new role
- Understanding compliance and legal issues
- Managing facilities and equipment
- Career options for auditors from new staff to CAE
- Staff development within the department and within the organization
- Teamwork exercises

Audit Planning and Performance

- Risk assessment and the impact of internal and external variables
- Understanding the business
- Developing an annual audit plan
- Selecting winning teams
- Setting clear expectations
- Scheduling (talent measurement)
- Maximizing project management tools
- Making the most of time budgeting
- Identifying management's chief concerns, visions, goals, and objectives
- Assisting the external auditors

PRESENTER:

IA Professional Placements and Related Services

KEY INFORMATION:

DURATION: 4 DAYS
CPD HOURS: 32
VENUE: JOHANNESBURG
DATE / S: 7-10 MAY
25-28 SEPTEMBER

COST PER DELEGATE (INC VAT):

MEMBERS: 6 200
NON MEMBERS: 7 600



A 10% discount applies if 2 or more participants from the same company attend this course.

Please be advised of the terms and conditions set out in the General Information and Fee Information sections of this booklet.

Delegates are also requested to review the content and the levels of the courses presented before booking, to ensure they are attending the right course.



TOOLS AND TECHNIQUES FOR THE NEW AUDIT MANAGER (TNAM) CONTINUED

Behavioral skills

- Various partnerships that can be created

Managing Change

- Reviewing key elements of work papers
- Editing and enhancing work papers
- Time management
- Prioritizing issues
- Managing conflict
- Hiring staff with the best experience, knowledge, skills, and attitudes
- Building knowledge and skills consistent with the needs of the department and the organization
- Finding a role model or mentor for accountability and growth
- Identifying staff needs, developing staff skills, and directing and motivating staff efforts
- Marketing the audit
- Managing work schedules and assignments and maintaining desirable productivity levels
- Monitoring work and maintaining open communication with audit staff and the CAE
- Job rotations and job sharing outside of internal audit

Internal Control

- Review management's vs. internal audit's responsibility for control
- Review tools for documenting and evaluating internal controls
- Discuss internal control and the principles of enterprise risk management

Interpersonal Skills and Interviewing

- Building rapport with staff, the boss, and managers
- Personality profiling (eg Myers Briggs)
- Communicating with audit customers
- Team dynamics
- Maximizing techniques for effective interviewing
- The relationship between good communication and problem solving
 - o Exercise: Audit interview role playing

- Understanding staff motivation, goals and developmental needs
- Maintaining positive communication during the audit process
- Encouraging two-way communications between management and staff
- Effectively dealing with people, gaining their cooperation and resolving differences in an agreeable manner
- Changing behaviours in non-threatening persuasive ways
- Making progress through the positive side of conflict
- Characteristics of the best managers (and the worst managers)

Audit Process - Detailed Steps

- Make automated work papers work for you
- Work paper procedures and best practices
- Understanding and evaluating results
- Staff evaluations and reviews
- Constructive criticism for growth
- Reporting results effectively and efficiently
- External partner evaluations
- Audit customer evaluations
- Scheduling considerations, measuring and matching expertise with staff assignments and setting growth goals
- Using innovation seeking techniques, along with teamwork and creativity, to identify opportunities and practical solutions
- Project management tools for monitoring audit progress

Communicating Results

- Making the most of audit findings
- Planning and conducting win/win exit conferences
- Selling the audit results
- Perception and innovation



Next Page

A 10% discount applies if 2 or more participants from the same company attend this course.

Please be advised of the terms and conditions set out in the General Information and Fee Information sections of this booklet.

Delegates are also requested to review the content and the levels of the courses presented before booking, to ensure they are attending the right course.

TOOLS AND TECHNIQUES FOR THE NEW AUDIT MANAGER (TNAM) CONTINUED

Behavioral skills



Tying It All Together

- Marketing the audit department's functions, creating a positive audit department reputation based on professionalism, consideration and value-added/effective audit reports
- Answering the "How do I...?" questions identified during the course and tying these to real-life challenges
- Developing a plan to implement the concepts discussed in the course

References for Future Audits

- Guidelines for interviewing job candidates along with sample interview questions
- Key areas that a typical internal audit department's procedures should address
- Sample internal audit department forms for your consideration as templates, or for you to compare to your internal audit department's existing file
- Articles related to the operation and management of the internal audit function, written by some of the profession's leaders and best known spokespersons

WHO SHOULD ATTEND?

New audit managers with less than six months of audit management experience. Non-auditors with responsibility for managing staff and risk-based environments.

Level 3

Supervisory/competent/senior internal auditors: those who already have a sound, practical grasp of the fundamentals of internal auditing and manage staff

Level 4

For advanced internal auditors: Auditors with excellent understanding of topics being presented, who are interested in exchanging knowledge with instructors and other participants

A 10% discount applies if 2 or more participants from the same company attend this course.

Please be advised of the terms and conditions set out in the General Information and Fee Information sections of this booklet.

Delegates are also requested to review the content and the levels of the courses presented before booking, to ensure they are attending the right course.



TRAIN THE TRAINER – ENTRY LEVEL COURSE (TTTE) **NEW**

LIMITED SPACE

Behavioral skills

PRESENTER:

PROZIOLOG

KEY INFORMATION:

DURATION: 3 DAYS

CPD HOURS: 24

VENUE: JOHANNESBURG

DATE / S: 27-29 FEBRUARY

5-7 JUNE

COST PER DELEGATE (INC VAT):

MEMBERS: 4 650

NON MEMBERS: 5 700

SEMINAR OBJECTIVES

Identifying, training, coaching and empowering future trainers on an entry level in the Internal Auditing industry to enhance the transfer of knowledge to fellow internal auditors

COURSE CONTENT

1. Presentation Skills
 - a. Climate setting
 - b. Suggested seating arrangements
 - c. Promote understanding and retention
 - d. Use of pacing to avoid boredom
2. Audiovisual techniques
 - a. Slideshows
 - b. Charting techniques
 - c. Psychology of colour
 - d. Audiovisual materials checklist
3. Basic Facilitation Skills
 - a. Facilitation vs Presentation
 - b. What do facilitators do?
 - c. Group dynamics and group functions
4. Conflict Management
5. International Standards for the Professional Practice of Internal Audit (Including Definition and Code of Ethics)
6. Risk and Control Frameworks

Presentation, facilitation and conflict management skills are assessed through various processes, including video recordings and delegates each receive a formal written assessment on their progress and possible shortcomings

WHO SHOULD ATTEND?

Individuals who wish to be trained as future trainers with limited or no training experience

Level 1

Entry or introductory level for those requiring a fundamental understanding

Level 2

Internal auditors who are already practicing internal audit and have a basic understanding of the subject

Level 3

Supervisory/competent/senior internal auditors: those who already have a sound, practical grasp of the fundamentals of internal auditing and manage staff

A 10% discount applies if 2 or more participants from the same company attend this course.

Please be advised of the terms and conditions set out in the General Information and Fee Information sections of this booklet.

Delegates are also requested to review the content and the levels of the courses presented before booking, to ensure they are attending the right course.

TRAIN THE TRAINER – INTERMEDIATE LEVEL COURSE (TTTI) **NEW**

LIMITED SPACE

Behavioral skills



SEMINAR OBJECTIVES

Identifying, training, coaching and empowering future trainers on an intermediate level in the Internal Auditing industry to enhance the transfer of knowledge to fellow internal auditors. The focus is more on the ability to transfer technical content and updating of presentation and facilitation skills.

COURSE CONTENT

1. Advanced Presentation Skills
2. Risk Management Principles
3. Managing the Audit Assignment
4. Risk Based Auditing
5. Update on Presentation Skills

Practical exercises are used for the assessment of presentation skills and content knowledge and formal written assessments are given to each delegate.

WHO SHOULD ATTEND?

Individuals with some training background and experience who wish to further empower themselves to provide training.

Level 2

Internal auditors who are already practicing internal audit and have a basic understanding of the subject

Level 3

Supervisory/competent/senior internal auditors: those who already have a sound, practical grasp of the fundamentals of internal auditing and manage staff

Level 4

For advanced internal auditors: Auditors with excellent understanding of topics being presented, who are interested in exchanging knowledge with instructors and other participants

PRESENTER:

PROZILOG

KEY INFORMATION:

DURATION: 3 DAYS

CPD HOURS: 24

VENUE: JOHANNESBURG

DATE / S: 2-4 APRIL

25-27 JUNE

COST PER DELEGATE (INC VAT):

MEMBERS: 4 650

NON MEMBERS: 5 700

A 10% discount applies if 2 or more participants from the same company attend this course.

Please be advised of the terms and conditions set out in the General Information and Fee Information sections of this booklet.

Delegates are also requested to review the content and the levels of the courses presented before booking, to ensure they are attending the right course.



TRAIN THE TRAINER – ADVANCED LEVEL COURSE (TTTA) **NEW**

LIMITED SPACE

Behavioral skills

PRESENTER:

PROZIOLOG

KEY INFORMATION:

DURATION: 3 DAYS

CPD HOURS: 24

VENUE: JOHANNESBURG

DATE / S: 14-16 MAY
30 JULY - 1 AUGUST

COST PER DELEGATE (INC VAT):

MEMBERS: 4 650

NON MEMBERS: 5 700

SEMINAR OBJECTIVES

Identifying, training, coaching and empowering future trainers on an advanced level in the Internal Auditing industry to enhance the transfer of knowledge to fellow internal auditors. High level technical aspects are addressed with the emphasis on assisting the trainer in answering difficult, technical questions and ensuring that high level audiences also obtain knowledge transfer in a training friendly environment.

COURSE CONTENT

1. Managing the Audit Activity
2. Auditing Various Engagements
3. Consulting Engagements
4. Quality Assurance
5. Audit Performance Management and Audit Committee Reporting
6. Update on Presentation Skills

Practical case studies are used to assess knowledge and skills. Each delegate once again receives formal written feedback.

WHO SHOULD ATTEND?

Individuals with training experience and competency levels who wish to update themselves on training practices and technical aspect to be able to pursue a possible career as a trainer.

Level 3

Supervisory/competent/senior internal auditors: those who already have a sound, practical grasp of the fundamentals of internal auditing and manage staff

Level 4

For advanced internal auditors: Auditors with excellent understanding of topics being presented, who are interested in exchanging knowledge with instructors and other participants

A 10% discount applies if 2 or more participants from the same company attend this course.

Please be advised of the terms and conditions set out in the General Information and Fee Information sections of this booklet.

Delegates are also requested to review the content and the levels of the courses presented before booking, to ensure they are attending the right course.