



Institute of Internal Auditors  
UK AND IRELAND

## IIA Training Courses



2010

Courses to improve  
your performance

Internal auditing continues to grow in profile, reputation and professionalism. Recognition of its value as a specialist business discipline is also increasing. Internal audit practitioners at every level need to ensure they are using the latest techniques and practices so they can fulfill rising demands.

As the leading specialist provider of internal audit training in the UK and Ireland, the IIA supports practitioners to gain and develop the knowledge and skills they need. The range of courses detailed in this brochure are delivered by highly experienced tutors with a wealth of practical experience and are run in a number of locations around the UK and Ireland. They are designed to support the professional development of practitioners at every level – from new entrants to the internal audit function, to experienced senior practitioners – there is something for everyone.

Our Certificate in Internal Audit and Business Risk and Introductory courses are perfect for staff who are experiencing internal audit for the first time (see pages 5 and 8), whilst our strategy courses will appeal to heads of internal audit with years of experience looking to broaden their skills and perspective (see page 15) and contribute to their CPD.

We can also create bespoke training packages delivered in-house.

Membership of the Institute entitles you to discounted training courses and discounted attendance to the IIA – UK and Ireland's annual conference and regional events – become a member and start saving today!

Visit our website at [www.iaa.org.uk/en/Courses\\_and\\_Events](http://www.iaa.org.uk/en/Courses_and_Events) to view our full calendar of events, including conferences and seminars.

We look forward to welcoming you both as a course participant and as a member of the IIA – UK and Ireland.

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Why choose training courses from the IIA?

98% of delegates  
rated IIA training  
courses as 'good to  
excellent' in 2009.

## IIA Certificate in Internal Audit and Business Risk

The IIA Certificate is an accredited training programme for new or inexperienced practitioners planning to work in internal auditing or similar areas, who need a sound grounding in all the practical competencies for operating effectively in their role but who are not yet ready to undertake a professional qualification. The programme is assessed through demonstration of experience and practice, leading to the designation IACert.

Successful candidates will be able to:

- ▲ demonstrate a recognised level of proficiency in internal auditing, compliance testing and risk assessment
- ▲ apply their knowledge and skills in practical day-to-day situations
- ▲ refresh and update their knowledge in the context of recent changes
- ▲ improve their service to management and add value to their organisation

Details of Certificate courses can be found on our website [www.iaa.org.uk](http://www.iaa.org.uk)



If you want details on how to enrol on the programme please contact our training team on 020 7498 0101 or email [trainingandevents@iaa.org.uk](mailto:trainingandevents@iaa.org.uk). You can also attend one of the Certificate training courses on a standalone basis if you wish.

## Join as a member and get the benefits!

*We give guidance through:*

- ▲ a dedicated resource library where you can search and access documents and articles online as well as a dedicated technical helpline to answer any questions you may have
- ▲ professional guidance issued by the IIA as it is published
- ▲ an award winning monthly magazine *Internal Auditing* and an online email bulletin
- ▲ access to additional global online resources at the IIA global website

*Membership can enhance your professional reputation and development by:*

- ▲ providing uniquely focused qualifications for every stage of your internal auditing career
- ▲ giving you special savings on our market leading training courses, seminars and events
- ▲ being part of a global network of over 160,000 internal auditing professionals
- ▲ IIAAdvantage - a new lifestyle, travel and business benefits package designed to save you time and money

# In-house training

## - delivering in a way that suits you

As the largest supplier of internal audit training, the IIA is committed to the ongoing development of internal auditors and we offer an extensive programme of training and learning opportunities. Our in-house training service provides you with a flexible and cost effective approach to learning where we bring our experts to you.

### The benefits

#### ▲ *First class training*

All trainers are highly skilled in their areas of expertise and have a wealth of personal knowledge and experience. Many combine training delivery with hands on experience in internal audit and risk management.

#### ▲ *Cost effective*

Since the training takes place at your own premises, there is no travel, no time away from the workplace and no expenses often associated with public training courses. Fees are charged per day rather than per delegate, therefore staff can be trained at a very low cost per person enabling you to maximise your training budget.

#### ▲ *Flexible*

All the courses from our public training programme can be offered on an in-house basis. Should you require something more tailored to your exact training requirements, we can also develop a course to suit your specific needs. As you are able to arrange a date that fits in with existing work demands, in-house training offers the ultimate flexible training solution.

#### ▲ *Immediate impact*

By learning in familiar surroundings and having colleagues alongside throughout the training, the impact throughout the organisation is immediate. Sensitive company information can be shared and used as real life examples during the course in complete confidence to enable you to relate your learning directly back to your working environment.

### The package

#### ▲ *Standard course*

Any course direct from the training programme with very few adaptations to format and content.

#### ▲ *Tailored course*

Any course from the training programme where the course content, length or main focus is tailored to suit specific requirements.

#### ▲ *Bespoke*

Any course specifically developed in accordance with the requirements of your organisation. The content, length and course focus is discussed and agreed with the relevant trainers.

# Professional Development and Practice

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# Internal Auditing - A Beginner's Course

## Fee

**Non member**  
£1600 + VAT

**Member**  
£1450 + VAT

## Date/Location

**9-11 March**  
Surrey

**11-13 May**  
Surrey

**8-10 June**  
York

**7-9 September**  
Surrey

**19-21 October**  
York

**9-11 November**  
Surrey

**7-9 December**  
York

**As a result of emerging corporate governance requirements in the private and public sectors, the profile of internal audit has reached an all time high. If you are about to become involved in internal audit, it is vital that you are aware of the fundamental requirements of the role within today's organisations.**

This three day practical course takes participants from any business sector through the principles, recognised best practices and essential techniques of internal auditing. It provides you with guidance on planning and performing audit work in line with the latest standards and current thinking.

### Who should attend?

New entrants to internal audit, internal auditors with limited experience and those returning to the function will find the course a useful overview.

### How will this course benefit you?

After completion you will be able to:

- ▲ understand the organisation, planning and control of internal auditing
- ▲ relate to the current philosophy and practice
- ▲ realise and manage the behavioural implications of internal auditing
- ▲ appreciate the essential techniques to be used

### Course programme

- ▲ the challenging world of internal audit
  - the purpose
  - potential and change
  - principles of internal audit
  - current *International Standards* for the Professional Practice of Internal Auditing
- ▲ internal audit relationships
  - management expectations
  - image of internal audit
  - behavioural reactions
  - building relationships
  - external audit
- ▲ fraud and the internal auditor
  - what is fraud?
  - why involve internal audit?
  - police implications
  - fraud investigations
- ▲ planning internal audit work
  - the audit charter
  - the audit universe
  - risk assessment and risk based internal audit
  - strategic, annual and assignment plans

- ▲ risk management, corporate governance and control evaluation
  - definitions
  - internal control and COSO
  - systems, risk and control objectives
  - types of controls
  - evaluation techniques and documentation
- ▲ interviewing techniques
  - types of interview
  - essential features
  - use of questions
  - body language
  - note taking
- ▲ testing, sampling and working papers
  - problems for internal auditors
  - effects on auditees
  - a testing framework
  - evidence
  - a working paper strategy
- ▲ computer audit (an overview)
  - changing role
  - the generalist and computer auditor
  - computer fears
  - organisation of computer audit
  - computer audit techniques
- ▲ internal audit reporting
  - style
  - structure
  - marshalling information
  - clarity
  - words choices and grammar implications
- ▲ quality assurance of internal audit
  - qualitative aspects
  - performance measures
  - quality standards
  - defending internal audit

### Prerequisites

None.

### Presented by

L.G. Westwood, FCCA, CPFA, FIIA, Consultant.  
Stephen Maycock, QiCA FIIA, CIRM, Consultant.

### Note

This course is fully residential. The fee includes course materials, two nights accommodation and meals and refreshments throughout.

# “How to Audit” Series Workshops

Ever since their launch in 2008, the “How to audit” series of practical one day workshops have proved to be extremely popular. All the topics in the series cover topical and thought provoking subjects that commonly feature as organisational risks or key systems within organisations.

The “How to audit” workshops are a great way to hear about the latest developments in various areas of audit through an interactive learning approach that mixes input, practical exercise, shared experiences, post course write ups and links to additional resources.

Reduce some of the time it takes for background research by letting the “How to audit” series give you a head start and new high level perspectives when thinking about your next audit. These workshops will help you deliver more effective and professional assurance to your organisation over complex and changing subjects.

## Who should attend?

The workshops are designed to be relevant to internal auditors from every business sector, private, public and voluntary and for delegates with varying levels of practical experience. It is most relevant to those about to embark upon an internal audit of the subject and for those who manage audits that cover the subject area and for anyone wishing to stay up to date with topical developments and potential organisational risks.

## How will these workshops benefit you?

After completion, you will be able to:

- ▲ understand the role and importance of key areas and how they contribute to the achievement of organisational objectives and strategy
- ▲ recognise the objectives of key areas within any organisation
- ▲ identify and assess risk and appropriate mitigation association with the key area from an internal audit perspective
- ▲ select and apply effective evidence collection and testing techniques to lead to sound internal audit assurance
- ▲ know where to go for additional resources and information to help you audit more effectively

## Course programme

A blend of theoretical, technical, discursive and practical approaches covering:

- ▲ risk associated with each subject area
- ▲ risk mitigation, management and cost effectiveness
- ▲ topical current issues and developments
- ▲ practical re-enforcement through a team based scenario simulation
- ▲ audit testing and evidence collation
- ▲ practical problems, obstacles and barriers when auditing this subject

## Presented By

John Chesshire FIIA MIIA PIIA, Freelance Internal Audit Consultant.

Nigel Freeman, FIIA, MIIA, FACTS Limited.

## Note

These workshops are non residential.

## Fee

**Non member**  
£375 + VAT

**Member**  
£275 + VAT

## Workshop/Date/Location

### Customer service

28 April  
7 July  
London

### Corporate risk management

29 June  
5 October  
London

### Management information

30 June  
London

### Expenses policies and systems

6 July  
1 December  
London

### Procurement

29 January  
6 October  
London

### Marketing

30 November  
London

# Audit Report Writing

## Fee

Non member  
£585 + VAT

Member  
£485 + VAT

## Date/Location

3 March  
London

22 October  
London

**Auditors often, inadvertently, create ineffective audit reports - they are unclear, offer no logical sequence and fail to convince the reader.**

This brief course provides a stimulating and practical introduction to audit report writing and focuses on report structure and effectiveness.

### Who should attend?

This hands-on course is open to all, although auditors with less experience will find it of greatest value. The heart of the course is in the correct sequencing and presentation of observations to create a compelling content. The result is the production of reports that are seen to contribute significant value.

### How will this course benefit you?

After completion you will be able to:

- ▲ write a report using information that meets target audiences' requirements
- ▲ deploy a structure for writing up observations that maximise acceptance of the audit viewpoint
- ▲ apply strategies to maximise conciseness and improve readability

### Course programme

- ▲ audience and framework: empathy for your audience
  - the target audience
  - approved structures for audit reports
  - trends and changes in audit reporting
- ▲ the nitty - gritty: writing up observations
  - the five "cs" approach
  - the condition (finding)
  - the criterion (yardstick)
  - the cause (reason)
  - the consequence (effect)
  - the conclusion (recommendation)
  - quality checking observations
  - audit rating scales and opinions
  - common variations in report layouts:  
paragraph structure / table structure / action strip structure

- ▲ good writing: conciseness and readability
  - brevity
  - phrasing and jargon
  - design and layout

### Presented by

MindGrove Ltd.

### Note

This course is non residential.

# Improving Audit Reports for Senior Practitioners and Heads of Internal Audit

**The most difficult audit challenge is to produce an audit report that is businesslike, relevant, compelling and value-adding.**

This one-day course explores the possibilities of improving report communications by harvesting ideas used by successful audit teams.

## Who should attend?

Senior auditors who need to influence written communications within the organisation.

## How will this course benefit you?

After completion you will be able to:

- ▲ evaluate options for improving reporting within your organisation
- ▲ deploy a reporting structure that engages and communicates greater value to the reader
- ▲ apply strategies to improve the readability of finalised reports

## Course programme

- ▲ audience and image
  - style expectations of your target audience
  - house-styling communications - do you really need branding?
  - the message you want your image to promote
  - preferred delivery formats: paper, electronic, or both?
  - look and feel of completed reports
- ▲ audience and empathy
  - trends and changes in the style of audit reporting
  - audit rating scales and opinions - translating these for the reader
  - inclusion of synopsis data and high level visual devices such as temperature maps, visual risk indicators or scoring tables
  - body framework layouts: paragraph structure / table structure / action strip structure
  - inclusion of process maps, images, charts and visual aids - careful use of meaningful graphics
  - generation of alternative formats: reports in word; reports in excel; reports in powerpoint
  - using software to assist quality assurance

- ▲ audience and readability
  - brevity and communication
  - phrasing, language construction and jargon, avoiding dullness
  - constructing a house style: preferred rules of expression, sentence structure and grammar; the use of words
  - design and layout - page layout, the use of white space, typographic options, paragraph styling

## Presented by

MindGrove Ltd.

## Note

This course is non residential.

## Fee

**Non member**  
£585 + VAT

**Member**  
£485 + VAT

## Date/Location

**3 November**  
London

# Ultimate Persuasion Techniques

## Fee

Non member  
£585 + VAT

Member  
£485 + VAT

## Date/Location

22 April  
London

16 September  
London

**Tired of all the usual excuses and arguments your colleagues offer you? Fed up with wasting time arguing hour after hour with someone who will eventually give in and do what you want? In your job you need to enable smooth transitions to better methods and risk limiting outcomes. You cannot afford to lose the argument!**

You need to draw on all the techniques of persuasiveness available to you today, and that is what this course will enable you to do. This course is your answer to the stubborn, the unwilling and the downright difficult.

### Who should attend?

Anyone who needs to get the rest of the department, the rest of the organisation, the rest of the family or the rest of the world on their side.

### How will this course benefit you?

After completion you will be able to:

- ▲ influence all types of individual
- ▲ understand why some people are more difficult than others to persuade and still persuade them
- ▲ use your behaviour to help others accept your ideas
- ▲ understand how to build very high levels of rapport
- ▲ build a permanent commitment to any changes you introduce

### Course programme

This course offers you the chance to bring your own situations where you need to be more persuasive to the session and walk away with a solution.

- ▲ influencing skills audit
  - assertion, expertise, political acumen through preparation
  - effective presentations, client centred
- ▲ people
  - understanding the human psyche
  - the hidden effect you can have
  - behaviour breeds behaviour
  - how to make sure you use your own behaviour wisely and that no one takes advantage of you
- ▲ emotional intelligence
  - understand the impact of your emotional intelligence
  - use it to influence colleagues, customers and family alike
  - how do your filters work? Are they helping or hindering?

- ▲ the power of body talk
  - using your body talk to influence
  - choosing the words with care
- ▲ OK, influence me
  - role plays to help you practise your new skills
- ▲ permanent commitment
  - how to ensure lasting influence
  - get real not token agreement
  - see it past the new toy stage

During the course we will use the case studies you have provided: this is your chance to get a solution for one of your persuasion needs.

Before attending the workshop you will be asked to complete a questionnaire to help you think about your approach to those you seek to influence. How many of the six key skills can you claim as your own?

### Presented by

Jane Allan & Associates.

### Note

This course is non residential.

# Better Business Communication Skills

Every senior internal auditor needs to communicate effectively and confidently. This two day interactive course will help you gain the practical knowledge and understanding needed for good business communication skills.

## Who should attend?

This course has been designed for senior internal auditors who wish to benchmark and improve their business communication skills.

## How will this course benefit you?

After completion you will be able to:

- ▲ develop, present and market a realistic vision, mission and strategy for internal audit that meets the needs of key audit clients
- ▲ build personal networks to make it easier to contact and access relevant people when you need help to assess situations and accomplish tasks
- ▲ use a framework that enables you to identify problems and evaluate appropriate solutions
- ▲ apply questioning and behavioural skills when dealing with challenging situations and difficult people
- ▲ motivate the audit team and building rapport
- ▲ complete an action plan for implementation in the work place

## Course programme

- ▲ development and marketing of the vision, mission and strategy of the internal audit function - understanding how the audit strategy links to the organisational strategy, selling the audit strategy to key audit clients and marketing it within the wider business areas
- ▲ networking skills - understanding the needs and expectations of key internal and external clients and working with them to mutual advantage
- ▲ facilitating creative and analytical problem solving - framework for problem solving, using logic and developing practical business solutions
- ▲ managing challenging situations - recognising when to be assertive and when to back off, influencing and negotiation skills
- ▲ management of the audit team including group dynamics and decision making, motivation and conflict management

The course is participative with opportunities for role play and group and individual exercises aimed at developing confidence in your business communication skills in an enjoyable and relaxed environment.

## Presented by

This course has been designed and developed by the IIA and will be presented by specialist trainers.

## Note

This course is non residential.

## Fee

**Non member**  
£990 + VAT

**Member**  
£890 + VAT

## Date/Location

**9-10 March**  
London

**6-7 July**  
York

**23-24 November**  
London



Institute of Internal Auditors  
UK AND IRELAND

# Heads of Internal Audit Service

## Lead your profession – Join HIAS today

In a highly competitive and increasingly complex business environment, it's vital that those leading the internal audit function within an organisation are at the cutting edge of their profession.

The IIA Heads of Internal Audit Service (HIAS) has been designed to keep you informed of the important governance, risk management and assurance practices as well as connecting you with those who understand and share the challenges you face.

As a member of this exclusive service, you will have access to a suite of dedicated services, designed to keep you informed, up-to-date and ahead of the game:

- ▲ Monthly forums and networking opportunities
- ▲ Benchmarking survey facility
- ▲ Regular news roundup emails
- ▲ Online discussion forums
- ▲ Member directory of HIAS members
- ▲ Internal audit information – online and in print
- ▲ Executive briefings and analysis.

**Informing. Inspiring. Assuring.**

For more information and to register to join the Heads of Internal Audit Service go to: [www.iaa.org.uk/hias](http://www.iaa.org.uk/hias) or **contact** the team on 020 7819 1906.

# Strategy and Leadership



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# The Balanced Scorecard

## Fee

**Non member**  
£580 + VAT

**CIMA members' early booker discount**  
£520 + VAT  
(a saving of 10%)  
available for CIMA and IIA members only, up to 28 days before the course.

This course is endorsed by the Institute of Internal Auditors - UK and Ireland.

## Date/Location

**25 February**  
London

**1 July**  
Nottingham

**7 October**  
London

**2 December**  
Manchester

**6 CPD hours**  
(for non-CIMA members)



## Principles, practicalities, progress and pitfalls.

### Who should attend?

- ▲ chief executives and others concerned with defining, articulating, communicating, and delivering their business units' strategy
- ▲ finance directors and others responsible for the preparation, analysis and presentation of financial and non-financial information
- ▲ IT directors needing to ensure that the IT strategy delivers performance management information in line with the strategic and operational needs of the business

This course is ideally attended by two or more from your organisation, with the aim of understanding the principles, practicalities and pitfalls of implementing the balanced scorecard in the context of your own business's need to deliver strategic intent.

### How will this course benefit you?

After completion you will be able to:

- ▲ gain a powerful structure for building strategy-focused performance management information that can be cascaded throughout the organisation, using the principles of the balanced scorecard
- ▲ understand how vision, strategy, objectives, measures, targets, initiatives, key performance indicators (KPIs) and their ownership can be brought together into one comprehensive performance management framework
- ▲ gain an insight into the critical role of strategy maps and how to create them not only as a fundamental building block of scorecard design but also as a powerful means of effective communication of strategic intent throughout the organisation
- ▲ explore the potential for application or improvement of the balanced scorecard in your own business
- ▲ gain an awareness of the broader organisational, technological, performance review process, people skills, and cultural issues associated with successful balanced scorecard implementation
- ▲ acquire a self-help guide for the critical evaluation of the relevance and practical application of the balanced scorecard to your own organisation

### Course programme

- ▲ rationale for the emergence of the balanced scorecard and its key benefits
- ▲ structure of the scorecard, the famous four perspectives and the pivotal role of strategy mapping
- ▲ detailed business case studies covering early adopters and organisational cascades based on real life situations; using scorecard principles to manage the efficiency and effectiveness of executing strategic intent
- ▲ practical syndicate exercises with opportunities for plenary review and discussion
- ▲ an overview of a number of key considerations that may hold back the successful adoption of a scorecard framework and its cascade throughout an organisation, for example the important role of technology and the need to align reward and recognition approaches to new performance measures
- ▲ the importance and use of personal action planning check-lists and 'prompt sheets'

### Previous delegates' comments

'Excellent grounding in the balanced scorecard - will use it to implement ours'.

'Will help me to play a more strategic role in the future BS implementation.'

### Presented by

Gary Ashworth, Director, A1 Aspirations Ltd, specialises in advanced performance management approaches. He has extensive implementation experience, and has published on the subject through Pearson and Financial Times Publications. He led Ernst & Young's performance management service line in the UK for a number of years, and more recently has set up several successful commercial ventures.

### Note

This course is non residential.

Motivating and leading a team of individuals under stress is an important skill for managers. There is often a conflict between the need to get the job done and the needs of the people in the team. This course is designed to cover a range of skills needed for getting the most from your audit team.

## Who should attend?

Managers, audit team supervisors and anyone responsible for setting up a new team or leading an existing one.

## How will this course benefit you?

After completion you will be able to:

- ▲ recognise different strengths within the team and yourself and plan how to use these effectively
- ▲ adapt your leadership style so that you achieve better results with each individual
- ▲ motivate people through a variety of methods
- ▲ coach and set goals for people
- ▲ manage performance within the team more effectively
- ▲ recognise the symptoms of stress within people and plan remedial action
- ▲ plan the audit with the team

The first part of the course focuses on feedback on Belbin team roles. Pre-work questionnaires are issued and the information is collated into a report so that you get a clear picture of what team roles are best suited to you.

The course is very participative with individual and group exercises, case study, role play, tutor input and discussion throughout.

## Course programme

- ▲ putting together the audit team
  - Belbin team role feedback for each delegate
  - understanding where the strengths and weaknesses may lie within your team
  - what's different about audit teams?
- ▲ leadership styles and how to use them effectively
  - the situational leadership model
  - you will complete a diagnostic and identify how to use the four different leadership styles with other team members

- ▲ motivation
  - recognising different motivational patterns in yourself and others
  - working with different motivational triggers to improve performance
- ▲ case study
  - this is based on an audit assignment. you will select the appropriate team and discuss the potential pitfalls of an audit
- ▲ managing stress
  - using HSE guidelines, you will work on the key factors which create stress in the workplace and learn how to mitigate that stress. The emphasis is on helping team members to support one another during stressful work periods
- ▲ coaching skills
  - you will be introduced to a coaching model and practise coaching one another on a work issue
- ▲ managing performance
  - how to prepare and structure a meeting about underperformance
  - key principles of giving feedback
  - group discussion and practical exercises on managing performance
- ▲ managing difficult people
  - recognising trigger points in others
  - managing our reactions to difficult people
  - dealing assertively with conflict
- ▲ the audit context
  - tips and hints on managing audit teams

## Presented by

Ian Middleton, MA, CA, FIIA, Director of Audit and Compliance, Scottish Legal Aid Board.

Elaine Morgan, MAST International.

## Note

This course is non residential.

## Fee

**Non member**  
£990 + VAT

**Member**  
£890 + VAT

## Date/Location

**11-12 May**  
London

**28-29 September**  
London

# The Internal Auditor's Guide to Strategic Thinking

## Fee

Non member  
£585 + VAT

Member  
£485 + VAT

## Date/Location

14 April  
London

9 September  
London

**Solutions do not just present themselves, problems do not simply go away, plans do not spring up in perfect detail out of a good night's sleep: the world of risk is not like that. More and more organisations are teaching their key people to think strategically. This makes for more efficient planning, smoother transitions in the time of change and fewer insoluble problems. This course will show you the techniques and set you on the road to efficient and clever strategic thinking.**

### Who should attend?

Heads of internal audit, senior internal audit managers and directors of risk management. In essence anyone who has to think strategically for the benefit of the organisation or their department. Non internal audit people are also welcome.

### How will this course benefit you?

After completion you will be able to:

- ▲ understand the techniques required to think strategically
- ▲ think your way through to innovative solutions
- ▲ work with your own preferred mind pattern
- ▲ get out of your present thinking box
- ▲ bust out of date thinking
- ▲ find the way forward in even the trickiest situation
- ▲ apply the concept of strategic intent and evaluate its appropriateness in your department
- ▲ prepare a competitive analysis of your department with recommendations for strategic development, based on an industry analysis and an understanding of the company's current operations
- ▲ evaluate your own organisation and your department in terms of its core competencies
- ▲ build a strategic plan for your section or department

### Course programme

The course content will be directed specifically at the industries represented in the room and delegate numbers will be limited to enable participative discussion throughout the day. Please bring any examples with you to work through in your group, as real life situations.

- ▲ understand yourself and your thought processes
  - the upper level thinking skills. We do not all use our brains in the same way. Nor are our brains wired up exactly like our colleagues. This is what adds value and additional dimensions to the thought processes
  - your personal thinking capacities
  - establish your strategic perspective

- ▲ the five criteria for strategic thinking. You must get these right if you are to think strategically
  - organisation
  - observation
  - views
  - driving forces
  - ideal position
- ▲ downboard thinking. Life can be like a game of chess: those who can think ahead to understand the consequences of our every move
  - one move ahead is not enough
  - envision the future - how to be a futurist
  - discover opportunities behind obstacles - explore patterns of behaviour
- ▲ creative and critical thinking. Most of us do not break away from what we feel comfortable with. If it's not broken, it's too tempting to leave it alone until it breaks, but that might be too late
  - how to think outside any box you know
  - techniques to reveal your creative mind
- ▲ checklist for creating a strategy. You've done your thinking now you need to make sure the strategy works and is a winner. Perhaps more importantly that your colleagues agree
  - objectives
  - SWOT
  - scenarios, targets and allies
  - tactics and timing

### Presented by

Jane Allan & Associates.

### Note

This course is non residential.

# Risk and Audit



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# Risk Based Internal Auditing - A Practitioner's Course

## Fee

**Non member**  
£585 + VAT

**Member**  
£485 + VAT

## Date/Location

**17 June**  
London

**7 October**  
London

**Risk based Internal auditing (RBIA) requires internal audit to be strategically and operationally linked to the business risk and assurance frameworks. How does this relate to internal auditors going about their day to day business?**

The approach can only be truly effective if everyone in the team understands what they are providing assurance on, the skills required to deliver a risk-based approach and how they fit into the wider assurance framework.

This course aims to give auditors an appreciation of the strategy and planning for a risk based approach and the ability to apply RBIA to audit assignments and assurance reporting.

### Who should attend?

All internal auditors providing assurance on control and management of business risk within their organisation and who want to get up to speed with an intensive one day course.

### How will this course benefit you?

After completion you will be able to:

- ▲ define risk based internal auditing in theory and practice
- ▲ map internal audit and the wider assurance framework
- ▲ provide assurance on risk maturity
- ▲ appreciate how a risk based audit plan is developed and audits prioritised
- ▲ understand how to plan, deliver and report on audit assignments using a risk based methodology
- ▲ consider the skills and competencies required to deliver risk based internal auditing

### Course programme

Many sections of this course are based on group exercises therefore you will be expected to participate fully. The following topics will be explored:

- ▲ what is risk based internal auditing (RBIA) and what does it mean in practice?
  - overview of principles and guidance
  - 3 stages of RBIA
  - driving forces for change
- ▲ stage 1: providing assurance on risk management
  - what does good risk management look and feel like?
  - the risk maturity continuum and impact on audit approach

- ▲ stage 2: planning and prioritising - the principles
  - starting with the end in mind
  - prioritising audits
  - resources and skills
  - consulting and reporting
- ▲ stage 3: risk based audit assignments
  - assignment planning
    - scoping the audit
    - building on what you know
    - linking objectives, risks and controls - a Titanic task!
    - example working papers
  - delivering assurance
    - the role of management
    - testing and evidence - how far do you go?
    - the concept of risk appetite and agreed action
    - your professional opinion
    - bringing it all together
    - behaviours and competency
    - reflection

### Presented by

This course has been designed and developed by the IIA and will be presented by specialist trainers.

### Note

This course is non residential.

# Risk Based Internal Auditing - An Audit Management Course

**Risk based Internal auditing (RBIA) requires internal audit to be strategically and operationally linked to the business risk and assurance frameworks. Internal audit adds value by providing assurances that the risk management framework, processes, controls and outcomes are effective. This is a prime source of assurance for the Board to consider when reviewing and reporting on the effectiveness of the system of internal control.**

The effectiveness and maturity of risk management within the organisation will determine how internal audit approach their planning and assignments. Applying risk based internal auditing also enables internal audit to form an opinion on the adequacy of the assurance framework and reliability of assurance sources. New skills are required of internal auditors to ensure they implement RBIA effectively.

## Who should attend?

Heads of internal audit and senior internal auditors involved in planning and providing assurance on control and management of business risk within their organisation.

## How will this course benefit you?

After completion you will be able to:

- ▲ understand what RBIA means and how it might be applied in your organisation
- ▲ carry out a risk management review and determine risk maturity and apply the relevant audit approach
- ▲ produce a risk based audit plan
- ▲ appreciate how internal audit fits in to your organisation's assurance framework and undertake an assurance mapping exercise
- ▲ apply a risk based audit methodology to audit assignments
- ▲ provide meaningful assurance statements to your Audit Committee and Board.

## Course programme

Many sections of this course are based on group exercises therefore you will be expected to participate fully. This course will provide you with practical examples and case studies of applying risk based internal auditing to:

- ▲ environment
  - driving forces for a risk based approach
  - overview of current guidance - the three stages of RBIA reporting on internal control and giving the audit committee confidence
- ▲ assurance framework
  - sources of assurance to the board
  - mapping assurance sources
  - reviewing the adequacy of assurance
  - linking the audit plan into the assurance framework

- ▲ stage 1: risk management and maturity
  - what does good risk management look and feel like?
  - auditing risk management and forming risk maturity opinions
  - where does your organisation sit on the risk maturity continuum?
  - looking at a group, organisation and functional perspective on risk maturity
  - top tips for moving to a risk managed organisation
- ▲ stage 2: risk based audit planning
  - audit planning case study
  - mapping risks, processes, business units and assurance
  - prioritising the focus of assurance (or what to audit with limited resources)
  - providing assurance on risks which are not being controlled (treated)
  - understanding the concept of risk appetite
  - the involvement of management in the audit plan
- ▲ risk based assignment planning and reporting
  - scoping the assignment
  - monitoring controls - the management role
  - reporting conclusions and agreeing action - a new approach
- ▲ reporting on risk and control
  - assurance statements from internal audit
  - making assurance statements meaningful and useful
- ▲ challenges to successful implementation
  - practical problem solving to provide solutions to your barriers

## Presented by

This course has been designed and developed by the IIA and will be presented by specialist trainers.

## Note

This course is non residential.

## Fee

**Non member**  
£990 + VAT

**Member**  
£890 + VAT

## Date/Location

**24-25 March**  
London

**7-8 July**  
York

**17-18 November**  
London

# Value for Money / Performance Auditing

## Fee

**Non member**  
£990 + VAT

**Member**  
£890 + VAT

## Date/Location

**15-16 April**  
London

**20-21 October**  
London

Organisations are increasingly facing performance driven challenges motivated by the need for greater economy and efficiency. However, relatively few auditors have in-depth experience of Value for Money /Performance Auditing.

This unique practice based course brings together the common elements of VFM /Performance based reviewing into a single source for a reviewer.

### Who should attend?

This hands-on course is designed for all reviewers, particularly internal auditors that need to execute VFM / performance reviews. The delegates will conduct VFM / performance case reviews as part of the course structure.

### How will this course benefit you?

After completion you will be able to:

- ▲ explain the nature and purpose of VFM / performance auditing
- ▲ plan and conduct a VFM / performance audit
- ▲ form an opinion on the economy, efficiency and effectiveness of a system
- ▲ produce compelling VFM / performance audit reports

### Course programme

- ▲ what is VFM / performance auditing?
  - organisational drivers and objectives - the notion of a cascading framework of defined objectives
  - VFM / performance auditing and how it relates to the meeting of organisational goals and objectives
  - the challenges of VFM / performance auditing
  - relating VFM / performance auditing to key performance indicators, balanced scorecards and other forms of measurement
  - the VFM / performance auditor
- ▲ initiating and planning the VFM / performance audit
  - a risk-based approach to VFM / performance auditing: a model framework
  - the key steps in the VFM / performance auditing cycle
  - special planning considerations for VFM / performance audits

- ▲ executing the VFM / performance audit
  - conducting the VFM / performance audit
  - working with others during the VFM / performance audit
  - setting and assigning VFM / performance audit metrics
  - issues that must be considered in the data collection process
  - issues when analysing data and extracting conclusions
  - documenting the VFM / performance audit
  - communication during the audit and quality assurance of the results
  - VFM / performance audits - core processes and process improvement
  - VFM / performance auditing and information technology
  - VFM / performance audits of activities with an environmental perspective
- ▲ reporting the VFM / performance audit
  - producing VFM / performance audit reports
  - structure and presentation of the VFM / performance audit result - the high impact reporting approach
  - distributing a VFM / performance audit report for maximum attention and impact
  - follow-up to the audit

### Presented by

MindGrove Ltd.

### Note

This course is non residential.

# Auditing Projects and Project Risk

No-one wants to squander money on under-functional or over budget projects. Increasingly, those with risk related roles are being asked to give assurance that project risks are assessed, governed and minimised. This course provides an intellectually stimulating introduction to the subject of projects and project risk.

## Who should attend?

Anyone responsible for assessing or auditing project or programme risk that needs to establish whether project risk is being properly controlled.

This course tackles the Audit of Projects and Project Risk through case work. At the end of the course all delegates will have become highly project-risk-aware and be able to add significant value to the project review process.

## How will this course benefit you?

After completion you will be able to:

- ▲ identify the critical differences between programmes and projects
- ▲ review the roles and services that support programmes and projects
- ▲ evaluate the interplay between risk, cost and time in projects
- ▲ plan for project and programme audits
- ▲ describe the types of review that are used to assess projects
- ▲ identify when to assess project and programme risk
- ▲ perform project risk reviews
- ▲ report on project risks

## Course programme

- ▲ terminology, players and methods
  - defining project and programmes - essential differences
  - key players and roles
  - project management methods
  - project diversity - different project types
- ▲ managing successful projects and programmes
  - how projects and programmes put organisations at risk
  - the risk profile of a typical project
  - the audit role in projects and programmes
  - the auditor's involvement in projects - a suggested working framework
  - planning for audit action
- ▲ first steps
  - how projects are initiated - where and how does risk assessment figure?
  - how to assess initial project risk

- factoring in complexity: consortia, partnership operations, process restructuring and culture risk
- performing an independent risk assessment at project start-up
- ▲ planning
  - good and bad business cases: tangible and intangible; costs and benefits
  - project plans: the good and the bad
  - key performance targets, critical success factors and indicators
  - risk stemming from technical issues
- ▲ teams, metrics and money
  - the project team: people and risk factors associated with pace and stress
  - understanding project metrics: independent project auditors, project offices and project accountants
  - communications and quality issues
- ▲ hidden dependencies
  - encountering and dealing with snags - projects at intermediate stages - risk proximity, opportunity and impact
  - problem inflation and deflation
  - controlling additional costs and time penalties
  - plan reassessment
- ▲ documentation, change and quality
  - project documentation
  - change management
  - quality management
- ▲ testing, acceptance and rollout
  - late project corrections
  - testing and acceptance
  - rollout
- ▲ benefits and outcomes
  - benefits and realisable outcomes
  - deciding on project contributions
  - measuring success and failure
- ▲ end of project reviews
  - post project reviews and lessons extraction
  - post implementation reviews

## Presented by

MindGrove Ltd.

## Note

This course is non residential.

## Fee

**Non member**  
£990 + VAT

**Member**  
£890 + VAT

## Date/Location

**4-5 March**  
London

**17-18 June**  
London

**16-17 September**  
London

**2-3 December**  
London

# IT Governance and Risk - for the Non-IT Professional

## Fee

**Non member**  
£990 + VAT

**Member**  
£890 + VAT

## Date/Location

**25-26 March**  
London

**4-5 November**  
London

Although governance is a key corporate issue, discussion of IT governance is often restricted to those with a strong IT background. The content of this course is pitched at those who are less familiar with technology but nevertheless have to make a contribution to the subject.

This course spends a significant amount of time examining the latest standards and guidance.

### Who should attend?

Anyone who wishes to extend their knowledge into the field of IT governance or anyone that needs to obtain a balanced overview of this subject in order to make a contribution to the governance and risk debate. This course does not require an IT background and is suitable for those that spend little time working with technology.

### How will this course benefit you?

After completion you will be able to:

- ▲ understand how IT facilitates the delivery of organisational objectives
- ▲ understand the structures and standards underpinning IT governance
- ▲ understand the boundaries imposed on information technology by UK law
- ▲ understand the key risks involved in the arrangements for and support of IT services, software developments and how these can be managed
- ▲ understand the major security related risks that occur in the delivery of IT services and how these can be reduced

### Course programme

- ▲ IT governance
  - connecting IT with the objectives of the organisation
  - dependence on IT for meeting the organisation's objectives
  - IT governance and governance at large - why pick on IT?
  - how the board and management should address the challenge of IT governance
- ▲ governance structures and standards
  - ISO/IEC 38500:2008 - a new standard for the corporate governance of information communications and technology
  - COBIT, VAL-IT - established frameworks for control and value
  - ITIL, ISO 20000- frameworks and standards for IT operations
  - ISO:27000; GTAG - standards and advisories on IT security
- ▲ IT and the law

- Data Protection Act / Freedom of Information Act
- regulation of investigatory powers act
- surveillance and monitoring at work via electronic means
- computer misuse act
- other applicable legislation

- ▲ IT performance risks
  - third party managed services, partnerships and outsourcing risks
  - service delivery and support best practices
  - contingency, disaster and business resumption planning
- ▲ IT development risks
  - IT project lifecycles - project risk; project management standards
  - software lifecycles - software development risk; software development standards
- ▲ IT security risks
  - IT security policies and their role in enforcing good governance
  - secure and insecure systems - everyday security problems and common sense solutions
- ▲ integrating IT into the audit mix
  - IT auditing roles in support of the organisations governance activities

### Presented by

MindGrove Ltd.

### Note

This course is non residential.

# Process Thinking for Auditors

This course brings analytical thought to bear on the component parts of a process to show how a process generates value for the organisation and for its customers and clients, to identify where particularly to look for risk within a process, and to demonstrate the importance of workflow.

## Who should attend?

Those familiar with auditing that want to explore techniques to improve the value and business-relevance of their work.

To ensure practical grounding delegates will spend most of their time practicing and developing their process skills by working through examples and challenges.

## How will this course benefit you?

After completion you will be able to:

- ▲ appreciate how process thinking incorporated within the audit process generates more businesslike audit results
- ▲ understand the attributes of process chains and see how these generate value for organisations, for customers and clients and how processes can generate or suppress risk
- ▲ deploy a range of new techniques to improve the evaluation of processes and controls
- ▲ perform low-impact process modelling to contribute quantitative and qualitative value to audit observations and conclusions

## Course programme

- ▲ the audit paradigm
  - adding audit value through process thinking
  - risk within processes
  - process techniques and auditing - appropriate roles and strategies
- ▲ process chain basics
  - concepts of process chain and value
  - process chain analysis
  - internal views of a process
  - client views of a process
  - risk and process activities - the hotspots
  - process optimisation
  - process analysis and its usefulness to audit documentation

- ▲ process analysis basics
  - core processes - the heart of the matter
  - process expansion - top down analysis
  - activity resourcing - quantification of a process
  - path of least resource - lowest cost way of performing the process
  - software tools and assistance - smart approaches
- ▲ process flow analysis
  - risk as a factor in the analytical approach
  - following flow through a process
  - asking the right questions
  - service and risk attributes - what are they and where are they?
  - seeking hidden paths
  - identifying points at risk and applying controls
  - identifying external links
  - job roles, segregation and processes
  - improving the control chain - reducing the cost of control
  - reporting process improvements as part of an audit
- ▲ process thinking
  - kaizen - continuous improvement
  - adaptation for audit purposes
  - low impact adoption into audit processes

## Presented by

MindGrove Ltd.

## Note

This course is non residential.

## Fee

**Non member**  
£990 + VAT

**Member**  
£890 + VAT

## Date/Location

**13-14 May**  
London

**28-29 October**  
London

# Auditing Outsourced Contracts

## Fee

**Non member**  
£990 + VAT

**Member**  
£890 + VAT

## Date/Location

**21-22 April**  
London

**16-17 November**  
London

**As organisations seek to control costs, improve operational standards and increase efficiency, many will consider the outsourcing of activities.**

Outsourcing is often a viable alternative to the direct provision of activities, and there are many successful contracts in place. However, entering into an outsourcing or co-sourcing arrangement will bring new risks to the organisation, which need to be considered, evaluated and appropriately controlled. Implementation of an outsourcing arrangement requires review and reorganisation of staffing, development of new process and communication flows, and the structuring of appropriate contract monitoring arrangements.

This course is designed to introduce you to the concepts of outsourcing and the potential impact on business processes. It enables you to consider how you can provide the assurance that senior management, the Board and other stakeholders seek when considering the accountability of contracting processes and the achievement of objectives.

### Who should attend?

Internal auditors who are relatively new to the outsourcing arena, who would like a greater understanding of outsourcing and the implications it has for the planning, completion and reporting of internal audit work.

### How will this course benefit you?

This interactive two day course uses a balance of lecture sessions and practical case studies to provide you with the knowledge and skills to undertake an effective audit of outsourced activities.

You will develop techniques which enable you to audit outsourcing arrangements at all stages, from the original assessment of viability and decision making process, through the agreement of objectives, selection of partner and effective monitoring of the service delivery itself.

- ▲ the objective of outsourcing - why do organisations seek to outsource?
- ▲ key stages within the outsourcing process
- ▲ the objectives and elements of contract management
- ▲ internal audit's role - what impact does an outsourcing arrangement have on the planning and delivery of the auditor's work?
- ▲ what are the system risks or 'what can go wrong?' within the different stages of the contract
  - identification of need and assessment of viability
  - identification of potential contractors
  - tendering and award of the contract
  - handover of the activity
  - monitoring contract performance
  - evaluation against objectives
  - termination of the contract

- ▲ how to evaluate and map of controls for significant risks
- ▲ the development of an audit programme to test the effectiveness of key controls identified

### Course programme

- ▲ overview of contract management
  - outsourcing objectives
  - transfer of risk
  - roles and responsibilities
  - elements of the management process
  - different approaches to outsourcing
  - legal and contractual issues
- ▲ internal audit's role
  - changes to the internal audit approach
  - who are we providing assurance to?
  - the new challenges to face
  - a focus on client management roles instead of operations management
  - information needs
  - communication flows
  - where can we add value
- ▲ risk
  - business seeking to transfer risk through the outsourcing process
  - cost implications
  - balancing risk and the cost of control
  - what different risks are introduced through the outsourcing arrangement
- ▲ contract control and management
  - developing the right structure
  - matching control to contractual requirements
  - qualitative v quantitative assessment
  - development and use of KPIs
  - introducing changes in service or activity requirements
  - performance reporting
  - poor performance - remedy and review
- ▲ audit approach
  - considering the drivers for the business
  - considering business history and inherent risk
  - determining key risks
  - assessing the business control framework
  - developing a structured approach to the audit work
  - focusing on key risk areas

### Presented by

Aid to Industry.

### Note

This course is non residential.

# Fraud Risk and the Internal Auditor

**Fraud is a key business risk for all organisations and is currently estimated to cost the UK economy up to £20 billion per year. Internal audit can provide a unique perspective on fraud risk management within any organisation and give assurance to management that this risk is being adequately assessed and monitored.**

The aim of this course is to enable participants to gain a greater awareness of the fraud risks facing organisations and to provide information on how internal audit can make a valuable contribution in this key area.

## Who should attend?

Auditors, risk managers and other professionals of all levels who require a greater understanding of fraud risk management.

## How will this course benefit you?

After completion you will be able to:

- ▲ identify risks which could result in fraud
- ▲ provide recommendations to executive / senior management in managing fraud risk
- ▲ identify warning signs of fraud in operational audits
- ▲ develop audit programmes to look at fraud issues

## Course programme

This is a participative course which will include face-to-face training, workshop sessions and a case study. It will encourage information sharing and benchmarking by participants.

- ▲ overview of fraud as a business risk
- ▲ fraud risk management in organisations
  - anti-fraud strategies
  - response planning
  - investigations
  - recruitment policies
  - training and awareness
  - cultural issues
  - ethics
- ▲ outline of key areas for fraud
  - financial
  - accounts manipulation
  - HR / people
  - information technology
  - cybercrime
  - corruption
- ▲ the critical role of internal audit in fighting fraud
  - the auditor as facilitator
  - contributing to the organisation's risk register
  - auditing fraud risk at strategic and operational levels

- ▲ auditors checklist and action plan
  - raising the profile of fraud risk with executive management
  - scoping fraud in individual audits
  - consideration of fraud as part of development and change projects
  - fraud risk awareness workshops
- ▲ hot topics in fraud (presented by guest speaker)
- ▲ interactive workshop

## Pework

It is suggested that all participants bring with them (if available) copies of their organisation's:

- ▲ anti-fraud policy
- ▲ whistle-blowing policy
- ▲ ethics policy
- ▲ audit approach to reviewing fraud risk

## Presented by

Martin Robinson, Education & Training Consultant, Fraud Advisory Panel.

## Note

This course is non residential.

## Fee

**Non member**  
£585 + VAT

**Member**  
£485 + VAT

## Date/Location

**18 May**  
London

**6 October**  
London

# Auditing Business Continuity Management Plans

## Fee

**Non member**  
£585 + VAT

**Member**  
£485 + VAT

## Date/Location

**15 April**  
London

**6 October**  
London

**One of the primary risks that organisations face is ensuring the survival of their business in the event of an incident. Internal audit departments have a key role to play in ensuring that any solutions developed are appropriate to the organisation and its needs.**

This one day interactive course based around BS22599 will help you gain the practical knowledge and understanding needed to enable you to contribute effectively to each phase of the business continuity process.

### Who should attend?

This course has been designed for all internal auditors who wish to develop or supplement their skills around business continuity matters. It will however also appeal to those in security, information systems and business continuity who are or will be involved in this area.

### How will this course benefit you?

After completion you will be able to:

- ▲ audit all or any part of a business continuity process
- ▲ understand the issues facing those developing business continuity plans
- ▲ brief management on the key issues involved in business continuity planning
- ▲ work with and within a business continuity team
- ▲ contribute effectively to the development of a business continuity plan
- ▲ become an effective player in any business continuity exercise.

### Course programme

- ▲ overview of business continuity and the role of audit
- ▲ setting the business continuity management policy
- ▲ developing the business continuity programme
- ▲ understanding the organisation and its continuity requirements
- ▲ developing the business continuity strategy
- ▲ incident recovery
- ▲ the continuity plans
- ▲ exercising and maintaining the continuity plans
- ▲ bringing business continuity into the culture

The course will be interactive with opportunities for delegates to discuss issues that concern them. It will also involve a range of activities aimed at developing skills in an enjoyable and relaxed environment.

Each course delegate will receive a copy of the book 'Auditing Business Continuity Management Plans' by John Silltow and published by the British Standards Institution.

### Presented by

John Silltow, Security Control and Audit Limited.

### Note

This course is non residential.

# Finance and Accounting



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# The Essential Guide to Treasury Security and Controls

## Fee

**Non member**  
£1200 + VAT

**Member**  
£1100 + VAT

## Date/Location

**29-30 June**  
London

**8-9 December**  
London



This interactive two-day course takes participants through the process of building a secure treasury environment, from the creation of a framework of policy and delegated authority through to how treasury should be organised to ensure maximum control of its activities.

Participants will learn about front, middle and back office functions, external and regulatory requirements and controls and security essential to managing the use of technology within treasury, as well as debating the key issues of control failure. The course draws on real examples where controls have been weak or have collapsed, illustrating the absolute importance of a well-controlled treasury.

### Who should attend?

Treasury managers and controllers, internal and external auditors, those with responsibility for treasury but without prior hands-on treasury experience and anyone working in treasury dealing or involved with treasury transactions.

### Course programme

- ▲ policies, organisation structures and skills
  - scope of treasury activity
  - policy, delegation of authority
  - corporate governance
  - control environment
  - responsibilities at each level
  - effective monitoring
  - control procedures
- ▲ front office controls
  - implementing policies
  - the London market
  - use of limits as a control
  - dealing procedures
- ▲ back office controls
  - confirmations and settlements
  - reconciliations and reporting
  - system management
- ▲ middle office controls
  - risk analysis and reporting
  - reporting procedures
- ▲ role of the accounting function and audit of electronic payments
  - electronic and manual security methods
  - electronic web dealing

- ▲ market codes of conduct
- ▲ electronic payments and system controls
  - authorisation
  - audit trails
  - environment
  - impact of new technology
- ▲ instrument risks and structured derivatives
  - some extreme examples of control issues
- ▲ control in a multinational environment
  - controlling subsidiaries
  - special situations
- ▲ detection of fraud - how controls can break down in practice
  - what went wrong in high-profile cases
- ▲ war story
  - examples from real life

### Four Case Studies

#### Presented by

Patricia M Scott FCT, FCCA.  
Brian Welch FCT, FCMA, FCIS.

#### Note

This course is non residential.

# An Introduction to Finance

Sometimes, key employees are required to work with financial data and accounts and struggle with what they see as the “mystery” of it all. They often wish for a reasonably relaxed initiation into the world of financial data and its information. This one day course will provide an overview to the wider financial aspects of business.

## Who should attend?

This course is aimed at anyone who is new or unfamiliar with financial terminology and the purpose, formulation and presentation of financial information.

## How this course will benefit you?

After completion you will be able to:

- ▲ relate to the purposes of accounting information
- ▲ differentiate between important features of published accounts
- ▲ appreciate major accounting conventions
- ▲ interpret and make use of various financial statements
- ▲ increase your confidence with regard to financial discussions

## Course programme

- ▲ the purpose and uses of accounts
- ▲ financial and management accounts
- ▲ profit and loss, the balance sheet and cash flow statements
- ▲ capital, revenue and accruals
- ▲ holding accounts, absorption, apportionment and cost rates
- ▲ interpretation of financial ratios
- ▲ depreciation

There will be a non-complex case study illustration of finance and one modest calculation exercise. No one will be exposed on their own with these.

## Speaker

- ▲ Graham Westwood F.I.I.A., F.C.C.A., I.P.F.A.  
Independent Training Consultant.

## Note

This course is non residential.

## Fee

**Non member**  
£585+VAT

**Member**  
£485+VAT

## Date/Location

**17 June**  
London

**1 December**  
London



Institute of Internal Auditors  
UK AND IRELAND

# IIA IT Auditing Certificate

Launched in September 2009, the IIA IT Auditing Certificate, a postgraduate award, aims to help internal auditors to build on their core internal audit capabilities and develop their expertise in risk-based internal audit in the context of IT and information systems threats, vulnerabilities and controls.

Students will be able to understand the concepts and the nature of underlying risks and the potential impact of those risks if they are not managed effectively.

Graduates of the new IIA IT Auditing Certificate will be able to prepare and lead on IT audits, which require detailed technical knowledge and understanding of information systems and processes.

- ▲ The IIA IT Auditing Certificate is open to those holding PIIA, MIIA or CIA designations working as internal auditors.
- ▲ Tuition is delivered over six months, starting each year in June and December.
- ▲ Students complete a work-related assignment and examination. Exams are held in November and June each year.
- ▲ Tuition is available via IIA Learning, the Institute's own tuition provider.

## Welcome

We look forward to welcoming you as a student.

**informing. Inspiring. Assuring.**

For more information and to register, go to [www.iaa.org.uk/learning](http://www.iaa.org.uk/learning) tel 020 7819 1938

# IT Audit



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# Introduction to Information Systems Auditing

**Fee**

**Non member**  
£1700 + VAT

**Member**  
£1550 + VAT

**Date/Location**

**16-19 March**  
London

**29 June-2 July**  
London

**5-8 October**  
London

This intensive course developed over 15 years by professional auditors provides the perfect starting point for someone new to Information Systems Auditing. This course aligns to the latest standards and best practice approaches.

**Who should attend?**

Those entering information technology audit that need a practical primer to underpin their new career. This course is suited to all comers but an understanding of basic audit terminology and sequence is assumed.

**How will this course benefit you?**

After completion you will be able to:

- ▲ comprehend relevant best practices such as ITIL/ISO 20000/ISO 27000/COBIT
- ▲ understand the need to relate technology issues to risk
- ▲ identify laws, risks and controls that impact an organisation’s information processing
- ▲ perform reviews of live application systems
- ▲ perform reviews of systems under development
- ▲ review information security policies and physical security within the organisation
- ▲ review contingency and business resumption plans
- ▲ review logical security and access controls
- ▲ explain core network terminology and perform elementary network reviews

**Course programme**

- ▲ IT/IS auditing
  - the IT/IS Audit role
  - working to best practices: ITIL/ISO 20000/ISO 27000/COBIT
- ▲ risks associated with information technology systems
  - IT operations and the law
  - confidentiality, availability and integrity and the common findings that emerge from audit reviews
- ▲ auditing existing systems
  - IT directive, preventative, detective and corrective controls
  - applications and key controls
  - additional controls made available by technology
  - auditing an operational system - an approach that links found risk to business

- ▲ auditing new systems and developments
  - software procurement - creating the right requirement
  - software development life cycles - formal and informal methods
  - identifying high level risks in systems proposals
  - auditing systems under development - an approach that tracks the evolving solution
- ▲ auditing the building blocks of its control
  - information security (infosec) and acceptable use policies
  - performing a review of infosec and acceptable use policies
  - physical security - working environments; location, structure and staff control; environmental control
  - performing a physical security review
  - contingency and disaster avoidance
  - auditing business continuity and preparedness arrangements
  - logical security - registration, identification, authentication, biometrics, authorisation, permissions structures and logging
  - performing a logical security review
  - simple network diagrams and basic network terminology
  - network management, monitoring and resilience
  - protecting data that is flowing across a network
  - performing a basic network audit
- ▲ assistance for audit activities
  - ways of getting answers to IT audit problems

**Presented by**

MindGrove Ltd.

**Note**

This course is non residential.

# Networks and Networked Applications

Most organisations are heavily reliant on the delivery of services via networks and networked applications.

This unique course brings together the commonest elements of networked systems to provide a single source for an auditor's all round understanding of network auditing.

## Who should attend?

This intensive course is intended for those with at least six months of IT Audit experience, those that have attended the Introduction to Information Systems Auditing course, or those who are newer to audit but with some experience of IT. The course assumes a basic understanding of auditing.

## How will this course benefit you?

After completion you will be able to:

- ▲ comprehend how networks and networked applications work together
- ▲ demonstrate an understanding of the common component parts of network based systems
- ▲ describe issues and risks associated with common networking hosts and application delivery strategies
- ▲ audit unidirectional and bidirectional data flows and to evaluate the risks and controls associated with network messages and transactions
- ▲ understand how the integrity and confidentiality of data can be protected in a networked environment

## Course programme

- ▲ network infrastructure and risks
  - hardware: load balancers, web-servers, routers, firewalls, other appliances and services - issues, risks and key controls
  - reading infrastructure maps, diagrams and models
  - database and application servers - issues, risks and key controls
  - illustrative service network structures: web based information servers; simple web based and non-web based applications, complex client server systems - issues, risks and key controls
  - TCP/IP and message transmission - some basics and the issues, risks and key controls
  - HTTP - some basics and the issues, risks and key controls
  - auditing infrastructures - a process flow based approach

- ▲ unilateral data flow issues and risks
  - web servers, information kiosks, text to phone, other one-way information feeds
  - active x, ole, flash, and scripting content
  - navigational and w3c accessibility issues
  - controlling anonymous web browsing users
  - auditing infrastructures - a data flow approach
- ▲ bilateral data flows issues and risks
  - web based and non-web based networked applications, applets and scripts
  - forms design and data transmission
  - data validation
  - sensitive data content
  - cookie controls
  - authentication strategies: unilateral and bilateral
  - auditing two way services - a risk based approach
- ▲ safe delivery of data
  - lawful usage and collection of sensitive and private data
  - integrity preservation controls
  - implementation of cryptographic controls to protect the safe network transport of private and sensitive data
  - non-repudiation controls
  - auditing delivery protection control

## Presented by

MindGrove Ltd.

## Note

This course is non residential.

## Fee

**Non member**  
£990 + VAT

**Member**  
£890 + VAT

## Date/Location

**11-12 May**  
London

**26-27 October**  
London

# Advanced Information Systems Auditing

## Fee

**Non member**  
£1400 + VAT

**Member**  
£1250 + VAT

## Date/Location

**14-16 July**  
London

**17-19 November**  
London

This intellectually challenging course is underpinned by an in-depth understanding of how control processes operate within modern infrastructures and how an auditor can approach the evaluation of these processes.

## Who should attend?

Those familiar with basic IT audits that need to extend their skills into more technical aspects of IT auditing. This course is suited for those with six months or more experience in information technology auditing. This course may also be beneficial to those taking QiCA, CISA, or CISSP exams.

## How will this course benefit you?

After completion you will be able to:

- ▲ understand the process of hardening systems
- ▲ evaluate vulnerability, patch and fix regimes
- ▲ deploy analytical software products and techniques to locate or evaluate system weaknesses
- ▲ analyse and evaluate critical preventative and directive control processes within systems
- ▲ analyse and evaluate control trails and event logs

## Course programme

- ▲ hardening systems - preventative and detective measures
  - hardening of key software - the process
  - sources of knowledge of system vulnerability
  - interpreting vulnerability reporting
  - resolving vulnerability issues
  - patching and fixing systems
  - patch tracking and identification
- ▲ auditing systems security - tools and techniques for auditors
  - creating an audit toolkit - sources of software and issues in deploying tools
  - validation of security in systems
  - location of weaknesses in systems software - tools and technique
  - locating weaknesses in networks - tools and technique
  - locating weaknesses in applications - tools and technique
  - automated exploit testing - tools and technique
  - locating weaknesses in hardware - tools and technique
  - physical security of locations, hosts, and data
  - penetration testing for auditors - penetration test contracts
  - do's and don'ts of penetration testing

- ▲ data control - preventative and directive processes
  - the big three - confidentiality, accountability, integrity
  - identifying data domains
  - identifying and defining data assets and ownership
  - interdomain data asset protection
  - defining policy - rules for people rules for systems
  - systems objects, security reference monitors and their interaction
  - registration, identification, authentication, authorisation and logging processes - core control processes
  - locking down privilege - least rights rule and context setting
  - permissions and permissions structures - deploying best practice control structures - auditing permissions architectures
  - using inheritance to ensure consistent security rules and policies
  - securing the data on portable and removable devices: notebooks, PDAs, cell phones, removable and portable media
- ▲ data control - detective processes
  - event logging processes
  - configuring event logs
  - user processes, system processes, security processes
  - analysing server logs, firewall logs, and other logs
  - retrieving data from logs and sieving the results
  - analysing computers and media

## Presented by

MindGrove Ltd.

## Note

This is course is non residential.

### York

York Marriott Hotel  
Tadcaster Road  
Dringhouses  
York  
YO24 1QQ  
T: 01904 701 000  
[www.marriott.co.uk](http://www.marriott.co.uk)

### Manchester

DeVere venues  
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Manchester  
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[www.deverevenues.co.uk](http://www.deverevenues.co.uk)

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### London

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# Terms and conditions

## How to book

All bookings for training courses and events must be made in writing. You can do this online - visit [www.iaa.org.uk/courses\\_and\\_events](http://www.iaa.org.uk/courses_and_events), select the course and date you wish to attend and then follow the booking process.

Please note that once the IIA has received a completed booking form, your place on a course is confirmed. If a course is fully booked, you will be notified. You are advised to read and understand the terms and conditions outlined below.

Once we have received your booking we will send you a letter of confirmation within five working days. Joining instructions including venue details will be issued approximately two weeks prior to the course. If you have any doubt as to whether the course is going ahead or whether your booking has been received please telephone IIA Training on 020 7498 0101.

## Special requirements

If you have a disability or a medical condition that requires special arrangements to be made, please state your requirements on the form. Every effort will be made by the IIA to accommodate special requirements that have been notified.

## Payment

Payment must be received before the start of the course or within 30 days of invoice date, whichever is sooner. For international bookings, full payment must accompany the booking before any further documentation will be issued.

We accept:

- Cheque - made payable to "IIA-UK and Ireland Ltd"
- Invoice - upon request
- Credit card

If your company requires a purchase order number to be stated on the invoice, please ensure that the number is quoted on the booking form.

## Course discounts

Companies booking five or more delegates on the same course will receive a 10% discount on the course fee (plus VAT).

## Course transfers

There is no charge for transferring your booking to the same course on an alternative date provided you notify the IIA in writing up to 20 working days before the start of the course and that there is availability. However, a transfer fee of 20% of the course fee (plus VAT) will be payable if notice is received within 20 working days of the start date of the original course. No refund will be made in the event of a transfer. No more than one transfer will be allowed.

## Cancelling your place

If you notify the IIA in writing or via email up to ten working days before the start date of the course, you will receive a full refund less an administration fee of 20% (plus VAT). Unfortunately late cancellations sometimes cause events to be abandoned therefore if a delegate withdraws for whatever reason within the ten day period, the fee will remain payable in full if you are unable to nominate a substitute attendee.

## Non attendance

If you fail to attend the course on which you are registered and have not given prior notice to the IIA then the course fee will remain payable in full.

## Cancellation by the IIA

Where circumstances dictate, the IIA reserves the right to alter published programmes, speakers, fees or venues without prior notice. In such cases liability will be restricted to a refund of any course fee paid.

## Liability

The IIA does not accept responsibility for anyone acting as a result of information or views expressed on its training courses. Delegates should take specific advice when dealing with specific situations. Opinions expressed are those of individual speakers and not necessarily those of the IIA.

Informing. Inspiring. Assuring.

## The Institute of Internal Auditors - UK and Ireland

The IIA is the only body focused exclusively on internal auditing and we are passionate about supporting, promoting and training the professionals who work in it. We have been leading the profession of internal auditing for over 60 years.

The IIA plays an active role in the public arena, building awareness of internal auditing, promoting members' interests and challenging organisations to reach the highest standards of corporate governance.

Our *International Standards* and *Code of Ethics* unite a global community of 160,000 internal auditors in 165 countries.

We are committed to enhancing the recognition and professionalism of internal audit in the UK and Ireland, through:

- ▲ dynamic leadership of the profession which maximises the reputation and influence of our members, both individually and collectively
- ▲ setting performance benchmarks and promoting professional integrity through our *International Standards* and *Code of Ethics*
- ▲ continually developing our qualifications so that their high quality and reputation is maintained
- ▲ providing technical resources, networking opportunities and support to our members throughout their careers
- ▲ maintaining our position as the market leader in internal audit training

**Informing. Inspiring. Assuring.**

[www.iaa.org.uk](http://www.iaa.org.uk)

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