

This Catalogue

Our most popular training courses appears in this catalogue; however, we can also provide other learning programmes or customisation of courses on request.

Training for Groups

Where you have a team of six or more delegates with similar needs, we deliver training to your team using TEAMS, ZOOM or WEBEX video conferencing. This avoids the need for travel and accommodation (for both presenter and delegates) and helps you to match training to your budget and work timetable. For smaller groups please get in touch to discuss your options.

Training for Individuals

For individuals who want the flexibility of earning at their own pace, we provide a range of interactive and practical online learning units via our state-of-the-art cloud-based platform.

Content Creation

If you have significant numbers of delegates and an ongoing need for self-hosted online training, then our team can also **create online** content to be hosted on your own Learning Management System.

Course Updates

We update our courses regularly, and completion of any of our courses will result in a certificate to help you meet your **CPD/CPE** requirements.

Respect the Environment

As a company we have always been sensitive to our environmental impact and strive to keep our carbon footprint to a minimum.

We only use paper print when there is no alternative, working mostly with digital materials, and we have gradually transitioned from face-to-face training to remote learning via virtual classrooms or using our online platform. Remote learning also means that your carbon footprint reduces significantly, as it eliminates travel for both your staff and Mindgrove trainers.

Despite some initial reluctance, our clients have found learning remotely to be effective, efficient and offers greater flexibility and better value for money.

Share

Please help promote our training, as others have done before, by circulating this catalogue in soft copy form to your colleagues.

For more information, including costs for group learning, please contact us:

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VIRTUAL CLASSROOM INSTRUCTOR-LED TRAINING

In the first part of the catalogue, you will see the courses that we are most often requested to be run **for in-house groups** via TEAMS, ZOOM or CISCO WEBEX.

In the second part, from page 30, you will see the online courses that we currently offer. We are always adding new courses to our online learning platform, so please get in touch if you are interested in training but can't see what you want it in the current catalogue.

All courses are designed by Mindgrove's team of experienced audit and risk specialists, and we regularly blend elements from different courses, both instructor-led and online, to create unique training programmes.

Interaction and engagement

To ensure that delegates are fully engaged, we offer a different pattern of working for virtual classrooms by using tools that support interaction, such as digital whiteboarding, mind mapping, interactive polling and quizzing.

These technologies offer a superior way of engaging delegates, compared to traditional face-to-face training with slides and whiteboards.

We build in 'movement' breaks to ensure that delegates are not locked to their screens and get the chance for a breather.

Finally, and dependent on course content and context, we may offer supplementary online self-paced training or testing to augment the training delivered via virtual conferencing.

Save time and money - get more for less

If you compare our video conferencing-based instructor-led training to conventional face-to-face training, you will be in for a pleasant surprise.

Learning via virtual classroom eliminates the cost of venue hire, the need to find space for team training in a busy office, the cost in time and money of travelling to training locations and the cost of overnight accommodation for your staff or the training presenter.

CPD/CPE – improve or maintain your knowledge

All of our instructor-led virtual classroom courses and online courses deliver CPD/CPE credits.

A virtual classroom delivers seven hours of CPE/CPD per day attended. Online courses deliver one-hour CPD/CPE per rated hour.

Time Zones

Virtual classrooms enable us to train entire teams where team members are based in different locations and/or time zones, without the need for expensive and lengthy travel for the presenter.

For short courses we can sometimes train the whole team simultaneously, or through repetition within the same working day.

Collaborative Instructor Led Training

If you are a small group with a limited budget and know other people with shared interests, why not join forces and organise a training event to run at a convenient time for all of you together.

You do not have to choose a standard course. We will be happy to discuss your needs in detail and develop a programme in line with shared goals.

Collaborative training offers value-for-money by allowing you to share costs between parties, and still saves you the hassle of finding training rooms or the cost and inconvenience of travel.

Pricing

You'll need to contact us for prices of virtual classroom-based courses, as these will be specific to your requirements and the number of delegates involved. However, you can anticipate that the costs will be significantly lower than for open public courses.

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The Changing World – Artificial Intelligence, Robotics & Machine Learning – 1 day

The Media has been filling our screens with news of robots taking over the world and disrupting our way of life. The course will tune you in to current developments and suggest how internal audit functions may adjust to a new reality.

Who should attend?

Open to everyone, no technical knowledge is necessary.

What will I learn?

Upon completion you will be able to:

- Understand developments stemming from innovative technologies;
- Understand how auditing these technologies may be both simple and complex; and
- Understand how audit might have to change to adjust to a new reality.

The course is accompanied by an indexed manual that includes full course text and examples.

Course programme

ARTIFICIAL INTELLIGENCE, ROBOTICS & MACHINE LEARNING - WHAT ARE THESE TECHNOLOGIES?

- Artificial Intelligence (AI) what is it and how does it work?
- Examples of AI how advanced are today's AI systems?
- What are the predictions for AI?
- What are the issues for AI?
- Machine Learning what is it and how does it work?
- Examples of Machine Learning and how far can Machine Learning go?
- What are the issues for Machine Learning?
- Robotics what sort of robots exist outside of the movies?
- What are the issues that will need to be dealt with in Robotics?

ARTIFICIAL INTELLIGENCE, ROBOTICS & MACHINE LEARNING – HOW MIGHT THESE BE AUDITED?

- How do I know what instances of AI, Robotics and Machine Learning are designed to do?
- How do I know what control structures have been built into solutions?
- What documentation and process guides might I get?
- How do the designers and engineers involved in AI, Robotics and Machine Learning test their creations?
- Can I replicate or duplicate what the designers and engineers are doing in testing?
- How could I conduct my own independent tests?
- What if I find risks that are hard to quantify or express?
- How might controls be fixed if I uncover un-remediated risks?
- How can I audit a system that is constantly learning or changing?
- Can I get independent assurances from other sources?

ARTIFICIAL INTELLIGENCE, ROBOTICS & MACHINE LEARNING - HOW MIGHT THESE CHANGE THE AUDIT ROLE?

- What does an auditor do that might be better done by machine?
- What might an auditor do that could be better aided by intelligent systems?
- Will we still need auditors in the future?

A version of this course is also available for self-study online – see page 35.

The Audit of Strategy – 1 day

Success or failure of an organisation's chosen strategies has a huge impact on the organisation's reputation, longevity, performance and the confidence of its stakeholders. This intensive short course provides an ideal introduction to the complex subject of auditing strategy and strategic risk.

Who is this course for?

This course is open to all.

What will you learn?

After completion you will be able to:

- Identify the critical differences between strategic objectives and other types of organisational objective;
- Understand strategic plans, business cases and how strategy can be measured; and
- Be able to undertake an audit of organisational strategy.

The course is accompanied by a manual that contains course notes, examples, and a work programme.

Course programme

ABOUT STRATEGY

- What constitutes strategy how do you define strategy?
- Why do organisations need to articulate strategy if they are already successful?
- What is the difference between strategic risk and other types of risk?
- How do you measure strategic outcomes?
- Why should auditors bother themselves with organisational strategy?

AUDITING STRATEGY

- Is auditing strategy any different from auditing any other process?
- Auditing strategic objectives and strategic plans what should I examine?
- How strategic objectives are created and set what is the process?
- How to assess initial strategic risk: good and bad strategies; tangible and intangible business cases;
 costs benefits and measurable outputs and outcomes
- Key targets, critical success factors and other indicators of strategic progress
- Factoring in complexity dealing with the unknown or uncontrollable risks
- Locating and uncovering the unintended effects of strategic choices
- Strategy reassessment and measuring of variance
- Auditing strategies mid-term
- Auditing strategy post completion yields
- Lessons learnt from strategic failure

Improving Audit Efficiency – 1 day

This course showcases ideas, tools, processes, and strategies to help you to improve your efficiency as an audit team and help you improve the value and business relevance of your work.

Who is this course for?

This intensive course is open to all-comers.

What will you learn?

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

- Use techniques to improve both the efficiency and relevance of internal audit;
- Execute proven strategies to help optimise the audit process;
- Deploy thoughtful techniques and tools to help improve audit engagement and performance;
- Overall, grasp and explore the evolution of internal audit.

Delegates will spend a large amount of course time dealing with the realities of auditing. The course is accompanied by a manual that has detailed course notes, examples, and practical work.

Course programme

HOW AUDIT IS EVOLVING – AGILE AND FLEXIBLE APPROACHES

- Can we transpose AGILE into an audit context?
- Key questions and ideas for exploration by the Audit Team
- Delivering better value
- Making better connections with management
- Further application of AGILE consultative approaches
- Optimising workflow LEAN disintermediation and creating flow
- Alternative workflows efficiency and speeding up decision-making

TOOLS THAT DELIVER VALUE AND ENGAGEMENT: VISUAL IMAGERY

- Why use process models as part of the audit process?
- Uncovering a story, a bit at a time
- An internal audit 'house style' theme for process maps
- Process mapping to help focus on the most likely risks
- Process quantification using ordinary tools
- Using specialist mapping software with calculating capabilities
- Drawing management into the conversation using imagery
- Getting the best out of your time: interviewing and imagery

TOOLS AND PRACTICES THAT CAN IMPROVE THE EFFICIENCY OF AUDIT INFLUENCING

- Tools to aid conversation data analytic functions and Power BI
- Tools to aid retrieval of text from documents
- Tools to aid fuzzy data matching
- Tools for speech to text
- Tools to help paperless working

TECHNIQUES THAT TARGET THE REPORT WRITING PROCESS

- Good design sells conclusions faster
- Report writing quality improvements self checking guidelines
- Checklist for executive summaries
- Checklist before final distribution
- Report writing speed improvements sparse reporting

Remote Working – 1 day

This course showcases ideas, tools, processes, and strategies to help you to improve your efficiency when working remotely.

Who is this course for?

This course is open to all-comers.

What will you learn?

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

- Transform your audit approach using a range of proven remote working practices;
- Use remote working tools more effectively;
- Understand and apply techniques to help maximise your inter-personal productivity.

Delegates will spend a large amount of course time dealing with the realities of remote auditing. The course is accompanied by a detailed manual that has detailed course notes, examples, and practical work.

Course programme

STRUCTURING YOUR TIME

- Tools for remote working the marketplace
- Video conferencing tools the best of the bunch
- Integration of tools for better task management
- Polls, quizzes, questionnaires, and forms
- Recording meetings and voice to text
- Backgrounds, greenscreens and quality control over video meetings
- Whiteboards, collaborative tools and PowerPoint smart tricks

GATHERING EVIDENCE AND TESTING REMOTELY

- Understanding on what assurance is based
- Control effectiveness and testing
- Evidence of remote oversight of controls by management
- Targeting data through technology
- Interrogation tools and query languages
- Excel and data analytics

HUMAN BEHAVIOUR AND REMOTE WORKING

- What gets lost when we are not sitting together?
- Non-verbal communications
- Using process imagery to draw the caller into the conversation
- Ability to control direction politely
- Avoiding silence with run-in questions
- Intelligent listening
- Snagging that call
- How can I defuse tension if it exists in conversations?
- Personal takeaways for improving productivity and reducing stress

Culture, Ethics and Values – 1 day

The culture, ethics and the values that organisations claim to champion often conflict with the actions that they execute in practice. This is because establishments struggle to recognise, check, or deal with behaviours or actions that are different to those claimed. This course takes this difficult and challenging subject and helps to turn the invisible into the visible.

Who is this course for?

This course is open to all.

What will you learn?

After completion, you will be able to:

- Identify and explore the differences between culture, ethics, and value;
- Understand how culture, ethics and value can be assessed; and
- Undertake an audit of culture, ethics, and values within your organisation.

This course is accompanied by a manual that has course notes, examples, and practical exercises.

Course programme

ABOUT CULTURE, ETHICS AND VALUES

- Culture, ethics, and values are these different words for the same thing?
- Culture, ethics and values how do behaviour and these three areas intertwine?
- Do you have only one culture in an organisation?
- What is the culture-behaviour pyramid?
- Culture, ethics, and value what are the main issues that are found?
- What is meant by integrity, transparency, sharing and respect?
- Reliance on risk management to drive appropriate behaviour does this work?

AUDITING RISK CULTURE, ETHICS AND VALUES

- An overall approach who to talk to, what to look at, what to look for?
- What is expected, what should be reviewed?
- Do behaviours apply to all, what should be reviewed?
- How do we differentiate between high and low-risk behaviour, what should be reviewed?
- Who challenges the organisation's approach, what should be reviewed?
- The ephemeral, what should be reviewed?
- What are the people stressors that affect their behaviour, what should be reviewed?
- How do third parties interoperate with the organisation, what should be reviewed?
- How do we handle customers, what should be reviewed?
- How does changing corporate strategy impact culture, what should be reviewed?
- What to do with evidence that is intangible?
- What to do with evidence that gives rise to concern?

The Audit of Conduct Risk – 1 day

When we talk about 'Conduct Risk' we often go on to describe the risk of customer or client product controls failing, or 'treating customers unfairly'. And, as we know, conduct is on the radar of regulators, leading to censure, penalties or even the removal of trading licences. This course leads you through strategies for auditing this subject.

Who is this course for?

The course is open to all.

What will you learn?

Upon completion you will be able to:

- Identify and define the difference between conduct risk and other types of risk;
- Understand how conduct risk can be qualitatively or quantitatively measured; and
- Be able to undertake an audit of conduct risk within your organisation.

This course is accompanied by a manual that has course notes, examples, and practical exercises.

Course programme

ABOUT CONDUCT RISK

- What constitutes conduct risk what is different about conduct risk?
- Can you define and measure conduct risk?
- Is auditing conduct risk any different from auditing any other type of risk?

AUDITING CONDUCT RISK

- Are we considering the interests of our customers and treating them fairly?
- Can we prove we have a culture that supports customer interests?
- How do we differentiate between high and low risk customer products?
- Who challenges products from the customer's perspective?
- How are products shaped to meet customers' expectations?
- Are our controls proportionate to risk levels?
- How do we incentivise product sales and deployment?
- Do we ensure that products are correctly described for defined customer profiles?
- Do third parties' market, sell or distribute our products?
- How do we control third parties?
- Do we have appropriate on-going product service arrangements for our customers?
- How do we process claims and complaints?
- Is conduct risk reassessed at routine intervals or when business strategy changes?
- Do we perform stress scenario analysis and challenge against our products?

Value for Money / Performance Auditing – 1 day

Organisations are facing performance challenges driven by the need for greater economy and efficiency. However, 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 is this course for?

This course is open to all and will be useful to those that need an introduction to the topic.

What will you learn?

After completion you will be able to:

- Conduct a VFM / performance audit;
- Form an opinion on the economy, efficiency and effectiveness of a system; and
- Produce compelling VFM / performance audit reports.

This course will be accompanied by a training manual containing full course text and practical advice.

Course programme

WHAT IS VFM / PERFORMANCE AUDITING?

- 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 and other forms of measurement

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 when analysing data and extracting conclusions

REPORTING THE VFM / PERFORMANCE AUDIT

Producing VFM / performance audit reports

Auditing Projects, Project Management and Project Risk – 2 days

Failure of a project can have a massive impact on an organisation's reputation and the confidence of its stakeholders. This course gives a good introduction to projects and project risk for any auditor.

Who is this course for?

This course is open to all and is intended for auditors that are less familiar with project auditing.

What will you learn?

Upon completion you will be able to:

- Understand the language of projects and programmes;
- Review the roles and services that support programmes and projects;
- Understand project decision making and different approaches to managing projects;
- Evaluate the risks associated with projects and programmes;
- Plan for project and programme audits using realistic engagement strategies; and
- Execute project audits at the beginning, middle and end stages of project and programmes.

The course is accompanied by an indexed manual that has course text, examples, and practical work.

Course programme

THE BASICS - MANAGING SUCCESSFUL PROJECTS AND PROGRAMMES

- The vocabulary of projects, key roles, and key governance structures
- Project management methods ranging from the formal to the informal, from Waterfall to AGILE
- Can all projects be executed using the same approach?
- Project diversity different project management approaches depending on the nature of the project
- How projects and programmes put organisations at risk

AUDITING PROJECTS OVERALL

- The auditor's involvement in projects driven by risk
- Allowing for the project team's approach formal or Agile?
- A multi-audit requirement

PROJECT INITIATION – WHAT CAN BE REVIEWED?

- How projects are initiated
- Good and bad business cases: the tangible and intangible; costs and benefits
- Key targets, critical success factors and indicators
- Project plans: the slim and the detailed, what might be vital?
- Auditing project plans what can I do look at?
- I only have limited resources what could I look at?
- I have more time what could I look at?

TEAMS AND PEOPLE - WHAT CAN BE REVIEWED?

- Risks associated with speed of working, amount of work and stress
- Risks to do with communication and quality
- Auditing people factors does culture and behaviour matter, do I comment?

PROJECTS GOING ADRIFT - WHAT CAN BE REVIEWED?

- Risk management within and between projects
- Better risk registers
- Dealing with expanding time and costs
- Dealing with change and quality management
- Plan reassessment and reappraisal
- Auditing mid-stage projects are targets being met?
- Auditing mid-stage projects what decisions are being made?
- Auditing mid-stage projects why are these choices being made?

PROJECTS: TESTING, ROLLOUT, AND COMPLETION – WHAT CAN BE REVIEWED?

- Testing and acceptance what is critical?
- Rollout what are the choices?
- Auditing end-stage projects are we operationally ready?
- Auditing end-stage projects are controls embedded in the structure?
- Auditing end-stage projects can we deal with contingency?

BENEFIT AND OUTCOMES – WHAT CAN BE REVIEWED?

- Checking benefits and outcomes
- Deciding on project contributions
- Measuring success and failure
- Post project reviews and lessons extraction
- Auditing post–implementation did we achieve what we set out to do?

A version of this course is also available for self-study online together with a course concerning AGILE developments – see pages 35 & 37.

Auditing Environmental and Sustainability Policies – 1 day

In the 2020's we are more concerned about our planet than ever before. Organisations have made many promises to the public and to their customers and stakeholders concerning environmental matters, but what are they delivering? Increasingly, organisations are turning to their audit teams and asking: 'How are we doing'. This short intensive course introduces you to the world of environmental and sustainability auditing.

Who is this course for?

This course is open to all.

What will you learn?

After completion, you will be able to:

- Know more about the environment and key environmental risks
- Know the demands on organisations in respect of the environment and sustainability;
- Understand ISO 14001 the standard for Environmental Management; and
- Plan and execute an environmental or sustainability audit.

The course is accompanied by a manual that contains course notes, examples, and a work programme.

Course programme

ENVIRONMENTAL AND SUSTAINABILITY AUDITING - A BACKDROP

- IPCC, COP26, Government and International Agreements Targets and realities
- Scope 1, Scope 2 and Scope 3 emissions
- Difference between CO2 and CO2e
- The notion of tipping points: warming, water levels, deforestation, and destruction of species
- ISO 14001 a standard for environmental management
- EMAS (EU Eco-Management and Audit Scheme) and other initiatives

AUDITING THE ENVIRONMENT AND AUDITING SUSTAINABILITY

- Objectives and targets for the environment
- Organisational goal setting
- Roles, responsibilities, authorities and training
- Decreasing Emissions
- Increasing energy efficiency
- Reducing consumption of unsustainable materials and reducing toxic outflows
- Renewables and achieving zero waste
- Operational conditions and considerations
- Legal, regulatory, compliance and best practice elements
- Internal reviews and transparency

Auditing Contracts, Outsourcing and Procurement – 2 days

In the news you see organisations being criticised for their mediocre performance in the handling of contractors. When your organisation decides to outsource activities or infrastructure, uncertainties over delivery, cost and quality become a key threat. This course highlights best practice and steers you through the audit of contracting, outsourcing or procurement activities.

Who is this course for?

This course is open to all – the course has a major focus on contract and outsourcing management practices and a minor focus on procurement or tendering processes.

What will you learn?

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

- Appreciate how putting the right contract in place helps avoid future pitfalls when you work with contractors;
- Understand and use best-practice knowledge for checking outsourcing operations; and
- Understand the weak points that cause outsourcing and contracting to end up as contentious issues.

This course is accompanied by a manual that includes full briefing notes.

Course programme

CREATING THE RIGHT CONTRACT - WHAT SHOULD I LOOK AT?

- Due diligence is this only about money?
- Duration of contracts long or short which is best?
- Assets, warranties, and survivorship matters beyond the contract?
- Main contractors and sub-contractors the supply chain
- Invoicing, payments, and performance
- Contract and relationship management

CONTRACT LIFECYCLE MANAGEMENT - WHAT DOES GOOD LOOK LIKE?

- The contract and outsourcing life cycle
- Strategy decisions, the business case and analysis of the requirement
- Key preparations before tendering or negotiation begins
- Going to the market with a sound case
- Striking the deal
- Transitioning to new arrangements
- Day to day management of the contract
- End of contract

AUDITING NEWLY STRUCK OUTSOURCING OR SUPPLY CONTRACTS

- Is there a proper framework for contract and relationship management?
- Are our staff trained and in role?
- What are the key matters that need to be understood by our team?
- What are the areas that cause difficulty teething problems?
- What about communications between both sides?
- What about invoicing, performance tracking and payment?
- Is there an effective way of setting up performance indicators?
- Can performance monitoring be counterproductive?
- What about risk management are our risk registers complete?
- What if we want to stop the contract because of underperformance?

AUDITING MID-MATURITY OUTSOURCING OR SUPPLY CONTRACTS

- Is contract and relationship management working?
- Is the right business outcome being delivered?
- Is incentivisation working?
- Does the contract measure up to expectations?
- Can more be obtained from the contract?
- Are we still communicating?
- What if the contractor or we want to exit the contract?

AUDITING END-OF-LIFE OUTSOURCING OR SUPPLY CONTRACTS

- Was the business case delivered?
- Was the contract good value-for-money?
- What did we learn from the contract?
- Should we extend, in-source or re-tender?
- Exit strategies what are our options?

AUDITING PROCUREMENT PROCESSES – THE APPROACH

- Management and the procurement process
- Controls over procurement
- Tendering processes
- On-going due diligence
- Evaluation of value delivered.

An Introduction to Risk Based Auditing – 1 or 2 days

Risk based auditing is the working method of choice for most audit teams. This course introduces auditors to the fundamental concepts that drive an integrated risk-based audit process.

Who is this course for?

Those familiar with audit and basic risk management concepts that want to explore a holistic way of embedding risk into their Internal Audit protocol.

What will you learn?

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

- Use risk to link the audit to organisational objectives;
- Use risk-based values to drive audits;
- Apply risk to the process of control evaluation; and
- Draw on risk to structure audit report.

Practical exercises will span important elements of this training course allowing delegates to learn by example.

The course is accompanied by a manual that contains illustrations, explanations, and materials to use after the event.

Course programme

RISK BASED AUDITING AND THE INTERNAL AUDITOR

- Internal Auditors and Risk Managers the relationship
- The IIA UK and Ireland position statement on RBIA

USING RISK TO DRIVE THE AUDIT

- Basic principles planning from risk
- Defining risk-based scope and objectives
- Drafting a management letter for a risk-based audit

PERFORMING A RISK BASED AUDIT - FAMILIARISATION

- Finding the significant processes that underpin the objective
- Examining and documenting the process flow

PERFORMING A RISK BASED AUDIT – EVALUATION

- Predicting risk mitigating controls
- Revealing risk mitigating controls
- Control gap analysis
- Estimation of residual risk
- Relating residual risk to impairment of objectives

PERFORMING A RISK BASED AUDIT - TESTING

- Defining testing strategies reasonable assurance
- Compliance testing weakness probing substantive testing

PERFORMING A RISK BASED AUDIT - NOTIFICATION

- Notifying risks during the audit
- Turnaround of notifications and quality assurance

Please note that there are more than six variations of this course, depending on organisational preferences, and varying in duration from one to two days.

PERFORMING A RISK BASED AUDIT - DRAFT REPORTING

- Meetings to clarify potential risks and risk appetite
- Structuring of draft reports and embedding risk concepts
- Management overviews, process diagrams, risk cause and effect models
- Displaying linkage of risk to objectives
- Risk management implications

PERFORMING A RISK BASED AUDIT - FINAL REPORTING

- Structuring of final reports risk observation reporting
- Getting agreed prioritised action escalating critical risk issues
- Follow up of risk-based audit reports

Audit Report Writing – 1 day

This one-day event, designed by auditors for auditors, provides a stimulating introduction to audit report writing. The heart of the day is in the correct presentation and sequencing of observations and findings to create compelling content. The goal is to produce reports that contribute significant value.

Who is this course for?

This practical course is open to everyone but is most suited to those with less report writing experience. This course does not set out to teach spelling or grammar.

What will you learn?

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; and
- Apply strategies to maximise conciseness and improve readability.

This course is accompanied by an indexed manual that includes full course text, examples, and strategies for use in audit report writing on return to work.

Course programme

COURSE INTRODUCTION

- Good and bad reporting
- Take care of what's important!

AUDIENCE AND FRAMEWORK: EMPATHY WITH YOUR AUDIENCE

- The target audience
- Structure of audit reports
- Style expectations
- Amount of Detail
- Action Plans
- Process-enhancements
- Corrective action taken during the audit
- Integrating writing into the audit process synergy
- The universal five C's approach for recording issues
- The condition
- The criterion or comparator
- The cause
- Causes include root and secondary considerations
- The consequence (the impact)
- The conclusion (recommendation + action or action plan)
- Use of words
- Co-operative conclusions
- Prioritisation of recommendations
- Layout of observations in reports
- Quality Check on Detailed Findings

Please note that there are numerous variations of this course, depending on organisational report structuring.

EXECUTIVE SUMMARIES

- Top level information
- Audit and scope statements
- Introductions in executive summaries
- Audit opinions

CONCISENESS, PRECISENESS AND READABILITY

- Phrasing
- Jargon
- Check spelling and structure

Versions of this course is also available for self-study online and tutor supported online study – see pages 38 & 39.

Dealing with Difficult or Challenging Conversations – 1 day

Another day in the office and another pushback occurs – sounds familiar? Most internal auditors meet non-co-operative subjects, managers that challenge their work, or staff that don't want to listen. This course gives you ten core strategies to deploy to help keep **you** in the driving seat.

Who is this course for?

This course is open to all.

What will you learn?

Upon completion you will be able to:

- Keep calm and in control of demanding situations;
- Save energy and time in reaching agreements; and
- Understand better how to deal with difficult human beings.

The course is accompanied by a manual that contains key course notes.

Course programme

CORE STRATEGIES FOR DEALING WITH CHALLENGING SITUATIONS

- What is acceptable and what crosses the line distinguishing between challenging and threatening behaviours?
- How proven behavioural strategies help you deal with tense situations
 - Strategy 1: Foundation tactics sending out positive messages
 - o Strategy 2: Making connections people like people, like themselves
 - o Strategy 3: Building trust between people confidentiality and sharing
 - o Strategy 4: Influencing three ways of helping a less co–operative person to agree to something
 - o Strategy 5: Persuasive writing time for a different approach?
 - o Strategy 6: Influencing to respond positively reciprocity and social proof
 - o Strategy 7: Listening intelligently helping you to stay on top of things
 - o Strategy 8: Location how the meeting place can help or hinder your situation
 - Strategy 9: Defusing pushback the iFeel approach and how to avoid the game 'yes, but...'

A version of this course is also available for self-study online – see page 37.

Using Visio to Create Process Maps – 1 day

Internal auditors often struggle and eventually give up trying to produce useful process maps (models) with Microsoft's Visio. This intensive course, hands-on, designed by auditors for auditors, shows the tips and tricks you need to know to speed up Visio mapping, and will be particularly relevant to the planning phase of a risk-based review.

<u>Special Note</u>: This would be an excellent precursor or partner course to the course '**Process**' Thinking for Internal Auditors' as it covers the topic of how-to-draw process maps using one of the commonest software tools available.

Who is this course for?

This course is open to all.

What will you learn?

After completion you will be able to:

- Draw VISIO process maps quickly;
- Organise your process map to convey maximum information;
- Build your own rapid shapes to automate drawing processes; and
- Capture your result in MS Word to enhance an audit report.

The course is accompanied by a manual that contains full course text and useful guidance and a CD/DVD of practice data. Each delegate <u>must</u> bring a laptop with them to the training event, and this must contain a copy of MSOFFICE VISIO 2007 or later. Delegates are also advised to bring a mouse with them to the course as certain drawing features of Visio only work effectively with a mouse.

Course programme

WORKING WITH VISIO

- Create new (blank) drawing
- Set up page options as required
- Floating palettes and other useful features
- Auto-hide
- Basic tools and operations
- Shapes stencils and audit shapes stencils
- Copy and paste four ways
- Speeding up drawings auto connect
- Dynamic snapping
- Showing risk and controls on plan setting the standard
- Taming text
- Legends and callouts
- Multipage and multilevel drawings
- Creating primitives and editing shape sets
- Making VISIO calculate!
- Copy and paste whole drawing paste to and from other applications
- Short cut keys for VISIO

Internal Audit Data Analytics – 'hands on' – 1 day

Internal auditors only use a fraction of the capability of software that sits on their PC. This course shows how to get the most out of Excel and is particularly useful for the controls testing phase of an audit.

Who should attend?

This course is open to all, and you will need access to a device that can run MS EXCEL so that you can work with supplied test data.

What will you learn?

After completion, you will be able to:

- Check up to 100% of the data available to you electronically;
- Put vital components of Office to work in the most efficient manner; and
- Manage data to create persuasive results during the fieldwork phase of an audit.

The course is accompanied by a manual that has course text and a practice data to take away.

Course programme - abbreviated

DATA ANALYTICS AND HANDLING - WORKING DIRECTLY WITH EXCEL

- Checking spreadsheet integrity common sources of error
- Re-performance and virtual calculations a key audit skill
- Excel statistics what do you get out of the box?
- Filtering and stratification how to do it?
- Pivot tables, Pivot charts and Slicers what are they and how do they help?
- Creating an audit workpaper within Excel
- Simple and complex sortation, sorting by other than value

DATA ANALYTICS AND HANDLING - EXTRAS THROUGH EXCEL

- Fuzzy data matching an explanation of how the tool works and how to acquire it
- Replicating what other paid–for software can do by substituting EXCEL
- Formulae simple examples of how they work and how to put them into use

DATA GRAPHICS - COLOUR AND IMAGERY THROUGH EXCEL

- Conditional formatting correct, incorrect, high and low values, special searches
- Using colour, icons, and thematic schemes
- Creating charts what might be suitable?
- Embedding charts and images in your reports

EXTERNAL DATA SOURCES

- Connecting with external data why do this?
- Data import into EXCEL from text, tables, proprietary databases, external websites
- The JET engine and MSQRY
- Creating a query from tables and fields and editing
- Editing queries using Power Editor and bringing results into EXCEL
- Transforming data and creating transformation rules
- Interacting with data sources to refresh data
- Creating dashboards using free free-standing products such as Power BI and Tableau

Cybercrime and Cyber Crisis management – 1 day

High-profile technology issues are always in the news – a business being hacked, a company being stopped in its tracks because it is under attack, or somebody coming to harm because of a 'fake' or stolen identity. This course will help you better understand cybercrime and about the IT controls that should be in place to help protect your organisation.

Who should attend?

All are welcome to attend - including internal auditors who do not have any specialist IT auditing skills.

What will I learn?

Upon completion you will be able to:

- Understand more about the current nature of cyber-threats; and
- Know more about how the organisation can and should defend itself.

The course is accompanied by a manual that has full course text and useful guidance.

Course programme

CYBERCRIME ATTACKS ON CRITICAL BUSINESS AND SERVICE SYSTEMS

- What type of attacks are taking place and who has come to serious harm?
- Won't security software and IT specialists keep attackers out?
- Are there standards and best practices to deal with the problem?
- Configure best practice security across all devices and networks
- Best practice: vulnerability scanning
- Manage change in line with best practices, and patch systems rapidly
- Train so that ordinary users are prepared
- Train so that more specialist users know the symptoms of a potential attack

CYBER CRISIS MANAGEMENT

- Should we assume that we will be breached?
- What must we do to deal with a cybercrime incident?
- Security incident detection and management
- Forensic evidence collection capabilities
- Preventing cyber problems key review themes for auditors
- Theme 1: Culture from the top and from senior management
- Theme 2: Establishing the existence of best practice
- Theme 3: The testing of key cybercrime controls
- Theme 4: Third party considerations
- Theme 5: The proactive adaptation of new controls as needed
- Theme 6: Learning lessons from (the failings of) other organisations

A version of this course is also available for self-study online – see page 36.

IT Auditing Base Camp – 3 days

If you haven't conducted an IT audit before, or you've only been involved in a couple of IT audits, then this course is the ideal starting point. It aligns to the latest standards and best practice approaches and is updated each year to keep pace with emerging technology. The course will enable you to confidently perform a review of the impact of technology on your organisation.

Who is this course for?

This course is open to all but is best suited to those with limited IT Audit experience.

What will you learn?

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

- Understand the approach to IT Auditing and relevant best practices;
- Review best practice and regulations that affect IT Systems;
- Review application systems;
- Review systems under development;
- Review configuration and change management;
- Review physical security;
- Review logical security;
- Review contingency and continuity plans; and
- Perform basic network reviews.

The course is accompanied by an extensive indexed manual that contains full course text, examples, and practical work.

Course programme

IT AUDITING

- Introduction to IT auditing
- The IT auditor and risk-based auditing how they fit together
- High-level IT risks: Confidentiality, Integrity, Availability and Accountability
- Low-level risk connecting to high-level risk
- Creating, scoping, and documenting IT audit work

WORKING TO STANDARDS, BEST PRACTICES, AND THE LAW

- Governance: ISO/IEC 38500:2008 what should be reviewed?
- COBIT, ITIL and ISO 27000 what are these?
- PCI standard what should be reviewed?
- Data Privacy what should be reviewed?
- Other relevant legislation what should be reviewed?

AUDITING LIVE SYSTEMS - USING A RISK-BASED APPROACH

- Applications and the distribution of controls
- IT directive, preventative, detective, and corrective controls
- User constraint and oversight controls
- What to look for in controls designed to offset application business process risks

AUDITING SYSTEMS UNDER DEVELOPMENT

- Software development life cycles, what should be reviewed?
- Prototyping rapid application development agile development methods

AUDITING IT CONFIGURATION AND CHANGE MANAGEMENT

- Configuration management what should be reviewed?
- Change management what should be reviewed?

AUDITING KEY BUILDING BLOCKS OF IT CONTROL

- Physical and environmental security what should be reviewed?
- Logical access control: registration, identification, authentication, authorisation, and logging what should be reviewed?
- The user community finding them, extracting them
- Passwords and biometrics, what should be reviewed?
- Systems administration, granting permissions, rights, and privileges
- Common handling procedures related to logical access discussion
- Event logging journals trails reporting on user activity, what should be reviewed?
- Contingency and disaster avoidance including ISO 27031, what should be reviewed?
- Support options to supplement organisational capacity
- Maintaining and testing the plan

BASIC NETWORKING

- Network terminology and Network Diagrams
- LANs, WANs and WLANs
- Switches, Routers and Firewalls what should be reviewed?
- VPNs and Encryption protecting data flowing across a network
- Networks overall what should be reviewed?

A blended version of this course is also available – see page 36.

IT Auditing – Next Steps – 2 days

IT knowledge is complex, expires quickly, and developing expertise in IT audit, beyond basics, is challenging. This course is designed to lift your understanding of IT audit to the next level. Most importantly, it will focus on what is 'doable' by auditor beginning to specialise in the field of IT Audit.

Who is this course for?

Internal auditors that have attended the 'Information systems auditing – Basecamp' course or those who possess equivalent knowledge.

What will you learn?

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

- Understand the value of hardening operating systems and operating environments and be able to review configuration, vulnerability, patch and fix regimes;
- Deploy analytical software products, tools and techniques to locate system weaknesses or evaluate security;
- Analyse and evaluate critical control processes within systems; and
- Analyse and evaluate key control architectures for data, in and between networks and for database systems.

The course is accompanied by an extensive indexed manual that contains full course text, examples and practical work.

Course programme – the programme will be driven by delegates' interests and will draw topics from the following content:

THE BEDROCK - OPERATING SYSTEMS AND OPERATING ENVIRONMENTS — PREVENTING PROBLEMS BEFORE THEY BEGIN

- Hardening of key software, what should be reviewed?
- Configuring applications/services, what should be reviewed?
- Configuring server-side applets/scripts, what should be reviewed?
- Configuring the user community, what should be reviewed?
- Vulnerability, patching and fixing systems, what should be reviewed?
- Penetration testing, what should be reviewed?
- Possible internal audit led penetration tests.

TOOLS AND STRATEGIES FOR AUDITORS – LET SOFTWARE DO THE WORK

- Validation of security in systems, ways to go about it
- Verification of software version and builds, how to go about it
- Inventory, software base and licensing, how to go about it
- Is your organisation configuring best practice security? How would you know?
- Locating weaknesses in applications tools and technique, ways to go about it
- Automated exploit testing tools and technique, how to go about it

NETWORKS, DATA CONTROL AND DATABASE TECHNOLOGIES – AUDITING KEY CONTROL STRUCTURES

- The big three confidentiality, integrity and accountability
- Identifying data domains domain-based planning, what should be reviewed?
- Delivering assurance between domains, what should be reviewed?
- Identifying and defining data assets and ownership, what should be reviewed?
- Reviewing the inter-domain interfaces for hazards and risks
- Determining inter-domain data asset protection requirements defining protection attributes

- Defining advanced control architectures using formal methods
- Encryption what type of encryption?
- Roles and role-based access control, what should be reviewed?
- Tokenisation, what should be reviewed?
- Biometrics new forms of access control
- How databases function with respect to data
- Data instances, data dictionaries and thesaurus, data ACLS, what should be reviewed?
- ERPS on top of databases, what should be reviewed?
- What can be audited within database systems and ERPS

Operational Resilience – 1 day

Regulated organisations are supposed to have operational resilience plans in place to deal with major global events like the COVID-19 crisis, to ensure that their clients and customers have continuity of service. Unregulated organisations are also seeing operational resilience as an increasingly important matter when reflecting on the failure of customer services that have affected others.

Who should attend?

The course is open to all.

What will I learn?

After completion you will be able to:

- Understand the connection between operational resilience and governance and what expectations for operational resilience are being placed on organisations;
- Understand how to leverage operational risk to explore operational resilience risk;
- Understand the difference between continuity and resilience;
- Be able to perform a basic audit of operational resilience within your organisation.

This course is accompanied by a manual that has course notes, examples, and practical exercises.

Course programme

OPERATIONAL RESILIENCE AND GOVERNANCE

- Examples of unforeseen and deliberate disruptive events
- What are the operational resilience expectations as far as regulators are concerned?
- External factors scenario building and testing
- Bringing operational risk and operational resilience together
- Incorporating operational resilience into a risk management framework by leveraging operational risk

QUESTIONS FOR INTERNAL AUDITORS

- Oversight
- Important Business Services
- Resilience assessments
- Technology, People, Property and Facilities
- Business continuity planning (BCP) and IT disaster recovery (ITDR)
- Incident and problem management

CONTINGENCY AND DISASTER AVOIDANCE

- ISO 27031 and ISO 22301
- Determining the range of services that you require and their priority
- Support options to supplement organisational capacity
- Maintaining and testing the plan

OPERATIONAL RESILIENCE, THIRD PARTIES AND OUTSOURCING

- Third party risk management regulatory perspective
- Business Continuity and Contingency Planning BCP
- Exit plans and planning

ONLINE SELF-PACED TRAINING

Platform and content

Mindgrove's self-paced online learning is hosted on a cloud platform through which you access training modules.

The modules serve up knowledge and practical know-how-to-do in a concise, graphics-rich and interesting environment. And, best of all, you get the same quality of content that our top trainers deliver in the classroom, but at a time and place to suit you.

You can access our platform from anywhere, at any time, and using any device – phone, tablet, or screen – our content automatically re-organises its layout depending on the device you use, and you can start and stop as you want spreading the training over hours or days as you choose.

The connection is encrypted, and you only need a browser to gain access – no other software is needed.

Learning System - easy to use

The learner interface is sophisticated, enabling you to navigate, communicate and engage in the learning process.



Interaction

Practical work is associated with every module, and this comes in one of more forms depending on the subject:

Knowledge Checks: these operate in line with learning and test knowledge at a point in time. A typical module will have a knowledge check about every 10 - 15 minutes of study.

Quizzes: these are timed and scored tests.. Quizzes may be inline or in separate modules. If a quiz has a pass mark your score mark will be displayed and you can review the correct answers for the quiz.

Case studies / Scenarios: practical work that has to be completed by studying review material and then responding via a quiz or knowledge check.



Low costs

Learning modules are generally charged at £40 (+VAT if applicable) per 'rated hour' of on-line study content. The rated hour for individual modules is the average time we would expect a learner to take to complete the study of that module; but some may need a bit more time and some may need less. It's important that each learner works at a pace that is comfortable for them.

By using the rated hour concept everyone pays the same fair price, irrespective of their speed of working. VAT is payable (and reclaimable) when the course is purchased and invoiced within the UK.

CPD/CPE and course completion

On completion of a module you will be able to download a **personalised completion certificate** for the on-line study. This applies to all modules. You can use your certificates as proof of activity to support a variety of self-certified CPD/CPE programmes.

Learner numbers and teams

A few courses have a maximum number of delegates who are permitted to be active at any one time. Currently, this applies only to the Full Audit Report Writing Learning Pathway.

Most courses have no delegate number limits, but where there are more than ten delegates from one organisation, a Team will be created and you or one of your colleagues can be assigned as Team Leader to help capture information about the progress of team members. A Team Leader can also assign learning units, to control the number of learners assigned to any single unit of learning at any one time.

Platform language and accessibility

The training content generally uses British English, but you may notice some variations in spelling (e.g. '-ize' instead of '-ise') as the content will be accessed by an International Audience.

The system's **navigation** controls are in English, but a learner can choose their preferred control language when they join the system.

ONLINE SELF-PACED AND BLENDED LEARNING

1.0 CONFIGURATION AND CHANGE MANAGEMENT: FOR AUDITORS AND REVIEWERS
2.0 LOGICAL ACCESS CONTROL: FOR AUDITORS AND REVIEWERS
3.0 CONTINUITY MANAGEMENT AND DISASTER AVOIDANCE: FOR AUDITORS AND REVIEWERS \dots 34
4.0 CLOUD BASED SERVICES: FOR AUDITORS AND REVIEWERS
5.0 AGILE SOFTWARE PROJECT MANAGEMENT: FOR AUDITORS AND REVIEWERS35
6.0 PROCESS AUTOMATION – ROBOTICS – AI: FOR AUDITORS AND REVIEWERS
7.0 ROOT CAUSE ANALYSIS: FOR AUDITORS AND REVIEWERS
8.0 CYBER PREPAREDNESS AND VULNERABILITY MANAGEMENT: FOR AUDITORS AND REVIEWERS. 36
9.0 AUDITING FORMAL AND SEMI-FORMAL PROJECTS: FOR AUDITORS AND REVIEWERS37
10.0 DEALING WITH CHALLENGING CONVERSATIONS AND TRICKY SITUATIONS
LP:1.0 INTERNAL AUDIT REPORT WRITING – A COMPLETE COURSE FOR INDIVIDUALS
LP: 2.0 SUMMARY WRITING FOR AUDITORS AND REVIEWERS
BL: 3.0 INTRODUCTION TO IT AUDITING (ITGC) – FOR TEAMS – EXAMPLE PROGRAMME40

Online Learning Modules

Modules in this catalogue deliver **practical 'how-to-do it'** information to be used when the learning session is complete and include: Downloadable Summary Support Notes; Key Audit and Review Questions; Knowledge Checks; Quizzes; and Practical Work according to the module's subject matter.

1.0 Configuration and Change Management: An introduction for Auditors and Reviewers

The stability of modern IT Systems is heavily dependent on making changes at the right point in time. Organisations need to move fast enough to benefit from a change, but not so quick as to permit untested changes to go into live operation. And, some organisations have rushed into change only to discover, with the cleverness of hindsight, that a little more checking could have averted a clumsy disaster.

The objective for this module: To help you understand and know how to audit IT Configuration and Change Management. This objective is important to help you reinforce Basic IT Audit knowledge; help you sell meaningful conclusions stemming from your IT Audits, and to assist your personal development in this critical area of technology.

The four lessons within this module explain what Configuration Management and Change Management set out to do and how these disciplines, when effectively managed, bring benefits to the organisation. The module also sets out the key questions that auditors and reviewers will want to explore.

The module includes a course notes summary and a key question list for auditors, includes a passing out quiz based on a case study scenario assessment task and is accompanied by a personal completion certificate to support your CPD/CPE personal learning log requirements. The course is aligned to ITIL - the best practice standard for service selection, delivery, and support.

Course: CCM-AUD-001 Duration: 1.0 hours Cost £40

2.0 Logical Access Control: An introduction for Auditors and Reviewers

Step up to any system and what happens next? You must log in. Place an order and what happens next? You get sent a code that you must enter from your phone. It is all part of logical access control, but what is going on behind the scenes? Understanding logical access control is key to the modern workplace and it is time to find out more about what is going on to help you audit this area.

The objective for this module: To help you understand the foundations of Logical Access Control and User Administration as a key risk prevention strategy for organisations, and to know how to go about auditing Logical Access Control.

This objective is important as it will help you build up your IT Audit knowledge and will help you sell meaningful conclusions stemming from your audits. The content is aligned to ISO 27002 - The Standard for Information Security.

The eight lessons within this module explore and explain the basics of Logical Access Control and show how it is part of a hosted multi-layer security approach within modern systems. It explains how systems Register, Identify, Authenticate and Authorise users before admitting them to live systems. It further introduces multifactor security and biometrics, and the granting of access to application and database resources via roles and permissions and how the process of user administration should function. Finally, this module explores the creation and use of logs and event trails and the deployment of software that assists logical access control.

The module includes a course notes summary and a key question list for auditors, includes a passing out quiz based on a case study scenario assessment task and is accompanied by a personal completion certificate to support your CPD/CPE personal learning log requirements.

Course Code: LAC-AUD-001 Duration: 2.0 hours Cost £80

3.0 Continuity Management and Disaster Avoidance: An introduction for Auditors and Reviewers

When disaster strikes or the system fails to start it is too late to start thinking about continuity or disaster preparedness. The disaster is upon you and hard evidence shows that organisations that are unprepared for disaster, rarely survive a disaster. This is a key area for audit attention.

The objective for this module: To provide an overview of the planning, creation, management and update of organisational continuity and disaster recovery processes, and an introduction to the key questions that need to be asked concerning organisational continuity and disaster recovery processes.

The content of this training and learning is designed to be suitable for all staff within internal audit, compliance and risk functions and can be used to help scope a risk-based review of Business Continuity and Disaster Recovery. However, due to the heavy dependence of modern organisations on technology, the content is somewhat *skewed* toward IT Continuity and Disaster Management.

The six lessons in this module introduce the key terminology used in Continuity and Disaster Management and show the relationship between ISO 27031 and ISO 22301, they then go on to show the key phases of activity involved in planning, evaluating, building and testing both disaster and continuity plans. The module includes key questions that an auditor or reviewer would want to probe and ask.

The module includes a course notes summary and a key question list for auditors, includes a passing out quiz based on a case study scenario assessment task and is accompanied by a personal completion certificate to support your CPD/CPE personal learning requirements.

The content is aligned to ISO 27031 and ISO 22301 - these standards being relevant to Continuity / Disaster Management.

Course: CMDM-AUD-001 Duration: 1.5 hours Cost £60

4.0 Cloud Based Services: An introduction for Auditors and Reviewers

Increasingly organisations are hosting cloud content or providing cloud-based services to their customers, staff and stakeholders and, therefore, auditors and reviewers need to become familiar with the terminology and concepts surrounding cloud-based services and understand how to gain assurance about these services.

The objective for this module: To introduce the management of cloud-based services and provide an understandable introduction to key questions that will need to be raised about the use of cloud-based services.

This objective will help you sell meaningful conclusions stemming from your audits of this this critical and growing area of technology.

The five lessons within this module are pitched at Internal Auditors and Reviewers and do not assume any IT knowledge, the module defines the everyday key terminology, concepts and services that an auditor will encounter in auditing this topic, talk through the risks and benefits associated with cloud technology, and sieve through the key audit issues and matters to consider that an auditor will raise about their organisation's use of cloud-based services.

The module includes a course notes summary and a key question list for auditors, includes a passing out quiz based on a case study scenario assessment task and is accompanied by a personal completion certificate to support your CPD/CPE personal learning log requirements.

The content is aligned to ISO 27002 and NIST best practices.

Course Code: CBS-AUD-001 Duration: 1.0 hours Cost £40

5.0 Agile Software Project Management: An introduction for Auditors and Reviewers

Agile Software Development – it is on everyone's lips but what does it really mean in practical terms? What is wrong with conventional software project management? And how would you go about auditing this area of activity?

The objective for this module: To introduce the management of Agile Software Projects at both a simple level and at a scaled-up level and to and provide an understandable introduction to the key questions that will need to be raised about the use of Agile development strategies.

This objective will help you sell meaningful conclusions stemming from your audits of this this critical and growing area of software project management.

The five-lesson content of the module includes key terminology, the differences between formal and agile methods, the details and roles behind SCRUM, KANBAN, SAFe (at four different levels) and DevOps, and includes key questioning strategies for auditors.

The module includes a course notes summary and a key question list for auditors, includes a passing out quiz based on a case study scenario assessment task and is accompanied by a personal completion certificate to support your CPD/CPE personal learning log requirements.

This would be a suitable partner module to 'Auditing Formal and Semi-Formal Projects: An Introduction for Auditors and Reviewers' Ref: APRO-AUD-001.

Course Code: ASD-AUD-001 Duration: 1.5 hours Cost £60

6.0 Process Automation – Robotics – Al: An introduction for Auditors and Reviewers

TV screens and movies are filled with news of robots taking over the world and creating a dystopian future, but what is really happening? This course will bring you up to date with current developments in AI and machine learning and show you the difference between fact and fiction and how internal auditors may become involved.

The objective for this module: To provide an introduction and overview of Process Automation Robotics and Al and how to audit this growing area of technology.

This objective is important: to help you sell meaningful conclusions stemming from your audits; and assist your personal development in this critical area of technology.

In the five-lesson content of the module, you will explore the world of robotics and automation, learn the language of Automation and Robotics and be given an insight into the nature of operations within the fields of Automation, Artificial Intelligence, Robotics and Machine Learning.

The module will then move on to explore how automated workflows are appearing in finance and general service operations, show the basic ideas driving how workflow tools are deployed, describe how applications are joined to form a workflow, and dig into how machine learning works. This module then raises the key questions, risks, and issues that an auditor will want to raise and explore when the design, test and operation of automation and machine learning are being discussed within organisations.

The module includes a course notes summary, includes a passing out quiz and a key question list for auditors and is accompanied by a personal completion certificate to support your CPD/CPE personal learning log requirements.

Course Code: PA-AUD-001 Duration: 1.5 hours Cost £60

7.0 Root Cause Analysis: An introduction for Auditors and Reviewers

You have heard it before: 'Don't just treat the symptoms, find the underlying cause'. From health care to technology and from manufacturing to financial issues, root cause analysis is an essential tool for understanding risk and improving controls.

The objective for this module: This learning module will help you learn how to systematically go about finding the cause behind an issue or problem, help you to generate evidence that you can use to encourage management to fix issues in a manner that will be sustainable, and help you understand how an audit methodology can deliver more value to management by including root cause information in reporting.

These objectives are important to help you build your audit knowledge; help you sell meaningful conclusions stemming from audits, and to assist your personal development in this area of understanding.

This seven-lesson module explores and explains the basics of Root Cause Analysis (RCA). It introduces the key terminology used within the field of RCA such as proximate cause, root cause, secondary and exacerbating cause and goes on to show in some depth several alternative approaches to Root Cause Analysis including Cause-Effect modelling, Five-Whys modelling, Ichikawa Fishbone modelling, and Six-Question modelling.

The module includes many examples of root cause analyses and illustrates the differences between soft and hard causality. The module also illustrates how root cause information can be captured into an audit report.

The module includes multiple knowledge checks, multiple graphic images, some practical work, a course keynotes summary, includes a passing out quiz and is accompanied by a personal completion certificate to support your CPD/CPE personal learning log requirements.

Course Code: RCA-AUD-001 Duration: 2.0 hours Cost £80

8.0 Cyber Preparedness and Vulnerability Management: An Introduction for Auditors and Reviewers

Organised crime has been fast to target the technology that supports organisations and individuals. Criminal groups steal personal information in bulk, part cash from its owners or hold an individual or organisation to ransom. The world economic forum estimates that the losses that can be expected from cybercrime over the years 2019-2023 could approach \$5 trillion.

The objective for this module: To introduce the topics of Cyber Attack, Cyber Preparedness, Cyber Vulnerability and Cyber Incident Management and to develop an understanding of the core controls that are needed to manage and deal with Cyber Risk. The unit raises the key questions that an auditor or reviewer will want to examine when conducting a review of these areas.

In this six-lesson module: you will get a brief insight into the attacks used by Cyber Criminals against the person; an in-depth insight into the attacks used by Cyber Criminals against the Organisation; the internationally recommended key Cyber Controls to defend against organisational Cyber-Attacks; an understanding of what Vulnerability Management is and how it should be operating; and the key preparations and planning that are needed for identifying and dealing effectively with Cyber Incidents.

As the content of this module is somewhat technical in part and to ensure that it is accessible to learners, care has been taken to explain terminology as it occurs and to use as much graphical content as possible.

The content of this training is designed to be suitable for all staff within internal audit, compliance and risk functions and can be used to help scope a risk-based review of Cyber Preparedness and Vulnerability management. During your interactions with this module, you will learn about the critical questions and themes that you should be exploring when performing a review of this area of great concern.

The multi-lesson module includes a scenario maze, multiple knowledge-checking quizzes, a downloadable course keynotes summary that includes a set of key questions for reviewers to deploy during an audit of this area, a scored passing-out quiz, and includes multiple references to internationally recognised support agencies that can be used to harvest further information.

This module furthers your competencies within the IIA Global competencies framework and is accompanied by a completion certificate to support your CPD/CPE personal learning log requirements.

Course Code: CPVM-AUD-001 Duration: 2.0 hours Cost £80

9.0 Auditing Formal and Semi-Formal Projects: An Introduction for Auditors and Reviewers

Working in a changing environment brings opportunities and risks. In attempting to improve services many organisations live uneasily with the threat of projects bringing chaos, rather than success, to customers and clients. In an age where the news of corporate project failure goes viral, it is time for more internal audit teams to turn proactively to the audit and review of projects.

The objective for this module: In this module, you learn about the auditor's role in projects, how to perform a rapid health check on projects being initiated, how to audit projects during their initiation phase, understand about the identification and handling of project risk, understand what project plans and project documentation should contain and how to audit projects at an intermediate stage, understand how projects should deal with problems, and understand how to audit projects in their final stages before rollout.

The module concentrates on projects where outcomes and risks, cost and delivery date are key factors.

The multi-lesson module includes Knowledge Tests, a Terminology / Concepts guide, a Course Keynotes Summary, a Tool Kit that includes 5 Mind Maps to help you structure questions for your project audit, a template for a Project Risk Register, a template for a Lessons Learned Register and an end of course test. The module has lots of graphics and imagery and video sequences showing how to use the Mind Maps.

This module further enhances your competencies within the IIA Global competencies framework and is accompanied by a completion certificate to support your CPD/CPE personal learning log requirements.

This module does not cover Agile project management, that subject is dealt with separately in a partner module: Agile Software Project Management: An introduction for Auditors and Reviewers. Ref: ASD-AUD-001

Course Code: APRO-AUD-001 Duration: 3.0 hours Cost £120

10.0 Dealing with Challenging Conversations and Tricky Situations

So many times, in the workplace or outside of the workplace, conversations move from being calm and measured to being challenging or tense. Once this has happened you will need good interpersonal strategies to steer things back on course.

This course is designed to help you stay calm, focussed and in control when dealing with tricky conversations, tense meetings or other challenging situations in the workplace.

The objective for this module: On this course you will learn: How to send out positive messages; How to make connections and improve rapport; How to go about building trust; How to gain agreement; How to write to influence a report reader; How to influence through understanding human behaviour; How to listen and watch intelligently; How to defuse pushback and gamesmanship; and How to deal with aggression or bullying.

The course will show you nine proven strategies for you to use to help you influence others positively. These strategies, based on the psychology of human behaviour, will help you to engage with the people and personalities you will encounter in workplace settings.

At the end of the course there is a final passing out quiz, together with a course notes summary to help shape and focus your behavioural approaches.

The content of this training is suitable for all staff within internal audit, compliance, oversight and risk functions and can be used to help deal with the challenges faced by those of us that have to influence others to act for change.

Completion of this this course will also enhance your competencies within the IIA Global Competency Framework and you will receive a certificate to support your CPD/CPE personal learning log requirements.

Course Code: DCCTS-AUD-001 Duration: 2.0 hours Cost £80

Online Learning Pathways (LP) and Blended Learning (BL)

Learning pathways are multi-module courses where the modules are linked together to form a complete unit, a 'Learning Pathway'. Blended learning combines both instructor led and online learning.

LP:1.0 Audit Report Writing Fundamentals – a complete course for individuals

A complete and up to date audit report writing course that aligns to best practice. The course flows through a sequence of modules, each in turn broken up into individual lesson units. The course embraces persuasive logical approaches to writing up issues or findings, in both the main body of the report and in the report's summary.

The objectives for this learning pathway: When you've completed all the course modules, including the knowledge checks, quizzes, and practical work, you will be able to:

- Draft a report that communicates your findings effectively to stakeholders.
- Use best practice techniques to improve the flow and wording of your report to maximise acceptance of the audit viewpoint and drive mitigation actions.
- Use writing tools and strategies to improve the clarity and business risk focus of your audit report.
- Review your own work to minimise management overheads and improve the efficiency of your audit.

The modules of the course are:

- Understanding the Needs of Your Readers
- Structuring Content
- The Five C's Reporting Framework
- Effective Written Communication
- Audit Findings Condition (C1)
- Audit Findings Criteria (C2)
- Audit Findings Consequence (C3)
- Audit Findings Cause (C4)
- Audit Findings Corrective Action (C5)
- Writing An Executive Summary
- The Art of Editing Audit Reports

The course also includes support notes and additional downloadable resources, such as guides and checklists, to enhance your learning.

This course is available in both a 'Red' and a 'Blue' package for individuals and a 'Green' package for teams.

Red Option – All modules above complete with practical exercises and model answers for self-assessment: Learning Pathway IARW-AUD-001 – Duration: 12 hours. COST £480. Equivalent to 2 full days training.

<u>Blue Option</u> – All modules above plus two additional practical exercises submitted to one of our tutors for marking and personal feedback: Learning Pathway IARW-AUD-002 – Duration: 12 hours. <u>COST £600</u>. Equivalent to 2 full days training with tutor feedback.

<u>Green Option</u> – All modules above plus two tutor led webinars to provide augmentation and summary of the modules studied. Duration 14 -15 hours. Please contact us to discuss.

LP: 2.0 Audit Report Writing: Executive Summaries and Report Review—including tutor assessment and feedback — a short course that focuses on summary writing and peer review

A complete and up to date Executive Summary writing course that aligns to best practice. This course explores summaries and helps you to develop the skills to create a good Summary through a sequence of modules.

The objectives for this learning pathway when you've completed all the course modules, including any knowledge checks, quizzes, and practical work, you will be able to:

- Draft an Executive Summary that communicates audit conclusions effectively to stakeholders.
- Use best practice techniques to improve the flow and wording of your Executive Summary to maximise acceptance of the audit viewpoint and drive mitigation actions.
- Use writing tools and strategies to improve the clarity and business risk focus of your Executive Summary.
- Review colleagues' reports and provide a positive and constructive contribution to their development.

The modules of the course are:

- Writing an Executive Summary
- Effective Written Communication
- Reviewing Reports and Guiding Writer Development

The learning pathway includes knowledge checks, written practical work with model answers, downloadable key-notes summaries, resources and guides, and a completion certificate to support your CPD/CPE personal learning log requirements.

This course is available in both a 'Red' and a 'Blue' package for individuals and a 'Green' package for teams.

Red Option – All modules above complete with practical exercises and model answers for self-assessment: Learning Pathway IAEW-AUD-001 – Duration: 3.5 hours. COST £160. Equivalent to 0.5 days training.

<u>Blue Option</u> – All modules above plus the practical exercises submitted to one of our tutors for marking and personal feedback: Learning Pathway IAEW-AUD-002 – Duration: 3.5 hours. <u>COST £220</u>. Equivalent to 0.5 days training with tutor feedback.

<u>Green Option</u> – All modules above plus a tutor led webinar to provide augmentation and summary of the material studied. Duration 5.0 hours. Please contact us to discuss.

Auditing Reporting Consultancy

If you are interested in specialist help with audit reporting, whether it be advice on your audit templates or house style, help creating a new template, assessment and personal feedback on reports that you or your staff have written, or hands-on help in writing the report following an audit review, then please get in touch to discuss your needs.

We regularly work with clients in this way and will always sign a full non-disclosure agreement.

BL: 3.0 Introduction to IT Auditing – including tutor for teams of six or more

Example programme:

1: TECHNOLOGY: CYBER BRIEFING: VIDEO WEBINAR

- What type of attacks are taking place?
- What defences do we need?
- Best practice: testing
- Best practice: vulnerability detection and correction
- Best practice: resilience and recovery
- What should my organisation track or follow and what must we do if we are breached?

2: TECHNOLOGY: THE OVERALL AUDIT APPROACH TO IT AUDIT: SELF STUDY BACKGROUND READING

- The IT auditor and risk-based auditing how they fit together
- What can a non-specialist auditor achieves in the field of IT Audit
- A view from the top the high-level generic IT risks: Confidentiality, Integrity, Availability and Accountability
- A view from the bottom low-level specific risks and how they connect to the high-level risks
- Risk based planning, creating, scoping, and documenting IT audit work

3: TECHNOLOGY: AUDITING LIVE SYSTEMS AND BUSINESS APPLICATIONS: VIDEO WEBINAR

- The multi-layer controls approach to IT behavioural controls, physical controls, logical controls, application controls, infrastructure controls how one layer reinforces the other to create a layered defence strategy
- How control layers contrive to protect the organisation from compliance, operational or financial risk
- IT based preventative, detective, corrective, and directive controls: which are most important to IT systems?
- Control architecture what is meant by 'control by design' and why this is important
- Applications controls for business, internal controls that are embedded and protect, wraparound controls that inform and provide oversight
- In-line processing controls technology helping to limit users to protect against compliance, operational and financial risks
- Supervisory controls technology helping to provide management with the tools for oversight
- Automated controls removing people from the scene to avoid variability in control

4: TECHNOLOGY: HEADING TOWARDS BEST PRACTICE - GOVERNANCE, STANDARDS AND PHYSICAL SECURITY: WEBINAR

- Key Governance Standards: ISO/IEC 38500:2008, ITIL and ISO 27000
- Physical and environmental security
- How does physical security fit in with other security controls?
- Working locations
- Protection of assets
- Intruder detection
- Environmental control
- Physical security case study
- Introduction to Configuration, Change Management and Business Resilience

5: TECHNOLOGY: ONLINE LEARNING PLATFORM: CONFIGURATION AND CHANGE MANAGEMENT: AN INTRODUCTION FOR AUDITORS AND REVIEWERS

- What Configuration Management and Change Management set out to do
- How these disciplines are part of best practice for business and are aligned to best practices (ITIL)
- Configuration management how it works
- Configuration management what should be reviewed?
- Change management how it works
- Change management what should be reviewed?

6: TECHNOLOGY: ONLINE LEARNING PLATFORM CONTINUITY MANAGEMENT AND DISASTER AVOIDANCE: AN INTRODUCTION FOR AUDITORS AND REVIEWERS

- Key terminology used in Continuity and Disaster Management
- ISO 27031 and ISO 22301 the differences between them
- How risks are evaluated, and an impact assessment is made
- How contingency and recovery facilities are planned and created
- Disaster and Continuity Plans
- Support options to supplement organisational capacity
- Maintaining and testing the plan
- Key questioning strategies for auditors

7: TECHNOLOGY: TWO KEY AREAS OF CONCERN - LOGICAL ACCESS CONTROL AND NETWORKS

- How access control is part of a hosted multi-layer security approach within modern system
- How systems Register, Identify, Authenticate and Authorise users before admitting them to live systems
- How trails of user activity are created
- The Basics of Networking
- What do network diagrams show me?
- What are the most important network devices and what do they do?
- How do the devices provide defences for the organisation?
- I am not a specialist what can I usefully contribute
- Key questions and questioning strategies for auditors

8: TECHNOLOGY: ONLINE LEARNING PLATFORM: AN INTRODUCTION TO LOGICAL ACCESS CONTROL FOR AUDITORS AND REVIEWERS. THIS LEARNING REVISION MODULE IS DESIGNED TO REINFORCE AND ENHANCE THE PRIOR WEBINAR

- How access control is part of a hosted multi-layer security approach within modern system
- How systems Register, Identify, Authenticate and Authorise users before admitting them to live systems
- Multi–factor security and biometrics to improve control strength
- Granting of access to application and database resources via roles and permissions
- How the process of user administration should function in an ideal world
- The creation and use of logs and event trails where are these captured and what will they show
- The deployment of software tools by the organisation to assist logical access control oversight
- Key questions and questioning strategies for auditors

9: TECHNOLOGY: CHALLENGING TIMES AND AN INSIGHT INTO THE FUTURE: VIDEO WEBINAR

- Where technology is going AI and automation helping to drive business forward
- Automation of controls and continuous audit monitoring
- Plenary session; questions and thoughts that have been raised by the sessions (1 hour)
- Course wrap-up (15 minutes)

10: TECHNOLOGY: ONLINE LEARNING PLATFORM: ITGC TEST EXAM

Course Code: ITGC-AUD-001 Duration: 24 hours equivalent. Cost per person depends on delegate numbers and content – price to be advised on application.

Some of our past clients

ABB

ABN AMRO AEROFLEX AOA

ASTRAZENECA

AVIVA

BAE SYSTEMS

BAHRAIN TELECOMMUNICATIONS COMPANY (BATELCO)

BANK OF CYPRUS

BANK OF KUWAIT & THE MIDDLE EAST

BBC

BENTLEY JENNISON

BNFL

BRITISH AIRWAYS BRITISH MUSEUM BRITISH WATERWAYS

BUTTERFIELD BANK BERMUDA

CABLE & WIRELESS
CAPITA BUSINESS SERVICES
CAREERS DEVELOPMENT GROUP

CEL HONG KONG

CHARITIES INTERNAL AUDIT NETWORK

CHARTERED INSTITUTE OF INTERNAL AUDITORS

CHESHIRE BUILDING SOCIETY

CIMA CIPFA

COMMERCIAL INTERNATIONAL BANK (EGYPT)

COOPERATIVE GROUP

COUNCIL OF HIGHER EDUCATION INTERNAL AUDITORS

DELOITTE
DEUTSCHE BANK
EDF ENERGY
EUROCONTROL

EUROPEAN CENTRAL BANK

EXPERIAN

GRANT THORNTON HOGG ROBINSON

HOUSING ASSOCIATION IA FORUM

HSBC

HUTCHISON WHAMPOA

ICAEW INNOGY INTERPOL ISACA

KASPERSKY LAB UK LEAD INTERNATIONAL

LLOYDS TSB MBNA

MITSUBISHI TRUST & BANKING CORPORATION

NATIONAL GRID NFU MUTUAL

NORWICH & PETERBOROUGH BUILDING SOCIETY

NOVAE GROUP PLC

NSPCC

OPEN UNIVERSITY ORANGE LTD OSCF

PALL EUROPE

PROGRESS HOUSING

RABOBANK REED ELSEVIER **RMC GROUP**

ROYAL BANK OF SCOTLAND ROYAL LONDON GROUP SKIPTON BUILDING SOCIETY

SKY

SONY ERICSSON TESCO BANK

THE UNITED NATIONS WATERFORD WEDGWOOD

WELSH WATER

W H IRELAND STOCKBROKERS YORKSHIRE BUILDING SOCIETY

INTERNATIONAL PUBLIC BODIES

EUROCONTROL

EUROPEAN CENTRAL BANK EUROPEAN PATENT OFFICE GIBRALTAR AUDIT OFFICE

INTERPOL OFID OSCE

UNITED NATIONS (FAO)

WORLD HEALTH ORGANISATION

CENTRAL GOVERNMENT:
CARE QUALITY COMMISSION

CROWN ESTATE

DEPT FOR INTERNATIONAL DEVELOPMENT DEPARTMENT FOR TRADE AND INDUSTRY

DEPARTMENT FOR TRANSPORT

DEPARTMENT FOR WORK AND PENSIONS

DEPARTMENT OF EDUCATION NORTHERN IRELAND

DVLA

ENGLISH PARTNERSHIPS EUROPEAN PATENT OFFICE

GCHQ

HIGHWAYS AGENCY HM REVENUE & CUSTOMS NATIONAL HEALTH SERVICE

NATIONAL ROADS AUTHORITY - IRELAND

RURAL PAYMENTS AGENCY

THE INFORMATION COMMISSIONER'S OFFICE

THE INSOLVENCY SERVICE

TREASURY & RESOURCES DEPARTMENT, JERSEY

LOCAL GOVERNMENT:

BASILDON DISTRICT COUNCIL; BLACKPOOL COUNCIL BRISTOL CITY COUNCIL; CHICHESTER DISTRICT COUNCIL CITY OF WAKEFIELD MBC; CONGLETON BOROUGH COUNCIL CRAWLEY BOROUGH COUNCIL; CUMBRIA COUNTY COUNCIL DENBIGHSHIRE COUNTY COUNCIL; DERBYSHIRE COUNTY

COUNCIL; DONCASTER MBC; DUDLEY MBC

HEREFORDSHIRE COUNCIL; HERTFORDSHIRE C. COUNCIL; HORSHAM DISTRICT COUNCIL; INVERCLYDE COUNCIL; LANCASHIRE COUNTY COUNCIL; LINCOLNSHIRE C. COUNCIL; NEWPORT CITY COUNCIL; NOTTINGHAM CITY COUNCIL

SOUTHAMPTON CITY COUNCIL; SOUTHEND BC

SURREY COUNTY COUNCIL; TEIGNBRIDGE DISTRICT COUNCIL

TELFORD & WREKIN COUNCIL; WARRINGTON BC

WARWICKSHIRE COUNTY COUNCIL; WOLVERHAMPTON CITY

COUNCIL; WREXHAM COUNTY BOROUGH COUNCIL

