

# Survey - Auditor Training Needs Assessment

This survey is being conducted by the **Training Subcommittee** [under the Federal Audit Executive Council (FAEC) of the Council of the Inspectors General on Integrity and Efficiency (CIGIE)] and in coordination with the CIGIE Audit Inspection & Evaluation Academy.

Our goal is to gather detailed information and data from Auditors in the CIGIE Audit Community to better understand what training they need to better do their jobs, and how they want to obtain it.

This survey should take about 5 minutes to complete.

Any personally identifiable information will remain private so you can provide the most candid responses to best help us enhance and improve federal auditor training.

Of note, this survey is intended for federal employees (FTE) only. If you are a contractor working in a federal Office of Inspector General, please DO NOT fill out the survey to maintain the integrity of the data.

\* Required



**COUNCIL OF THE INSPECTORS GENERAL  
ON INTEGRITY AND EFFICIENCY**

**TRAINING SUBCOMMITTEE**

1

**Are you a federal employee or a contractor in a federal agency? \***

Federal Employee

Contractor



2

**Which OIG were you assigned to for most of the past Training Cycle? \***

- Department of Agriculture
- AmeriCorps
- Amtrak
- Appalachian Regional Commission
- Architect of the Capitol
- Board of Governors of the Federal Reserve System and Consumer Financial Protection Bureau
- Capitol Police
- Central Intelligence Agency
- Department of Commerce
- Committee for Purchase from People Who Are Blind or Severely Disabled--AbilityOne
- Commodity Futures Trading Commission
- Consumer Product Safety Commission
- Corporation for Public Broadcasting
- Department of Defense
- Defense Intelligence Agency
- Denali Commission
- Department of Education

3

**What is your current position / GS classification?**

(If "Other", please enter GS classification in "Other" field.) \*

- 511 (F) – Auditor (Financial)
- 511 (P) – Auditor (Performance)
- 343 – Management / Program Analyst
- Other
- Federal Election Commission
- Federal Housing Finance Agency
- Federal Labor Relations Authority
- Federal Maritime Commission
- Federal Trade Commission
- General Services Administration
- Government Accountability Office
- Government Publishing Office
- Department of Health and Human Services
- Department of Homeland Security
- Department of Housing and Urban Development
- Department of the Interior

4

**What is your current GS grade (or equivalent)?**

(If "Other", please enter grade and details in "Other" field.) \*

- SES
- 15
- 14
- 13
- 12
- 11
- 9
- 7
- 5
- Other
  
- Nuclear Regulatory Commission
- Office of the Intelligence Community
- Office of Personnel Management
- Peace Corps
- Pension Benefit Guarantee Corporation



5

**How many years have you been conducting GAGAS (Yellow Book) audits?**

\*

1

2

3

4

5

6

7

8

9

10

11

12

13

14

15

16

17



6

**Do you hold any of the following certifications? (Select all that apply)**

(If any other auditor certifications, please enter those in "other" field) \*

- Certified Internal Auditor (CIA)
- Certified Public Accountant (CPA)
- Certified Information Systems Auditor
- Licensed Attorney
- None held
- Other

- 28
- 29
- 30
- More than 30

7

**What is your current duty station?**

(If "Other", please enter duty station in "Other" field.) \*

- Headquarters (Washington, D.C. or other HQ location)
- Field / Regional Office (not in HQ office)
- 100% Remote
- Overseas
- Other

8

**From which provider did you earn the MOST CPEs of AUDIT TRAINING over the past 2 years?**

(If "Other", please enter name of TRAINING PROVIDER in the "Other" field below.) \*

- My OIG
- My Department / Agency
- CIGIE Audit Inspection & Evaluation Academy
- GAO
- Treasury Executive Institute
- USDA Grad School
- Management Concepts
- Professional Associations (e.g., IIA, ISACA, etc.)
- Other

9

**Please rate how the following issues impacted meeting your training needs: \***

	1 - Never	2 - Seldom	3 - Sometimes	4 - Often	5 - Always
Funding for training	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Funding for travel to attend	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Availability of local / In-person training	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Availability of online training	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Work precedence over training	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

10

**Does your OIG offer internal training that counts toward your GAGAS CPE requirements? \***

- Yes
- No

11

**If available, how effective were your OIG's internal training classes at preparing you for the work you need to perform?**

(If "very effective", please LIST THE CLASSES that were "very effective" in the "Other" text field at the bottom) \*

- Very effective
- Somewhat effective
- Neither effective nor ineffective
- Somewhat ineffective
- Very ineffective
- N/A
- Other

12

**How do you prefer to take your training? \***

- Virtually
- In person
- Hybrid
- Self-Paced
- Any method

13

**To what degree do you refer to the Yellow Book during an audit? \***

- Never** – I rely on my own OIGs policies and procedures
- Infrequently** – I already know what the Yellow Book says
- Semi-Frequently** – If I need clarification or additional information
- Frequently** – I reference it many times during each audit

## Based on your current position in your OIG -

**Please rate auditor training NEEDS in each of the following auditing skills -**

If you are an auditor on an audit team, or an Auditor-In-Charge / Team Lead, think about what training YOU NEED to do your work.

If you are an Audit Manager / Director, think about what training you feel YOUR audit teams NEED to do their work.

If you are a Senior Executive, think about what training YOUR Audit Managers, Directors, and audit team leads and team members NEED to do their work:

14

### Developing audit objectives and scope \*

LEAST needed  
needed

MOST

1	2	3	4	5
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15

### Conducting audit background research \*

LEAST needed  
needed

MOST

1	2	3	4	5
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16

**Identifying audit criteria \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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17

**Identifying applicable internal controls \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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18

**Developing an audit methodology \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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19

**Developing an audit timeline and schedule \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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20

**Finalizing an audit plan \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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21

**Planning and conducting an entrance conference \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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22

**Conducting and documenting site visits \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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23

**Planning, conducting, and documenting interviews \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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24

**Requesting and reviewing data and documents \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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25

**Analyzing information** (i.e., Analyzing collected information; Documenting analyses) \*

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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26

**Developing findings** (i.e., Developing elements of a finding; Reassessing internal controls) \*

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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27

**Reporting results** (i.e., Developing an audit message; Drafting a report; Preparing and conducting an exit conference; Finalizing and issuing an audit report) \*

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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28

**Indexing and referencing a report \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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29

**Using MS Office products (e.g., Word, Excel) \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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30

**Communicating throughout the audit (i.e., Responding to information requests; Reporting potential fraud, other illegal acts, or abuse; Coordinating with internal and external stakeholders) \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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31

**Using audit documentation software** (e.g., TeamMate, eCase) \*

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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32

**Analyzing and visualizing data** (e.g., Using Advanced Excel, Tableau, PowerBI, Python; Using best practices for data visualization) \*

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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33

**Conducting surveys** (e.g., Writing survey questions, Using various survey tools) \*

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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## Based on your current position in your OIG -

### Please rate auditor training NEEDS in each of the following auditing skills -

If you are an auditor on an audit team, or an Auditor-In-Charge / Team Lead, think about what training YOU NEED to do your work.

If you are an Audit Manager / Director, think about what training you feel YOUR audit teams NEED to do their work.

If you are a Senior Executive, think about what training YOUR Audit Managers, Directors, and audit team leads and team members NEED to do their work:

34

**Managing the audit** (from audit proposal / objective development to recommendation follow up) \*

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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35

**Identifying & managing resource requirements** \*

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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36

**Identifying & mitigating impairments to independence \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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37

**Monitoring timeline and schedules \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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38

**Reviewing the work of others \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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39

**Adjusting audit plan as needed \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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40

**Following up on audit recommendations \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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41

**Monitoring the work of an independent public accounting firm \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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42

**Producing non-traditional work products** (e.g., flash reports, management alerts / advisories, etc.) \*

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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43

**Writing audit policies** \*

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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44

**Conducting quality assurance and improvement activities** \*

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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45

**Conducting a peer review \***

**LEAST needed  
needed**

**MOST**

1	2	3	4	5
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46

**FOR Team Leads and above:**

If CIGIE resumed offering an **“INTRODUCTION to Performance Auditing”** course, that provided high-level initial training on Yellow Book requirements and audit processes for new / junior auditors in the IG community, and that ran for a full week (awarding 36-40 CPEs), with both in-person and virtual versions:

**How likely would you be to send your inexperienced new / junior staff?**

**N/A  
Definitely \***

**Never**

**Likely**

1	2	3	4	5	6
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**FOR Audit Managers / Directors and above:**

If CIGIE resumed offering an **“INTERMEDIATE Performance Auditing”** course, that provided more detailed training on specific auditor skills and audit processes for auditors with several years’ experience in the IG community and multiple performance audits completed, and that ran for a full week (awarding 36-40 CPEs), with both in-person and virtual versions:

**How likely would you be to send your experienced junior / intermediate staff?**

**N/A**  
**Definitely \***

**Never**

**Likely**

1	2	3	4	5	6
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**FOR ALL participants, please provide additional comments to help us determine training needs for the CIGIE audit community.**

(Do NOT list individuals by name specifically to maintain their (and yours’) privacy and independence.)

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