

ALGA MENTORING GUIDE

Thank you for volunteering to serve as a mentor in the ALGA Mentoring Program. Many individuals have expressed an interest in mentoring but weren't confident that they knew how to mentor. The first question many potential mentors have is, "What will I talk about with my mentee?"

This short guide is intended to provide you with a supply of potential discussion topics. You'll find that by having these discussions your mentee will be pushed into self-reflection while simultaneously benefit from the insights and experiences that you offer during the conversation.

In conjunction with each topic there is a list of associated questions relevant to the topic. I would like to stress that the intent is to have a conversation and not to ask/answer a series of questions. Think of the questions as prompts to keep the conversation flowing. Hopefully, once a conversation starts you will likely find it takes on a life of its own and you won't need to refer to the questions.

I would also like to stress that this guide is intended to serve as a resource. It isn't a mandatory syllabus! It isn't comprehensive either. The guide is a compilation of a variety of topics that members of the Education Committee think are critical to professional success. Some topics are general soft skills (e.g., communication, dealing with conflict, and persuasion) and some are more specific to the auditing profession.

The topics below may be useful and relevant in your situation, but then again, they may not. That said....

Mentoring Conversations When Mentoring An Entry Level Auditor	
These conversations are designed for a mentoring relationship with a staff auditor who is interested in general career development	
Conversation Topic	Specific Questions You Can Ask (though I stress that you are striving for a free flowing conversation and not an audit interview 😊)
Introductory Meeting	<p>What is your academic and professional background?</p> <p>How did you end up in the audit profession? Is it what you expected? Why did you request a mentor?</p> <p>Do you have long term career goals, and if so, what are they?</p> <p>Do you have any specific goals for this mentoring relationship and/or What do you think I can do to help you grow professionally and achieve your long term goal?</p>
Positioning Oneself to Achieve Career Goals	<p>Have you identified short-term (say within a year or two) and intermediate goals (three to five years) to position yourself to achieve your long term goals?</p> <p>What do you consider to be your strengths and your weaknesses? How do these impact your performance at your current position? What skills and</p>

	<p>experience do you think you need to gain to position yourself to achieve your career goals?</p> <p>What can you do to develop these skills and gain the experience? Have you explored the opportunities to use professional or community organizations to develop your skills and network?</p>
Communication	<p>Overall, do you think you are an effective communicator? Given the various groups you communicate with (coworkers, supervisors, auditees, etc.), do you think you are more effective with any one group? How would you rate your listening skills? What do you think are the attributes of an effective communicator? What can you do to improve your communication skills? Are you familiar with personality types and the need to adjust communication based on the audience?</p>
Conflict	<p>On a scale of 1-10 how much do you enjoy conflict? What type of conflicts do you encounter as an auditor? Thinking about these conflicts, what steps do you take or could you take proactively to prevent these situations from turning into conflicts? When you anticipate a potentially conflictual event occurring, how do you prepare? What are your goals regarding resolution of the conflict? What can be done to achieve your goals? What can be done to resolve a conflict and move forward?</p>
Technical Skills	<p>How would you rate your technical skills? What are you doing to improve upon or compensate for the areas in which you are weakest? What resources are available to you to aid in your skill development?</p>
Persuasion (Getting an auditee to accept a finding)	<p>Have you found that auditees generally agree or disagree with findings? Are they surprised by the findings? (If they are, what do you think can be done to reduce the surprise?) When they don't agree with a finding, what is it that they are disagreeing with? Are they disagreeing with the criteria, the evidence, the conclusion, the tone, the severity, etc.? How do you present the evidence? What have you tried or what do you think can be done to convince the auditee? What are your thoughts and observations regarding how findings are presented in audit reports?</p>

<p>The “Check – In” Conversation</p>	<p>What audits are you working on? How are the audits progressing? What tasks or objectives have you been assigned? What are you enjoying? What are you disliking? What progress have you made in improving areas of weakness? What progress have you made in achieving your short and long-term career goals? Given the benefit of hindsight, what would you have approached differently?</p>
<p>Mentoring Topics When Mentoring A New Audit Supervisor These conversations focus on topics relating to audit project management and staff supervision</p>	
<p>Audit Planning</p>	<p>What sources of information do you use in the planning phase of an audit? What determines how you focus your audit (Do you focus on risk, control, etc.?) Who do you view as your primary customer and how does that view relate to the Audit shop’s vision, charter, or other guiding factors?</p>
<p>Client Communication/ Relationships</p>	<p>What has your experience dealing with clients been like so far? How would you describe the relationship between your office and its clients? What have you noticed that has helped to improve relationships? What have you noticed that has been detrimental to client relationships?</p>
<p>Quality Control</p>	<p>As a supervisor, what activities that you perform provide the most value from a quality control perspective? Given that time exists in a limited quantity, do you feel that the level of your quality control activities is appropriate and makes the best use of your time?</p>
<p>Supervision</p>	<p>What aspects of supervising staff are most uncomfortable for you and what do you do to make them less uncomfortable? How do you go about giving feedback to your staff and what has their reception been?</p>
<p>General</p>	<p>What has been the biggest surprise to you in this position (i.e., what has turned out to be different from what you expected)? What has been the biggest challenge? What worries you the most? To what extent have you received feedback and what has the feedback been? What have you found to be your strengths as a supervisor and what have you found to be your weaknesses? (And what are you doing to improve in the areas of your weakness?)</p>