CULTIVATING AN AUDIT MINDSET FOR SUSTAINABLE GROWTH!

Jim Hallinan CPA CIA CFSA CBA/ Leader
GO2 JH Communications & Consulting / Independent
Business Consulting Services

WELCOME!

Thank YOU very much for this special opportunity to partner with you today!

We are committed to providing you with the highest-level quality and positive impact program that we possibly can today!

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INTRODUCTION(S)

Bill Kline (Thank YOU, Bill!)

Jim Hallinan

Program Intro.

Today's Presenter:
Jim Hallinan

- **J**im Hallinan CPA CIA CFSA CBA/ Leader of GO2 JH Communications and Consulting and Independent Business Consulting Services, is a growth opportunity oriented (GO2) personal/ professional/ organizational development, governance, leadership, audit and risk management / control trusted coaching, training and consulting resource partner, and inspirational – motivational communications leader. Jim has over 35 years of diversified corporate and independent consulting and training experience.

- Prior to the start of his independent consulting business, Jim had a successful corporate career in the banking industry where he functioned as Vice President for the Audit Division of the largest headquartered banking institution in Phila, PA with full responsibility for the planning, execution, reporting, oversight and overall quality of various major financial, operations, subsidiary, regulatory and international audits. Jim managed assignments and relationships in the U.S. (Philadelphia (corporate headquarters); New York City; Los Angeles; Houston; Pittsburgh; Baltimore; and Wilmington, DE) as well as internationally (London; Hong Kong; Australia; Tokyo; and Taipei, Taiwan). Jim was chosen as a select member of the Bank's Change Leadership Council, which included all members of the Bank's Office of the Chair, leading the drive for strategic organizational change. He also served as Director of Professional Practices and Quality Assurance.

- Jim is a published inspirational writer; has been a contributing author, subject matter expert (SME), and Quality Services Team Leader for the IIA (Institute of Internal Auditors); has been a speaker at various in-house, professional/ organization & client conferences/ training events; & continues to develop/ update, expand & deliver an array of personal/ professional/ & organizational development/ growth, governance, leadership, audit, & risk (management)/ control related training programs.

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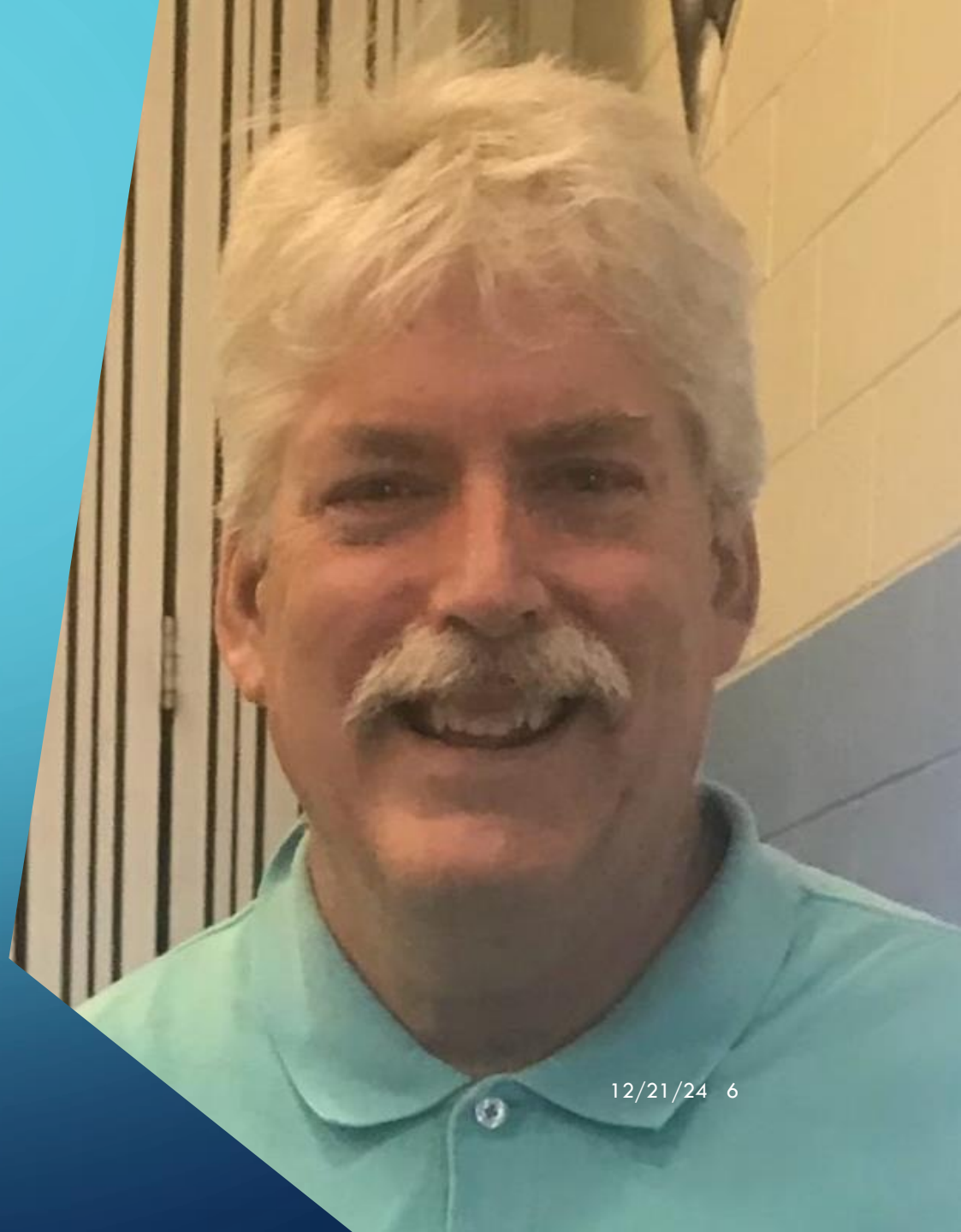
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JIM'S LIFE / WORK MISSION

- *To help enlighten ('bring forth the light from within'), inspire, empower, and support people from all walks and stages of life; teams, groups, and organizations of all types and sizes; and families, schools, and communities, in their quests to:*

    - *Create significant, positive, sustainable change;*

    - *Tap more fully into / unleash their inner genius, infinite creativity, and unlimited potential; and*

    - *Experience ever-increasing levels of growth, fulfillment, and success!*

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AND HERE

I AM!

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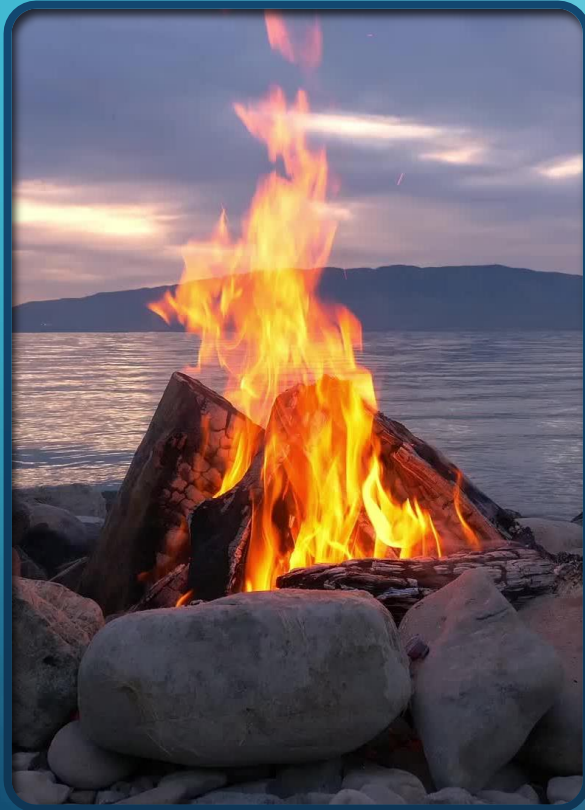
PROGRAM INTRODUCTION

- In this interactive half-day session, auditors and non-auditors alike are invited to "don their audit capes and mindsets" to explore the boundless opportunities for personal and organizational growth that an audit mindset can unlock. Individuals at every level within an organization can develop a self-auditing perspective, offering a holistic view of growth opportunities and insights for their business. This program equips participants with a foundational audit mindset, blending with their existing knowledge and experience to support sustainable growth and achieve ongoing organizational objectives.

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TOPICS AND OBJECTIVES

- Examine the fundamental reasons behind auditing and self-auditing

- Explore the ethics involved in auditing and the process of auditing ethics

- Gain foundational awareness and appreciation of audit / internal audit standards

- Identify the connection between auditing (assurance), ethics, and growth

- Apply an audit mindset and approach beneficially within non-auditor roles

- Transform perceptions of auditors from "gotcha cops" to trusted, value-adding partners

- Develop a holistic audit / self-auditing vision for discovering and maximizing personal and organizational growth opportunities

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TOP LEARNING GOALS/ OBJECTIVES ...

- To promote a positive, participatory information / experience sharing and learning environment!

- To provide a foundational learning platform conducive for ongoing linkage and integration of Personal/ Professional/ and Organizational development and growth!

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REFERENCE HANDOUTS (FOR BREAKOUT SESSIONS)

Program Slides (PDF)

01 IIA: Life as an Internal Auditor

02 COSO: Internal Control-Integrated Framework (ICIF) Overview

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A LITTLE DOSE OF _INSPIRATION_ TO START OUR DAY!

"_I don't worry about maintaining the quality of my life, because everyday I work on improving it._" (Tony Robbins)

"_We are what we repeatedly do. Excellence then, is not an act, but a habit._" (Aristotle)

"_It's not what you look at that matters, it's what you see._" (Henry David Thoreau)

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REMINDER FOR TODAY TO…

Don your 'Audit Cape and Mindset!'

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Key Reference Info./ Resources

- Specific COSO sourced (Copyrighted) information is highlighted in this program via Permission from COSO/ AICPA. (Committee of Sponsoring Organizations of the Treadway Commission (COSO). All rights reserved. Used with permission).
  - Coso.org
- Where applicable, select IIA ref. info. sourced primarily from the IIA's publicly accessible website and IIA member resources:
  - theiia.org

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ABOUT COSO

Committee of Sponsoring Organizations

History / Guidance / Mission

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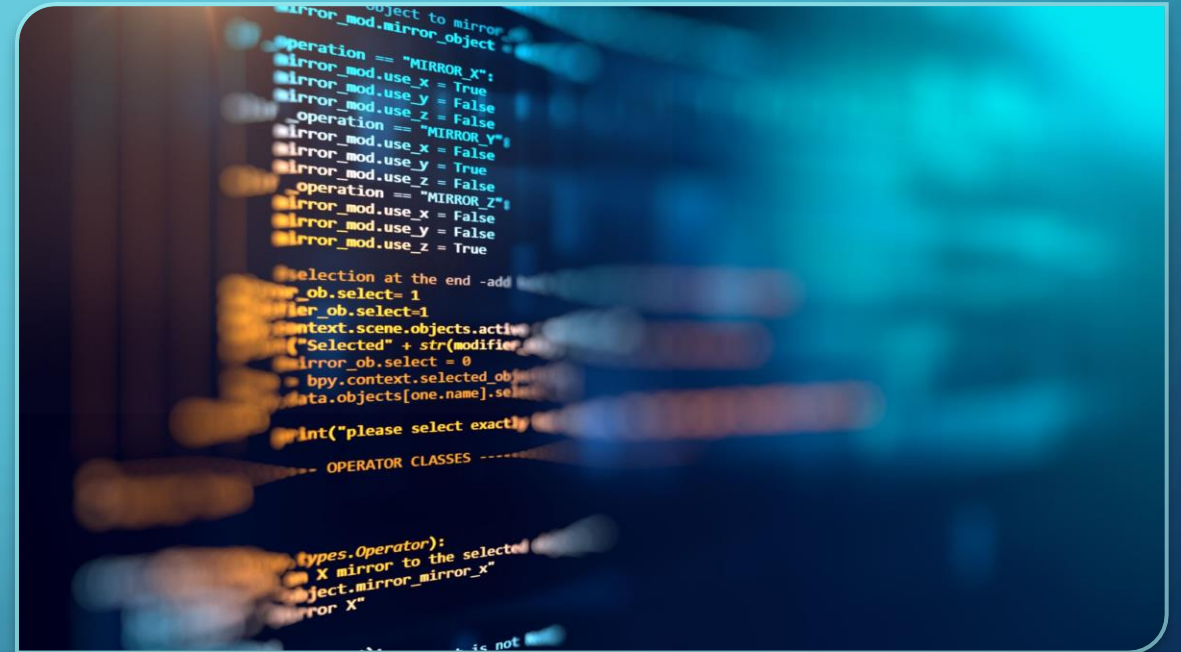
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COSO History / Guidance

Fraud

Control

COSO

ERM

Governance

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COSO VISION

- "To be globally recognized as an authority on internal control and a thought leader on risk management, governance and fraud deterrence."

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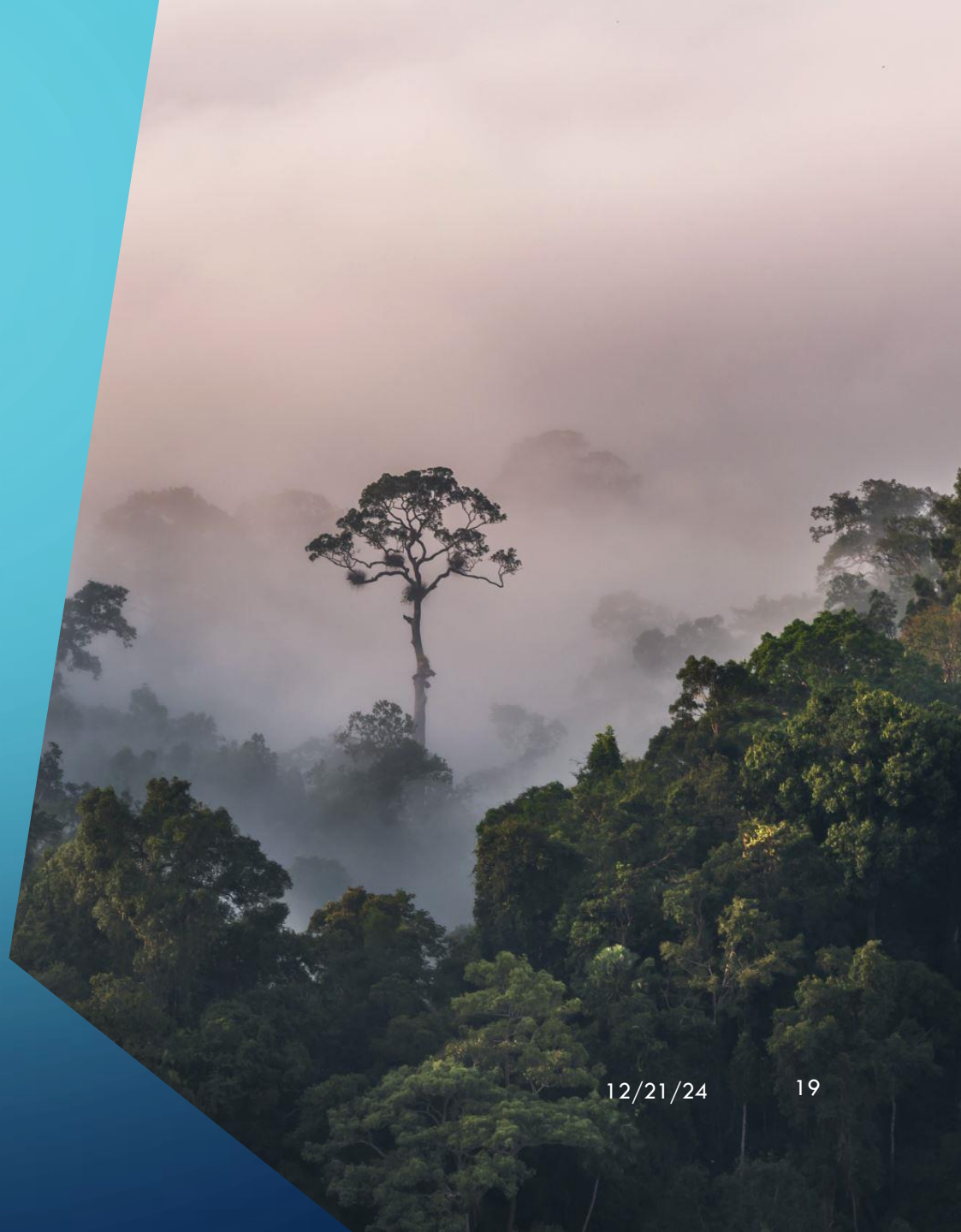
About The IIA

- Institute of Internal Auditors

- History / Overview

- Mission

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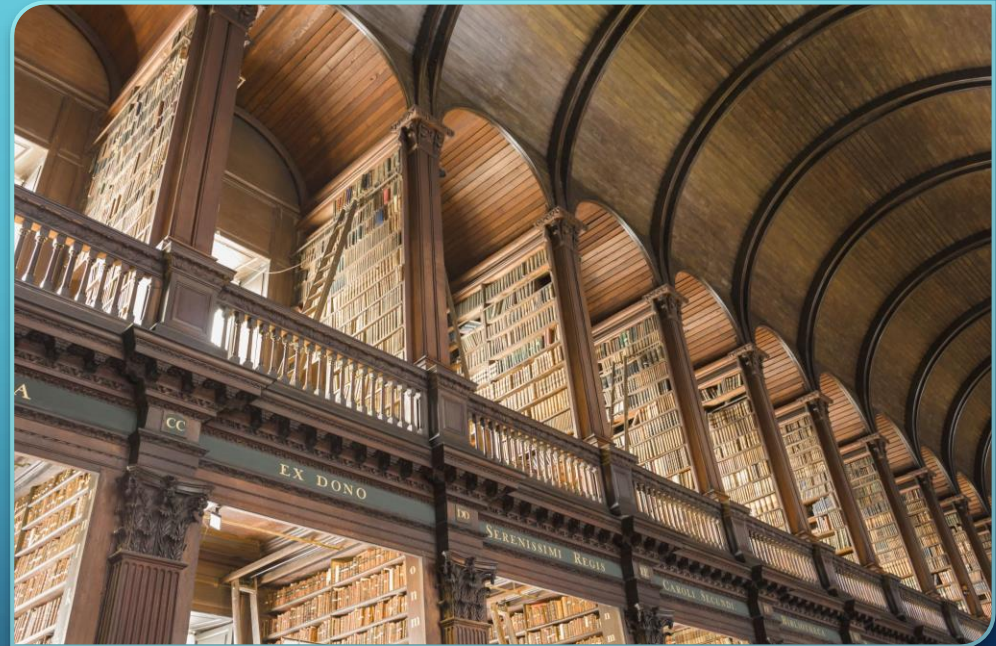
IIA History / Overview

- Established in 1941.

- International professional association with global headquarters in Lake Mary, Florida.

- The internal audit profession's leader in standards, certification, education, research, and technical guidance throughout the world.

- The IIA has more than 245,000 members globally.

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MISSION

IIA Mission

Mission of Internal Auditing

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IIA MISSION

To provide dynamic leadership for the global profession of internal auditing. Activities in support of this mission will include, but will not be limited to:

Advocating and promoting the value internal audit professionals add to their organizations.

Providing comprehensive professional educational and development opportunities, standards and other professional practice guidance, and certification programs.

Researching, disseminating, and promoting knowledge concerning internal auditing and its appropriate role in control, risk management, and governance to practitioners and stakeholders.

Educating practitioners and other relevant audiences on best practices in internal auditing.

Bringing together internal auditors from all countries to share information and experiences.

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MISSION OF INTERNAL AUDITING

- *"To enhance and protect organizational value by providing risk-based and objective assurance, advice, and insight."*

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ASKING QUESTIONS

- Inquisitiveness is one of an Auditor's most important traits! And maybe for others too … ?!

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WHEN WE TALK ABOUT SUSTAINABILITY TODAY …

We are and will be really referring to …

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SUSTAINABLE

GROWTH!

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SUSTAINABLE GROWTH

In all major facets and aspects of Business
and Life

or

Life and Business

(Life / Work)

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LIFE / BUSINESS (LIFE / WORK)

Is (all about) …

GROWTH!

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DEFINING

'MOMENTS / TERMS

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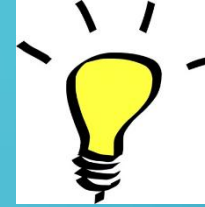
Defining 'Moments' / Terms

1. Developing an appreciation of WHY 'Definitions' are so important
2. Gaining clarity on the meanings/ definitions of key select terms in our program

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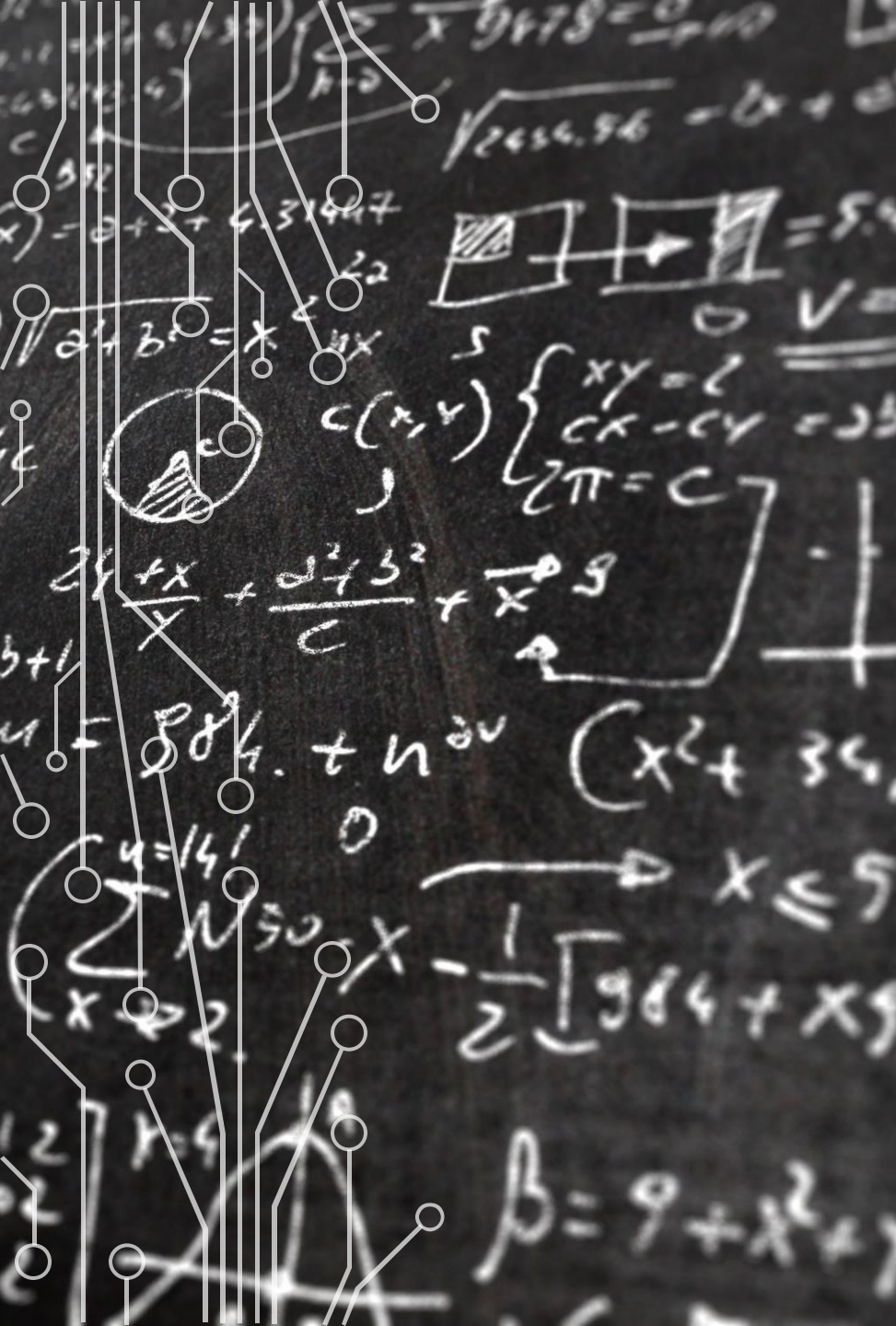
WHY DEFINITIONS ARE SO IMPORTANT

Definitions are a critical starting point in knowledge foundations

When we 'define' something, we should not be trying to restrict or label 'it' in a negative or judgmental way, but rather clarify what a term truly represents, thus allowing for and promoting better understanding in support of ongoing knowledge expansion

This is WHY 'Definitions' can become our DEFINING *Moments* … of Clarity, Understanding, Knowledge … GROWTH!

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TERMS

Assurance

Internal Auditing

Sustainability / (Sustainable) Growth

'GRC'

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ASSURANCE

- "An objective examination of evidence for the purpose of providing an independent assessment on governance, risk management, and control processes for the organization. Examples may include financial, performance, compliance, system security, and due diligence engagements." (IIA Standards Glossary: Assurance Services)

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INTERNAL AUDITING

- "Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organization's operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes." (IIA)

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THE WHO/ WHAT/ AND WHY OF IA

In its purest sense, The Who and What of Internal Auditing involves our search for:

| TRUTH (What Is); and | GROWTH (What Can Yet Still Be!) |
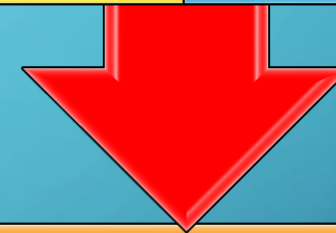
Our WHY as IAs is our Reason for Being/ Our Purpose which provides meaning and fulfillment in our life / work!

Adding Value to/ for all our 'stakeholders!'

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SUSTAIN

Maintain, continue, or prolong	To keep in existence; maintain, continue, or prolong
Provide	To supply with necessities or nourishment; provide for
Encourage	To support the spirits, vitality, or resolution of; encourage
Withstand	To bear up under; withstand • Source: www.thefreedictionary.com

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SUSTAINABILITY

- A business approach that creates long-term shareholder value by embracing opportunities and managing risks deriving from economic, environmental and social developments." (COSO)

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SUSTAINABLE GROWTH

- Sustainable growth refers to the ability of an organization to grow and expand over time without compromising its ability to meet future needs, either financially, socially, or environmentally. It involves building long-term value and maintaining a healthy balance between profitability, social responsibility, and environmental stewardship. Sustainable growth focuses on achieving continued progress in a way that is not only profitable but also responsible and resilient. (ChatGPT 12/24)

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GRC

Governance

Risk / Risk Management

Compliance / (Internal) Control

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AUDIT / ETHICS / STANDARDS

- IIA (Institute of Internal Auditors) *Standards*

- IIA Code of Ethics

- AICPA Code of Professional Conduct (Select Principles Overview)

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IIA STANDARDS

8 Jan. 2025

International Standards for the Professional Practice of Internal Auditing (*Standards*) (Current *Standards* effective to / through January 8, 2025)

Global Internal Audit Standards (GIAS) (January 9, 2025, Effective Date)

9 Jan. 2025

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IIA CODE OF ETHICS

PRINCIPLES

RULES OF CONDUCT

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IIA CODE OF ETHICS PRINCIPLES

Integrity

Objectivity

Confidentiality

Competency

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PRINCIPLES: INTEGRITY

- The integrity of internal auditors establishes trust and thus provides the basis for reliance on their judgment.

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PRINCIPLES: OBJECTIVITY

- Internal auditors exhibit the highest level of professional objectivity in gathering, evaluating, and communicating information about the activity or process being examined. Internal auditors make a balanced assessment of all the relevant circumstances and are not unduly influenced by their own interests or by others in forming judgments.

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PRINCIPLES: CONFIDENTIALITY

- Internal auditors respect the value and ownership of information they receive and do not disclose information without appropriate authority unless there is a legal or professional obligation to do so.

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PRINCIPLES: COMPETENCY

- Internal auditors apply the knowledge, skills, and experience needed in the performance of internal audit services.

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IIA CODE OF ETHICS
RULES OF CONDUCT

- 1. Integrity

- 2. Objectivity

- 3. Confidentiality

- 4. Competency

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RULES OF CONDUCT
1. INTEGRITY

- Internal Auditors:

  - 1.1. Shall perform their work with honesty, diligence, and responsibility.

  - 1.2. Shall observe the law and make disclosures expected by the law and the profession.

  - 1.3. Shall not knowingly be a party to any illegal activity, or engage in acts that are discreditable to the profession of internal auditing or to the organization.

  - 1.4. Shall respect and contribute to the legitimate and ethical objectives of the organization.

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RULES OF CONDUCT
2. OBJECTIVITY

- Internal Auditors:

  - 2.1. Shall not participate in any activity or relationship that may impair or be presumed to impair their unbiased assessment. This participation includes those activities or relationships that may be in conflict with the interests of the organization.

  - 2.2. Shall not accept anything that may impair or be presumed to impair their professional judgment.

  - 2.3. Shall disclose all material facts known to them that, if not disclosed, may distort the reporting of activities under review.

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RULES OF CONDUCT
3. CONFIDENTIALITY

- Internal Auditors:
  - 3.1. Shall be prudent in the use and protection of information acquired in the course of their duties.
  - 3.2. Shall not use information for any personal gain or in any manner that would be contrary to the law or detrimental to the legitimate and ethical objectives of the organization.

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RULES OF CONDUCT
4. COMPETENCY

- Internal Auditors:

  - 4.1. Shall engage only in those services for which they have the necessary knowledge, skills, and experience.

  - 4.2. Shall perform internal audit services in accordance with the International Standards for the Professional Practice of Internal Auditing.

  - 4.3. Shall continually improve their proficiency and the effectiveness and quality of their services.

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GIAS
(GLOBAL INTERNAL AUDIT STANDARDS)
DOMAIN II: ETHICS AND PROFESSIONALISM

- Principle 1 Demonstrate Integrity

- Principle 2 Maintain Objectivity

- Principle 3 Demonstrate Competency

- Principle 4 Exercise Due Professional Care

- Principle 5 Maintain Confidentiality

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AICPA CODE OF PROFESSIONAL CONDUCT (SELECT PRINCIPLES OVERVIEW)

- Preface: Applicable to All Members

- Part 1: Members in Public Practice

- Part 2: Members in Business

- Part 3: Other Members

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0.300 PRINCIPLES OF PROFESSIONAL CONDUCT

- 0.300.010 Preamble

- 0.300.020 Responsibilities

- 0.300.030 The Public Interest

- 0.300.040 Integrity

- 0.300.050 Objectivity and Independence

- 0.300.060 Due Care

- 0.300.070 Scope and Nature of Services

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0.300.010 PREAMBLE

- .01 Membership in the American Institute of Certified Public Accountants is voluntary. By accepting membership, a member assumes an obligation of self-discipline above and beyond the requirements of laws and regulations.

- .02 These Principles of the Code of Professional Conduct of the American Institute of Certified Public Accountants express the profession's recognition of its responsibilities to the public, to clients, and to colleagues. They guide members in the performance of their professional responsibilities and express the basic tenets of ethical and professional conduct. The Principles call for an unswerving commitment to honorable behavior, even at the sacrifice of personal advantage.

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0.300.020 RESPONSIBILITIES

- 01 *Responsibilities principle.* In carrying out their responsibilities as professionals, members should exercise sensitive professional and moral judgments in all their activities.

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0.300.030 THE PUBLIC INTEREST

- .01 *The public interest principle.* Members should accept the obligation to act in a way that will serve the public interest, honor the public trust, and demonstrate a commitment to professionalism.

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0.300.040 INTEGRITY

- .01 *Integrity principle.* To maintain and broaden public confidence, members should perform all professional responsibilities with the highest sense of integrity.

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0.300.050 OBJECTIVITY AND INDEPENDENCE

- .01 *Objectivity and independence principle.* A member should maintain objectivity and be free of conflicts of interest in discharging professional responsibilities. A member in public practice should be independent in fact and appearance when providing auditing and other attestation services.

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0.300.060 DUE CARE

- .01 *Due care principle*. A member should observe the profession's technical and ethical standards, strive continually to improve competence and the quality of services, and discharge professional responsibility to the best of the member's ability.

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0.300.070 SCOPE AND NATURE OF SERVICES

- .01 *Scope and nature of services principle*. A member in public practice should observe the Principles of the Code of Professional Conduct in determining the scope and nature of services to be provided.

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AUDIT and GRC

- Introducing Core 'GRC' Visualization Concepts
  - "Foundation"
  - Umbrella"
  - "Bridge"

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THE GRC 'FOUNDATION' CONCEPT

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THE GRC "UMBRELLA" CONCEPT

GOVERNANCE

E   R   M

CONTROLS

**Vision/ Mission/ Purpose
Values/ ETHICS/ Beliefs**

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'UMBRELLAS ?

- When do we need / use an umbrella? In what type of weather?

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UMBRELLAS FOR STORMY / RAINY WEATHER (TIMES)

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UMBRELLAS

In the Sun!

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"UMBRELLA" CONCEPT EXPLAINED

- Umbrellas can protect us from getting too wet in the rain/ storms and even from getting too much sunshine on those very bright sunny days.

- A sound Governance/ GRC framework can do the same for organizations, providing protection to limit the downside when the 'storms' hit and also keep us from not getting burnt by soaking in the sun too much when 'things' are going well. Our GRC Umbrellas can also help us (organizations) keep moving forward (in the storms or excessive sunshine) and identify and take advantage of strategic opportunities that other umbrella-less organizations may not be in a position to do or even see.

- At the higher overall (top of the umbrella) Governance level, the Strategies and Objectives of the organization are established.

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"UMBRELLA" CONCEPT (CONT.)

- ERM represents the spokes in the umbrella where we identify risks to the achievement of objectives, etc.

- Controls are designed and deployed (at the end of the ERM umbrella spokes) to address/ mitigate risks, etc. and make sure the umbrella (organization) stays supported and doesn't collapse at any time regardless of the weather conditions.

- The Vision/ Mission/ Purpose/ Values/ **ETHICS**/ Beliefs of the organization play the vital environment / culture connecting point (pole) that set the Tone (at/ from the Top), keep the organization balanced and centered, and run down and up / up and down the umbrella/ organization (from the top of the umbrella – highest Governance level where the tone/ culture/ environment are set - to the handle of the umbrella, through the whole organization and back up again).

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GRC 'BRIDGE' CONCEPT

GRC PROVIDES THE BRIDGE SUPPORTING AN ORGANIZATION'S ENVIRONMENT / CULTURE AND THE OVERARCHING PATHWAY TO ACHIEVE ITS GOALS / OBJECTIVES.

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BUSINESS/ ORGANIZATIONAL/ CORPORATE GOVERNANCE

The **_ETHICAL_** and integrated foundational structure of strategic, risk management, compliance/ control, assurance, and oversight processes, within and across an organization, designed to align with, and promote/ support, organizational core values, the achievement of organizational objectives, and the enhancement of stakeholder value. (JDH)

A positive, ethical, principle based foundational framework for guiding the conduct of all major aspects and activities of an organization in alignment with, and promoting/ supporting, organizational core values, the achievement of organizational objectives, and the enhancement of stakeholder value. (JDH)

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PERSONAL GOVERNANCE

• A positive, **_ETHICAL_**, principle-based foundational framework, guiding all major aspects of one's life, in alignment with, and promoting/ supporting, one's core values, the achievement of one's highest aspirational goals/ objectives, and the enhancement of 'stakeholder' value. (JDH)

GOVERNANCE FRAMEWORK SAMPLE VISUAL

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ERM
(ENTERPRISE RISK MANAGEMENT) OBJECTIVES

- Strategic

- Operations

- Reporting

- Compliance

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ERM (ENTERPRISE RISK MANAGEMENT)

ERM Objectives

ERM Components

- Governance & Culture (Internal Environment)
- Strategy & Objective-Setting (Objective Setting)
- Performance (Event Identification/ Risk Assessment/ Risk Response/ Control Activities)
- Review & Revision (Monitoring)
- Information, Communication & Reporting (information and Communication)

ERM Principles

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ERM COMPONENTS

- 1. **<u>Governance and Culture</u>**: Governance sets the organization's tone, reinforcing the importance of, and establishing oversight responsibilities for, enterprise risk management. Culture pertains to ethical values, desired behaviors, and understanding of risk in the entity.

- 2. **<u>Strategy and Objective-Setting</u>**: Enterprise risk management, strategy, and objective-setting work together in the strategic-planning process. A risk appetite is established and aligned with strategy; business objectives put strategy into practice while serving as a basis for identifying, assessing, and responding to risk.

- 3. **<u>Performance</u>**: Risks that may impact the achievement of strategy and business objectives need to be identified and assessed. Risks are prioritized by severity in the context of risk appetite. The organization then selects risk responses and takes a portfolio view of the amount of risk it has assumed. The results of this process are reported to key risk stakeholders.

- 4. **<u>Review and Revision</u>**: By reviewing entity performance, an organization can consider how well the enterprise risk management components are functioning over time and in light of substantial changes, and what revisions are needed.

- 5. **<u>Information, Communication, and Reporting</u>**: Enterprise risk management requires a continual process of obtaining and sharing necessary information, from both internal and external sources, which flows up, down, and across the organization

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GOVERNANCE & CULTURE PRINCIPLES

- 1. Exercises Board Risk Oversight—The board of directors provides oversight of the strategy and carries out governance responsibilities to support management in achieving strategy and business objectives.

- 2. Establishes Operating Structures—The organization establishes operating structures in the pursuit of strategy and business objectives.

- 3. Defines Desired Culture—The organization defines the desired behaviors that characterize the entity's desired culture.

- 4. Demonstrates Commitment to Core Values—The organization demonstrates a commitment to the entity's core values.

- 5. Attracts, Develops, and Retains Capable Individuals—The organization is committed to building human capital in alignment with the strategy and business objectives.

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STRATEGY & OBJECTIVE-SETTING PRINCIPLES

- 6. Analyzes Business Context—The organization considers potential effects of business context on risk profile.

- 7. Defines Risk Appetite—The organization defines risk appetite in the context of creating, preserving, and realizing value.

- 8. Evaluates Alternative Strategies—The organization evaluates alternative strategies and potential impact on risk profile.

- 9. Formulates Business Objectives—The organization considers risk while establishing the business objectives at various levels that align and support strategy.

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PERFORMANCE PRINCIPLES

- 10. Identifies Risk—The organization identifies risk that impacts the performance of strategy and business objectives.

- 11. Assesses Severity of Risk—The organization assesses the severity of risk. 12. Prioritizes Risks—The organization prioritizes risks as a basis for selecting responses to risks.

- 13. Implements Risk Responses—The organization identifies and selects risk responses.

- 14. Develops Portfolio View—The organization develops and evaluates a portfolio view of risk.

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REVIEW AND REVISION PRINCIPLES

- 15. Assesses Substantial Change—The organization identifies and assesses changes that may substantially affect strategy and business objectives.

- 16. Reviews Risk and Performance—The organization reviews entity performance and considers risk.

- 17. Pursues Improvement in Enterprise Risk Management—The organization pursues improvement of enterprise risk management.

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INFORMATION, COMMUNICATION, AND REPORTING PRINCIPLES

- 18. Leverages Information Systems—The organization leverages the entity's information and technology systems to support enterprise risk management.

- 19. Communicates Risk Information—The organization uses communication channels to support enterprise risk management.

- 20. Reports on Risk, Culture, and Performance—The organization reports on risk, culture, and performance at multiple levels and across the entity.

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INTERNAL CONTROL

INTERNAL CONTROL – INTEGRATED FRAMEWORK ICIF) (COSO 1992 / 2014)

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COSO ICIF

Definition of Internal Control

Control Objectives

Contro Components

Control Principles

Control Points of Focus

Controls to Effect Principles

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DEFINING INTERNAL CONTROL

- *Internal control is a process, effected by an entity's board of directors, management, and other personnel, designed to provide reasonable assurance regarding the achievement of objectives relating to operations, reporting, and compliance.*

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CONTROL OBJECTIVES

Operations Objectives—These pertain to effectiveness and efficiency of the entity's operations, including operational and financial performance goals, and safeguarding assets against loss.

Reporting Objectives—These pertain to internal and external financial and non-financial reporting and may encompass reliability, timeliness, transparency, or other terms as set forth by regulators, recognized standard setters, or the entity's policies.

Compliance Objectives—These pertain to adherence to laws and regulations to which the entity is subject.

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CONTROL COMPONENTS

Control Environment

Risk Assessment

Control activities

Information and Communication

Monitoring

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CONTROL PRINCIPLES

- The *Framework* sets out seventeen (17) principles representing the fundamental concepts associated with each component. Because these principles are drawn directly from the components, an entity can achieve effective internal control by applying all principles. All principles apply to operations, reporting, and compliance objectives. The principles supporting the components of internal control are listed below.

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CONTROL ENVIRONMENT PRINCIPLES

- 1. Demonstrates Commitment to Integrity and Ethical Values

- 2. Exercises Oversight Responsibility

- 3. Establishes Structure, Authority, and Responsibility

- 4. Demonstrates Commitment to Competence

- 5. Enforces Accountability

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RISK ASSESSMENT PRINCIPLES

- 6. Specifies Suitable Objectives

- 7. Identifies and Analyzes Risks

- 8. Assesses Fraud Risk

- 9. Identifies and Analyzes Significant Change

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CONTROL ACTIVITIES PRINCIPLES

- 10. Selects and Develops Control Activities

- 11. Selects and Develops General Controls over Technology

- 12. Deploys through Policies and Procedures

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INFORMATION AND COMMUNICATION PRINCIPLES

- 13. Uses Relevant Information

- 14. Communicates Internally

- 15. Communicates Externally

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MONITORING PRINCIPLES

- 16. Conducts Ongoing and/or Separate Evaluations

- 17. Evaluates and Communicates Deficiencies

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CONTROL POINTS OF FOCUS

- Important characteristics of Principles (Attributes). Management may determine that some of these Points of Focus are not suitable or relevant and may identify and consider others based on specific circumstances of the entity. Points of Focus may assist management in designing, implementing, and maintaining internal control and in evaluating whether the relevant principles are present and functioning. The *Framework* does not require that management assess whether Points of Focus are in place.

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CONTROLS TO EFFECT PRINCIPLES

- Organization specific controls (policies and procedures etc.) within each component, which effect relevant principles.

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PROGRAM REVIEW

- Open Forum / Q &A

- Final Information and Experience Sharing

- Bringing It All Together!

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BRINGING IT ALL TOGETHER!

Self-Assessment / Auditing for Life and Work (Life / Work)!

The Various Levels/ Stages/ Phases/ and Steps UP for Achievement, Fulfillment and Sustainable Growth!

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Self-Assessment / Auditing for Life and Work (Life / Work)

Introducing 'TEF'

(Self) Assessment / Prioritization

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"TEF"

- Time / Energy / Focus (TEF) based (Self) Assessment

- Forget 'Tough' ('Toughing' it out…)

'TEF' It Out for Success!

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Streamlined 'TEF' Self-Assessment Process Flow

- Identify Major 'TEF' Prioritization Areas of Your Life / Work
  - Assess/ Rate (1-10) Your Current Level of Effectiveness from a TEF / prioritization perspective on an Area by Area and Holistic basis in relation to your Specific Priority Goals / Vision / Mission / Purpose / Values etc.
  - Identify Your 'Gaps' (-)

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NEXT STEPS

Transform your Gaps into 'Growth Opportunities' ('GOs') (+)!

Re-Prioritize Your Major Life / Work Areas based on your 'TEF' Self-Assessment

And then…

'GO' and GROW!

GROW and 'GO!'

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REVERSE "TEF"

Moving from Time / Energy / Focus (prioritization) to:
- Focus / Energy / Time (Prioritization)

The vital shift from 'Spending' our time to:
- 'INVESTING' our time (energy and focus) on the priority areas and objectives/ goals we've established.

"Where focus goes energy flows" (Tony Robbins) … and so too our time (JDH).

The Various Levels/ Stages/ Phases/ and Steps UP for Achievement, Fulfillment and Sustainable Growth

The 8 Levels of 'Giving'

The 5 Stages of Growth

The 8 Phases of Being (Becoming)

The 6 Steps up to Productivity/ Achievement

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THE 8 LEVELS OF 'GIVING'

'Giving'

Sharing

Contribution

Being of Service

Adding Value

'Giving' Thanks

Forgiveness

'Giving' an effort worthy of your highest self

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THE 5 STAGES OF GROWTH

Development

Growth

Transformation

Mastery

Transcendence

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THE 8 PHASES OF BEING (BECOMING)

Thought/ Thinking	Feeling	Emotion	Word(s)
Action(s)	Belief	Attitude	Intention

RE-PRIORITIZING THE 8 PHASES OF BEING (BECOMING)

Belief	Attitude	Intention	Thought/ Thinking
Feeling	Emotion	Word(s)	Action(s)

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THE 6 STEPS UP TO PRODUCTIVITY / ACHIEVEMENT

Vision / Mission / Purpose + (Establishing Governance Foundation)

Defining / Committing to Your Objectives / Goals

Planning / Intentioning (for Objectives / Goals Achievement)

Daily Disciplines / Actions (toward Objectives / Goals Achievement)

Monitoring Progress

Periodic / Ongoing Re-Assessment and Renewal

(SELF) ('INTERNAL') 'AUDITING' OUR LIFE / WORK!

1
Remember the old adage: "Don't bring your work home with you."

2
I say: Forget that! *Bring your work home with you … but only the good 'stuff!'*

3
Commit to ongoing Self-Assessment / Auditing: The Key to Constant and Never-Ending Improvement!

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AND REMEMBER TO …

Make what you are doing, Your Life / Work!

Make who you are becoming, and who you desire to yet still be, Your Life / Work!

Afterall, Your Life / Work is what you make of it. So, make of it your Masterpiece!

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THANK YOU

and

Happy Holidays!

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