Springfield Chapter | www.TheIIA.org/Chapters/Index.cfm/home.page/cid/145 | 35 Years

Springfield Audit Trails

Platinum Chapter & First Gold Chapter

1978 – 2013 | The Institute of Internal Auditors | November 2012

President's Message

Another successful State Internal Audit Advisory Board Fall Conference was held this year. There were over 140 attendees both days for this popular event.

Thank you to all the SIAAB officers and IIA volunteers that worked together to make this event a success, many of our members look forward to this conference every year.

The IIA recently released the Certification in Risk Management Assurance Professional Experience Recognition (CRMA PER) has been extended until December 31, 2012. This gives you the opportunity to submit an application with your experience to obtain the CRMA certification.

After the end of the year deadline, all CRMA candidates without the PER will be required to take an examination in order to receive this certification.

Denise Behl, CIA

The **Illinois State Board of Education** is seeking qualified candidates for a Senior Information Technology Auditor.

The application and official posting is at www.isbe.net at ISBE Agency Info/ Employment/Ongoing Vacancy List #12-01.

TRAINING SEMINAR

November 16 @ 8:30a-4:30p

A New Service Model: Auditor Roles in Government Performance Measurement

Steve Morgan

7 Hours CPE (Government)

Members: $100; Non-Members: $125

Northfield Center

Training

Auditor Roles in Performance Management

Amy Lyons, First Vice President

The Internal Auditor, October 2012 issue, has an article "Peak Performance" indicating the demand for greater accountability has increased in both public and private institutions.

In the public sector, government audit functions deliver on this demand, sometimes utilizing performance auditing as an accountability tool.

Our Chapter is pleased to have Stephen Morgan present "A New Service Model: Auditor Roles in Government Performance Measurement" on November 16, 2012.

The new auditor service model will be viewed in the context of models of effective governance, service delivery, managing for results, and organizational learning to demonstrate the value of the framework.

- Stephen L. Morgan, CIA, CGAP, CFE, CGFM, former city auditor of Austin, Texas, was responsible for directing performance audits, fraud investigations, and consulting engagements.
- During his tenure, the City of Austin strengthened accountability for performance and financial management, ethics and integrity, and transparency to the public.
- Before becoming City Auditor in 2000, Morgan was Deputy City Auditor, Assistant City Auditor, and Performance Audit Manager. Prior to joining the City Auditor's Office in 1985, Morgan was an auditor in the U.S. Government Accountability Office's National Productivity Group and was responsible for auditing federal productivity programs from 1977 until 1984.

The full-day seminar will provide 7 governmental CPE hours.

Register by November 13, 2012 with Secretary Michelle Brown 524-7038 or by email Springfield.IIA@ComCast.net.

Chapter History

5 Years Ago: November 2007

Jay Wagner, CIA, CISA, served as the President of our Chapter.

- Training. Dr. Paul Pitchford provided a full-day training course on *"Leadership"* at the Northfield Center. This meeting was held on a day designated as the CIA and CGAP Recognition Day.

- Member News. Two members passed the CIA exam: **Jay Wagner**, CISA, our Chapter President, and **Mark Radulski**. In addition, two members passed the CGAP exam: **Cori Fuchs** and **Morris Wooden**.

10 Years Ago: November 2002

Shelly Martin, CPA, served as the President of our Chapter.

- Training. **Richard F. Chambers**, CIA, CFE, CCE/A, Vice President and head of the IIA Learning Center presented *"Reigning In Audit Cycle Time"* in the morning and *"Internal Auditing – Today's Challenges and Tomorrow's Opportunities"* in the afternoon.

- Member News. Two chapter members passed the exams: **Doug Hathhorn** passed the CIA exam and **Jim Kincaid** passed the CGAP exam.

15 Years Ago: November 1997

Michael J. Moody, CISA, served as the President of our Chapter.

- Training. This month's meeting was a joint meeting with the Central Illinois Chapter and was held at the Radisson Hotel in Bloomington. The pre-dinner speaker was Dave Schotte, Senior Manager, Deloitte & Touche, who spoke on *"Self Assessing Controls and Risks."*

- Speaker. The after-dinner speaker was **Michael P. Fabrizius**, Chairman, Institute of Internal Auditors, who spoke on *"A Passion for Excellence."*

- Member News. The Chapter recognized two new CIA's: **Kelly Green** and **Mike Moody**. The member profile this month was **Brian J. Bond**, CPA, Staff Trainer, Capital Development Board.

20 Years Ago: November 1992

Randall W. Welch, CIA, CPA, served as the President of our Chapter.

- Training. **William Winberg**, CPA, presented the pre-dinner seminar on *"Evaluating Internal Control Structure."*

- Speaker. Vince Volpe, Partner with KPMG, gave the dinner speech on *"Total Quality Management."*

- Member News. **Bill Hunt** and **Jim Jones** were our newest Certified Internal Auditors. The Springfield Chapter was number one in Total Chapter Achievement Points (CAP) within Midwest Region 1. **Ameen Dada** and **Jim Kincaid** were co-editors of the newsletter.

25 Years Ago: November 1987

Bradley W. Hammond served as the President of our Chapter.

- Training. Our Chapter's 10th Anniversary Dinner was held November 19th at the Governor's Mansion in Springfield. *[Editor's Note: I attended the dinner hosted by our chapter and found it to be a fabulous event.]*

- Speaker. **Mr. Ronald Bell**, CIA, CISA, Chairman of the Board of the Institute of Internal Auditors, spoke on the *"Auditor's Influence on Management."*

- Member News. **Dan Bedell** was the CIA committee chairman. **June Edvenson** was the editor of the newsletter. Membership had grown to 101.

30 Years Ago: November 1982

James R. Donkin, CIA, served as the President of our Chapter.

- Training. A joint meeting was held with the Central Illinois Chapter in Bloomington, Illinois.

- Speaker. **Mr. Charles Doerner**, CIA, IIA Vice Chairman of the Board was the guest speaker.

- Member News. **Rudy Davenport** was CIA committee chairman. **Dan Bedell** was the editor of the newsletter.

FBI's Top 10 Most Wanted List

www.bbc.com

The FBI first drew up a Ten Most Wanted list in 1950 when a reporter asked the bureau for the names and descriptions of the "toughest guys" on the run.

Since then, the list has proven to be remarkably successful. Of the nearly 500 men and women on the list since then, 465 have been located, including 153 who were nabbed after a tip from the public.

- The top ten individuals on the list are not ranked but must be considered dangerous and worthy of a $100,000 reward.
- Other leads must have run dry, with agents deeming the publicity might help find the fugitive rather than drive him further underground.

The FBI adds fugitives to the list by canvassing its field offices for suggestions, analyzing the most worthy cases, then forwarding those up the bureau's chain of command to the Director.

Highest Income Tax Rates
www.cnn.com

France	75% (over $1.25m)
Japan	50%
Britain	45%
Germany	45%
U.S.A.*	35% plus State tax

* If the January 1, 2013 "fiscal cliff" (lack of cuts to federal programs) is not averted, households could pay $3,500 more in taxes.

"Over time, the top 10 list has in some ways mirrored the criminal investigative interests of the bureau and the priorities of the day," says John Fox, the bureau's official historian. In the 1960s and 1970s, violent anti-Vietnam War radicals featured on the list.

Fugitives are removed from the list when they are captured, die/killed, or no longer a threat. Over the years, six fugitives fell into that category; several of those were anti-Vietnam War activists accused of violent acts who evaded the law until they reached middle age.

Hostile Work Environment

http://employeeissues.com

A hostile work environment is caused by unwelcome conduct in the workplace, in the form of discriminatory harassment. Other names for it include **intimidating, offensive,** or **abusive work environment,** and **hostile workplace**.

- The harassing workplace bully might be a boss, coworker, client, or contractor.
- Creating a hostile workplace is prohibited under federal law. A hostile work environment is typically caused by discriminatory workplace harassment based on race, color, religion, national origin, disability, age or sex. Typically it must be severe, recurring, and pervasive and the victim must believe they have to endure hostility to keep their job.

JOB VACANCIES

Office of Executive Inspector General (OEIG)
Regional Transit Board (RTB)

1. Supervising Auditor Position: $3,750/month to $7,500/month.

   Responsible for performing financial, compliance, management, and operational audits of the Regional Transportation Authority, the Chicago Transit Authority, Metra, and Pace - for the OEIG.
   - Audits and investigates operations of RTBs and analyzes other audit reports relating to RTBs.
   - Audits in accordance with industry standards and best practices, coordinated with external parties.
   - Develops audit plans and ways to manage risk and improve efficiency and cost-effectiveness.
   - Analyzes information/documentation/physical evidence.
   - Evaluates audit findings and draft summaries for OEIG management supporting recommendations.
   - Prepares audit reports and presentations for OEIG.
   - Recommends follow-up investigations.
   - Develops procedures and manuals.
   - Supervises auditors.

   Requires a Bachelor's degree; certification as a CPA, CIA, or an advanced degree; 7 years of experience; and knowledge of Microsoft. This position is exempt from the State of Illinois Personnel Rules.

   Duties are generally performed in an office and include sitting, using a computer, handling/transporting documents weighing up to 30 lbs., and standing/bending at the waist or the legs.

2. An Investigative Auditor position is also available which requires 3 years of experience.

3. Apply by downloading the OEIG application and submit it with a résumé and cover letter to OEIG Division of Human Resources, 32 West Randolph, Suite 1900, Chicago, IL 60601. You can contact the Division of Human Resources at 312.814.1789.

10 Ways to Improve Your Work Performance

Dennis McCafferty, www.baselinemag.com (from Cary Franks)

1. Let There Be Light. Bright surroundings alert the senses.
2. Get Up. Move throughout the day. Use stairs instead of escalators. Walk to someone's desk instead of emailing.
3. Stretch. Take stretch breaks to rejuvenate your body.
4. Allow "Quiet Time" Before Bed. Turn off your gadgets before bed.
5. Get a Checkup. Sleep apnea will lead to chronic fatigue and even heart disease.
6. Jazz It Up. Lively music energizes the mind and body.
7. Share a Laugh. Laughter increases alertness/happiness.
8. Eat Frequent Small Meals/ Snacks. Nutritious ones maintain energy throughout the day; "pigging out" induces food coma.
9. Drink Water. Dehydration is a major fatigue producer.
10. Eat Whole Grains. They provide slow, steady fuel.

Springfield Chapter of the Institute of Internal Auditors 2012-2013 PROGRAM SCHEDULE						
Date	**Speaker**	**Topic/Program**	**Hours**	**CPE**	**Members**	**Non-Members**
9/27/12	Crowe Horwath	Single Audit Fundamentals - Overview	8:30 - 4:30	7 (Gov't)	$100	$125 Students: $20
10/24/12 to 10/25/12	Various	Fall Government Auditing Conference	8:30 - 4:30	14 (Gov't)	$55	$55
11/16/12	**Steve Morgan**	**A New Service Model: Auditor Roles in Government Performance Measurement**	**8:30 - 4:30**	**7 (Gov't)**	**$100**	**$125 Students: $20**
December 2012	*N/a*	*No Training Planned*				
01/17/13	Janet Beckman	Data Analytics – Continuous Monitoring or Internal Audit Report Writing	8:00 - 12:00	4	$50	$75 Students: $20
02/19/13	Leita Hart-Fanta	Auditing for Fraud in the Government Environment and Ethics	8:30 - 4:30	7 (Gov't 5 hours)	$100	$125 Students: $20
03/20/13	John Hall	High Impact Auditing: Practices that Pay, Risk Focused Internal Auditing	8:30 - 4:30	7	$100	$125 Students: $20
04/19/13	Julie Kowalski	Effective Time Management Skills or Successful Project Management	8:30 - 4:30	7	$100	$125 Students: $20
05/17/13	TBD	To be determined	TBD	TBD	TBD	TBD
Cancellations should be made at least 24 hours before the meeting to avoid a charge. Meetings will be held at the **Northfield Center**, unless noted differently.						

From the Editor

oag26@mail.state.il.us

When I was a senior in high school in Karachi, Pakistan, the basketball coach became a mentor to me. He made me the basketball team manager which included organizing team practices, assisting during practice, and serving as the official scorekeeper. I learned a lot from him about how to get results.

Each year there was a conference of regional American embassy schools from cities like Delhi, India and Kabul, Afghanistan. The schools competed in various sports and extracurricular events. (Kabul was a great place in those days.)

We had an average basketball team but Coach David Dillon was determined to lead them to championship.

During the conference, our basketball team unexpectedly reached the finals where we played the bigger and better team from Delhi. Throughout the game the coach was very actively involved calling plays and making moves, but was not emotional. The game was very close but we stunned everyone by playing our best and winning the game and the championship.

After the game I asked the coach how he managed to stay so calm in such a tense game where we were the underdogs. He said that when you get emotional or angry, it has a short term impact which can cause long term damage. But if you stay calm, you can think more clearly and improve your chance for success. This approach also creates loyalty and brings out the best in people.

Upon reflection, I believe it is true - staying calm helps you think better and respect brings out the best in people who are then willing to go the extra mile for you. Besides, anyone who gets angry hardly gets respect, except maybe just to their face.

This approach has served me well and might be something others may want to think about and possibly do.

CHAPTER OFFICIALS
2012– 2013

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Term Expiring:		
• 2013	Stephen D. Kirk, CIA, CGAP	557-1258
• 2013	Lesslie D. Morgan, CIA, CPA, CGFM, CISA	524-4094
• 2013	Barbara Ringler, CPA	524-7872
• 2014	Rusti Cummings, CPA	558-3386
• 2014	Mohammed Ameen Dada, CGFM	785-0165
• 2014	H. Jay Wagner, CIA, CISA	557-5682
• 2015	Cary Franks, MS MIS	496-2697
• 2015	Deanna J. Marvin, CIA, CGAP, CISA	789-2500
• 2015	Bill Sampias, CISA, CFSA	785-5563
• 2015	Larry L. Stone, CISA, CCP, CRP	558-6546
• 2015	Doug Tinch, CIA, CPA, CISA, CISSP	782-4843

The Board of Governors consists of all Officers, Governors, and the President(s) in the past two years who are chapter members.

Don't Be Too Dominating

Marty Nemko, www.MartyNemko.com

Dominating can make you feel smart but it can make your colleagues feel dumb, which usually kills your chances of getting their cooperation.

- When working with a team, listen to your colleagues for their ideas which may enhance your product.
- Few colleagues are likely to say, *"How wonderful that he's so smart. Even though he makes me feel dumb, I'll work hard to help him."*

Remember to change the time on your clocks and fall back (so you gain an hour) on November 4, 2012!

Elections will be on November 6, 2012; be sure to vote for the candidate of your choice!

Christmas Symbols

The use of a Christmas wreath on the front door symbolizes a sign of welcome and long life to all who enter.

- In 1835, Alabama was the first US state to declare Christmas a holiday.
- In 1856, President Pierce decorated the first White House Christmas tree.
- In 1907, Oklahoma became the last state to declare Christmas a holiday.
- In 1947, Toys for Tots started making the holidays a little happier for children by organizing its first Christmas toy drive for the needy.

Tipping Guidelines

www.Suite101.com

According to the *Consumer Reports Magazine*, a survey of 1,000 adults resulted in the following average amount for holiday tips:

- Hairdresser — $20
- Trash collectors — $20
- Newspaper carrier — $15
- Manicurist, barber — $10
- Housekeeper — $50
- Teachers — varies by school
- Mail carriers — $20 or less

Hon. Ricardo Meza, OEIG, speaking at the SIAAB conference
(Picture by Cary Franks)

Springfield Chapter
The Institute of Internal Auditors
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A New Service Model: Auditor Roles in Government Performance Measurement