



February 2012

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The Monthly Newsletter for the Western New York Chapter of the Institute of Internal Auditors

President's Message

Dear Audit Professionals,

Thank you to everyone who completed our annual survey. Your feedback is important to the chapter to ensure that we are doing our best to plan relevant programs and events. I'd like to share some thoughts and comments from you, our members, and how the chapter is responding to help you achieve your professional goals.

Many of you indicated that you are looking for events which are longer in duration than our usual luncheon meetings. This is especially true for our many members who do not work downtown. While there is enough support to continue with the current luncheon meeting format, we will look for opportunities to supplement our schedule with longer meetings, or events at venues outside of downtown. Our January program included a 2 hour joint session with ISACA and a 3 hour session sponsored by National Fuel in Williamsville. Initial feedback has been mostly positive for both events which attracted several members and non-members who do not attend our regular luncheon meetings.

In February we want to keep this momentum going. Many survey respondents are looking for programs to help improve soft skills like audit communications. Audrey Goldberg from PEF Associates will be coordinating an all-day workshop to help attendees enhance report writing skills. The workshop, developed specifically for audit professionals, is the only event on this topic locally sponsored by any professional organization. This hands on training session will help attendees create value-added audit reports which convey risks or audit observations quickly, accurately, and efficiently.

The survey results also reflect a desire for social events which provide attendees with more time to network with other audit professionals. On February 23rd, we will be hosting a "Beat the Winter Blues" and Past President's Social event. The event will be held at The Buffalo Transportation Pierce-Arrow Museum and will include a networking happy hour followed by dinner, comments from the museum director, a CPE presentation on Social Media, and additional time to network or tour the inside of the museum.

Even though the survey is closed, I encourage everyone to keep your comments coming so that we can do our best to help you be successful. Thanks again for being a member. We look forward to seeing you at these and other chapter events.

Yours in service,
Rich Brennan

February WNY IIA Events!

Tuesday, February 7, 2012

Report Writing Workshop – 8 CPE Credit

- Time:** Registration and continental breakfast begin at 7:30AM, workshop starts at 8:00am and ends at 4:00pm. Onsite lunch will be provided.
- Location:** Millennium Hotel, 2040 Walden Avenue, Cheektowaga
- Cost:** \$75 for members/\$100 for non-members
- RSVP deadline:** January 27th to allow time for participant workbooks to be printed.

Speaker Bio:

Audrey Goldberg, CPA, received her BS from Brooklyn College, where she majored in Accounting and minored in English. She has more than 20 years of experience in auditing, internal control development, and finance in the public and private sectors. She began her career as an external auditor with Ernst and Young and later became an internal auditor with American Broadcasting Companies. After that, she worked for CBS Inc., where she evaluated internal audit reports, resolved disputes between auditors and auditees, and designed and presented controls seminars. Then she joined The Columbia House Company (Sony Music Entertainment), where she directed the development of internal controls and had various responsibilities in financial management. In 2005, Ms. Goldberg joined PEF Associates as a trainer and consultant.

Thursday, February 23, 2012

Beat the Winter Blues and Past Presidents Social

- Program:** Networking happy hour with beer/wine/soda, 1-hour CPE Presentation regarding social media, 10 minute museum presentation, museum admission, parking, buffet dinner and desert, beer/wine/soda after presentation.
- The museum president will be giving us a “sneak peek” into the new wing of the museum between 5 and 6:15 in small groups during happy hour. So be sure to be there on time for this special opportunity as the wing is not slated to be open to the public until the summer of 2012!!
- Time:** 5:00 - 9:00 pm
- Location:** The Buffalo Transportation Pierce-Arrow Museum (www.pierce-arrow.com)
- Cost:** \$35 for members, \$60 for non-members, and free for past presidents!
- RSVP deadline:** February 16th

To **register** for these events, please go to the **EVENTS** page - <http://www.theiia.org/chapters/index.cfm/view.events/cid/24>



2012 International Conference Announces Revolutionary Program Details – Register Today!

From July 8 – 11, 2012, an anticipated 2,500 auditors from 100 countries will come together in historic Boston, MA, USA, for the profession's most in-demand professional conference.

Join us as we “Revolutionize Internal Auditing” during relevant sessions that use lessons from the past to focus you on the future. The program features an impressive line-up of speakers, including just-announced keynote presenters Douglas Peterson, president, Standard & Poor's; Rebecca R. Rhoads, vice president and chief information officer for Raytheon Co.; and Linda Zecher, CEO, Houghton, Mifflin, & Harcourt.

Choose from 77 concurrent sessions on topics, including:

- Panel Session: Meeting Management's Expectations and Adding Value to the Organization.
- Insurance Industry Fraud Awareness.
- 2012 Internal Audit Capabilities and Needs: Where Do You Rate?
- Does the Gender Mix in the Workplace Have a Potential Influence on Corruption?
- Addressing the Biggest Challenges of Small Audit Departments.
- Auditing Cloud Computing: A Security and Privacy Discussion.
- Components of a Strong Governance, Risk, and Compliance Environment.
- Forensic Audit in the Public Sector.
- Managing a Quality Audit Function Without Increasing Cost.

- Geek to Street – Computer Technology Merges with Street Smart Investigations.
- Behavioral Profiles of the White Collar Criminal.

Keep visiting <http://www.iaa2012ic.org/program-tracks.html> for ongoing updates.

Don't forget to sign up for additional continuing professional education credits by attending the Sunday pre-conference sessions on a variety of topics, including:

- Financial services.
- Social media awareness.
- Public sector issues.

A wide variety of [tours and excursions](#) are now available for social delegates. Details about the welcome reception and gala event are being finalized.

Be sure to include the International Conference in your 2012 training budget — and save US \$600 when you register for the 2012 International Conference before Feb. 29, 2012. Group discounts are also available.

Visit www.iaa2012ic.org to learn about the program, location, events, and tours that will motivate you to lead your internal audit function into the future... and we'll see you in Boston!

*Registration fees include a US \$200 discount for booking one of The IIA's 2012 International Conference hotels as part of your registration. Should you choose not to stay at one of the 2012 International Conference hotels, the full registration fee will be charged to you.

Revolutionizing Internal Audit!



Western New York Chapter 2011/2012 Program Schedule

Date, Location and Time	Topic	Presenters
<p>Tuesday, February 7, 2012 Millennium Hotel 2040 Walden Avenue Cheektowaga, NY Registration begins at 7:30am Workshop is 8:00am - 4:00pm Lunch will be provided onsite</p>	<p style="text-align: center;">Report Writing Workshop</p> <p style="text-align: center;">8 hours CPE credit</p>	<p>Audrey Goldberg, CPA Trainer and Consultant, PEF Associates</p>
<p>Thursday, February 23, 2012 The Buffalo Transportation Pierce- Arrow Museum Buffalo, NY 5:00 – 9:00pm</p>	<p style="text-align: center;">Beat the Winter Blues and Past Presidents Social</p> <p style="text-align: center;">1-hour CPE session: Social Media</p>	<p>Nicole Schuman, Buffalo Chapter of the Social Media Club</p>
<p>All Day Seminar Tuesday, April 17, 2012 Terry Hills Country Club Batavia, NY Registration begins at 7:15am Morning session begins at 8:00am</p>	<p style="text-align: center;">Morning CPE session: How to Be the Influential Auditor and Trusted Advisor</p> <p style="text-align: center;">Afternoon CPE session: Techniques for Handling Crucial Conversations and Overcoming Audit Objections</p>	<p>Ann M. Butera, CRP, Founder and President, The Whole Person Project, Inc.</p>

WNY Chapter Items of Note

Welcome New Members!

Henry Burns, HSBC

Note: An updated WNY IIA member list has been posted to the website under the Member Library. This is only accessible to WNY IIA members and requires log in using member id / password to access. Information on the member list is based on data maintained in IIA membership database and identifies only those members who did not opt out of directory. If changes are required, please log onto IIA site or contact IIA membership services to update your member profile. Regarding member certification, only those accredited by IIA will be listed.

Certification in Risk Management Assurance™ (CRMA™)

The IIA is now offering this certification to enable audit practitioners and other risk-focused professionals to demonstrate their ability to provide advice and assurance to audit committees and executive management on the existence and effectiveness of key risk management and governance processes within their organizations. The Certification in Risk Management Assurance™ (CRMA™) exam will be offered starting mid-2013. Qualified individuals with knowledge and experience in risk management assurance can apply for the CRMA before the exam launch through a “professional experience recognition” process.

For more information about the new CRMA designation, visit www.theiia.org/certification/crma.

Changes to IIA Certifications

In January, two major enhancements to the IIA’s certification testing process were implemented to further streamline the testing process for candidates worldwide. The first change involved moving the tutorial from the testing center to The IIA’s website, www.globaliia.org, which enables candidates to familiarize themselves with the computer-based testing (CBT) process prior to sitting for an exam, thus reducing test anxiety and enhancing exam candidates’ confidence. The second change to the certification testing process is the removal of 10 trial (unscored) questions per exam. With the removal of the tutorial and the reduction in test questions, candidates will gain an approximate time-savings of 30 minutes per exam. For the tutorial and test questions, [click here](#).

In addition, 2012 also brought several key changes to the continuing professional education (CPE) reporting process. These changes are being implemented to create a better end-user experience and to align The IIA with other certification programs. All certified individuals will be required to report credits earned every year, rather than every other year. To facilitate this change, the reporting date has moved from May 31 to Dec. 31 for all candidates. Additional details concerning CPE changes can be found by [clicking here](#).

WNY Chapter Items of Note Continued...

**CHAPTER
MEMBER
DISCOUNT**



**PREPARE TO PASS
THE CIA EXAM.**

**THE IIA'S CIA
LEARNING SYSTEM™**

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Internal Auditors**

The IIA's CIA Learning System is a comprehensive training course designed to provide chapters, members, and the audit community of professionals with information and tools to master the global CIA exam syllabus. This premier quality program is aligned with the International Professional Practices Framework (IPPF) to ensure you stay current with the global internal auditing profession and are ready for the CIA exam. It combines printed text with online testing tools and online questions. Take advantage of the best prep materials out there by ordering yours today!

CPE Certificates

Please complete the IIA meeting attendance surveys that are released after each IIA meeting. The surveys must be completed in order to receive your CPE certificates.

Goals Will Lead to Success

One of the most common mistakes I find when candidates prepare for the CIA exam is not setting specific goals. Having a goal when you plan to prepare for and pass the CIA exam is a key factor to your success. I think this is summed up best by American author and motivational speaker Earl Nightingale, who said, "People with goals succeed because they know where they're going."

Ultimately, your goal should be to pass the CIA exam as quickly as possible. When you delay taking the exam, you delay taking advantage of the benefits that certification provides. To combat this problem, it is extremely important to register for and schedule exams early. Scheduling early establishes your finish line. If you are studying with the mindset that you will take the exam at some vague future time, it allows you to procrastinate. On the other hand, a firm date set in advance enables you to work each day to be ready to pass the exam on the date you previously established.

When planning for your next part, map out a calendar of what you will need to study each week leading up to the desired exam date. For example, if you wish to take Part 1 of the CIA exam in the next couple of months, create a study schedule and decide what will be a suitable date. Immediately registering for and scheduling your exam well in advance 1) allows you to have a date that is convenient for you and 2) provides you with a finish line that forces you to plan and focus even during the times of year when you can be easily distracted.

In conclusion, if you are studying for a part and have not yet scheduled an exam date or you are thinking about studying for a part, use the Gleim CIA Review System and work with your Personal Counselor to create a study plan together. Once the study plan is complete, you should immediately schedule your exam date. Much of the battle of getting through the CIA exam is keeping yourself focused on completing each part. By scheduling early, you set a goal to commit yourself to studying regularly and to pass the exam.

Remember, as a Western New York Chapter member, you will receive a 20% discount on the Gleim CIA Review materials. Gleim has been helping CIA candidates pass the CIA exam since 1980.

Contact Melissa at 1-800-874-5346, ext. 131 or melissa.leonard@gleim.com to take advantage of your chapter discount or if you have any questions.

Are you a chapter member who just became certified? We would love to help you share the tactics you used and/or the benefits you are already experiencing with other chapter members. Email Gleim at iiachapters@gleim.com with your comments.



SUNY at Buffalo “Professor for A Day Program”

A key goal of the “Professor for a Day Program” is to provide a forum where students can gain insight into the challenges we all face as professionals who practice in the Internal Auditing Profession. Here is your opportunity to help students navigate through some of those challenges while delivering practical insight into academic subject matter and classroom theory.



For more information contact:
Debbie Schmitt
(716) 857-6941
KrugerD@natfuel.com

If you have the experience and desire to develop and present one of these, topics, or a related topic to a graduate level audience please let us know. The program depends on professionals like you to share your perspectives with future internal audit professionals. Thank you in advance for your helping to make the program successful.

Topics for the program could include:

- Opportunities and professional certifications in the internal audit profession.
- Internal Audit Planning and risk assessment planning tools.
- Practical approach to performing various internal audit functions.
- Audit documentation techniques.
- Communicating engagement results and audit reporting.
- Following up on prior audit engagements and assessing the mitigation of audit risks.

This list is not intended to be all inclusive so please feel free to recommend other appropriate topics you feel comfortable sharing with the class.





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The Mentholatum Company Internal Audit Position Available

Position Title: **Internal Auditor**
Date: **11/21/11**
Department: **Internal Audit**

The Internal Audit position will report to the Senior Director Finance & Administration at Mentholatum's corporate headquarters located in Orchard Park, NY, with a dotted line to the Internal Audit Director of Rohto Pharmaceuticals in Japan. This position involves the documenting of controls including narrative writing, planning and execution of J-Sox (Sarbanes Oxley), financial and operational audits to assess the design and operating effectiveness of key controls. Additionally, the position will participate in process improvement projects designed to create value for the organization. While a portion of the audit work is performed in Orchard Park, other audit locations include major cities in Europe, Australia, South Africa, Russia, Latin America and Canada. Travel is approximately 10-15%.

Qualifications:

- A Bachelor's degree in Accounting from an accredited institution required.
- A CPA, CIA and/or MBA strongly preferred.
- Minimum of 2-4 years of combined public, internal audit or related experience preferably in a manufacturing or pharmaceutical industry environment.
- Direct experience with evaluating the design and testing the operating effectiveness of controls in a Sarbanes-Oxley/J-Sox environment.
- Strong communication and writing skills - the ideal candidate must have prior experience in writing narratives and developing audit programs.
- JDE experience a plus.
- Travel approximately 10-15%.

Please contact Steve Hossenlopp at hossenlopp@mentholatum.com for additional information.


**2010-2011 Board of Governors
Western New York (Chapter #24)**

POSITION	NAME	CONTACT INFORMATION
President	Richard Brennan, CPA, CIA <i>Rich Products</i>	(716) 878-8681 rbrennan@rich.com
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Associate Trustee	Patrick Murphy, CIA <i>M&T Bank</i>	(716) 842-4339 pjmurphy@mtb.com
Meetings & Attendance	Margaret McWilliams, CISA, CRISC <i>Sodexo</i>	(716) 633-2222 x58489 Margaret.mcwilliams@sodexo.com
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Board Member	Jim Smyczynski, CPA <i>Chief Auditor, National Fuel</i>	(716) 857-7156 smyczynskij@natfuel.com
Northeast District Advisor	Bill Mannix, CIA <i>Astoria Federal</i>	WMannix@astoriafederal.com
Northeast District #3 Representative	Mary Peck, CIA <i>OPWDD</i>	(518) 474-4376 Mary.E.Peck@opwdd.ny.gov
Chapter Support – IIA HQ	Sarah Albright <i>Chapter Support Manager</i>	1-407-937-1100 x1335 Sarah.albright@theiia.org

Newsletter Submissions:

This is your newsletter – If you are aware of any position openings, valuable professional information, or wish to share words of congratulations, please contact Cathy Ziemba, Newsletter Chairperson at cziemba@mtb.com. Please submit any additions to the monthly newsletter by the 15th of the month (or the next business day) for inclusion in the next month's newsletter.

Link to the WNY IIA website:

Have you visited the IIA WNY Chapter website lately? Check the website for information on upcoming events, slides from previous presentations, job opportunities and much more! <http://www.theiia.org/chapters/index.cfm/home.page/cid/24>