

The Audit Scope

Volume 23, Issue 7



March 2011

Presidents Message:

Hopefully by the time I'm writing the president's message for the April newsletter, Punxsutawney Phil will be correct and it will be warm and sunny outside.

At the end of January, the Board of Governors held their second meeting for this chapter year. In addition to normal business, topics of discussion included improving cash controls for the chapter and openings in chapter leadership positions for next year. Our chapter will have the VP-Programs (lunch meetings), the Secretary, and three board member positions open next year. If you would like to be considered for a chapter officer or board member position, or know someone that would, please contact me at Dana.Shipley@westarenergy.com.

Due to inclement weather, we rescheduled our February meeting from the first Tuesday of the month to February 8th. At this meeting Randal Wolverton presented "Think Like a Thief". Also at this meeting, the call for officer and board member nominations was made and proposed changes to the chapter bylaws were presented (please note that these changes were attached to the email distributing this newsletter). We will be voting on the proposed bylaw changes at the March meeting. Following the February meeting, we held a four hour seminar on conducting effective interviews.

Our March meeting on Quality Assurance Reviews will be at 11:30 on 3/1/11 at SRS. The speaker will be Andy Dahle with Price Waterhouse Coopers. Also coming up, the morning of April 6, 2011, we will be holding a seminar worth 4 CPE at Washburn University. The speakers are Aaron Beam and Weston Smith, former CEOs of HealthSouth and they will be discussing their contribution to the fraud that occurred there. Our April meeting will follow this seminar.

I hope to see each of you at our future meetings and seminar.

Dana Shipley
Topeka Chapter President

March Meeting

Date: Tuesday, March 1, 2011
Place: SRS Learning Center
2600 SW East Circle Dr. South
Time: 11:30 a.m. to 1:00 p.m.
Menu: Diablo Chicken (spicy,
slightly sweet sauce)
Spanish rice
Mexican corn
Tres Leches Cake
Tea/Water
RSVP: By noon, February 25, 2011

Reservations: Richard W. McMullen
Kansas Department of Transportation
E-mail: mcmullen@ksdot.org
Phone: (785) 296-5399
Notify me of any special dietary need.

Registration: IIA Member \$12.00
(Fee includes Non-Member \$17.00
Lunch)

March Program

Topic: Quality Assurance Reviews

Speaker: Andrew J. Dahle, Partner, Advisory Services, Chicago, PricewaterhouseCoopers LLP

Selected Professional Achievements:

- Chicago based Internal Audit Partner.
- Over twenty years of professional services firm experience providing internal audit cosourcing and internal audit advisory services.
- Has performed many internal audit effectiveness assessments, covering benchmarking of and advice on leading practices of major

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organizations, as well as assessments for conformance with Institute of Internal Audit (IIA) Standards. Results have been used by Internal Audit groups to provide assurance on quality and to enhance internal audit performance. Functions reviewed range up to 150 internal auditors.

- PricewaterhouseCoopers representative on the Internal Auditing Standards Board of the IIA, the single stand setting board in the US as well as globally for the internal audit profession. Named Vice Chairman of the IASB in 2006. Has been a member of the Board's Audit Committee (chair), Governance (chair), Fraud and IT task forces.
- Past President of the Chicago Chapter of The Institute of Internal Auditors, one of the largest chapters of the IIA, 1999-2000.
- Ten years of Partner service to the internal audit profession at PricewaterhouseCoopers.
- Steering Committee for the Open Compliance and Ethics Group's 2008 Redbook 2.0.
- In recent years has performed services for companies based on four continents, many with global operations, presented to Boards of Directors on three continents, spoken at events on three continents.
- Bachelor and Master degrees in Accountancy from the University of Illinois at Urbana-Champaign. Current member of President's Council.
- Certified Internal Auditor (Certificate of Excellence Award for scoring in top 6 score in the world), Certified Fraud Examiner, Certified Public Accountant and Certified Information Systems Auditor.

IIA Chat

Name: **Lori Miller**
Employer and Position: **Capitol Federal, Auditor**
Time in this position: **4 years**

Education: **BA, University of Kansas**

What was your first job? **Other than babysitting, my first job was working in a children's clothing store my neighbor owned.**

What is your favorite food? **Mexican food!**

What is your dream vacation? **Anywhere really... but if it is a dream vacation then a trip around the world starting with visiting every State in the US, the rest of North America, then all of Europe, then the other continents. Maybe if I win the lottery....**

What is your favorite TV show? **The Big Bang Theory.**

What talent would you most like to have? **I would love to be able to sing.**

What book are you currently reading? **Water for Elephants, by Sara Gruen.**

What is your prized possession? **When my grandmother died she left all 4 of her granddaughters a diamond from her wedding ring and by chance we all picked out the same ring design so we have matching rings. My "grandma ring" is my most prized possession.**

What do you try to avoid? **Conflict...although in this job that can be hard to avoid.**

If you could have any job you wanted, what would it be? **I wouldn't make much money at it, but working in a greenhouse growing flowers and vegetables. I enjoy gardening and growing things.**

What is your greatest accomplishment? **My amazing little girl Grace. She is only 2, but she is my greatest joy!**

What would you like to get around to doing when you have time? **Getting my CIA.**

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New Year, New Beginning

Melissa Leonard
Gleim Chapter Coordinator

This year, I took the first weekend in January to decide what I am going to do with 2011. Some of the goals I set are adventurous, while others are a means of self-improvement.

I am sure many of you started your new year off by saying, "In 2011, I will become a CIA." Or, like others, decided there was no point because you never keep resolutions anyway. A negative attitude will make it difficult to succeed. In the spirit of the new year and its new beginnings, here are my tips on how you can make a resolution and keep it!

1. Think positive. From the beginning, tell yourself what you plan to accomplish, set your goal, and do it!

2. Make your goal realistic. Thinking you are going to take and pass both parts of the CIA in two months is very unrealistic, and you will be discouraged when you aren't able to meet such high expectations. On the other hand, don't set your goal to take one part this year and one part next year; such low expectations will lead to procrastination and ultimately failure to accomplish your goal.

3. Write it down. Put your goal on paper, and map out how many hours a week you are going to devote to studying. Sacrifices will need to be made. On a calendar, write out how many study units a week you should complete based on your time available. The Gleim System for Success has

4. Share your plans. Tell your friends or family that you may need to sacrifice time with them so that you can pass the CIA exam. Remind them that a CIA certification will lead to more job security and the likelihood of a raise, and I guarantee most will gladly let you off the hook. Friends and family also make a great cheering section!

5. Schedule your exam early. By registering for and scheduling your exam well in advance, you will have

(1) a testing date that is convenient for you and (2) a finish line that forces you to focus throughout your study schedule.

6. Reward yourself. Candidates have shared stories of rewarding themselves with an ice cream or a small treat, while others have a night out with friends. Any reward will do, but it works best to determine what the reward will be before the week starts so you have something to look forward to.

7. Stay Motivated. Remember, after you pass the exam, you will make more money, it will be easier to find a job or get a promotion, and you will gain a sense of accomplishment and pride for passing this difficult exam. In the area where you study, keep a picture of the car you want, your dream vacation spot, or your family as a reminder of what will be accomplished once you pass the exam. When you grow weary of studying or making sacrifices, look at these and find the motivation to continue on with your preparations for passing the CIA exam.

I would like to hear from you. How was your exam experience? Do you have any tips or advice to provide to fellow exam takers? What advantages of being certified have you experienced? Email Gleim at iiachapters@gleim.com with your questions.

Remember, as a Topeka Chapter member, you will receive a discount on Gleim material. Gleim has been helping CIA candidates pass the CIA Exam since 1980.

Contact Melissa at 800.874.5346, ext. 131 or melissa.leonard@gleim.com to take advantage of your chapter discount or if you have any questions.

IIA CIA Update

Attention CIA Candidates - Save on Premier-Quality Prep Materials!

The IIA's CIA Learning System is a comprehensive and flexible training program that offers:

- Interactive print and Web-based study tools that teach the entire global CIA exam syllabus.

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- Up-to-date content that has been aligned with the [2009 International Professional Practices Framework \(IPPF\)](#).
- [My CIA Review Plan](#) - a free, online tool to help you set a customized and realistic study plan.
- Web-based test questions to help prepare you for the computer-based CIA exam.
- CIA Practice Exam that simulates the Pearson VUE CBT testing software to build exam confidence.

Go to www.learnCIA.com for information on courses and classes and www.learnCIA.com/chapters for IIA Chapter discounted materials.

FYI:

- We will be voting on the proposed bylaw changes at the March meeting, please review the attached document before the meeting.

Chapter Website

Looking for a new job? Looking for current and past newsletters? Do you want to register for the monthly chapter meetings? Are you always looking for new resources for researching those best practices? If you answered "yes" to any of the above questions, then you should check out the Topeka IIA Chapter website at www.theiia.org/chapters/topeka. The website not only offers all of the features listed above, but it also allows our members to submit job postings, news, and events related to our local chapter and the internal audit profession.

Newsletter Articles:

Please contact Dana Shipley with any articles or suggestions for the newsletter. You may also know of special events (weddings, promotions, certifications, etc.) that you would like to put in the newsletter.

dana.shipley@westarenergy.com

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Chapter Objectives

Service To Members

- Education Objective: Offer over 20 hours per year of affordable CPE with more than 60% rated as excellent.
- Certification Objective: Two members become certified annually.
- Social Objective: Members get to know other members from different organizations.

Service To Profession

- Membership Objective: Increase active membership.
- Professional Development Objective: Hold 15 hours of seminar CPE annually.

- Academic Relations Objective: Promote the profession at Washburn University.
- Government Relations Objective: Keep government membership.

Chapter Administration

- Leadership Development Objective: Have 1 or 2 officers attend the Leadership Conference.
- Chapter Finance Objective: Have our lunch meeting fees cover the meeting expense; make additional income from the seminars to fund other activities (Leadership Conference, WU scholarship, WU student night).
- Communication and Participation Objective: Send out monthly newsletter and update website.

Topeka Cap Summary

				As of:	02/10/11
Category	Minimum for Bronze	Chapter Points (to Date)	% of Minimum	Balance to Minimum	
I. Service to Members	325.00	767.70	236%	Achieved!	
II. Service to Profession	200.00	335.25	168%	Achieved!	
III. Chapter Administration	160.00	208.00	130%	Achieved!	
	685.00	1,310.95			
Total from Master Template:		1,310.95			
Current CAP Status:	Silver				
<u>Targets:</u>					
Bronze	685.00				
Silver	1,060.00				
Gold (Platinum)	1,560.00				

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Upcoming Local IIA Events

<u>DATE</u>	<u>TIME</u>	<u>LOCATION*</u>	<u>Sponsoring Chapter</u>
03/01/11	11:30	SRS	Topeka – Quality Assurance Reviews by Andy Dahle, PWC 1 CPE
03/03/11	9:30 to 11:30 Lunch @ 11:30 Program (con't) 12:15 to 4:15 .	Figlio's – The Plaza	Kansas City Chapter – Using Data Mining to Detect Fraud and Errors by Scott Langlinas, Courtenay Thompson & Associates 6 CPEs \$90 member, \$105 non-member
03/09/11	8:00-9:15 (breakfast at 7:30 a.m.)	Wichita State University Rhatigan Student Center (RSC) Ballroom (third floor)	Wichita – www.theiia.org/wichita Student day at Wichita State University 1 CPE
04/06/11*	Morning seminar	Washburn University	Topeka – Former HealthSouth CFOs discuss their contribution to the fraud that occurred at the company during the late '90s and early '00s – Aaron Beam and Weston Smith 4 CPEs
04/06/11*	Lunch meeting	Washburn University	Topeka – Privacy Risk in a Social Media Driven Society, by Gordon Braun, Protiviti 1 CPE
05/03/11	3:00	O'Dooley's – Emerald Room	Topeka – afternoon social/meeting Health Care Fraud: Schneider Medical Clinic, by Roger Palmer, BCBS 1 CPE

*Meeting will not be held on a Tuesday due to availability of the speaker.

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2010-2011 Officers and Board of Governors

President	Dana Shipley	Westar Energy
1 st VP, Seminars	Shannon Wagner	Security Benefit
2 nd VP Meetings	Tiffany Lake	Westar Energy
Secretary	Valerie Burrell	Capitol Federal Bank
Treasurer	Crystal Perez	Capitol Federal Bank

Board Member	Ray Wheeler	FHLB Topeka
Board Member	Jeanne Slusher	Security Benefit
Board Member	Kyle Brewster	CHAN Healthcare
Board Member	Kathy Spain	Capitol Federal Bank
Board Member	Jenny Tryon	Westar Energy
Board Member	Kathleen Heaney	FHLB Topeka
Board Member	Jay Davis	SRS
Board Member	Robert Knott	Capitol Federal Bank
Board Member	Candace Hapgood	FHLB Topeka
Board Member	John Gibbons	Office of the State Bank Commissioner
Board Member		
Board Member		

Membership		
Academic Relations	Tom Clevenger	Washburn University
Government Relations		
Newsletter	Jeannie Macfee	Westar Energy
Seminars	Shannon Wagner	Security Benefit
Programs	Tiffany Lake	Westar Energy
Librarian	Nick Kramer	KHPA
CIA Program	Kathy Spain	Capitol Federal Savings
Audit Committee	Mary Hoover	SRS
Historian		
Directory	Julie Pennington	Legislative Division of Post Audit
Nominating	Dana Shipley	Westar Energy
Hospitality	Richard McMullen	KDOT
Web Site	Julie Pennington/ Richard McMullen	Legislative Division of Post Audit/ KDOT
Certificates	Bob Stambaugh	BCBS