



The Institute of Internal Auditors Puget Sound Chapter NEWSLETTER

Sept/Oct 2012

INSIDE THIS ISSUE:

President's Message	1
Chapter Events	2
Puget Sound Events	4
Job Opportunity	6
Chapter Officers	7
Board of Governors	7
International Committees	8
Committees	8



President's Message

meeting was begun with a "safety share". To me, they embodied the idea of permeating their organization's culture with the proper messaging from the top.

The second factor, which is less obvious but equally as critical and which is also an area where we as internal auditors can add real value, is helping to identify, translate, and make meaningful all of the various "tone messages" coming from top-level stakeholders. The audit committee, other board members, C-level and other senior executives, private equity groups and venture partners, regulators, the market, the public... all of these stakeholder groups could be voicing concerns that should be captured in our organizations' "tone from the top" messaging. There is none better to help package a unified and consistent tone message, and to provide comfort across the stakeholder base that the messaging is working, than Internal Audit.

Some of you may know that I suffered a bit of a heart attack early in September. I can't put words to how much I've

appreciated the IIA Officers and the entire Board for their support while I've been recovering, and as I re-balance things a bit. It might be trite to say, but having come through something like this has triggered a lot of thoughts, and since it's only been a few weeks, the thoughts haven't quite finished sorting themselves out. But one thing I know – without the assurance that we'll always have tomorrow, this has been a re-awakening to ensure that I keep my focus on the things that truly matter in live, and to those whom I love. I submit that we may all benefit from being reminded of the same every now and then.

Thanks to all of the members who contribute to make this Chapter one of the greatest in the nation, and certainly the best I've had the privilege of affiliating with.

*Corey Saunders,
President*

Corey.Saunders@McGladrey.com

Greetings,

There's been quite a bit of chatter lately in the internal audit and compliance blogosphere attempting to resurrect the importance of "tone at the top." We all know that SOX attempted to shine a bright light on the importance of a clear mandate *for* proper controls and *against* practices that encourage unethical behavior. But there are two factors absolutely critical for the success of any organization's top-down tone mandate.

First, and most obvious, is the embedding of that tone into the culture all the way down into even the lowest levels of the organization. A while back I worked with a global copper mining company where no matter how insignificant the meeting seemed to be, and regardless of whether it was at the corporate headquarters or on the tailgate of a pickup truck in a pit of a mine in Chile, every

Chapter Events

Luncheon Meetings and Technical Sessions

October sessions - Tuesday, October 9, 2012 at Maggiano's Little Italy, 10455 NE 8th Street, Bellevue, WA

Register at:

http://www.theiia.org/chapters/index.cfm/view.event_detail/cid/34/event_id/19359

Luncheon at 11:30 am – 1:00 pm for 1.0 CPE credit

Professional Ethics: A Preventive Maintenance Approach

This won't be a review of the ethics code, case studies, or case law! Instead, it will be a unique program designed to help assure that you and your entire organization are able to more easily "walk the talk" of great ethics. This often-humorous program will show us ethics risks we never even knew we had and what can be done right now to make sure those risks don't turn into costly ethical and legal problems on the job.

Ethics and fun aren't words you normally hear in the same sentence. However, Dr. Christopher Bauer has been making professional ethics both straightforward and fun for international audiences for more than 25 years. He will present ethics differently than you have probably ever experienced them before. The tone will be conversational and the ideas immediately applicable. You will leave with easy, practical ideas and tools to reduce your risk for ethics difficulties while simultaneously reducing the risk of your colleagues, coworkers and entire organizations.

Technical session at 1:15-3:45pm for 3.0 CPE credits

Real-World Ethics Challenges: Do You Know What You're Missing?

We all know what to do as auditors - that's what we're trained to do! In the day-to-day work environment, though, we constantly walk past by ethical and legal challenges that are easily missed exactly because they aren't typical auditing and accounting issues. This entirely interactive program will help you recognize and appropriately respond to a wide range of ethical and legal challenges on the job that frequently go overlooked or ignored. Don't let yourself be blindsided! Remember, you can get into every bit as much trouble - no matter how good your intentions may be - by missing non-auditing issues as for missing the ones on which we've all been so carefully trained. Just like Dr. Bauer's lunchtime program, this seminar will be conversational in tone and it will be fully focused on practical and immediately-applicable ideas, information, and tools.

About the presenter:

Christopher Bauer is a licensed psychologist with over twenty-five years of experience as a speaker, trainer, author, and consultant on professional ethics and values-driven business strategies. Clients of Dr. Bauer have run the gamut from small and medium sized businesses and organizations to every level of staff and management at Fortune 500 corporations. He works frequently with auditing and accounting organizations in both the public and private sectors. Dr. Bauer's articles on how to build and maintain great professional ethics have appeared in such journals as CEO Refresher, CFO Magazine, Financial Executive, Internal Auditor, and many other print and online outlets. Because of his unique contribution to the prevention of ethics problems, Dr. Bauer has been recognized with the Certified Fraud Specialist designation. Additional information as well as free subscriptions to his Weekly Ethics Thought are available at (www.bauerethicsseminars.com).



Chapter Events continued

Full Day Class - Audit Report Writing

8.0 CPE hours

\$195.00 Members | \$225.00 Non-Members

Two dates and locations to choose from:

October 25, 2012, 8:30am - 5:30pm in Seattle at PEMCO, 325 Eastlake Ave E, Seattle, WA 98056

Register at:

http://www.theiia.org/chapters/index.cfm/view.event_detail/cid/34/event_id/19385

October 26, 2012, 8:30am - 5:30pm in Bellevue at Puget Sound Energy, East building, 355 110th Ave NE, Bellevue, WA

Register at:

http://www.theiia.org/chapters/index.cfm/view.event_detail/cid/34/event_id/19359

Class description

Persuasive communication is an essential skill for auditors at all levels, and high-quality audit reports are a key communication tool. By participating in this course, auditors in all sectors and at all levels will learn what goes into an effective audit observation and how to organize reports that meet professional standards, elicit management action, and communicate crucial messages to executives and board-level readers. By honing these skills, they can distinguish themselves in their current positions and prepare themselves for advancement.

Cancellations must be requested at least **five days** in advance, no later than October 18, 2012. In the event a paid attendee cannot be present, they can assign registration to another individual upon notification of the Chapter Treasurer, William Smith, at William.smith@pgrx.com



Chapter Refund
Policy

Puget Sound Events continued

Refund Policy on Chapter Events

Chapter Luncheon and Technical Session Refund Policy We appreciate that sometimes because of work commitments a paid attendee may be unable to attend an event. Refunds or credits will be made:

- If attendee, at least 24 hours before a registered event, notifies the Chapter Treasurer, William Smith, at william.smith@prgx.com that they would like a refund or credit.
- If the Chapter cancels an event. If a paid attendee cannot attend an event, they can assign admission to another individual upon notification to the Chapter Treasurer, William Smith, at william.smith@prgx.com any time before the event occurs.

It is customary to provide a head count, in advance of the event, to the vendor binding the Chapter for payment, even for no shows. As a result, it is the Chapter's practice to NOT refund or credit amounts for events when someone does not attend an event and has not advised the Chapter Treasurer in advance using the process as stated above

Puget Sound
Events

3rd Annual Pacific Northwest Enterprise Risk Forum!



In turbulent times, it is critical to rethink risk and find the intersection of performance, capability, and results. The third annual Pacific Northwest Enterprise Risk Forum's networking opportunities, panel discussions, and practical "how to" sessions will provide a valuable roadmap. Join your colleagues on November 7th and share ideas to survive and thrive in an uncertain future. The Puget Sound Chapter of The Institute of Internal Auditors (IIA), The Seattle Chapter of Financial Executives International (FEI) and the Seattle Risk Insurance Management Society (RIMS) are in collaboration to host this dynamic event.

- When:** November 7, 2012
- Where:** Meydenbauer Convention Center, Bellevue, WA
- Price:** \$195 early bird; \$250.00 after September 30th
- Registration:** www.enterpriseriskforum.org



Puget Sound Events continued

Nisqually Chapter of the IIA -Three-Day CGAP Seminar

Become a Certified Government Audit Professional (CGAP) with a CGAP Exam Preparation Course

Monday thru Wednesday – October 22nd to 24th, 2012
8:30 am to 4:30 pm (each day)

Olympia Elk's Lodge, 1818 – 4th Avenue East, Olympia, WA

Seminar is based on the four domains of study for the CGAP exam

I: Standards and Control / risk Models

II: Government Auditing Practice

III: Government Auditing Methodologies and Skills

IV: Government Auditing Environment

The learning approach will be a combination of lecture, class discussion and use of “mock” CGAP exam questions are used. Each of the four domains on The IIA’s CGAP exam is covered. Over 200 questions are completed, in four groups matched to the exam domains, by participants, after which the best answers are provided and discussed.

The Certified Government Auditing Professional (CGAP®) is a specialty certification designed for and by public-sector internal auditing practitioners. The exam tests the candidate’s knowledge of the unique features of public-sector internal auditing — fund accounting, grants, legislative oversight, confidentiality rights, and more.

Instructor -Tom O’Connor, Government Audit Consultant, CIA, CGAP, CGFM, CDFM, CPA, CFE. Tom had a 34-year career as a government auditor—30 years with US GAO and another 3 years with the Inspector General’s Office at the US Agency for International Development.

Tom holds a Bachelors in Accounting, a Masters in Public Administration, and has 10 professional certifications. Since 2002, Tom has presented over 55 review courses for the Certified Government Audit Professional (CGAP) exam. His students have an 80% exam success rate. He is the author/co-author of two IIA publications: CGAP Exam Study Questions (2010), and CGAP Exam Study Guide, 4th edition (2012).

Cost: \$325.00 With Study Guide | \$265.00 Without Study Guide

Morning and afternoon snacks will be provided. Attendees will be responsible for their own lunch.

Registration Closes: October 15th, 2012

To Register

http://www.theiia.org/chapters/index.cfm/view.event_detail/cid/176/event_id/19283



Job Opportunity

Internal Audit Manager Clearwire

Requisition Number: 12-9306
Bellevue, WA

Position Overview:

Manage internal audit assignments throughout the company, utilizing internal staff. Make recommendations that add value ensuring maximum payback to the entity or process under review. The position reports to the Director of Internal Audit. There will be significant exposure to senior management throughout the organization.

Responsibilities:

- Responsible for managing complex audits; performing critical project management duties in the planning, scheduling, coordinating, reviewing and reporting of the work of audit teams; and providing expertise in auditing standards and performance criteria, audit requirements, and information technology skills.
- Assist upper management in meeting its requirements of Sarbanes-Oxley, by helping to coordinate SOX activities, monitoring compliance, providing technical expertise on internal control risks and best practices, and supporting coordination with the external auditors.
- Assist the Director of Internal Audit in preparing the annual audit plan.
- Manage 6-8 individual internal audit projects per year.
- Performing advanced specialized and/or managerial auditing work in multiple disciplines.
- Planning, assigning and supervising the daily activity and work of other auditors.
- Developing and maintaining productive client and staff relationships.
- Developing procedures, schedules, priorities and programs for achieving audit objectives and goals.
- The position holder is likely to be called upon to be a team member or team leader on various special projects requiring analytical and risk assessment skills.
- Preparing complex audit reports using business writing skills.
- Using project management tools to oversee project progress.
- See website for further information.

Qualifications:

- Undergraduate or graduate degree in business or management-related field. Prefer Accounting degree.
- Minimum 7-10+ years' experience in accounting or auditing, including supervisory experience. CPA and/or CIA.
- Strong interpersonal skills and ability to work as a manager and a team member.
- Proficient in MS Word, Excel, and PowerPoint.
- Must be eligible to work in the United States

To apply go to:

<https://www.clearwire.apply2jobs.com/ProfExt/index.cfm?fuseaction=mExternal.showJob&RID=9306&CurrentPage=1>



Chapter Officers

Chapter Officers

Name	Company	Email
Corey Saunders President	McGladrey	corey.saunders@mcgladrey.com
Shane Clarke 1st VP	Protiviti	shane.clarke@protiviti.
Maria Sibal 2nd VP	Nordstrom	com maria.sibal@nordstrom.com
Nancy Pasternack Secretary	KPMG	npasternack@kpmg.com
Bill Smith Treasurer Karen DeMartini Assistant Treasurer	PRGX Protiviti	william.smith@prgx.com
Carol Morgan Past President	World Vision	cmorgan@worldvision.org

Board of
Governors

Board of Governors

Name	Company
Anne Etter	Puget Sound Energy
Annette Mumford	HomeStreet Bank
Denise Merle	Weyerhaeuser
Dennis Keglovits	PwC
Dominique Vincenti	Nordstrom
Jeff Davis	Expedia
Karen Kachele-Gottschalk	McGladrey
Kriss Morris	PACCAR
Lisa Battaglia	Boeing
Tom Taylor	Mutual of Enumclaw
Vinesh Naidoo	Russell
Wendy Jones	Alaska Airlines



International
Committees

Chapter Members Serving on IIA International Committees

Member Name	Company	International Committee
Brian Foster	Microsoft	Professional Certifications Board
Steve Mar	Nordstrom	Committee of Research and Education Advisors
Rod Winters		Board of Directors / Executive Committee

Committees

Committees

Committee Chairs and Members	Company	Email
Academic Relations Committee Marilee Byers	Microsoft	Marilee.byers@microsoft.com
Advocacy Committee Karen Kachele-Gottschalk	McGladrey	Karen.kachele@gmail.com
Audit Committee Jim Hall (chair)	Retired	hstamps1@verizon.net
CAP Reports Committee Annette Mumford (chair)	HomeStreet Bank	annette.mumford@homestreet.com
CIA Program Committee Open		
Directors Roundtable Committee Open		
Historian Carol Morgan (chair) Jason Kidd	World Vision T-Mobile	cmorgan@worldvision.org Jason.kidd@t-mobile.com
Intern Committee Kevin Rafferty (chair) Kristina Demek	Verity Credit Union	kevinr@veritycu.com kdemek@hotmail.com
Membership Committee Mei Lei (chair) Amy Brock Adam Steed	Pemco Bank of Pacific Nordstrom	Mei.lei@pemco.com abrock@bankofthepacific.com adam.steed@nordstrom.com
Newsletter Committee Nancy Pasternack (chair)	KPMG	npasternack@kpmg.com
Program Committee Meghan Hargreaves (chair)	Puget Sound Energy	meghan.hargreaves@pse.com
QAR Project Committee Annette Mumford (co-chair)	HomeStreet Bank	annette.mumford@homestreet.com
Conference Planning/Marketing Karen Kachele-Gottschalk	McGladrey	Karen.kachele@gmail.com
Website Committee Allen Smolinski (webmaster) Natalie Blachere (back up)	T-Mobile Getty Images	allen.smolinski@t-mobile.com Natalie.blacher@gettyimages.com

