



A newsletter for members of the Albany Chapter of the Institute of Internal Auditors

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2012 Fraud Seminar

Co-Sponsored by the Local Chapters of IIA, ACFE, and AGA

Monday:

Don Rabon's full day presentation on Interviewing and Detecting Deception. Gather data or information from the interviewee and determine specifically, if the interviewee is truthful and if not, identify the form of deception.

Tuesday:

This session will discuss Conflicts of Interest and Grant Frauds as well as Identity Crimes, Credit Card and Check Frauds, and other topics.

Speaker(s):

- Don Rabon, CFE, President, Successful Interviewing Techniques
- Lewe Sessions, Special Agent and Elizabeth Palmer Gontarek, Forensic Auditor, U.S. Department of Justice
- Joseph Kelly, Special Agent, U.S. Department of Homeland Security/Secret Service
- Steve Hamilton, Inspector General, NYS Office of the State Comptroller
- Michael G. McCartney, CPE, President/CEO Digits LLC

WHEN:

November 19-20, 2012

Registration & Continental Breakfast	7:30 am – 8:00 am
Program	8:00 am – 4:15 pm
Lunch	12:00 pm – 1:00 pm

WHERE:

Holiday Inn Albany
205 Wolf Road
Albany, NY 12205

CPEs:

Up to 14 CPEs

COST:

See [Event Page](#) for details

Early bird discount of \$25 for registrations received on or before November 9, 2012

REGISTER:

Register at [Fall Fraud Conference](#). If you have questions, please contact Steve Hillerman at srhillerman@osc.state.ny.us



REGIONAL FOOD BANK
OF NORTHEASTERN NEW YORK

In addition, we will be raffling many prizes with all proceeds benefiting the Regional Food Bank.

Cancellation Policy: Substitutions can be made at any time up until the time of the seminar. Substitution of a non-member for a member will result in the additional non-member fees being charged. Registration fees will not be refunded for cancellations made after November 15, 2012. No-shows will be individually responsible for full payment.

President's **M**essage

By Linda Giovannone, CIA, CGAP

I started out the first President's Message by introducing our Chapter volunteers who are dedicated to offering you quality programs at a low cost per CPE. This month, a special thank you goes to Julie Grimmer and Joel Biederman for coordinating our first program of the Chapter year, Integrated Auditing with Mike Lapelosa, CISA. Approximately 50 people attended this full day program. I am pleased that for the first time, the Chapter was able to offer scholarships to assist members in obtaining CPEs.

UPCOMING PROGRAMS

Please join the local IIA, AGA, and ACFE chapters for the Fall Fraud Seminar on November 19th and 20th. This event is always a big draw with dynamic speakers covering popular fraud topics, including Interviewing and Detecting Deception, Conflicts of Interest and Grant Frauds, Identity Crimes, Credit Card and Check Frauds. Thank you to Steve Hillerman, member of the Albany IIA Board of Governors, who is our Chapter's liaison for planning this event in conjunction with the other local organizations. Additional details can be found on the first page.

SPOTLIGHT ON...



This year, our Chapter welcomed a new member who is also the new Chair of our Communications Committee, Jeremy Dudley. Jeremy works at the Office of the New York State Comptroller in the Statewide and Regional Projects unit under Local Government. Jeremy is also a graduate of Siena College. On the personal side, Jeremy is a fraternal twin. He also has a younger brother and fraternal twin sisters. Jeremy thoroughly enjoys music, mostly folk and independent, although he claims to be talentless when it comes to playing anything. Prior to becoming an auditor, Jeremy worked at a golf course (and resort) for about eight years, which sparked his interest in golf. He also enjoys running, but more as a way to stay in shape. Jeremy lives in an apartment, but has set a goal of buying a house within the next two years.

President's Message Continued

As Communications Chair, Jeremy coordinates the communication of information to our members, which includes sending email blasts advertising upcoming programs.

Please reach out to Julie, Joel, Steve, Jeremy, me or any Board member if you are interested in joining our dedicated group of volunteers. You are also welcome to contact us directly if you have any ideas on how we can better serve you.

All the best,

Linda



IIA Webinars

The IIA offers free informational programs to its members on a variety of topics. Click [here](#) to obtain additional information and to register.

November 6, 2012 (1:00 – 2:00 p.m) *Building and Maintaining a Robust FCPA Compliance Program*

Attendees will:

- Learn the basic requirements under the U.S. Foreign Corrupt Practices Act (FCPA) and other recently issued global regulations.
- Identify ways to reduce the risk of FCPA exposure in their global business.
- Discover how a robust FCPA compliance program can be integrated into their current compliance function.
- Share best practices for addressing global compliance challenges.

November 14, 2012 (1:00 – 2:00 p.m.) *Guidance Briefing: GTAG 16: Data Analysis Technologies*

Attendees will explore:

- Why data analysis is significant to your organization.
- How to provide assurance more efficiently with the use of data analysis technology.
- The challenges and risks faced when implementing data analysis technology.
- How to incorporate data analysis at one's organization through adequate planning and appropriate resource structures.
- Recognition of opportunities, trends, and advantages of making use of data analysis technology.

December 18, 2012 (1:00 – 2:00 p.m.) *Building a Better Internal Auditor: Key Competencies for 2013 and Beyond*

During this event, attendees will learn:

- What skills are important to senior management as they relate to internal auditors.
- How to assess your skills and preparedness for the road ahead.
- The anatomy of the internal auditor of the future.





2013 NYS Government Auditor Renewal

It's that time again! As a member of the New York State government audit group, your IIA membership is due to expire on 12/31/12. In order to renew your IIA member dues for 2013, your payment for \$46.00 must be received by December 1st. Payments may be made via credit card at the Albany IIA website, by mailing a check to the Albany IIA at the address below.

A couple of quick points:

- The audit group runs on a calendar-year basis. All members will expire on December 31st.
- The Albany Chapter is the administrator for the audit group, regardless of which chapter you belong to. In order to process the group renewal, all members must remit their \$46.00 renewal payment to the Albany Chapter. The chapter will then remit one combined payment to the IIA.
- It is up to each individual member to [log in to the IIA website](#) and update their Member Profile or send an email to the Customer Service desk (custserv@theiia.org) to request any changes. Since you will not be receiving a Dues Invoice from the IIA, this will be the only prompt to change your contact information. **This is especially important as the agencies switch to the "ny.gov" addresses.**
- The IIA will not (or should not) be sending you a renewal invoice. If you get one, please let me know.

Payment by Check:

Mail to: Albany IIA, P.O. Box 32, Albany, NY 12201

OSC Employees (Albany): Hand Deliver to Jessica Camuti, State Expenditures, 10th floor

Payment by Credit Card:

http://www.theiia.org/chapters/index.cfm/view.news_detail/cid/87/newsid/14767

If you have any questions, or you require a group invoice and/or credit card link, please contact Mary Peck at mary.e.peck@opwdd.ny.gov

CAP Corner

By Joe Morrissey, CGAP

The Chapter Achievement Program is designed to recognize activities that promote the strategic objectives of The IIA. This program provides minimum standards of performance for providing service to our Chapter members, providing service to the internal auditing profession and for administering the activities of the Chapter. The Program emphasizes the basic mission of the Chapter, encourages Chapters to perform that mission, and provides Chapters with a means to evaluate their success in accomplishing that mission.

Category	Minimum for Bronze	Albany Chapter Points (to-date)	Achieved as of October 10, 2012
I. Service to Members	325.00	158.00	49%
II. Service to Profession	200.00	316.00	158%
III. Chapter Administration	160.00	135.00	84%
Totals	685.00	609.00	

Targets:

- Bronze** 685
- Silver** 1,060
- Gold (Platinum)** 1,560

Joe



Don't forget to report your speaking hours to Joel Biederman !

[jbiederman@ OSC.state.ny.us](mailto:jbiederman@OSC.state.ny.us)

**Or phone
(518) 486-3038**

Annual Holiday Luncheon

Join your colleagues on December 4, 2012 at Wolferts Roost Country Club to enjoy a delicious lunch and hear the dynamic speaker, Dr. John Pelizza, discuss the topic of "Balancing Work and Life."

Dr. Pelizza is a leading authority on wellness, change process, stress management, productivity, team building, and personal growth. He has spoken to over 3,500 business, educational, professional, and civic groups throughout North America. Dr. Pelizza has dedicated himself to helping others feel better and do better. His previous experiences have motivated him to develop strategies for individuals to become top performers and lead healthy and happy lives.

Date:	Tuesday, December 4, 2012
Location:	Wolferts Roost Country Club 120 Van Rensselaer Boulevard Albany, NY 12204
Time:	11:30 am – 12:00 pm – Registration 12:00 pm – 2:00 pm – Lunch and speaker's presentation
Cost:	\$10 for IIA/AGA/ACFE/ISACA members \$20 for non-members

Registration information to follow...

The annual Holiday Luncheon is jointly sponsored by the Albany Chapter of the Institute of Internal Auditors (IIA), the New York Capital Chapter of the Association of Government Accountants (AGA), the Albany Chapter of the Association of Certified Fraud Examiners (ACFE), and the Hudson Valley Chapter of ISACA.



Academic Relations

The Academic Relations Committee kicked off the Fall semester by attending two events. On September 21st Siena College held its Fall Career Fair, and on September 26th St. Rose held an Accounting Internship Fair. Both events were well attended and we have awarded one student a free student membership to the IIA.

We would like to say a HUGE thank you to the IIA members who volunteered their time to assist us with these events. David Robertson and Bruce Woolley (Siena Alumni) attended the Siena event and Christina Lastowski, Layli Nazirova (St. Rose Alumni) and Ken Kasper attended the St. Rose Event.

Below is a picture of Layli and Christina displaying the IIA Information Board at St. Rose.



We are very appreciative of their help to increase student interest in the IIA. If anyone has questions or would like to get involved, please contact Amy Klos at Aklos@osc.state.ny.us.

Thank you!
Amy Klos

Making Time to Get Certified

By David J. Robertson, CIA, CFE, CGFM, CGAP

Most of us are extraordinarily busy people. Our schedules are packed with so many things it is hard to imagine trying to fit anything else in. Perhaps, this is something that is holding you back from pursuing one of the IIA's certifications. Undoubtedly, there is a substantial time commitment involved with preparing for the exams, whether you are pursuing the Certified Internal Auditor certification or one of the four specialty certifications. However, that does not mean it is impossible, even with the most hectic and full schedules; two key components are planning and prioritizing your study time.

The first key to making time to get certified is planning. Often, we will say to others and ourselves: "I don't have enough time." I use this one a lot (especially when it comes to projects around the house). You could rattle off all the things that take up your time, such as family responsibilities, your career, chores and errands, maybe even hobbies (what are those?). If you plan ahead, it is amazing how much time you can find in your schedule to study:

- **Look for Slack Time:** Think of times when you can study during the day: your lunch break, your commute if you are in a carpool or take mass transit, or a half hour before bed. That could equate to 1-3 hours a day of study time!
- **Combine Studying with Other Activities:** I would study while I did cardio at the gym. My study books were spiral bound so it made it easy to hold and use while on the treadmill (you can get your books spiral bound at your local office supply store). This would add a few hours of study time a week to my schedule. Is study time something you can fit into your exercise routine? What are some activities you could combine studying with? How about studying during the commercials while watching your favorite shows or sporting event. Get creative!
- **Assess Your Use of Time:** According to the Bureau of Labor Statistics American Time Use Survey, the average American spends 2.8 hours a day watching television, accounting for half of all leisure time. Even if you took about a third of that time, 1 hour a day, and used it to study, you would have 7 more hours of study time per week. What are some of the other non-essential activities that you could temporarily forgo in order to become a certified auditing professional?
- **Get a Study Buddy:** Find someone to study with and set specific study times that are workable and realistic. This will make you accountable to someone else and make it less likely that you will let another activity encroach on your study time.

These few tips can add up to a minimum of 10 hours a week of studying, which makes it possible to be ready for a test in a matter of weeks!

Making Time to Get Certified Continued

The second key to making time for getting certified is prioritizing. No matter where you find the time, if you don't make your goal of obtaining an IIA certification a priority, it is easy for your busy schedule to get in the way. A great illustration I heard once involved a jar, rocks, gravel, sand and water. The goal is to get all the items into the jar, and if you ended up putting the rocks in last you would never get them all in. If you put the rocks in first, then the gravel would fill in the space around the rocks, then the sand would fill in the space around the gravel and the water would fill in the space around the sand and everything would fit. That jar represents our time and the rocks represent our priorities; family, career, etc. The other items were all the other stuff that competes for our time, each one of smaller importance. The moral of the illustration is that if you decide what your priorities are and make time for them first, everything else will fill in around it, but if you don't make something a priority and make time for it first, you'll never fit it in your schedule. Can you make your goal of certification one of your priorities?

There is no better time than now to commit to achieving your goal of obtaining an IIA certification, and it is absolutely possible for you to do it, no matter how busy you are. Making the time is going to be critical if you are going to succeed.





Certification Fall Inventory Sale!

The following items are discounted and available for immediate delivery. These materials will be sold on a first come-first served basis, so don't wait too long.

Inventory Item	Sale Price	Normal Price
CIA Model Exam - CD	\$30.00	\$35.00
CIA Model Exam - CD	30.00	35.00
CIA Model Exam - CD	30.00	35.00
CGAP Guide - 4th Ed	65.00	75.00
CGAP Guide - 4th Ed	65.00	75.00
Gleim 13 (v4.5) - Part 4 Book/CD/Audio	10.00	60.00
IIA CIA Learning System 2007 (Part 1 Book)	5.00	N/A
IIA CIA Learning System 2007 (Part 2 Book)	5.00	N/A
IIA CIA Learning System 2007 (Part 4 Book)	5.00	N/A

CIA Study Materials – The next order date is 11/30/12!

Member Pricing:

CIA Review Study Guide (16th Edition) and Test Prep Software - Price per part: \$60.00

[The IIA's CIA Model Exam \(Book\)](#) - \$25.00

Also, if you would like to order any study materials for the [specialty exams \(CCSA, CGAP, or CFSA\)](#) we can include them on the Model Exam order. As a heads up, the IIA is currently offering an inventory close-out sale on the older version (3rd) of the CGAP Study Guide.

CGAP Study Guide (3 rd Edition) and the CGAP Exam Study Questions (Book)	\$80.00
CGAP Study Guide (3 rd Edition) and the CGAP Exam Study Questions (CD)	\$85.00
CGAP Exam Questions (Book)	\$39.00
CGAP Exam Questions (CD)	\$49.00

If you'd like to be included in the next Gleim or IIA orders, please email Mary Peck at Mary.E.Peck@opwdd.ny.gov. The next order deadline is **Wednesday, November 28th**.

Related Links:

[CIA Exam - Get Started!](#)

[CIA Sample Example Questions](#)

[CIA Transition Plan](#)

[CIA Transition – Content Map](#)

**SCHEDULE OF EVENTS
2012-2013**

Albany Chapter – Institute of Internal Auditors

<p>SEPTEMBER September 19, 2012 Integrated Auditing 6 CPEs</p>	<p>OCTOBER October 24, 2012 Difficult People? Not Anymore! Transform Conflict into Collaboration like Magic! 4 CPEs</p>	<p>NOVEMBER November 19-20, 2012 <u>Fraud Conference</u> 7 or 14 CPEs</p>	<p>DECEMBER December 2012 <u>Holiday Luncheon</u> No CPEs</p>
<p>JANUARY January 2013 Technology Conference</p>	<p>FEBRUARY February 14, 2013 <u>Certification Roundtable</u> No CPEs</p>	<p>MARCH March 18-20, 2013 <u>TCTC-2013</u></p>	<p>APRIL April 2013</p>
<p>MAY May 2013</p>	<p>JUNE June 2013</p>	<p>JULY July 2013</p>	<p>AUGUST August 2013</p>