MARCH 2014

Board of Governors

President: Sabrina Greinel, CIA, CISA, 241-4683
Sabrina.greinel@pnmresources.com

VP-Programs: Allen Leatherwood
Aleatherwood@cnm.edu

VP-Membership: Marisa Vargas
mvarga@sandia.gov

Treasurer: Renee Martinez, CPA
Renee.martinez@pnmresources.com

Secretary: Halie Garcia, CPA, CIA
Hgarcia@redw.com

Academic Relations Chair: Mike Padilla, CPA, CFE
Michael.Padilla@starwoodhotels.com

Academic Relations Committee: Richard Brody, CPA,
CFE, CFF, FCPA
Brody@mgt.unm.edu

Certifications: Stacey Humphrey
Stacey.Humphrey@pnmresources.com

Librarian/Historian Robert Rimbert
Robert.Rimbert@pnmresources.com

Newsletter Editor: Michael Hansen, CISA, CFE
mikehansen22@comcast.net

Prize Coordinator: Frances Gabaldon
Frances.Gabaldon@pnmresources.com

Public Relations: Lola Neudecker
lolaneudecker@hotmail.com

Registration Coordinator: Barbara Emmons, CIA, CFE
Barbara.Emmons@gap.com

Seminars Chair: Dhaval Patel
Dhaval.patel@mossadams.com

Seminars Committee: Tyler Zundel
tyler.zundel@mossadams.com

Website/E-Mail Coordinator: Kariann Blea
Kariann.Blea1@state.nm.us

Board members-at-large:
Jessica Bundy, CPA
jbundy@redw.com

Andrea Jaramillo
ajaramillo@rinchem.com

Michele Ziegler
michele_ziegler@gap.com

NEWSLETTER INDEX

THE PRESIDENT’S MESSAGE……………Page 2
CALENDAR……………………Page 3
UPCOMING EVENTS……Page 3
MEMBERSHIP NEWS…..Page 5
ANNOUNCEMENTS……Page 7
UPCOMING EVENTS
OF OTHER ORGANIZATIONS…..Page 7
EDITOR’S CORNER……Page 8

The IIA International Internet Address:
http://www.theiia.org

The IIA Albuquerque Chapter Internet Address:
https://chapters.theiia.org/Albuquerque/Pages/default.aspx

Facebook:
www.facebook.com/abq.iia
A Focus on Governance

As internal auditors, we understand and advocate for good governance within our organizations. In fact, *The International Standards for the Professional Practice of Internal Auditing* requires it. Standard 2110 – Governance states that, “The internal audit activity must assess and make appropriate recommendations for improving the governance process…”

However, we must not only tell others of the value of effective governance, we must also exercise effective governance ourselves. The Albuquerque Chapter Board of Governors is striving to do just that this year. Since our Chapter year started in June of 2013, we have been working to review our guiding documents and create new ones where they previously didn’t exist. Below are some examples.

- **By-Laws**
  The Albuquerque Chapter’s by-laws were last reviewed and amended in February 2011. This year we formed a By-Law Review Committee to take another fresh look at this important document. The committee reviewed examples of other chapters’ by-laws and suggestions from The IIA, and made some great recommendations for changes we could make to our own by-laws. The Board will be voting on the changes in March, and we will be asking our members to ratify the amendments through a vote soon after. Please be on the lookout for the email with this information in the coming weeks, and please consider voting; it only takes a minute. And a big thanks to our By-Law Review Committee for their hard work: Allen Leatherwood, Mike Hansen, and Stacey Humphrey.

- **Chapter Privacy Policy**
  Have you ever wondered how the Albuquerque Chapter uses your personal information? The IIA has an overarching Privacy Policy, but it is encouraging Chapters to develop their own policies as well. To demonstrate the Chapter’s commitment to ensuring the protection of your personal information, our VP of Membership, Marisa Vargas, and Web Editor/Email Coordinator, KariAnn Blea, have put together a policy that we will be sharing with our members very soon.

- **Chapter Record Retention**
  At the time of our last Board of Governors transition, we realized we had accumulated quite a few records, with receipts, tax filings, and seminar information dating all the way back to 2005! We decided it was time to do something about all that paper. Using The IIA’s Record Retention schedule as a guide, we are developing our own retention schedule and accompanying procedures. This will allow us to purge records we no longer need while ensuring we can account for those that are critical to keep. It will also allow us to move to a more electronic-based recordkeeping system. Our goal is to go from 5 file boxes of paper to one small binder and a flash drive. This is a big undertaking! Thanks to our Chapter Librarian and Historian, Robert Rimbert, for his work on this.

- **Chapter Financial Policy and Procedures**
  Our Chapter Treasurer, Renee Martinez, with help from others on the Board, is hard at work putting together a comprehensive policy and set of procedures to ensure we exercise responsible and effective financial administration. As auditors, we are keenly aware of the value of internal controls, and these documents will help ensure that we have the right controls in place to help us meet all of our objectives as a Chapter.

All of these documents should be complete by the end of this Chapter year, on May 31. If you have ideas on other ways to improve our governance as a Chapter, please feel free to email me.

*Sabrina Greinel, IIA Albuquerque Chapter President*
Recent Events

IIA Albuquerque Chapter Board of Governors Meeting……………………February 12th

IIA/ISACA Joint Networking Event  
(See pictures below)…………February 26th

Upcoming Events

IIA Albuquerque Chapter Spring Seminar  
(See below)……………………March 27th & 28th

IIA Quarterly Meeting  
(See below)……………………………May 7th

IIA/ISACA Joint Networking Event

The IIA/ISACA joint networking event was held at the Chama River Brewing Company in Albuquerque on Wednesday evening, February 26, 2014. Although it was a small gathering, the networking, conversation, and appetizers were enjoyed by all! Below are a few pictures from the event.
Spring Seminar: COSO Update & IT Auditing/Fraud Risk Assessment

Dates: Thursday-Friday, March 27-28, 2014
Time: 8-5 both days
Location: Moss Adams LLP, 6565 Americas Parkway, Suite 600 Albuquerque, NM 87110
Cost: IIA members $350; non-members $450
CPE: 16 technical hours
Instructor: Danny M. Goldberg, CPA, CIA, CISA, CGEIT, CCSA (Danny is NASBA-certified)

Full details on the course can be found on our website.

This event is sold out. If you would like to be placed on a waiting list, please email Sabrina Greinel.

The cancellation deadline is March 20th. If you do not cancel your reservation by the cancellation deadline, you will be charged for the full cost of the seminar.

IIA Quarterly Meeting: Search Engines and Data Analytics

Date: Wednesday, May 7, 2014
Time: 11:30 AM to 4:30 PM
Location: New Mexico Educators Federal Credit Union Training Center, 4100 Pan American Freeway, NE Building B, Albuquerque
Cost: $100 members; $125 non-members
CPE: 4 hours
Instructor: Peter Chew, D.Phil, CPA, CFE

RSVP by Friday, May 2, 2014

Keep this date in mind for the next IIA quarterly meeting! Peter is Principal Investigator for Galisteo Consulting Group Inc., and has spoken several times for IIA and other audit organizations on the topic of data analysis. He is always interesting and thought provoking. Course details and registration information will be posted on our website as soon as it is available. We hope to see you there!

Speaker Bio

Dr. Peter Chew is a Principal Investigator with Galisteo Consulting Group, Inc., a consulting firm in Albuquerque, NM. Through his work with Galisteo, he provides services in data and text analytics, national security, and business process improvement to clients in the public and private sector. Dr. Chew’s current work includes projects focused on making sense of large datasets, including cutting-edge and patent-pending applications of statistics and informatics to improve analytic financial processes such as account reconciliation. His work also includes data analytics to support fraud investigations, and research into the cultural and linguistic aspects of national security (e.g. sentiment analysis of multilingual text).

Prior to Galisteo, Dr. Chew served as a Senior Manager at Moss Adams LLP (formerly Neff + Ricci LLP) and at Price Waterhouse in the United Kingdom and Russia, where he participated in financial and technology audits of a variety of local and international organizations. Dr. Chew also served for over 5 years on the technical staff at Sandia National Laboratories, leading original research and development into the application of linear and multilinear algebraic analytic techniques to natural language, in particular multilingual text.

Dr. Chew has a B.A. in Russian Language and Literature with subsidiary Polish from the School of Slavonic
and East European Studies at the University of London, and a M.St. in Slavonic Studies and a D.Phil. in Computational Linguistics from the University of Oxford.

**Membership News**

**Welcome New Members**

The Albuquerque Chapter Board of Governors would like to welcome the following new members:

- Wayne Moosman, *Los Alamos National Laboratory*
- Tina Wu, *Moss Adams LLP*
- Purvi Mody, *University of New Mexico*

We look forward to meeting you at a future Chapter event!

If you would like to join or renew your membership, please contact the VP of Membership, Marisa Vargas at mvarga@sandia.gov or visit [https://na.theiia.org/membership/Pages/Membership.aspx](https://na.theiia.org/membership/Pages/Membership.aspx).

**Announcements**

**Academic Relations**

Chad Glines, MPA, CPA, and Cindy Frost, CPA, CIA, were guests at the March 7 technical meeting of the UNM Beta Alpha Psi (BAP) chapter. The accounting students provided Chad and Cindy with the opportunity to talk about various internal auditing opportunities available to them in the future.

As a federal officer and is the Financial Review and Performance Assessment Director with the National Nuclear Security Administration, Chad provided the BAP students with an in-depth and very interesting look at government contract auditing, including a review of labor costs related to the contract for building the Space Shuttle “Endeavor” and his investigation into personnel issues on a B-2 Stealth bomber project.

Cindy talked about her career as an internal auditor starting with her work as a SOX Compliance auditor with an international retailer. She discussed the importance of an internal audit team to the overall governance of an organization and how internal auditors can work with management to build an effective system of internal controls.

Both Chad and Cindy encouraged the students to continue their hard work in their studies and to pursue a professional certification, such as the CIA or CPA. Cindy came away from the presentation feeling very confident that a great generation of accountants and future auditors is on its way!

**Gleim CIA Examination Study Books**

The IIA Albuquerque Chapter recently received for the Chapter library the latest edition of Gleim study books for the new 3-part CIA exam. If you wish to check out a book please contact Robert Rimbert, Chapter Librarian and Historian, at Robert.Rimbert@pnmresources.com. The library also has other reference materials available for use by IIA members. Please see the attached file for a list of books held in our library (as of Sept. 2013).
For those of you who are members of ACFE, AGA, or ISACA, these upcoming events may be of interest to you:

ACFE: The ACFE-NM chapter monthly meetings are held on the last Tuesday of each month, beginning at 11:30 AM, at the NM Educator’s Federal Credit Union Training Center at 4100 Pan American Freeway NE, Building B, in Albuquerque. The next meeting will be on March 25th. The cost for one hour of CPE is $20 for ACFE-NM members and $25 for non-members. Lunch is provided. RSVPs are due the Friday before the Tuesday meetings (March 21st). The presenters for the upcoming months are shown below. Please contact Beth Mohr at 505-554-2968 or bmohr@themchardfirm.com for more information.

Upcoming Speakers for ACFE:
March – Alvin Romero, NM Tax & Revenue Dept.
April – Jon Word, Albuquerque business owner and fraud-victim-turned-investigator will tell his fascinating story in a case study format.
May – Jeffery F. Speidel, Department of Justice, United States Trustees Office – Examples of Bankruptcy Fraud
June – No ACFE-NM meeting, due to the ACFE Annual Conference, June 15-20th in San Antonio, Texas.

AGA: The next AGA luncheon is scheduled for Wednesday, April 16th from 11:30am until 2pm at the NM Educators Federal Credit Union Training Center at 4100 Pan American Freeway NE, Building B, in Albuquerque. Doug Otts from Sandia National Laboratories will present an overview of Steven M.R. Covey’s Speed of Trust. Leading at the Speed of Trust introduces powerful tools to help leaders improve trust, the trust people have in them, and the trust on their respective teams. Please contact Robi Gonzales at Robi.Gonzales@state.nm.us for registration information.

ISACA: On Tuesday, March 18th ISACA will have a luncheon with the topic “Social Engineering – the Art and Science of People Persuasion.” The presenter will be Tina MacGregor, Ph.D., CISA, CRISC, CGEIT, GSEC, MCSE, who specializes in IT regulatory audits, security assessments, risk assessments, policy and procedure development, IT governance consulting, business continuity and disaster recovery consulting, and security awareness training. Ms. MacGregor has her own LLC. The location will be the NM Educator’s Federal Credit Union Training Center at 4100 Pan American Freeway NE, Building B, in Albuquerque. The member price (which is also available to members of IIA, ISSA, IMA, and AGA) is $25. The non-member price is $30, and the student price is $10. The RSVP deadline is March 17th.

The Editor’s Corner
Greetings! For more information on any of the information in this newsletter, or if you cannot open up a link, go to our chapter website. The address is shown on page one above. It will list upcoming events, Board member addresses, current news, past newsletters, a link to The IIA International, and more!

Please submit newsletter articles for April 2014 no later than Monday, April 7th. If you would like to have included in future newsletters upcoming events from other organizations, such as AICPA, AGA, and ALGA, please let me know. Thank you!

Michael Hansen, Newsletter Editor, mikehansen22@comcast.net