Audit Scope

September 2018

IIA Swings Into Chapter Year

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Providing dynamic leadership for the global profession of internal auditing
President’s Message

Dear Chapter Members:

Welcome to the 2018-19 chapter year! Congratulations are once again in order for our chapter, as we have achieved Platinum Chapter Status for the 17th year and therefore remain a Sapphire Chapter. This is a fabulous achievement and we should all be very proud. Platinum status is a prestigious award that is earned by chapters demonstrating achievement of IIA goals for service to the membership and to the profession. This achievement would not be possible without the strong leadership of our officers and board of governors.

I would like to recognize our outgoing officers Mark Smith (President), Monica Sanchez (VP of Education) and Paul Jerome (Treasurer) for their dedication and leadership. Lucky for us they will continue to serve our chapter on our Board of Governors. Sarah Reekstin, our former VP of Communications, has taken the role of VP of Education and Wade Cassels will serve as our VP of Communication. We also welcome two brand new officers; Monica Moyer (Treasurer) and Mary Beth Makrianes (Secretary). I am honored and excited to serve as your newly elected chapter president. I am looking forward to a successful and rewarding year. Please feel free to reach out to any of the officers if you have any questions or concerns. Our email addresses can be found on the chapter website.

A big thank you to Sarah Reekstin and Monica Sanchez for their hard work planning the 2018-19 Seminar Series, which continues to raise the bar by delivering top-notch content. We are trying out some new and unique venues this year, such as Florida Aquarium and Topgolf, which will provide fun networking opportunities. Our seminar series kicks off Thursday, October 18th at Steinbrenner Field with Lise Valentine, Deputy Inspector General from Chicago. Turn to page 3 for much more on Lise and this event. For more information on all seminars and to register please visit our website (www.tampabayiia.org).

This year we are again selling package deals for seminars, $495 for four 8-hour CPE seminars including breakfast, lunch and refreshment breaks. This is a great deal and I encourage everyone to take advantage.

In closing, I encourage you to check out all the other exciting things happening at the chapter that are included in this newsletter. As always, if you would like to get more involved with the chapter as a volunteer and/or future leadership just let us know.

Sincerely,

Kristina Simmons
UPCOMING EVENT

Getting to Know

Lise Valentine

We are looking forward to Lise Valentine kicking off our 2018-2019 Seminar Series in October. While we have already shared her bio, we wanted Lise to tell our members a little bit more about herself.

Q: Have you spent much time in the Tampa Bay area?
A: First visit. Thanks for the invitation.

Q: What is the coolest thing you are working on right now?
A: We have several very interesting performance audits going right now, so it is hard to choose. One that stands out is an evaluation of the Juvenile Intervention Support Center, a collaborative effort of the Chicago Police Department and Chicago Department of Family and Support Services. The program is intended to reduce juvenile crime and recidivism by providing support services and diverting youth arrested for minor offenses away from the criminal justice system. We’re trying to determine if the program achieves its goals and aligns with best practices for law enforcement-based youth diversion.

Q: What is something you have really enjoyed reading lately?
A: I read a fascinating biography of Lise Meitner, an atomic physicist who was one of the first to discover nuclear fission. I’d never heard of her, but someone told me about Dr. Meitner because we share a first name. (It turns out hers is the Austrian version (LEE-ZUH) while mine is French (LEEZ).) Meitner was the first female full professor of physics in Germany at a time when very few women were permitted to earn a Ph.D., let alone be a professor, but she lost her job under the Nuremberg Laws and fled Germany in 1938. Meitner was invited to join the Manhattan project but refused because she was horrified by the use of her discovery to build a nuclear bomb.

Q: Do you have a favorite motivational quote?
A: It is mundane, but I have taped to my computer monitor the sentence “Do the hard things first.” It reminds me to identify those things that I fear doing or would simply rather avoid, and then immediately do them. It’s not easy, but helps my productivity and is ultimately more rewarding than doing the fun things first.

Q: What is something that someone has done to help you in your career that you would like to pay forward?
A: People have hired me into positions that I felt underprepared for, but they believed I could do it and gave me a chance to figure it out. I like to give others that opportunity, and to support them in trying things they may not be sure they can do.
CHAPTER NEWS

Member Spotlight

BILL ROTZ
SVP/Business Control Manager
Bank of America

Bill Rotz has a depth of experience both in the internal auditing profession and in service to the IIA’s Florida West Coast chapter that few can match. In addition to being a past president of the chapter, Bill has also served as vice president (education), secretary and treasurer.

Following his term as president, Bill served two terms as the IIA International Southeast District 4 Representative, including work on the International Board, while serving as a member of the International Membership Committee for a pair of terms.

Bill has also served on our chapter’s board for more than 20 years, allowing him to develop a strong understanding of all facets of the organization and to act as a mentor to newer chapter leaders over the years.

One of Bill’s major accomplishments as president was introducing a package pricing program for chapter seminars, something we now consider standard practice. This played a key role in making our seminars more affordable and enticing for participants.

Current role at Bank of America

Bill currently oversees reporting and monitoring of the bank’s Key Initiative Portfolio (KIPs), with change having been identified as one of Bank of America’s key strategic risks. “With KIPs being the bank’s large scale multi-generational transformation work efforts, I help manage and oversee the change standards, identification and reporting processes,” Bill says.

Bill started his career with Bank of America in 1979 in the Consumer Lending area before making a transition into Corporate Audit.

“Over the years as a Senior Audit Manager in Tampa, I led teams in conducting reviews regarding almost every area of the bank,” he says. “A major area of focus was the control environment of the nationwide retail bank.”

“My team handled identification and investigation into internal employee defalcations and subsequent controls that were necessary in preventing future occurrences.”

With the merger of Bank of America and Fleet in 2005, Bill joined the Transition Risk & Stability team — a group of risk professionals that maintains responsibility for bringing a risk management perspective to large transition-related work efforts.

During this time, he worked closely with both line of business and transition leadership in providing assurance that customer, associate and shareholder risks were identified and mitigated. Bill’s areas of focus included: Customer Day One activities and Platform Conversion Stability.

Using Six Sigma methodology, Bill oversaw the designing and implementation of testing routines to ensure associate readiness for change, a methodology that was used throughout all of the major transitions that followed.

Looking Ahead

As a Certified Bank Auditor and Six Sigma black belt, Bill appreciates the impact that certification and involvement with a professional organization like the IIA has had on his career. “While I am not personally a Certified Internal Auditor,” he says, “I fully believe that the certification is critical to advancing in the internal audit profession. I also am in agreement that the networking opportunities through involvement with the IIA at the local and/or international level can play a critical role in advancing a person’s audit career.”
Updates to Chapter Programs Aimed to Serve Members

In August, we were pleased to have Donna Wiley from IIA North America Chapter Relations join our board of directors meeting and share with us about some of the changes that are going on, particularly as it relates to the relationship between the IIA and its local chapters.

Of particular note are the updated IIA-chapter compact and CAP 2.0.

The purpose of the compact is to ensure a consistent member experience across all 161 chapters in North America, and to enhance the accountability of both the IIA and the chapter on behalf of the members being served.

As specified in the compact, our chapter has both a Programs Officer (Sarah Reekstin) and now a Membership Officer (Jay-Ann Brown) as well. We encourage you to reach out to them with any ideas and needs you have to improve how the chapter is currently conducting business and providing services.

Our chapter also participates in the Chapter Achievement Program, better known as CAP. CAP serves as a planning and benchmarking tool, and it measures the activities the chapter provides to our members. We are currently recognized as a “Sapphire” Chapter, and this comes after our 24th consecutive year of achieving Gold. The chapter has participated in CAP since 1989, and has made Gold each year since 1994.

We are currently transitioning to a new format for CAP reporting (CAP 2.0). While some of these changes are procedural in nature, it is very important this year that our members support this effort by reporting everything they do related to CAP as completely and accurately as possible so we can accurately assess the impact of the new reporting.

Our chapter accrues CAP points when our members do any of the following things:

- Publish an article in a professional journal
- Write exam questions for IIA certifications
- Participate in the Junior Achievement program
- Host an internal audit event at work (e.g. lunch & learn)
- Participate in a speaking engagement

As Donna stressed to the chapter leaders regarding these changes, “It’s all about serving the members.”

Chapter Programs Officer: sarah.reekstin@baycare.org
Chapter Membership Officer: jdbrown@aaasouth.com
Report CAP activities: kristina.simmons@protiviti.com

Make the Leap to Our Careers Page

Are you ready to make a job change? Are you seeking opportunities to broaden your career? Do you just think the time is right to make a move?

To find industry-leading organizations searching for top talent, just like you, all you need to do is go to our Career Page, click on the employment links that most appeal to you and you’re well on your way toward beginning that new position.

This is a fantastic way for you to frequently and quickly view job postings that are relevant to you. In fact, our most recent job opening was just posted to the Career Page on September 19, 2018.

If you have a success story using our Career Page, let us know! We would love to be able to share the good news. Also, if you know of an opening that you think would be of interest to other chapter members, feel free to pass along the info for us to share.

If you have an internal audit or related position you would like to post on our web site and/or newsletter, contact webmaster Bob McCall at mccall.robert.jr@gmail.com.
CPA Renewal: Alert

For those IIA chapter members with Florida CPA licenses that expire on December 31, 2018 who have completed their CPE requirements by June 30, 2018, the renewal period is currently underway and you are eligible to make your payment of $95.

You can renew your license online from the site below by entering your user ID/email to access the online portal at https://www.myfloridalicense.com/datamart/loginFLDBPR.do or, you may call the customer contact center at (850) 487-1395 to make a renewal payment via phone. This can be completed anytime between 8 a.m. and 5 p.m., or you may submit a check or money order, along with the renewal notice or written statement of your license information and signature, by mail to DBPR Central Intake Unit, 2601 Blair Stone Road, Tallahassee, FL 32399.

If you are in need of further information or have additional questions, please respond to the DBPR Call Center via email at ccc.crm@dbpr.state.fl.us or call (850)487-1395.

You may also email DBPR by completing their email correspondence form available online by going to: www.myfloridalicense.com/contactus.

IIARF Bookstore Sale Ends September 23

From now through Sunday, September 23, you can save big at the IIA Bookstore. By ordering online, you can take up to 75% off select popular products.

Also, with many IIA Bookstore products available in digital format, it’s easy to earn substantial savings, as all of these are now 50% off.

IIA members seeking to become Certified Internal Auditors can also receive 50% off of “CIA Exam Practice Questions.”

Just go to the IIA Research Foundation Bookstore to find incredible deals throughout the bookstore. This sale ends at 11:59 PM EDT on Sunday, September 23, so you need to act quickly. But, if you miss this sale, IIA chapter members typically enjoy discounts of up to 20% just for logging in — one more benefit of your Florida West Coast chapter membership!

Upcoming Event: Preparing for CIA Exam

Chapter members seeking to earn the Certified Internal Auditor (CIA) may want to take part in an information session titled “Increase Your Chances of Passing the CIA Exam”, which is offered by the IIA.

This free, one-hour webcast, held only four times each year, will help attendees:

- Understand the CIA program, eligibility requirements, and exam.
- Determine how much time they will need to prepare for the exam.
- Prepare to pass using The IIA's proven CIA Learning System.
- Utilize simple study and testing tips to increase their chances of success.

This upcoming opportunity takes place on Tuesday, September 25 at 1 p.m. EDT. If interested, you can register to participate by clicking here.

“What Changes?”

Still haven’t heard about the IIA’s changes to its Certified Internal Auditor certification? Or, just not sure what it all means? The IIA has a clear, concise web site to answer your questions.

Click Here!
Sometimes, it’s a much-needed moment of levity (#ThingsWeWouldLikeToSay). Other times, it’s practical advice such as “How Smart Internal Auditors Ask Smart Questions.” In any case, Richard Chambers’ Twitter account (@RFChambers) has helped make him one of the most influential accounting and auditing professionals on social media. In fact, the consulting firm Avalara recently positioned him at #11 on their Top 100 social media influencers in the accounting and auditing professions.

I have found Twitter to be an exceptional resource for knowledge sharing and networking. When Richard tweeted the link to his article about how to ask questions, I was introduced to the idea of giving interviewees “permission” to share bad news. It is a concept that I can apply in my daily work. By checking in on Twitter each day, I am able follow Richard (and numerous other thought leaders) to keep a pulse on what is happening in the internal auditing profession.

I recommend following Richard’s account if you haven’t already. If you’re not on Twitter, give it a try and follow a few people who interest you. Before long, you’ll find that you have a daily stream of information (ex. audit, sports, business, politics, etc.) that can inform your areas of interest. After you’ve followed Richard, make sure the next account you follow is @TampaBayIIA! I hope to see you online.

Connect & Contribute

Submit an “Audit-orial” of your own (200-300 words) to VP-Comm@tampabayii.org and we may publish it!

E-mail your favorite classic comics to VP-Comm@tampabayii.org

Respond to the “Audit-orial” via Facebook or Twitter