President’s Message

Nikki Lanier, CPA

Hello, Springfield Chapter Members! It has been a challenging year, and I think we have all navigated new paths to ensure we continue moving forward. I find truth in this quote by Oprah “We can’t become what we need to be by remaining what we are.”

Chapter Bylaws
The Institute of Internal Auditors HQ provided all chapters with a standard template for bylaws. Some of the major changes to the current bylaws include: the Chapter President must be a Certified Internal Auditor, term limits for Officers and Governors, and added oversight responsibilities by the Board of Governors. Your current Officers and Governors have reviewed the bylaws and will vote to present them to our membership for approval. Although we foresee some challenges in implementing the required bylaws, there is a process in place to request exceptions as needed. Members will receive communication asking for their approval of the bylaws soon.

Officer & Governor Elections
The Springfield Chapter has called for nominations for the upcoming year, and we are pleased to see some new talent among them. The official ballot will be sent to all members soon so please take a moment and cast your vote. You don’t have to be an Officer or Governor to volunteer though so don’t hesitate to reach out if you are interested in learning more.

Stay safe and healthy,

Nikki Lanier, Chapter President

Call for Audit Workshop Highlights!

If your auditshop is doing innovative things or have great ideas regarding auditing, or an Audit Chief has a person they would like to highlight in their shop, please contact me anytime. Our State is full of hardworking auditors who take pride in their work and have great accomplishments. We all would like hear about them. Chiefs or their designee can contact me at satu.allen2@illinois.gov.

In This Month’s Newsletter:

Page
President’s Message 1
April Training 2
How to look good on a webinar 2
One Year of Working in A Pandemic 3
Training Schedule 3
Richard Chambers: 2021 Pulse 4
This Month in Chapter History 5
From the Editor 6
Officers, Governers and volunteers 6
April Training

Leighann Manning, CIA, CGAP

Happy Spring Everyone! April’s training brings Information Technology to the forefront! Join us on April 21st from 8:30 a.m. to 12:30 p.m. for “Cybersecurity for the Non-IT Auditors” and return the next day, April 22nd, from 8:30 a.m. to 12:30 p.m. for a course on System Implementation Review.

Both courses will be taught by John Sapp, HCISPP, CRISC. John is a well-known speaker in the IT world, highly regarded and respected for his knowledge and presentation style.


This course will provide a practitioner’s viewpoint for both audit and cybersecurity professionals. Beginning with underlying fundamentals of cybersecurity, then going step by step through the primary focus areas, risk prioritization and key audit steps, this is a course for any auditor wanting to learn how to address cybersecurity as a key audit risk. Objectives include: Select and implement a cybersecurity framework, audit against a cybersecurity framework, develop a prioritized remediation plan and audit cybersecurity maturity.

Please join us for two great half days of training!

Register for one or both days (must register separately for each day):
April 21, 2021, Cybersecurity for Non-IT  https://na.eventscloud.com/april2021sem1

5 Tips for Looking Good on a Zoom Webinar

Excerpts from a blog by Christina Hills

Tip #1: Have Proper Lighting. Make sure that you are not sitting in front of a window. No one will be able to see your face. Position your light source so that it is in front of you, not behind.

Tip #2: Camera Angle is Important. Position your webcam at eye level. Make sure you do not have to look down at it. Otherwise, your colleagues could find themselves looking up your nose. Be sure to have good eye contact during your meeting too. Sit up straight and look directly into the camera.

Tip #3: Use a Headset/Headphones with Mic. For optimal audio, invest in headphones and an external microphone, or a headset with a built-in mic. It does not have to be expensive. You do not want your sound to have any echoes or any feedback.

Tip #4: Set Up Your Background to Limit Distractions. Your background during conference calls should be free of moving people, animals, or objects. If you cannot change your room configuration, setup a virtual background.

Tip #5: Mute Yourself When You are Not Talking. Background noise is a distraction for any meeting. The general best practice is muting yourself when you are not speaking. If you need to do a lot of typing while you are talking on your call, consider investing in a silent keyboard. You can also stop your video if you need to step away from your desk.

https://websitecreationworkshop.com/blog/business/5-tips-for-looking-good-on-a-zoom-webinar/
One Year of Working in a Pandemic

Katrina Woodcock, CPA

COVID-19 has dominated our lives in the last year from wearing masks, working from home, and socially distancing to finding ways to connect with families and friends via video chats or spending time outdoors. Fortunately, all these efforts will soon pay off! With vaccines and warmer weather around the corner, we will be able to be with our loved ones and go back to doing the activities we enjoyed such as travelling or going to sporting events and concerts.

As internal auditors, working through the pandemic taught us we can audit remotely. Most documentation we need is maintained electronically these days; if not, there is the ability to scan hard-copy files. If the files contain confidential information, we could take appropriate measures to maintain its confidentiality by encrypting those files before sharing them. Additionally, most audit work is maintained electronically making preparing, reviewing, and signing off on workpapers easier to conduct. Some entities are doing so well working remotely that they have considered to continue working remotely after the pandemic is over.

However, I have noticed that working from home has impacted our ability to establish and maintain rapport with our auditees. From my experience, when I arrive at the auditee’s site and show interest in their work, they tend to tell me more of what is going on and the challenges they face. These talks help me gain a better understanding for my audit. Sure, we can connect in other ways by coordinating WebEx meetings, sending emails, or calling, but talking things out with them and seeing what is going on are just not the same.

Working as an internal auditor at IDPH during the pandemic has been challenging. Our risk assessments and audit plans are constantly evolving to account for new risks brought by the changing environment and the Department's efforts in response to the pandemic. But these challenges allowed our shop to showcase internal audit's value to the Department. We are constantly asked to review processes and provide recommendations to improve the existing processes.

Auditing remotely has its ups and downs. We have proven we can work from home. Depending on what entity you work for, you may have experienced challenges and new risks due to the pandemic.

With the State's plan to make vaccines more available to the public, I would be interested to see how State of Illinois internal audit programs will adjust to the new normal.

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Training Schedule

<table>
<thead>
<tr>
<th>Date</th>
<th>Speaker</th>
<th>Program</th>
<th>Hours</th>
<th>CPE</th>
<th>Members</th>
<th>Non-Members</th>
</tr>
</thead>
<tbody>
<tr>
<td>April 21-22, 2021</td>
<td>John Sapp</td>
<td>Cybersecurity for Non-IT/ System Implementation</td>
<td>8:30 – 12:30</td>
<td>8</td>
<td>$80</td>
<td>$100</td>
</tr>
<tr>
<td>May 2021 - TBD</td>
<td>Roundtables</td>
<td>Chief/Staff/IT Roundtables</td>
<td>8:30 – 12:30</td>
<td>4</td>
<td>Free</td>
<td>Free</td>
</tr>
</tbody>
</table>

Cancellations should be made at least 24 hours before the meeting to avoid a charge.
Meetings are currently being held remotely for the 2020-2021 Program Year.
In his blog, IIA President and CEO Richard Chambers, CIA, QIAL, CGAP, CCSA, CRMA, shares his personal reflections and insights on the internal audit profession. Here's an excerpt from his latest post:

It is hard to believe COVID-19 has dominated our lives for more than a year now. Few could have imagined the depth to which it would influence our lives or change how we operate and interact in business and society in general.

One universal truth that has emerged about the pandemic is that the extent of its impact has varied. In some areas of the world, spread of the virus has been more dramatic, as have been the number of deaths. It is sobering to think that more than 2.6 million people worldwide have succumbed to COVID-19, including more than a half million in the U.S. Some industries have been devastated by lockdowns and curfews, including airlines, hotels, tourist attractions, and restaurants, while others have thrived, such as delivery services, online retailers, and meal kit providers.

The pandemic's varied impacts are reflected as well in findings of the 2021 North American Pulse of Internal Audit, which will be released Tuesday at The IIA's annual General Audit Management conference. The report's title, The Many Sides of Crisis, describes the numerous ways the pandemic has affected internal audit budgets, staffing, risk assessments, and audit plans.

Key Takeaways:

- Some functions added staff during the pandemic due to an increase in assurance responsibilities and a need to add skillsets to their teams.
- Audit plan allocation continues to increase for financial reporting and decrease for operations.
- Budget and staffing reductions were not as widespread as internal audit leaders initially expected. However…
  - Smaller functions suffered the deepest cuts as a percentage of staffing.
  - Internal audit functions experienced widespread staff cuts in some industries, including retail, food, travel, education, and health care.
  - Internal audit budgets were most likely to be cut in the areas of travel and professional development.
  - Internal audit functions with cuts in staff doubled from 9% to 18% year over year.

The clear message from this year’s Pulse data can be summed up in the aphorism: We are all in the same storm, but not the same boat. Explore how differently internal audit departments weathered the storm and why. This annual report serves as both a benchmark and a barometer.

Read the full InternalAuditor.org blog post from IIA President and CEO Richard Chambers.

Richard Chambers also encourages readers to download a copy of Pulse.
April 2016
Tina Neely, CIA, CISA, served as Chapter President.
- Training. The chapter met at Northfield Center for the afternoon seminar “Auditing Social Media: Is the Company Controlling the Conversation?”
- Presenter: Mr. Mike Jacka, CIA, CPA, CPCU,CLU, who had worked in internal audit for nearly 30 years and in 2013 was a co-founder of Flying Pig Consulting, and Training Services (FPACTS).

April 2011
Coleen Jordan, CIA, CPA, served as Chapter President.
- Training. The chapter met ISACA and the Central Illinois Chapter at the Northfield Center for a full-day seminar on “Ethics/Linguistic Lie Detection.”
- Presenter: Nejolla Korris, an international expert in the field of Linguistic Lie Detection.
- Exam: Jeffery Cougill passed the CGAP exam.
- New Position. Second Vice President Staci Crane accepted a position as Chief Internal Auditor for IEMA. Former Chapter President Rusti Cummings accepted the position of Chief Internal Auditor at IEPA.
- Member News. Former Chapter President Deanna Marvin received Horace Mann’s 2010 Community Spirit Award.

April 2006
Tina Neely, CIA, CISA, CGAP, served as Chapter President.
- Training. The chapter met at the Northfield Center for a half-day seminar on “Audit Evidence.”
- Presenter: Teresa Snedigar, IIA District Representative and Director of Internal Audit for The Finish Line, Inc. based in Indianapolis.
- Gold. The chapter obtained the “Gold” status, continuing the tradition of excellence.
- Officers. Tina Neely accepted the nomination for a second year as President and joined Jim Donkin as the only members who had served as President more than once. Ray Pipparinen, CPA, CIA, CISA, resigned his position as the Chapter’s Treasurer after serving for 12 years in the position. Kelly Guerrero returned to auditing. She was the chapter’s VP in 2004-2005 and an internal auditor before going to the CMS Bureau of Benefits (insurance) for a year.

April 2001
Deanna Marvin, CIA, CISA, served as Chapter President.
- Training. The chapter met with ISACA at the Northfield Center for an afternoon seminar on “Encryption.”
- Presenter. Roger Aukerman of State Farm, who had 19 years’ experience in various information system roles, and Dough Hahn, who had worked for CMS since 1974 (since 1998 has been working on the PKI project).
- Dinner. Larry Stone, CISA, CCP, spoke on “Virus Exposures and Controls.” Larry was a senior auditor at the Department of Public Health, an IS auditor for over 14 years, a speaker for CanAudit, MIS, and a part-time instructor at UIS.
- Officer. Gary Styzens was elected to fill the Board position vacated by Stu Gresham.
- Member Profile. The member profile in the newsletter was Susan J. Pappas, Enterprise-wide Auditor, University of Illinois, and an IIA member since 1994.

April 1996
Mark Krell, CIA, served as Chapter President.
- Training. The chapter met with ISACA at the Best Western for a pre-dinner seminar on “Network Security and the Internet.”
- Presenters. Greg Regan, Assistant Vice-President for Corporate Information Security/MIS Contingency Training for Boatmen’s Bancshares.
- Dinner. The after-dinner presentation was “Dial-Up Networking Using Windows 95” by Todd Cooper with Levi, Ray and Shoup.
- Prize. Barbara Minton, ISC, who won a business card holder with the IIA logo on it.

April 1991
David W. Oehmke, CIA, CPA, served as Chapter President.
- Training. The chapter met at the Sheraton for a full-day seminar on “Effective Leadership Skills.” The after-dinner presentation was “Auditing in a Microcomputer Environment.”

April 1986
William B. Winberg, CPA, served as Chapter President.
- Training. The chapter met at the Sheraton in Springfield for a pre-meeting seminar on “A System Programmer’s Guide to Controlled Implementation of RACF and Other Security Packages.”
- Presenter. Tony Godar, Midwest Financial.
- Dinner. Dan White of Ernst & Whinney presented “How to Steal a Million Dollars – A Beginner’s Guide to Computer Fraud.”
- Exam. David Oehmke and Mark Ellis passed the CIA exam.

April 1981
Vincent G. Brackett served as Chapter President.
- Training. The training was “Decision Making.”
- Presenter. Richard Mannweiler, Dean, Business Administration, Millikin University.
Spring is here! I always look forward to the time of year when everything starts to wake up after winter even though fall is my favorite time of the year.

As you may have noticed, I am taking over as the editor of Audit Trails. Lisa has decided to step down due to work related priorities. Thank you, Lisa, for carrying the torch up to this point and all your hard work! We were fortunate to have her as long as we did – she has longtime experience in newspaper editing.

As I already mentioned on the front page, please contact me if you have any news to share or want to highlight your audit shop or someone you know who should receive kudos, has a major event in their life, or any other news you would like to share.

I look forward to serving as your newsletter editor. I am also open to suggestions on articles, etc. You can email me at satu.allen2@illinois.gov.

Picture is of miniature daffodils in our yard.