President’s Message
Tracy Allen, CPA, CISA

I can’t believe it is already the end of the chapter year! This has been a very unusual and challenging year for the chapter, and it is hard to predict what the future may bring. The profession of internal auditing is valuable and desperately needed in this current environment of risks. I very much appreciate all the support and help I have received these last 2 years from the other members of the chapter officer team. I am excited to see that many of the officers have been elected to serve another year and we have two new officers joining the team for next year. Please take the time to thank the returning officers and get to know the new officers. Those officers have some big challenges ahead and a rich tradition to uphold.

Ever since our Chapter first received its charter in March 1978, it has built a rich tradition of service to the profession and provided quality training. I am proud of the Chapter and thankful that I was allowed the privilege of serving you as President for the past 2 years.

May Is International Internal Audit Awareness Month!

Governor Rauner and Comptroller Munger have signed proclamations to declare May Internal Audit Awareness month in Illinois. Earlier this spring I worked with the other chapter presidents from all Illinois based IIA chapters to request the designation.

As an internal audit professional, you play an important role in raising awareness and elevating the profession. In 2016, The Institute of Internal Auditors celebrates its 75th anniversary offering you an important opportunity to promote the profession among your stakeholders.

On May 26, 2016, from 8:30a to 11:30a, we will hold our final seminar of the chapter year. The topic will be “The Auditor’s Highlight Reel: Preparing For Your Next Assignment.”

This seminar will highlight a variety of audit topics, including the Yellow Book, risk, effective listening, and critical thinking skills.

Our presenter will be a veteran of the audit community, Mr. Jim Dahlquist. Jim works in Administration at the Office of the Auditor General, and one of his many responsibilities is coordinating the training needs of the dozens of auditors employed by his Office. Prior to serving in his administrative role, Jim spent several years in the Division of Performance Audits, and was also a member of the Springfield IIA Board of Governors.

Due to Jim’s gracious offer to present to our chapter as a courtesy, we are able to offer this seminar for only $25 for members and $35 for nonmembers. A buffet breakfast will be served starting at 8:00a. We hope you will join us at the Northfield Center as we close out what has been a challenging, yet successful, chapter year. Register at: http://www.etouches.com/may2016seminar.

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<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>
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<tr>
<td>09/15/15</td>
<td>Raven Catlin</td>
<td>Performing Value Adding Audits</td>
<td>8:30 – 4:30</td>
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<td>$105</td>
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<td>Students: $25</td>
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<td>10/27/15 to 10/29/15</td>
<td>Various</td>
<td>Annual SIAAB Fall Government Auditing Conference</td>
<td>8:30 – 4:30 (last day until 11:30a)</td>
<td>17 (Gov’t)</td>
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<td>11/19/15</td>
<td>Chris Mower, Crowe Horwath</td>
<td>Risk Assessment and Audit Plan Development</td>
<td>12:30 - 4:30</td>
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<td>$65</td>
<td>$80</td>
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<td>✓ Student Day</td>
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<td>December 2015</td>
<td>N/a</td>
<td>No Training Planned</td>
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<td>01/21/16</td>
<td>Jack Rakers</td>
<td>Risks for System Developments Facing the State of Illinois</td>
<td>8:30 - 12:30</td>
<td>4</td>
<td>FREE</td>
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<td>✓ Department of Agriculture Auditorium</td>
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<td>02/25/16</td>
<td>Danny Goldberg</td>
<td>Optimized Operational Auditing</td>
<td>8:30 – 4:30</td>
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<td>Students: $25</td>
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<td>03/24/16</td>
<td>Dr. Joan Pastor</td>
<td>Psychology Behind Fraud and White Collar Crime</td>
<td>8:30 – 4:30</td>
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<td>Students: $25</td>
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<td>04/26/16</td>
<td>Mike Jacka</td>
<td>Auditing Social Media: Is the Company Controlling the Conversation?</td>
<td>12:30 - 4:30</td>
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<td>$60</td>
<td>$75</td>
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<td>Tuesday</td>
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<td>05/26/16</td>
<td>Jim Dahlquist</td>
<td>The Auditor’s Highlight Reel: Preparing for Your Next Assignment</td>
<td>8:30 - 11:30</td>
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Cancellations should be made at least 24 hours before the meeting to avoid a charge. Meetings will be held at the **Northfield Center** on Thursdays unless noted differently.
May 2011

Coleen Jordan, CIA, CPA, served as Chapter President.

- **Training.** The chapter met at the Northfield Center for an afternoon seminar on “Risk Assessments and COSO.”
- **Presenter.** Chris Mower from Crowe Horwath.
- **New Position.** Former Chapter President Jay Wagner was appointed the new Chief Internal Auditor for the Department of Veterans’ Affairs. Doug Tinch was appointed the Chief Internal Auditor for Capital Development Bd.
- **Condolences.** Chapter member Dave Williams passed away at age 46. He worked for the State for many years, most recently at HFS. He has two small children.

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May 2006

Tina Neely, CIA, CISA, CGAP, served as Chapter President.

- **Training.** The chapter met at the Northfield Center for a half-day seminar on “Personality Types – Dealing with Them.”
- **Presenter.** Rick Owens, State Farm.
- **Recognition.** This annual “Chapter Recognition” thanked: Tina Neely, Brian Bond, Doug Tinch, Jay Wagner, Ray Piiparinen, Steve Kirk, Cary Franks.
- **New Position.** Dan Kahle accepted a job with the ICC. Dan was the auditor for DCCA before he joined the Bronner Group. Barb Minton took a position outside with DCMS.

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May 2001

Deanna Marvin, CIA, CISA, served as Chapter President.

- **Training.** The chapter met at the Northfield Center and held a Chapter Recognition Night.
- **Presenter.** Special Agent Robert C. Anderson of the FBI presented the afternoon seminar on “Fraud Detection and Investigation.”
- **Dinner.** Connie Klutnick, Supervisor of Dinner at the Ill. Department of Revenue presented “Seeking Consensus.”
- **Member Profile.** Elaine J. Lyons, CIA, CISA, MCSE, MCDBA, CEO for the EISIS Company.
- **Gold.** Our chapter achieved the coveted “Gold” Chapter Achievement Program award.
- **Exam.** President Deanna Marvin and Historian Harry Thurau passed CGAP exam.
- **New Members.** Kelly L. Donovan, Ted Tracy, Department of Agriculture, Valerie Koch, Attorney General, Melissa Oller, Board of Education, Michael Taylor Parker.

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May 1996

Mark Krell, CIA, served as Chapter President.

- **Training.** The chapter met at the Hilton for a pre-dinner seminar that consisted of two concurrent sessions:
  - “Creating the future – Internal Audit Strategic Planning,” presented by Daniel Levenson, CPA, CISA, and Mark Hamill, with Deloitte & Touche in Chicago.
- **Dinner.** Alfred Arkley, Ph.D., Professor of Management at UIS, spoke on “Negotiating Effective Agreements.”
- **Exam.** John M. Ostrander and Kay F. Summers of Horace Mann and Harry J. Thurau of DNR passed the CIA exam.
- **Prizes.** $20 to $100 prizes were awarded to Merlyn Hepperly, Jeff Anderson, Andrea Stallings, Larry Radal, and Nick Marsters.

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May 1991

David W. Oehmke, CIA, CPA, served as Chapter President.

- **Training.** The chapter met for the Bosses’ Luncheon at the Ramada Renaissance Hotel for an after-lunch presentation on “Ethical Decision-Making in the Wake of Operation Greylord.”
- **Presenter.** Terrence Hake, Inspector General for the Regional Transportation Authority and former Agent of the FBI.
- **Member News.** Special thanks went to Judy Lazar and Jane Locascio for a terrific series of dinner meetings; Jim Kincaid, the year’s “Full-Day Seminars” Chairman; and Sharon Stapleton for being the Continuing Professional Development Committee’s first Chairperson.

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May 1986

William B. Winberg, CPA, served as Chapter President.

- **Training.** The chapter met at the Sheraton for an after-dinner seminar on “Internal/External Audit Relationships.”
- **Officers.** The proposed slate of officers for 1987 were: President – Dan Bedell, CIA; Vice President – Brad Hammond; Secretary – Nita Wilson; Treasurer – Lillian Stevens; and Governors – Paul Armento, Ed Buckles, CPA, Judy Parker, and Bob Schwarz, CISA.

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May 1981

Vincent G. Brackett served as Chapter President.

- **Training.** The chapter met for an after-dinner seminar on “White Collar Crime.”
- **Presenter.** James A. Bourke, Supervisor at the FBI.
Protecting Customer Data

Michael Levy, The IIA

Protecting customer data is not just an IT responsibility. Business leaders need to understand the specific business risks and ensure that everyone in the organization is trained to take appropriate action to protect their customers’ data.

- **Data Encryption.** Implementing encryption protocols is fundamental to protecting customer data. Organizations need to define sensitive data and then encrypt it to ensure it is safeguarded.
  - Periodically, organizations should reevaluate their encryption policies to identify necessary changes.
  - Moreover, they should evaluate the type of encryption in place to ensure it still protects against the latest vulnerabilities.

- **Data Loss Prevention (DLP).** Organizations that have large or sensitive customer data need to consider using DLP tools.
  - These tools allow the IT function to help prevent data loss.
  - Moreover, the tools can evaluate data and disallow accidental disclosures based on pre-established policies.

What Do Employers Want?

www.americasjobexchange.com

Great employees share certain characteristics. Make sure you have these characteristics to be successful.

1. **Positive attitude.** Great employees maintain a positive attitude, even during difficult situations. They tackle projects, both big and small, in a straightforward manner. They promote a team spirit and good morale and are a pleasure to be around; a trait that is an essential job characteristic.

2. **Rise to the occasion.** A good employee gets the job done. A great employee gets the job done in spite of everything – including when priorities and schedules shift. They are self-motivated and can think on their feet.

3. **Team players.** No one can achieve “greatness” in an organization alone. These employees recognize that success is better achieved through team work. They are the consummate team player who can praise others.

4. **Self-motivated.** While the role of every manager is to motivate their employees, managers seek employees who create their own motivation. It makes a huge difference to have an employee that has an inner drive to organize their work versus one who needs constant guidance to perform day to day activities. Employers look for employees that have a level of self-motivation that will not require a high level of “hand-holding,” as well as the ability to tackle the obstacles that arise each day.

5. **Demonstrate dependability.** Certain core expectations are required for all jobs, but dependability is probably at the top of the list. Employees show dependability by taking personal ownership of all aspects of their job, including being on time, dressing and working in a professional manner, and demonstrating a high level of commitment. They set the standard.

You’re paid to work eight hours a day but out of every day, you goof around with friends, or work at a slower pace than you could. Is this being honest with your employer? No.

If you’re being paid to work, do your job. And if there is no work, ask your supervisor how you can help out. Doing less than your best every day is being dishonest – dishonest to your employer and dishonest to your co-workers who have to work extra hard to cover for you. Not fair. Not honest. Not one of the keys to respect or success.
The Comptroller General of the United States has established guidance for the management of government agencies. This guidance says the following:

- Accountability is key to our nation’s governing.
- Management is responsible for providing reliable, useful, and timely information.
- Oversight bodies need to know whether: (1) officials manage resources in compliance with laws; (2) programs are achieving their objectives; and (3) government services are provided effectively, efficiently, economically, ethically, and equitably.
- Audits provide an independent, objective, and nonpartisan assessment.
- Audits provide information used for oversight of programs.
- Auditors are expected to be honest, candid, and constructive.

Auditors may encounter conflicting pressures from management of the audited entity. In resolving those pressures, auditors need to place priority on the public interest.

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**CONDOLENCES**

The Chapter would like to extend its deepest condolences to **Cori Fuchs** on the recent passing of her husband Marc.
1. Notify the credit agencies (e.g., Equifax, Experian, TransUnion) and request a 90-day credit alert to tell businesses to contact you before opening any new account in your name. If your identity has been stolen, you are entitled to keep the alert open for 7 years. Or you can put a full freeze on your credit, but will have to notify the credit agency to lift the freeze if you apply for a loan, open a new account, or even sign-up for utility service.

2. Check your credit card bills closely; crooks are known to charge small amounts (e.g., $10) to see if you notice before charging a large amount.

3. If your identity is stolen, contact the credit issuer to close the bogus account and remove it from your record. Keep copies of all correspondence/notes of every phone call and use certified mail.

4. After a hack, scammers may try to use the stolen data to trick you on giving up more personal information. Don't click on any links from emails as bad software may download your passwords. Hang up if you get a phone call asking for account numbers. Scammers may also send texts so don't click on any links from numbers you don't know.

5. The FTC has a website www.identitytheft.gov that provides step-by-step advice and information on what to do if you have been a victim.

For example, you can customize your email signature and social media accounts with the International Internal Audit Awareness Month digital icon (depicted at right). You can hold a lunch-and-learn in your workplace to dispel myths about internal auditing and explain the value that a well-resourced, independent internal audit function can provide. You can also distribute sweet treats or tokens to coworkers with an educational flier about the profession.

Don’t let the opportunity pass to advocate the importance of internal auditing to your coworkers and other stakeholders.

Tracy

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Springfield Chapter
The Institute of Internal Auditors
P.O. Box 205
Springfield, IL 62705-0205