President’s Message
Tracy Allen, CPA, CISA

Group Membership Renewal
I would like to remind you that the Springfield Chapter is coordinating the group renewal for the State of Illinois Group membership with the IIA. Debbie Abbott is the Springfield Chapter Membership coordinator and she serves as the coordinator for the State of Illinois Group membership. Debbie sent notices out to members (or their Chief Internal Auditor) in August detailing the membership information we have on file and requested that members update their information as necessary. It is very important that payment be made to the “Springfield IIA” and sent to the Springfield Chapter Treasurer at PO Box 205, Springfield, IL 62705 so that we can honor the IIA national organization’s request that we remit one payment for the entire group membership.

The Institute of Internal Auditors is looking for you! The IIA is seeking members to volunteer to serve as officers, directors, committee members, district representatives and district advisors. Some of the committees seeking new members are:

- Academic Relations
- Exam Development
- Financial Services Guidance
- Guidance Development **
- Information Technology Guidance **
- Professional Certifications Board
- Professional Responsibility and Ethics
- Public Sector Guidance **
- Regional Conference

** Denotes a new committee beginning July 2016

For more detailed information and nomination forms see the IIA website.

I would like to remind everyone of two major chapter processes that we have undertaken. The IIA requires each chapter to review their by-laws annually. During this year’s review the Board of Governors noted several enhancements that they felt would be beneficial to the operation of the Chapter. The specific changes and a sample ballot were included in the September newsletter and are available on the Springfield Chapter website. These documents will be formally introduced at the September training and voted on at the November training.

If you have question, please contact me.

Tracy

Once again, October will feature our annual Fall Government Auditing Conference. The event will be held over three days, starting Thursday, October 29 from 8:30 a.m.

This year’s Conference offers a wide variety of topics, including roundtables where peers can collaborate to enhance value, opportunities for prevention, professional ethics and controls and auditing standard investigations, enterprise resource planning, government auditors, sharepoint, and data breaches.

The first day agenda will include presentations from such dignitaries as Executive Inspector General Maggie Hickey and American Center for Government Auditing (ACGA) Director Jim Pelletier.

The second day will feature presentations on Financial Services Guidance, Regional Conference, Public Sector Guidance **, Professional Responsibility and Ethics, Academic Relations and Ethics.

The third day will feature the CISA roundtable and Information Technology roundtable.

Please take this opportunity to visit the Institute of Internal Auditors and participate in this tremendous value in these tight economic times. For more information, an agenda, and to register, visit https://siaab.audits.uillinois
# Springfield Chapter of the Institute of Internal Auditors
## 2015-2016 PROGRAM 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>
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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>
<td>7</td>
<td>$105</td>
<td>$130</td>
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<td>Students: $25</td>
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<tr>
<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>
<td>$90</td>
<td>$90</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>
<td>4</td>
<td>$65</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>Nejolla Korris</td>
<td>Human Auditing, Social Engineering, Advanced Ethics</td>
<td>8:30 – 4:30</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>03/24/16</td>
<td>Dr. Joan Pastor</td>
<td>Psychology Behind Fraud and White Collar Crime</td>
<td>8:30 – 4:30</td>
<td>7</td>
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<td>04/26/16</td>
<td>TBD</td>
<td>Joint Meeting Hosted by Central Illinois Chapter</td>
<td>12:30 - 4:30</td>
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<td>05/26/16</td>
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<td>Students: $20</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 (i.e., joint meeting with the IIA’s Central Illinois Chapter is likely to be held outside of Springfield).

**Note:** A regional conference is being held in Nashville, TN from May 1-4 2016. As this is in our region, we are prohibited from holding full day seminars in April and May 2016. Therefore, we are holding full days in the winter months of January and February.
October 2010

Coleen Jordan, CIA, CPA, served as Chapter President.
- **Training.** The chapter met at the Northfield Center for an afternoon seminar titled “Adding Value with Data Analytics/Continuous Monitoring.”
- **Presenter.** Janet Beckman from Brown Smith Wallace in St. Louis where she is the Data Analysis Practice Leader.
- **New Chiefs.** Shayne Clennon, CPA, congratulated the following new Chief Internal Auditors at State agencies: Debbie Abbott (DHS), Jeff Anderson (Fire Marshal), Jane Cullen (Aging), Marcus Dodd (IDES), Brett Finley (Corrections), Doug Hathhorn (Revenue), Brent Nolen (State Police), Steve Kirk (IDOT), Lisa LaBonte (DNR), Elvin Lay (HFS), Spencer Staton (CMS), Doug Tinch (CDB), and Ted Tracy (Agriculture).
- **Married.** Gary Styzens and Marcia Armstrong got married.

October 2005

Tina Neely, CIA, CGAP, served as Chapter President.
- **Training.** The chapter met at the Northfield Center for a half-day seminar on “SAS 99 Fraud Issues and Answers.”
- **Presenter.** Rob Cameron.
- **New Position.** Chapter Secretary Jay Wagner became an IT auditor for the Office of the Attorney General.
- **Member News.** Our seminar registration chair Cori Fuchs and her daughter travelled to Paris and then to Switzerland on an amazing trip! Also, former Chapter President Steve Kirk took his wife Debbie and daughter Cassie to Minnesota’s Mall of America before they went to Mount Rushmore, Crazy Horse, Custer State Park, and Colorado.
- **Prizes.** Awards Committee co-chairs Tara Boggs and Alana Pierson awarded door prizes to:
  - Clyde Pearce, IOIA
  - Ed Schofield, IOIA
  - Larry Coleman, Clifton Gunderson
  - Jamie Nardulli, IOIA
  - Ellen Perry, IOIA

October 2000

Deanna Marvin, CIA, CISA, served as Chapter President.
- **Training.** The chapter met at the Northfield Center for an afternoon seminar on “Interviewing Techniques.”

October 1995

Mark Krell, CIA, served as Chapter President.
- **Training.** The chapter met for a joint meeting with the Central Illinois Chapter in Decatur.
- **Presenter.** The new IIA International Chairman, William Taylor, shared his perspectives on current issues related to internal auditing profession.
- **New Members.** Paul Ottoson and Marty Paul, both with the Department of Revenue.
- **Exam.** Ellen Jennings, Tina Neely and R. Paul Underwood passed the CIA exam and Larry Stone become a Certified Computer Professional.

October 1990

David W. Oehmke, CIA, CPA, served as Chapter President.
- **Training.** The chapter met at the Springfield Sheraton Inn for an afternoon seminar on land grant “Audit Report Writing.”
- **Presenter.** Diana Hetherington, CPA, Illinois Department of Revenue.
- **After Dinner.** The after-dinner speaker was Robert McCabe, Director of Auditing for Bell and Howell.
- **Exam.** Dan Bedell, CIA, announced that anyone interested in taking the CIA exam should see him for CIA program information.

October 1985

William B. Winberg, CPA, served as Chapter President.
- **Training.** The chapter met at the Sheraton Inn for College Student Night. The pre-meeting seminar topic was “How to Detect or Prevent Fraud.”
- **Presenter.** John Nosari, Ph.D., CPA, who teaches auditing curriculum at Sangamon State University and is an Air Force Major.
- **After Dinner.** The after-dinner speaker was Robert McCabe, Director of Auditing for Bell and Howell.
- **Exam.** Dan Bedell, CIA, announced that anyone interested in taking the CIA exam should see him for CIA program information.
Government strategic planning is a type of planning done by governmental agencies to prepare for future needs and issues. In short, government strategic planning can be defined as the plan to reach long-range goals for the public good.

Although some strategic planning in government has happened for many decades, in recent years it has become more formalized. Some governments, recognizing the value in strategic planning, have mandated planning by all agencies and divisions.

Generally, a strategic plan starts with two main statements: the mission statement and the vision statement. While these two statements are similar, they are also different. A mission statement explains an organization's reason for existence. A vision statement is forward looking and explains how the mission is to be achieved.

A needs analysis is another important step in government strategic planning. This helps determine what the current needs are and what the future needs may be. Governments, both local and national, find needs analyses helpful in determining where best to appropriate resources.

For example, if a local government sees growth potential in a certain part of a city, it may devote more resources to improving those parts to get ready for that growth.

Closely related to a needs analysis is developing goals. These goals generally are aligned to help meet the issues discovered or documented during the needs analysis. For example, if the needs analysis shows the need for more or improved streets, that can be put into the goals, which may also come with timelines.

Once the goals are approved, the next step involves putting an action plan into place. This means identifying key people, and defining their responsibilities in the process. A budget may be put together, as well as possible financing, if needed.

You may laugh at your company’s rules, but they exist for a reason — and are often backed by scientific data. While your conscious mind tells you there’s no way you could be swayed by a small gift or paid-for dinner, your unconscious mind may be processing the experience differently.

“There is a substantial body of research on the psychology of persuasion demonstrating that people are susceptible to very small ‘token’ gifts,” said Stephen Gilliland, executive director of the Center for Leadership Ethics at the University of Arizona.

Gilliland cites research on persuasion by psychologist Robert Cialdini, including a study that looked at how much restaurant customers tipped after receiving a tiny gift from their server.

Two small candies and a scribbled smiley face on the bill led to a larger tip, indicating that even such an insignificant present will trigger a feeling of obligation.

“Even though it may feel like it doesn’t matter who pays for dinner, it is possible that this gesture could result in preferential reciprocity,” Gilliland said.

The other problem with accepting gifts from vendors and business contacts is how it looks, he said: “Even if the act of paying for dinner has no effect on behaviour toward the vendor, it might create perceptions of undue influence among others.”

You feel that a gift would have no effect on you, but how would you view a competitor who buys someone dinner and then wins a big contract? If your company didn’t have a policy prohibiting this behaviour, outsiders might think you were bribing your way to success.

Worse, your own colleagues could follow your lead and loosen up on other ethical strictures, undermining an otherwise ethical corporate culture.
I hope you like the training courses that are planned for this year by Tracy Allen and Jay Wagner. You are also welcome to make suggestions to them for potential topics for future training.

The chapter needs new volunteers and ideas each year. There are positions that are open each year so we want to encourage you to let any officer know if there is an area for which you might be interested in volunteering.

Some officers have been filling additional roles, like committee chairs, as you can see from the list on the right (e.g., Tracy, Jay, Leighann, Emily, Joelle). In fact, they have been filling the various committees year after year, which indicates that we can use more active participants to continue to make our chapter as successful as it can be.

For example, the position of Chapter Historian has not been filled for several years. If you would be interested in becoming the Historian, which involves maintaining the chapter’s permanent records, please let Paula, Joelle, or any other officer know.

### Chapter Membership

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The Board of Governors consists of all Officers, Governors, and the past two Presidents.
How to Get Your Way at Work

Are you getting your way at work? Every day, you’ve got to interact with your boss and co-workers in the workplace -- and deal with workplace politics. If you feel like you are constantly getting the short end of the stick, here are some ideas to overcome common roadblocks:

- **Winning an Argument.** Everybody wants to feel that they’re making important contributions at work. And few things can be more discouraging than having your opinions or preferences consistently passed over for someone else’s ideas. One key to winning a debate or argument at work: do less talking and more listening. “Really listen to what the person is saying. That’s difficult when you want to jump in to defend yourself,” says Vicky Oliver, a New York City-based career expert. Oliver stresses that you should acknowledge the validity of the other side’s argument and make them feel that you are both on the same side.

- **Convincing Your Co-Workers.** Oliver thinks that keeping the focus on the overall benefits can be a decisive factor in winning support for your ideas. “Express the ways in which your way will make the whole team look good.”

- **Be Grateful.** “Show your gratitude. People are much more willing to do what you want when you’ve appreciated what they’ve already done,” suggests Lynne Waymon, CEO of Contacts Count, a nationwide training and consulting firm.

- **A Checklist for Winning Your Way at Work.** Here are some more ideas on how to get your way at work:
  - **Be realistic.** Don’t have unrealistic demands. Know your organization, its management, and the resources it has available to draw from when you are contemplating an idea.
  - **Have a plan.** Outline the benefits to you, the team, and the organization.
  - **Ask for feedback.** If you’re working on a project that impacts others, solicit their feedback and take a look at their comments with an objective eye.