President’s Message:

November 2017

Have you ever undergone a peer review or quality assessment? Have you ever wondered where the people that work on the review or assessment team come from? If it is an IIA External Quality Assessment team, then the team members are volunteers that come from the IIA membership.

There are a number of reasons why a member would volunteer to be on a QA team:

- Earn Continuing Professional Education hours
- Get a Quality Assessment Manual
- Get gift certificates to the IIA Bookstore
- Network
- Get experience in preparation for your own future external assessment
- Bring back ideas to integrate into your audit processes

All these are great reasons, but the number one reason to volunteer as a member of a QA team is because it is an unparalleled learning experience. Many CAEs believe that participating on a peer review or QA is one of the best, if not the absolute best, training resources available. And it costs you nothing.

There are minimum qualifications volunteers must meet in order to be selected as a member of a QA team:

- Three years of internal auditing experience
- Professionally recognized certification (e.g. CIA, CISA, CPA)
- Current knowledge of the Standards
- Participation in the IIA’s course in the external assessment methodology

Contact me or go to the IIA’s website at iia.org/quality to learn more.

Julie Pennington
Director Medicaid Fraud Division Kansas Attorney since 2011.

Mr. Williams will discuss Medicaid fraud and how the Attorney General’s office investigates and prosecutes health care providers who defraud the Medicaid program and complaints of patient financial or physical abuse and neglect by Medicaid providers.

### Topeka Chapter IIA 2017 Fall Seminar

**Date:** Friday, November 17, 2017

**Location:** KDOT
Eisenhower State Office Building
700 SW Harrison
Auditorium 4A

**Time:** 8:00 – 5:00, registration starts at 7:30

**Menu:**
- **Breakfast**
  - Mini Cinnamon Rolls
  - Fruit
- **Lunch**
  - Turkey
  - Mashed Potatoes
  - Sage Dressing
  - Green Beans
  - Dinner Rolls
  - Pumpkin and Apple Pie
  - Iced Tea and water

**RSVP:** By noon, Friday, November 13, 2017

**Reservations:** Marie Winter-Zima*
Capitol Federal
E-mail: mwinterzima@capfed.com
785-231-6394

Please email Brenda Kindle at brenda.kindle@fhbtopeka.com if you have any dietary restrictions.

**Cost:** $150 members / $175 non-members

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**November Fall Seminar**

**CPE 8 hours**

**Speaker – John Gatto**

**Topic – IT General Controls**

All auditors, either financial, operational or IT come into contact with IT processes and outputs. Understanding how this impacts the area being auditing is crucial to performing a comprehensive and valuable engagement. For the new auditors (or possibly individuals pursuing a degree in accounting / auditing) this training will discuss the various aspects of being an auditor, roles and responsibilities, day in the life of an auditor and career advancement. For the more seasoned auditor, numerous companies are focusing their reviews on the latest in technology, cloud computing, cybersecurity, etc. The entire concept of general controls has been overlooked so this is a perfect primer for these individuals to get “back to basics” and remember some of things they may have “forgotten”.

After the general audit and IT overviews are completed, the training will shift to Information Technology and look at the various control models, the need for controls and risk management. This last section will be devoted to the details for the general control framework needed in any IT Organization and discuss 12 IT General controls. Each control section will describe the need for the control, how it should be developed and what the auditor should look for during any involvement in those areas.

*The Registration form is available on page 14 of the newsletter*

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**Event Refund Policy – The Institute of Internal Auditors (Topeka Chapter):**

The purpose of this policy is to ensure event cancellations are refunded appropriately. Events include, but are not limited to: monthly meetings, luncheons, and seminars.
Cancellations made prior to the event registration deadline will be refunded at 100% of the event fee (or would not be billed if the attendee did not pay in advance).

Cancellations made after the event registration deadline will not be refunded (or would be billed at 100% of the event fee if the attendee did not pay in advance)

*IMPORTANT NOTICE FOR PAYMENTS*

Payments for all meeting and seminars need to be sent to the following address:

Capitol Federal
Attention: Joe Beasley, Audit Services Department
700 S Kansas Ave
Topeka, KS 66603-3818

IIA Chat:

Name: Ray Wheeler
Employer: FHLBank Topeka
Position: IT Audit Manager
Time in this position: 11 years
Education: BS Computer Studies, Pace University, NYC

What was your first job? Bagging groceries for tips
What is your favorite food? Indian or Thai
What is your dream vacation? A game at each MLB ballpark
What is your favorite TV show? West Wing
Name one person (dead or living) you would like to meet? Abe Lincoln.
What talent would you most like to have? Sing
What book are you currently reading? Listening to U.S. Grant’s biography

What is your prized possession? My Father’s ring with my Grandmother’s reset diamonds.
What do you try to avoid? Negative or complaining people
If you could have any job you wanted, what would it be? Had it; Sergeant, U.S. Marine Corps.
If you could be present at any historical event, what would it be? Ali, Frazier - Thrilla in Manila
What is your greatest accomplishment? Thirty years of marriage and all that it entails
What would you like to get around to doing when you have time? Travel in the U.S.
How would you like to be remembered? Disciplined and diligent
Who is the person you most admire and why? Too many to name
What’s a pet peeve of yours? Negative or complaining people
How do you achieve balance between your personal and professional life? Work hard but leave work at work
What might people be surprised to learn about you? I passed CISA exam and was certified in 1992
Do you have any vacation plans? Nope, staycation
What was your favorite program of the IIA chapter year? The Internet of Things.

Updating Your IIA member Information:

IIA members can keep their personal information up to date by visiting the IIA’s website at www.theiia.org. In the upper right hand corner click on “Sign In”. Once you are signed in, click on “Profile” and then “My Profile”. Here you will be able to see your information and you can edit your personal information, address,
and contact information by clicking on the "Edit" button. You can also update your contact preferences by clicking "My Preferences". If you need additional assistance, please contact Julie Pennington at Julie.Pennington@mymlc.com

Newsletter Articles:

Please contact Crystal Perez at cperez@capfed.com with any articles or suggestions for the newsletter. You may also know of special events (weddings, promotions, certifications, etc.) that you would like to put in the newsletter.

Volunteer Opportunities:

The Topeka chapter has had proven success because of the people who volunteer their time. Volunteering takes leadership, dedication, and effort. There is currently an opening for the co-chair of the Hospitality committee position. If interested in serving in this role or as an officer or board member for 2017-2018 to continue to enhance the internal audit community, please contact Julie Pennington at Julie.Pennington@mymlc.com

IIA Learning:

IIA Learning delivers innovative, quality, and convenient internal audit training, development, and networking for all skill levels. The flexible platforms focus on individual auditor training needs, as well as existing and emerging issues to ensure that internal auditors receive the knowledge and proficiency required to provide the highest level of auditing assurance, insight, and objectivity possible. The IIA provides multiple learning opportunities

1. **Seminars** are in-person and online; led by internal audit experts; cater to all auditor skill levels, topics, CPE needs and learning styles
2. **Webinars** are short, live presentations, led by internal audit industry professionals; focused on trending topics and addressing challenges.
3. **OnDemand** are convenient, self-paced, and cost effective courses on existing and emerging internal audit topics; accessible online, anytime.
4. **On-site Training** provides an in-person, group training; focused on specific learning need and facilitated by internal audit leaders at your location.
5. **Exam Prep** is a self-study or facilitator-led programs; combines reading materials with online study tools to prepare participants for certification exams.
6. **Executive Development** is strategic guidance and mentoring for internal audit executives; facilitated by executive-level leadership in an elite setting

Visit the IIA website for registration and more information: [www.theiia.org/training](http://www.theiia.org/training)

The next Members Only webinar:

**Technology: Auditing Data**
**Date:** Tuesday, November 21, 2017  **Time:** 12:00 Noon – 1:00 P.M. CST

**2017 Year-end Legislative Review with Arnold & Poter Kaye Scholer**
**Date:** Wednesday, December 20, 2017  **Time:** 12:00 Noon – 1:00 P.M. CST

**Top Resolutions for Internal Auditors in 2018 to Prepare for the Future**
**Date:** Tuesday, January 16, 2018  **Time:** 12:00 Noon – 1:00 P.M. CST

The next eSeminars:

**Assessing Risk: Ensuring Internal Audit**
**Date:** December 6 - 15, 2017  **Time:** 1:00 P.M. – 4:20 P.M. CST

**Audit Report Writing**
**Date:** November 7 - 16, 2017  **Time:** 4:00 P.M. – 7:20 P.M. CST
Risk-based Auditing: A Value Add Proposition
Date: January 17 - 26, 2018
Time: 11:00 A.M. – 2:20 P.M. CST

Statistical Sampling for Internal Auditors
Date: February 19 - 22, 2018
Time: 1:00 P.M. – 4:20 P.M. CST

Succession Planning: Leveraging and Influencing Millennials and Other Generations
Date: September 18 - 19, 2017
Time: 1:00 P.M. – 4:20 P.M. CST

Bookstore:

THIS MONTH’S FEATURE:
Auditing the Procurement Function, 2nd Edition

This book offers practical advice for auditing the procurement function and provides a summary of the fundamental internal controls that one would expect to see in a well-managed organization. There have been significant developments and changes in the approach to procurement since the first edition was published. You will learn about:

- Definitions of procurement
- Core economic challenges
- Procurement fraud
- Ethical and socioeconomic issues
- Internal controls and the “Three Lines of Defense”
- Identification of potential vendors

Auditing the Procurement Function, 2nd Edition, is intended to be of relevance for all types and sizes of organizations globally—in the private sector, the not-for-profit or charitable sectors, local and national government, and international organizations. It will be of interest to internal auditors, external auditors, and all those with an interest in the auditing of procurement (including members of audit committees, procurement professionals, and those who are subject to auditing).
With hundreds of titles to choose from, including books, training materials, certification preparation, interactive programs, and more. The IIA Research foundation Bookstore is your one-stop shop for internal audit resources. All Bookstore products have been reviewed by internal auditors to guarantee a perfect fit. Check out the member’s only bookstore for resources for all your Internal Auditing needs.

IIA Bookstore.

CONGRATULATION CORNER!

The certified Internal Auditor (CIA) designation is the only globally accepted certification for internal auditors and remains the standard by which individuals demonstrate their competency and professionalism in the internal auditing field. Please join us in congratulating the following chapter members who recently obtained their CIA certification:

ANNIVERSARIES

Join us in congratulating for following individuals celebrating significant milestones as members of the IIA:

5 Years

Pamela Old

CIA’s

Join us in congratulating the following individuals in obtaining their Certified Internal Auditor (CIA) certification. This is the only globally accepted certification for internal auditors and remains the standard by which individuals demonstrate their competency and professionalism in the internal auditing field.

(WELCOME NEW IIA CHAPTER MEMBERS)

The Topeka Chapter would like to extend a warm welcome to our new members who recently joined our group.

(None to Report This Month)

IA Magazine Website:

The digital edition of Internal Auditor is a full replicated version of the magazine that delivers internal audit insights and news in a visually enhanced, user-friendly design with new topic sections, enhanced search, and much more!

Visit the website at www.internalauditor.org and check out the October 2017 issue featuring “COSO ERM: Getting Risk Management Right” where Doug Anderson discusses steps that every internal auditor can take to help incorporate risk management into their work.

The IIA’s CIA Learning System:

Certified Internal Auditor (CIA): Strengthen Your Core

As The IIA’s premier designation for more than 40 years, the CIA sets the standard for excellence within the profession. The CIA journey begins with a focus on The IIA’s International Standards for the Professional Practice of Internal Auditing (Standards) and aspects of mandatory guidance under the IPPF. The journey continues with a focus on managing an internal audit project and culminates with concepts related to internal control, risk, governance, and technology. The CIA is a 3-part process for establishing your foundational core and starting point for career growth to:

- Distinguish you from your peers.
- Demonstrate your proficiency with internal staff and external clients.
- Develop your knowledge of best practices in the industry.
Demonstrate your proficiency and professionalism.

Lay a foundation for continued improvement and advancement.

The IIA offers eight different certifications or qualifications in internal audit-related fields. Why become certified? Well, there are a number of reasons. Earning a certification is a key that opens doors to opportunities in internal audit. Certifications help you earn credibility and respect in your field, increases the opportunity for advancement in your career (and therefore also your earning potential), demonstrates your commitment to the profession, improves your skills and knowledge, and builds confidence in your abilities.

If those reasons aren’t enough, here’s another. Every year, the IIA discounts the exam application fee for each credential for a full month. This month, the IIA is discounting the application fee for the Certified Professional Environmental Auditor designation. That’s a savings of $230.

So, if you have ever thought of becoming certified or qualified, ask one of our members who have been through the process to help guide you. You can get one of the competency certifications (CRMA, CCSA), one of the industry certifications (CFSA, CGAP, CPEA, CPSA), or the qualification (QIAL) without having to first pass the CIA exam. These different certifications cover areas such as control self-assessment, risk management and assurance, financial services, government, environmental, safety, and internal audit leadership.

That’s not to minimize the value of the CIA designation. The CIA designation is the hallmark designation of internal audit, and is the only globally accepted designation for internal auditors and the standard by which individuals demonstrate their professionalism in internal auditing. The IIA offers 20% off of the CIA Learning System if you order through your local chapter, and the IIA extends this offer year-round.

Gleim Discount:

The Topeka Chapter has partnered with Gleim CIA Review to ensure your success on the CIA exam!

Gleim CIA Review is the most widely used CIA prep course. More CIAs have used Gleim to pass the CIA Exam than all other prep courses combined. The exceptional content now includes over 40 hours of in-depth video lectures and comprehensive question test banks that cover all of the topics tested and are presented in a format that replicates your exam-day experience. In addition, CIA candidates enjoy a no-hassle Access Until You Pass® Guarantee and customized support from a team of CIA exam prep experts.

As a member of the chapter, you are eligible for a 10-20% discount on Gleim CIA Review Systems. To take advantage of the reduced prices and to place your order, log into the Members Only section of the Chapter website.

Please contact our Gleim representative, Melissa Leonard, with any questions regarding the Gleim materials or discounts available. Call her at (800)874-5346 or via email IIAChapters@gleim.com.

Chapter Achievement Program (CAP):

Do any of your internal audit activities earn Chapter Achievement Program (CAP) points for your Topeka Chapter of the IIA? What is CAP, why is it important and what can you do to help?

The Chapter Achievement Program (CAP) is designed by the Institute of Internal Auditors to guide chapters for developing quality programs and completing administrative duties to ensure it is meeting its obligations to its members. Points are awarded for each activity in accordance with the IIA guidelines. The goal is to provide valuable professional activities and development opportunities to our members and earn CAP points.

Certain activities that are conducted by member may qualify. Points are reported to the IIA on the 10th of each month covering three areas:
Service to Members: Attendance at monthly meetings, conferences and seminars, social events and new IIA certification.

Service to the Profession: Academic Relations; Chapter Scholarship Program, Student events held by the chapter. Advocacy; Junior Achievement Involvement, Building Awareness Champion Program, funding support for District advisors and District Representatives, Internal Audit Awareness month events, Host an Internal Audit event at work, Audit Channel TV submissions, Write exam questions for IIA certifications, Submit or Publish an article in the Internal Auditor magazine, participate on a non IIA sponsored or an IIA sponsored Quality Review Team, Chapter recognizes the member company for completing their QA.

Chapter Administration: Involves administrative reporting requirements to the IIA.

Chapter Objectives

Service to Members

- Education Objective: Offer over 20 hours per year of affordable CPE with more than 60% rated as excellent.
- Certification Objective: Two members become certified annually.
- Social Objective: Members get to know other members from different organizations.

Service to Profession

- Membership Objective: Increase active membership.
- Professional Development Objective: Continue to offer affordable and quality training for auditors
- Academic Relations Objective: Promote the profession at Washburn University.

Chapter Administration

- Leadership Development Objective: Have 1 or 2 officers attend the Leadership Conference.
- Chapter Finance Objective: Have our lunch meeting fees cover the meeting expense; make additional income from the seminars to fund other activities (Leadership Conference, WU scholarship, WU student night).
- Communication and Participation Objective: Send out monthly newsletter and update website.
## CAP Summary

**As of:** 10/10/17

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<tr>
<th>Category</th>
<th>Minimum for Bronze</th>
<th>Chapter Points (to Date)</th>
<th>% of Minimum</th>
<th>Balance to Minimum</th>
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<tbody>
<tr>
<td>I. Service to Members</td>
<td>325.00</td>
<td>93.26</td>
<td>29%</td>
<td>231.74</td>
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<tr>
<td>II. Service to Profession</td>
<td>200.00</td>
<td>153.12</td>
<td>77%</td>
<td>46.88</td>
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<tr>
<td>III. Chapter Administration</td>
<td>160.00</td>
<td>149.00</td>
<td>93%</td>
<td>11.00</td>
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<td><strong>Total</strong></td>
<td><strong>685.00</strong></td>
<td><strong>395.39</strong></td>
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**Current CAP Status:** Pending

**Targets:**
- Bronze: 685.00
- Silver: 1,060.00
- Gold*: 1,560.00

*Platinum 10 consecutive years of Gold

The following levels were added in 2016:
- Ruby: 10 consecutive years of Platinum
- Sapphire: 15 consecutive years of Platinum
- Diamond: 25 consecutive years of Platinum

**Topeka CAP History**

- 1990-1999: Gold
- 2000-2015: Platinum
- 2016-2017: Sapphire
## 2017 – 2018 Officers and Board of Governors

<table>
<thead>
<tr>
<th>Role</th>
<th>Name</th>
<th>Organization</th>
<th>Contact Information</th>
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<tbody>
<tr>
<td>President</td>
<td>Julie Pennington</td>
<td>Mosaic Life Care</td>
<td>(816) 271-8849</td>
</tr>
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<td><a href="mailto:Julie.pennington@mymlc.com">Julie.pennington@mymlc.com</a></td>
</tr>
<tr>
<td>1st VP, Seminars</td>
<td>Marie Winter-Zima</td>
<td>Capitol Federal</td>
<td>(785) 231-6394</td>
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<td><a href="mailto:mwinter-zima@capfed.com">mwinter-zima@capfed.com</a></td>
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<tr>
<td>2nd VP, Programs</td>
<td>Brenda Kindle</td>
<td>FHLBank</td>
<td>(785) 438-6152</td>
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<td><a href="mailto:brenda.kindle@fhltopeka.com">brenda.kindle@fhltopeka.com</a></td>
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<tr>
<td>Secretary</td>
<td>Elizabeth Salas</td>
<td>Westar Energy</td>
<td>(785) 575-8322</td>
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<td><a href="mailto:elizabeth.salas@westarenergy.com">elizabeth.salas@westarenergy.com</a></td>
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<tr>
<td>Treasurer</td>
<td>Angie Drake</td>
<td>FHLBank</td>
<td>(785) 218-4481</td>
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<td><a href="mailto:angie.drake@fhltopeka.com">angie.drake@fhltopeka.com</a></td>
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<tr>
<td>Board Member</td>
<td>Tony Risinger</td>
<td>Westar Energy</td>
<td>(785) 575-1968</td>
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<td><a href="mailto:tony.risinger@westarenergy.com">tony.risinger@westarenergy.com</a></td>
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<tr>
<td>Board Member</td>
<td>Amelia Noe</td>
<td>Westar Energy</td>
<td>(785) 575-1871</td>
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<td><a href="mailto:amelia.noe@westarenergy.com">amelia.noe@westarenergy.com</a></td>
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<tr>
<td>Board Member</td>
<td>Justin Stowe</td>
<td>LPA</td>
<td>(785) 296-7977</td>
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<td><a href="mailto:justin.stowe@lpa.ks.gov">justin.stowe@lpa.ks.gov</a></td>
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<tr>
<td>Board Member</td>
<td>Andrea Robben</td>
<td>BCBS</td>
<td>(785) 291-8897</td>
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<td><a href="mailto:andrea.robben@bcbsks.com">andrea.robben@bcbsks.com</a></td>
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<tr>
<td>Board Member</td>
<td>Robert Knott</td>
<td>Capitol Federal</td>
<td>(785) 231-6355</td>
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<td><a href="mailto:rknot@capfed.com">rknot@capfed.com</a></td>
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<tr>
<td>Board Member</td>
<td>Shanae Gooden</td>
<td>Kansas Army National Guard</td>
<td>(785) 274-1265</td>
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<tr>
<td>Board Member</td>
<td>Crystal Perez</td>
<td>Capitol Federal</td>
<td>(785) 231-6359</td>
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<td><a href="mailto:cperez@capfed.com">cperez@capfed.com</a></td>
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<tr>
<td>Board Member</td>
<td>Lori Miller</td>
<td>Capitol Federal</td>
<td>(785) 231-6396</td>
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<td><a href="mailto:lmiller@capfed.com">lmiller@capfed.com</a></td>
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<tr>
<td>Board Member</td>
<td>Jenny Tryon</td>
<td>Westar Energy</td>
<td>(785) 575-1652</td>
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<td><a href="mailto:jenny.tryon@westarenergy.com">jenny.tryon@westarenergy.com</a></td>
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<tr>
<td>Audit Committee</td>
<td>Richard McMullen</td>
<td>Kansas Department of Transportation</td>
<td>(785) 296-5399</td>
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<td>Finance Committee</td>
<td>Angie Drake</td>
<td>FHLBank</td>
<td>(785) 218-4481</td>
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<td>Nominating Committee</td>
<td>Julie Pennington</td>
<td>Legislative Post Audit</td>
<td>(785) 296-5817</td>
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<tr>
<td>Social Media (Chapter Website and MMT Administrator)</td>
<td>Justin Stowe</td>
<td>LPA</td>
<td>(785)-296-7977</td>
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<tr>
<td>Academic Relations</td>
<td>Reza Espahbodi</td>
<td>Washburn University</td>
<td>(785) 670-1010</td>
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<td>Government Relations</td>
<td>Mary Hoover</td>
<td>DCF</td>
<td>(785) 296-2973</td>
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<tr>
<td>Newsletter</td>
<td>Crystal Perez</td>
<td>Capitol Federal</td>
<td>(785) 231-6359</td>
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<td>Hospitality</td>
<td>Brenda Kindle (Chair)</td>
<td>FHLBank</td>
<td>(785) 438-6152</td>
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<td>Lori Miller (badges)</td>
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<td><a href="mailto:lori.miller@capfed.com">lori.miller@capfed.com</a></td>
</tr>
<tr>
<td>Certificates</td>
<td>Tony Risinger</td>
<td>Westar Energy</td>
<td>(785) 575-1968</td>
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<td><a href="mailto:tony.risinger@westarenergy.com">tony.risinger@westarenergy.com</a></td>
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<tr>
<td>Membership Committee</td>
<td>Brenda Kindle</td>
<td>FHLBank</td>
<td>(785) 438-6152</td>
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<td><a href="mailto:brenda.kindle@fhltopeka.com">brenda.kindle@fhltopeka.com</a></td>
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## TOPEKA IIA 2017-2018 SCHEDULE AND LOCATIONS

<table>
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<tr>
<th>Date</th>
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| Tuesday, November 7, 2017 | Lunch Meeting (1 CPE)  
Mr. Jackie Williams  
Deputy Attorney General | KDOT     |
| Friday, November 17, 2017 | Fall Seminar  
John Gatto  
IT General Controls | KDOT     |
| Tuesday, December 5, 2017 | Lunch Meeting (1 CPE)  
Dr. Kuehl | FHLB    |
| Tuesday, January 9, 2018    | Lunch Meeting (1 CPE)  
Rebecca Collins Emotional Intelligence  
Bartlett and West | KDOT     |
| Tuesday, February 6, 2018    | Lunch Meeting (1 CPE) | Westar   |
| Tuesday, March 6, 2018      | Lunch Meeting (1 CPE)  
Protiviti  
Excel | Westar   |
| Tuesday, April 3, 2018      | Lunch Meeting (1 CPE)  
Jim Baird  
Security Targets | Cap Fed  |
| Thursday, April 12, 2018    | Spring Seminar  
John Hall | TBD      |
| Tuesday, May 1, 2018       | Lunch Meeting (2 CPE)  
Dr. Scofield  
Ethics | Westar   |

*Locations are subject to change*
3 Ways to Generate ‘Silver Linings’ From Regulatory Compliance Work

When finance leaders and their teams are in the thick of routine and complex regulatory compliance work, they can easily lose sight of the benefits their efforts can yield — beyond keeping the business compliant, of course. The most obvious silver lining is good governance — which, in turn, is good for the business.

But what about the accounting and finance function itself? Can it derive value from regulatory compliance work? Certainly. In fact, several financial executives interviewed for the latest Benchmarking the Accounting and Finance Function survey report from Robert Half and Financial Executives International (FEI) were quick to highlight how compliance initiatives have had a positive impact on their organizations.

For example, a senior director of finance and administration for a public manufacturing and distribution company said that having a strong internal control framework in place has helped his staff to increase efficiency. And a controller at an automotive dealership group said that well-established compliance processes help her finance team to “play offense instead of defense” because they can audit and review “red flag” issues before they become significant problems.

Meanwhile, in a separate survey from Protiviti that examined Sarbanes-Oxley Act (SOX) compliance trends, internal audit and finance leaders cited the following as the top two benefits their organization has achieved through its SOX compliance process: an improved internal control over financial reporting (ICFR) structure (70 percent) and enhanced understanding of control design and control operating effectiveness (65 percent). Fifty percent of respondents identified continuous improvement of business processes as a key benefit.

Best practices can lead to better outcomes

While compliance costs are holding steady at most U.S. businesses this year, according to the 2017 Benchmarking report, the compliance burden for many organizations is still rising. Sixty-one percent of U.S. financial leaders surveyed said they expect their firm’s compliance burden to increase over the next three years.

That outlook may change under the current U.S. administration, which has been taking steps to reduce regulatory compliance requirements for many companies. However, the nature of regulatory compliance work will still require businesses to commit significant time, budget and highly skilled resources to complete many critical tasks.

To effectively manage the costs and burden of compliance initiatives in any regulatory environment, finance leaders should consider applying strategies that are outlined in the Benchmarking report and employed by their peers. Here are ways that leading finance functions are ensuring they can realize silver linings from regulatory compliance work:

Embracing automation

While finance functions, in general, have not been early adopters of technologies like cloud computing, many of the executives surveyed for the Benchmarking report said their organizations are now looking to technology solutions to help reduce compliance costs.
Automated systems can be configured to produce essential reports that are ready to submit to regulatory bodies. That, in turn, reduces the workload for compliance teams. Automation also helps to streamline workflows, and reduce errors that manual processes can often introduce.

Another silver lining from automation is that it frees accounting and finance staff to focus on other priorities, like strategy, or to develop valuable new skill sets, like business analytics.

**Making compliance work a true team effort**
When there is too much incoming work for the firm’s core compliance team to handle, the risks of missing key deadlines and making costly mistakes runs high.

Training team members from other areas to help with regulatory compliance work is one way to alleviate the strain. For example, teaching employees how to produce reports in the format used by the compliance team can make things much easier for the compliance staff.

An additional silver lining: When staff have strong knowledge of the basics of a key compliance mandate that the business must adhere to, like SOX, they can help the organization to drive continuous improvement of business processes related to financial reporting.

**Engaging outside resources**
Bringing in compliance consultants is another strategy that many leading businesses use to take the pressure off their compliance teams, especially during busy reporting periods.

As an example, our company recently helped a financial services firm that was short-staffed across several of its locations and facing the possibility of not being able to execute its audit plan. It needed auditors with compliance and risk expertise, and we quickly assembled a team of consultants at the manager and senior levels with that knowledge. The silver lining for this firm? With the extra support, it kept its audit plan on track.

Without question, regulatory compliance work can be a tremendous burden for accounting and finance staff. However, by harnessing technology and streamlining processes, providing training, and securing expert resources when needed, finance leaders can help their teams to manage this work more effectively, and deliver even more value to the function — as well as the business.

*Protiviti is a Robert Half subsidiary.*

This article is provided courtesy of Robert Half Management Resources, the premier provider of senior-level accounting, finance and business systems professionals to supplement companies’ project and interim staffing needs. The company has more than 140 locations worldwide and offers online job search services at www.roberthalfmr.com. Follow our blog at blog.roberthalfmr.com.
TOPEKA CHAPTER IIA WORKSHOP  
Fall 2017  
IT General Controls

Registration Form – Due by November 13, 2017

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<th>Send completed registration form to:</th>
<th>Send payment to (make checks payable to IIA):</th>
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<tr>
<td>Marie Winter-Zima: <a href="mailto:mwinterzima@capfed.com">mwinterzima@capfed.com</a></td>
<td>Capitol Federal</td>
</tr>
<tr>
<td>Capitol Federal</td>
<td>Attn: Joe Beasley</td>
</tr>
<tr>
<td>700 S Kansas Ave</td>
<td>700 S Kansas Ave</td>
</tr>
<tr>
<td>Topeka, KS 66603-3818</td>
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Company Name: ____________________________________________________________

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<th>Attendee Name</th>
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**Refund Policy:**
Cancellations made prior to the event registration deadline will be refunded at 100% of the event fee (or would not be billed if the attendee did not pay in advance).
Cancellations made after the event registration deadline will not be refunded (or would be billed at 100% of the event fee if the attendee did not pay in advance).
Events include, but are not limited to Topeka Chapter IIA monthly meetings, luncheons, and seminars.