



The Institute of
Internal Auditors
Springfield

Springfield Audit Trails

September 2024

Message from the President

Kayla Routh

Hello Springfield Chapter Members,

I am so privileged to be serving as this year's Chapter President. Thank you to all the members for your vote of confidence, and I am sure we can have another successful year with your support. A special thank you to our outgoing President, Staceyann Cabey-Kaufmann, for her service to our Chapter.

Our Programming Officer, Alex Deal, and I have been working hard to bring new and exciting topics and speakers to Springfield for this upcoming Chapter year. As we work towards this goal, any feedback you have on topics or speakers you would like to see can be sent to Alex at the following Chapter email address, Chapter145events@iiachaptercommunications.org.

We have some new faces on the Board this year. Alex Deal is returning after a few years away as the Programming Officer. Additionally, Kristen Drainer joined as Secretary at the end of the last year and has done a great job at keeping us on track. Lastly, we had one new Board member join, which is Charla Bond-Jones. Without volunteers, this organization could not function. For more information on volunteering, see page [6](#).

We would love to hear from YOU. This newsletter is as much for us to inform you of what is going on with the Chapter as it is for us to showcase our members. If you have a story you would like published in the newsletter, please send it to me at Chapter145President@iiachaptercommunications.org. I can't wait to see what this Chapter year brings and how we can bring the most value to you, our members!

Kayla Routh
President

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Training

September Training

Alex Deal

Join us on Tuesday, September 24th from 8:30 am to 12:00 pm and Wednesday, September 25th from 8:00 am to 12:00 pm, as we kick off our training year with two presentations from Neil Frieser.

About the Speaker: Neil Frieser



Neil has over 30 years of experience in internal/external audit, corporate governance, and financial leadership. He spent 15 years as the Chief Audit Executive for Frontier Communications Corporation (FTR), which is a Fortune 500 public company that offers broadband, voice, video, wireless internet data access, data security solutions, specialized bundles for residential customers, small businesses and home offices, and advanced communications for medium and large businesses in 25 states.

Previously he was Vice President, Internal Audit for Warner Music and was responsible for managing Viacom's global Sarbanes Oxley compliance function. Earlier in his career, he was Chief Financial Officer for Simon & Schuster's medical publishing operations and was an audit and transaction support manager with PricewaterhouseCoopers where he assisted clients on dozens of transactions.

Neil has presented at numerous national and local conferences and has authored multiple articles on corporate governance and compliance. He co-chaired an annual conference focused on cybersecurity collaboration between the government and the private sector from 2016 to 2019. He previously served as Vice Chairman of the North American Board of the Institute of Internal Auditors (IIA) and as a member of the Global Board of the IIA, President of the Westchester/Fairfield IIA chapter and in regional IIA leadership roles. He was a Board member of the Boys & Girls Club of Stamford from 2014 to 2022 and served as Board President from 2017-2019.

September 24: Transformational Audit Report Writing

On Tuesday, September 24th, from 8:30 am to 12:00 pm, we will hear from Neil about Transformational Audit Report Writing where we will cover a variety of topics such as understanding report issuance challenges, navigating a transformational initiative, maximizing the effectiveness of audit observations and ensuring the appropriateness of management action plan development.

September 25: Upgrading Your Soft Skills

On Wednesday, September 25th, from 8:00 am to 12:00 pm, we will focus on soft skills such as managing, coaching, mentoring, project management skills, communication and presentation skills, and career acceleration moves.

Cancellations should be made prior to the start of training.

NOTE: CPE Certificates will not be issued until payment is received

Questions? Email - Chapter Secretary Chapter145support@iiachaptercommunications.org

Register for the training here

Virtual Training

Transformational Audit Report Writing

September 24

8:30 AM – 12:00 PM

Upgrading Your Soft Skills

September 25

8:00 AM – 12:00 PM

You may pay with a credit card.

Make Checks Payable to: The Institute of Internal Auditors–Springfield (FEIN 37-1088763)

Mail Checks to: Springfield Chapter Institute of Internal Auditors

P.O. Box 332, Rochester, IL 62563

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Other Regional Training

In an effort to help our IIA District, the Chapters are working together to cross-promote each other's events. We have received invites for 2 trainings from the Chicago Chapter and a 4-part series being held by the Madison Chapter. These trainings are not part of our regularly scheduled training and are included as an addition to our regular program. We acknowledge that some of these events may not be relevant to our membership as we are a government-focused chapter. Please see below for details on these trainings.

IIA Chicago Chapter

Ethical Issues Auditors Face – What to Consider and Effective Communication from the Kickoff to the Report – and Enabling Positive Change

Date: September 25, 2024

Time: 12:30 pm – 4:30 pm

Location: Virtual

Speaker: Patricia Miller, CPA, CIA, CISA, QIAL, CRMA

CPE: 4 (Behavioral Ethics 2.0/Auditing 2.0)

Cost: \$50.00 Members / \$75.00 Non-Members

[Click here](#) to register

Learning Objectives:

By attending this training, attendees will:

- Understand change to Global Internal Audit Standards, including new Domain II – Ethics and Professionalism
- Discuss ethical expectations
- Learn ethical considerations for auditors and decision criteria
- Think strategically about communications
- Learn skills to overcome report challenges
- Get insights as an auditor for positive change

Mastering the Art of Negotiating and Defeating Imposter Syndrome

Date October 29, 2024

Time: 12:30 pm – 4:30 pm

Location: Virtual

Speaker: Lawrence D. Eichen, Esq.

CPE: 4

Cost: \$59.00 Members / \$129.00 Non-members

Early Bird Pricing: \$49 Members / \$119 Non-Members (if registered by October 15th)

[Click here](#) to register

Learning Objectives:

Mastering the Art of Negotiating

- Understand how to commit to positions, yet be mindful of compromise
- Demonstrate confidence in presenting their position
- Negotiate courageously despite fear and doubt
- Handle objections calmly
- Use compassion to overcome challenging personalities

Defeating Imposter Syndrome

- Understand common symptoms of Imposter Syndrome
- Identify the 5 personality types of "Imposter"
- Use proven strategies to defeat Imposter Syndrome
- Embrace challenges with greater confidence and resilience
- Obtain the rewards of defeating imposter syndrome

IIA Madison Chapter

Mastering the Machine: A Series on Artificial Intelligence for Internal Auditors

This is a 4-part series during the month of September. You can attend all 4, or individual sessions. All sessions are from 10am – 12pm (Central time) on the designated dates. There is a discount if you register for the entire series that is the equivalent of registering for three sessions and getting the fourth free. You can register for the full series if you are able to attend three or four, or you can register for individual sessions if you plan to attend one or two.

Series Summary:

- **AI 101 for Internal Auditor (9/5/24)**

- The fundamentals of AI, including history, key concepts, and milestones
- The essentials of AI technologies, including machine learning, neural networks, and large language models
- AI applications and use cases

Click [here](#) to learn more about this session and to register for only this session on 9/5 or for the entire series at a discounted rate.

- **Auditing AI: The Basics (9/12/24)**

- The fundamentals of AI technologies and options
- How to effectively evaluate AI systems and technologies
- Considerations for internal auditors and AI best practices, including for risk management and governance

Click [here](#) to learn more about this session and to register for only this session on 9/12.

- **Using AI to Audit Smarter, not Harder! (9/19/24)**

- A brief overview of AI and key concepts
- How AI technologies can be applied to streamline audit processes and enhance risk assessments
- Practical methods for integrating AI tools into all phases of the audit

Click [here](#) to learn more about this session and to register for only this session on 9/19.

- **Beyond Binary: Ethics and AI (9/23/24)**

- A brief overview of AI and key concepts
- Ethical Issues in AI and ethical challenges posed by AI technologies, including bias, fairness, interpretability, and accountability
- Societal impact of AI technologies, including their implications for employment, privacy, security, and human rights

Click [here](#) to learn more about this session and to register for only this session on 9/23.

Presenter: Elizabeth McDowell

Elizabeth McDowell, CPA, CIA has nearly 20 years of audit experience and is the founder of Audit Forward, an innovative internal audit consulting and training firm. Elizabeth is passionate about advancing and advocating for the internal audit profession and was recently recognized as one of the 2023 Internal Audit Beacons by Richard Chambers. Elizabeth makes auditing and training fun (no, really!) with the help of her mascot, Audie the Internal Otteror. In addition to training and consulting, Elizabeth is an adjunct Professor of Accounting at Front Range Community College.

Leadership Academy

Kayla Routh

I was able to attend Leadership Academy in the spring which is held at Disney World. This experience was unique as I was able to network with different individuals in Chapters across the United States and was able to learn more about the IIA as a whole. The first day of Leadership has Roll Call, which is where each region of the organization gets to dress up and showcase themselves. This year's theme was "Internal Audit Goes Hollywood", so each region was assigned a genre of movies. The Midwest was given Science Fiction and Star Wars, so I decided to wear my space buns and a Star Wars shirt. Other regions got very into it and made videos, dances, and other fun things. We had everything from *Mission Impossible*, *Ricky Bobby* reenactments, and *Alice in Wonderland* characters. (see photo to the right)



Being able to connect with some new people in our region, who were part of an Arkansas Chapter (pictured below – Taylor and Garrett), and discussing our Chapters was an invaluable experience. We were able to share ideas on providing value to our membership and best practices in running our respective Chapters. I look forward to implementing some of the ideas discussed with our Chapter this year.



Another focus of the conference was "Onella", which is a goal of Headquarters to have Chapters strive to give consistent membership experiences across the broader IIA organization. If you have any feedback on your membership or questions for the Chapter, please reach out to me at Chapter145President@iiachaptercommunications.org. We are trying to ensure our members are heard and your experience is a positive one.

If you would like the opportunity to travel to attend Leadership Academy in the future to network with other people in our industry and learn about the IIA, consider volunteering as a Chapter Officer. We would love to have you. For more information on volunteering, see the next article.

Become an IIA Volunteer

Volunteers help to maintain the Chapter and keep services available for members. There are many ways you can get involved with the IIA. Whether you are an experienced leader or just entering the field of internal auditing, there is a place for you at the IIA. If you are interested in volunteering on a large or small scale, please email the Springfield IIA Chapter at Chapter145@iiachaptercommunications.org. We would love to get you any information you might want on Officer or Governor roles. It is never too early to look ahead and consider running for a position in the next Chapter Year.



(Source: Google Images)

HQ News & Events

Did you know? You can find out events and news from the IIA by going to www.theiia.org. Additionally, as part of your membership you can access exclusive webinars and articles on the site. See below for exciting training opportunities that Headquarters is offering.

2024 Enterprise Risk Management Virtual Conference (September 12, 2024):

This one-day virtual conference will focus on multiple areas of risk affecting today's organizations and governmental agencies. Auditors and others attending this event will gain the latest insight on how to approach internal audit activities related to the assessments of risk and risk management practices. For more information, visit the website at: [2024 Risk Management Virtual Conference](#)

2024 IGNITE Conference (October 21-23, 2024, Las Vegas, NV):

The IGNITE conference is a brand-new offering that will deliver an interactive experience for emerging leaders and auditors who are interested in gaining hands-on tools that are necessary for the future of internal audit. The conference will include deeper networking & engagement opportunities, dynamic keynote speakers, and deep dives into new and emerging topics. For more information, visit the website at: [IGNITE Emerging Leaders Conference | Global Internal Audit Conference | The IIA](#)

2024 Cybersecurity Virtual Conference (October 30, 2024):

The 2024 Cybersecurity Virtual Conference is a one-day conference specifically designed to ensure participants stay not only abreast, but ahead of critical issues in data protection, data privacy and cybersecurity to become more responsive in their work. For more information, visit the website at: [2024 Cybersecurity Virtual Conference](#)

2024 AuditSphere: A Virtual Conference for Small Audit Teams (December 5, 2024):

This event will provide the small shop auditor with additional guidance and expertise to be able to manage the unique relationships and challenges faced by those with small staff yet increasing board expectation. For more information, visit the website at: [2024 AuditSphere Virtual Conference](#).

The IIA's Annual Member Satisfaction Survey is Now Open:

The survey is live from August 27th to September 12th and includes questions about chapter satisfaction. Please follow the link below to provide feedback on your membership. By responding to this survey, you can give the Chapter valuable feedback on how we can improve your experience as a member.

<https://iiasurvey.theiia.org/flashsurvey/se/0B87D7845D3A7335>

With Sympathy

The Chapter would like to send our deepest condolences to the family of former Auditor General William (Bill) Holland, who passed away on August 10, 2024, at the age of 72. Mr. Holland had the pleasure of being the State of Illinois's longest serving Auditor General. He served as the Auditor General for 23 years, from 1992 to 2015. In 2022, he was inducted into the National Association of State Auditors, Comptrollers and Treasurers (NASACT) Hall of Fame.

Mr. Holland has spoken at many of the Chapter's training events, dinners, and ceremonies. The Chapter also had the honor of presenting Mr. Holland with the Distinguished Service Award at the 30th Anniversary Celebration dinner back in 2008 (see photo). We extend our thanks to Mr. Holland for his 41 years of public service and support of our Chapter. May he rest peacefully.



Memberships Dues Reminder

The Chapter would like to remind everyone that all group membership fees need to be sent to IIA Headquarters. Please **DO NOT** send fees to the local Springfield Chapter. The correct address for membership invoices is 1035 Greenwood Blvd., Suite 401, Lake Mary, FL 62746-5402. Please make sure whoever is processing the payment for you double checks the vendor as many payments are mistakenly made to the Springfield Chapter throughout the year. We appreciate everyone's help with this matter.

From the Editor

Dani Berrien
dani.berrien@ilaq.gov

We're back, Springfield Audit Trails!

Welcome back to all our members for another exciting year! I cannot wait to hear what topics are going to be discussed for training this year. As much as I love topics on fraud and forensics, this year I am slightly more interested in hearing a training course on the topics of ethics and integrity.

A few weeks back I was sitting around my family having a discussion. The topic being discussed was making an honest living. I believe in some ways, we have become numb to the cheating, lying, and stealing that go on in everyday life. Just think about it. It's easier to call the bank and tell them you're disputing a charge than to find the person and hold them accountable for credit card fraud. It's easier for a corporation to write off theft as a loss than to have management chase a person down for the merchandise they stole. It's easier for an employee to not report a missing tax withholding on their check when it goes unnoticed and uncorrected. Yes, these things are easier, but what would it take to hold people accountable? What would it take for individuals to make honest decisions with the upmost integrity?

Asking these questions in my personal life has driven me to be a better auditor in my work life. Lately when speaking with others, I've been paying closer attention to their work ethic and listening deeper to their morals. In these conversations, I always keep my values close and share them with others when warranted. I do this in the hopes that good integrity is contagious.

I challenge us as auditors to lead by example and be the change we want to see. When we hold ourselves to a high standard, others may feel compelled to hold themselves to those same standards. We may not be able to change the world, but we can change ourselves in hopes that the world will follow suit.

This Month in Chapter History - September

2019 Chapter President: **Nikki Lanier**, CPA

- No activities/trainings held.

2014 Chapter President: **Tracy Allen**, CPA, CISA

- **Training.** The Chapter held a full day training session titled “*Lie Detection, Pinocchio Effect, and Ethics,*” presented by Nejolla Korris
- **Member News.**
 - **Jay Wagner** became the Chief Internal Auditor for the Office of the Attorney General.
 - **Leighann Manning** became the Chief Internal Auditor for the Department of Veterans’ Affairs.

2009 Chapter President: **Larry Stone**, CISA, CCP, CRPC

- **Training.** The Chapter planned to host a two-day training seminar titled “*IS Auditing: The First Step*” by Gordon Smith, President and CEO of Canaudit, Inc. which, unfortunately, needed to be cancelled.
- **Prize Winners.** There were three door prize winners at the seminar: **Jim Dickey**, **Gary Styzens**, and **Cindy Thomas**.
- **Member Profile.** This month’s member profile was done on **Staci Crane**, CISA, who was serving as Chapter Secretary.

2004 Chapter President: **Stephen Kirk**, CIA, CGAP

- **Training.** The Chapter hosted a full day seminar titled “*Report Writing*” which was presented by Jim Roth, Ph.D., CIA and founder of AuditTrends, LLC. As an extension to the IIA’s slogan of “*Progress through Sharing*” the Springfield Chapter President’s theme for the new chapter year was “*No Auditor Left Behind.*”
- **CIA Exam.** **Candice Long**, Office of the Auditor General and **Aaron Jennings**, Horace Mann Co., passed the CIA Exam.

1999 Chapter President: **Rusti Cummings**, CPA

- **Training.** The Chapter held a meeting at the Northfield Center. The afternoon session was a panel discussion titled “*New Directions in Internal Auditing.*” Robert S. McCabe, Senior Vice President of Professional Resources International gave the after-dinner presentation on “*Risk of Employee Turnover.*”
- **Member News.** The following members were recognized:
 - **Tom Fitzgerald** passed the CIA exam and was promoted to audit supervisor at the Department of Human Services.
 - **Ric Rowe** became the Chief Internal Auditor for the Department of Revenue.
 - **Brenda Vost** and **Barb Minton** passed the Certified Information Systems Security Professionals (CISSP) exam.
- **Awards.** In celebrating the CIA designation’s 25th Anniversary, the following CIAs who attended the meeting were recognized with a 25th Anniversary pin: **Mary Fritz**, **Merlyn Hepperly**, **Mark Krell**, **Deanna Marvin**, **Debra Miller**, **Barb Minton**, **Lesslie Morgan**, **John Nosari**, **Ray Piiparinen**, **Mark Schwab**, and **Harry Thurau**.

1994 Chapter President: **Nancy Hilger**, CPA

- **Training.** The meeting was held at the Best Western Springfield East. The afternoon seminar topic was “*Business Process Reengineering*” presented by Phil Adams and Ken Porello of Deloitte & Touche. The after-dinner speaker was Tom Casteel, Division Vice President of New Business Service at Franklin Life, who spoke on “*Reengineering in Practice at the Franklin.*”
- **Member News.** **John Nosari** was elected to the IIA Springfield Board of Governors.
- **Events.** The Chapter sponsored a Golf Outing on August 25, 1994. **Brad Hammond** brought a group of “professional” golfers with him and won the event with 10 under par by outplaying a group from the Auditor General’s Office.

1989 Chapter President: **Nita Wilson**

- **Training.** This month’s meeting was held at the Sheraton. The afternoon seminar was “*What’s Next: Internal Auditing Opportunities.*” The after-dinner speaker was James B. Hanson, Ph.D., MBA, Chief Executive Officer, J. Burke Hanson & Associates who spoke on “*Power Reporting in the Traditional Audit Function.*”

2024-2025 PROGRAM SCHEDULE

Springfield Chapter of the Institute of Internal Auditors

September 24 8:30 AM – 12:00 PM	Neil Frieser Transformational Audit Report Writing (3.5 hours)	Register here	Members \$55 Non-Members \$110
September 25 8:00 AM – 12:00 PM	Neil Frieser Upgrading Your Soft Skills (4 hours)	Register here	Members \$60 Non-Members \$120
October 22-23 8:30 AM – 4:30 PM	Various (in person) SIAAB Illinois Government Auditing Conference		Members \$125 Non-Members \$150
October 24 1:00 PM – 4:30 PM	Kelly Paxton (in person) Fraud and Pop Culture (4 hours)		Members \$70 Non-Members \$140

You may pay with a credit card.

Cancellations should be made prior to the start of training.

Meetings are currently being held remotely for the 2024-2025 Program Year unless otherwise noted.

Note: CPE Certificates will not be issued until payment is received

Chapter Mailing Address Springfield Chapter Institute of Internal Auditors
P.O. Box 332
Rochester, IL 62563

Email - Chapter Secretary Chapter145support@iiachaptercommunications.org

Chapter Officials 2024-25 (June 1, 2024 – May 31, 2025)

Officers

President

Administration
Audit
Nominating Committee

First Vice President

Programs and Seminars
Certifications Program
Nominating Committee

Second Vice President

Academic Relations
Memberships

Secretary

Seminar Registration
Directory, Distribution, PR
Newsletter

1st Treasurer

2nd Treasurer

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Leighann Manning, CIA, CGAP, CFE

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Kristen Drainer

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Governors

2022-2025 Satu Allen, MS, CISA
Tassi Maton, CPA, CIA
Casey Evans

2023-2026 Angie Bartlett, CPA, CIA
Butch Stilwell
Candice Long
David Brink

2024-2027 Nick Barnard
Charla Bond-Jones
Jackie Hohn
Nikki Lanier, CPA

Past President Katrina Woodcock, CPA
Staceyann Cabey-Kaufmann

Other Volunteers

Newsletter

Dani Berrien

Financial Statements Reviewer

Spokane Washington IIA Chapter