

SAN JOSE, SAN FRANCISCO, NOR-CAL EAST BAY
Chapters of the
Institute of Internal Auditors
DISTRICT 2, WESTERN SOUTH REGION

PRESENT

AUDITORS' CONFERENCE 2002

“Enhancing Audit Performance and Productivity”

Presentations On:

- **Audit and Risk Management**
 - *Ethical Management*
 - *Managing Successfully*
 - *Improving Customer Service*
 - *Solid Realistic Ongoing Verifiable Training*
 - *Risk Management Consulting*
- **Auditing Tools**
 - *Forensic Data Analysis Techniques*
 - *Networking - People and Resources*
 - *Habits of Highly Efficient Auditors*
- **Automating the Audit Department**
 - *Data Warehousing*

AUGUST 8 – 9, 2002

15 CPEs

**Crowne Plaza Hotel Union Square
SAN FRANCISCO, CALIFORNIA**

Thursday, August 8, 2002

8:00 - 8:45 Registration/Continental Breakfast

8:45 – 12:15 ***Fourteen Habits of Highly Efficient Auditors***

J. Michael Inzina, CPA, CGFM

This course presents the author's best efficiency recommendations based on 25 years of auditing and consulting experience with local and regional firms, and state audit organizations. You'll experience a light and often entertaining look at what auditors do, (and why), focusing on the importance and mechanics of planning and risk assessment.

12:30 – 2:00 Lunch and Speaker

New Internal Audit Paradigm: Risk Management Consulting

Gerald Silva, CPA

2:00 – 2:20 Break

2:20 – 4:00 BREAKOUT SESSIONS

(A)

Managing Successfully

David R. Hancox, CIA, CGFM

During this session, David will discuss how to manage your operations effectively, provide reasonable assurance that the programs meet established goals and objectives, and decrease the risks to the organization.

(B)

Data Warehousing: Automating the Internal Audit Department

Michael Awad, CPA

Data Warehousing can be a powerful tool to save time on administrative tasks, streamline workpaper preparation and review, improve audit efficiency and quality, enhance audit reporting, identify trends, train new staff, and track the experience and skills of each auditor. Come learn what a data warehouse is and how it can be applied to improve the efficiency of managing an internal audit department.

5:30 – 6:30 Reception/No-Host Bar

6:30 – 8:00 Dinner and Speaker

Customer Service - The 5 W's and the 2 H's

Who, What, Why, When, Where, How, and How Often

Gordon Graham

As we enter this 21st century, the public sector is being scrutinized like never before. Customer service has always been important, but now the survival of any public sector organization is dependent on the maximization of this concept on each and every contact made. "Who, What, Why, When, Where, How and How Often" is a systematic approach to this important topic. Attendees will receive a copy of **GRECS**, Graham's Rules For Enhancing Customer Service.

Friday, August 9, 2002

8:00 - 8:45 Registration/Continental Breakfast

8:45 – 10:15 ***Does It Pay to Be an Ethical Manager?***

Arthur L. Berkowitz, CPA

A practical look at the costs and benefits of doing the right thing. Ethical decision making is not just a monetary bottom line, it has costs and benefits far beyond this quarter's profit and loss.

10:15 – 10:30 Break

10:30-12:00 BREAKOUT SESSIONS

(C)

Learning to Network People and Resources: Schmooze or You Loose
Cindy Chernow

This session will focus on eliminating roadblocks and fears to effective networking; manage yourself and others as a resource; plan a networking strategy; create visibility through participation; develop a personal networking style approach; and, create links to enhance your future personal and business success.

or

(D)

Auditing Tools – Forensic Data Analysis Techniques
Roslyn Watrobski, CIA, CGAP

This session will demonstrate ACL techniques used to identify shell companies, duplicate payments, travel fraud, high-level executive abuse of power and a serious compromise of an executive's ethics uncovered using Benford's Law.

12:00 – 1:45 Lunch and Speaker -

“Lessons Learned from Enron”

Presenters invited from the Big CPA Firms, Brokerage Firms, and Arthur Berkowitz, CPA

2:00 – 4:00 ***How to Develop an SROVT Program For Any Organization***
Solid Realistic Ongoing Verifiable Training (SROVT)

Gordon Graham

A Risk Management presentation on how to recognize the high risk, low frequency tasks in any organization, and how to train appropriately to maximize the organization's performance.

BIOGRAPHY

Michael Awad, CPA is President of IAD Solutions and creator of the Audit Leverage software. He began his career as an external auditor with Deloitte & Touche in Philadelphia before moving into internal auditing for a Fortune-500 manufacturer. Subsequently, he became the Controller of a not-for-profit organization with operations in 20 countries. Mike created the original version of the Audit Leverage software in 1996. Visit his web site at: www.AuditLeverage.com

Arthur L. Berkowitz, CPA has over 25 years in public accounting and six years in private industry. Four of the years in public accounting were with the largest CPA firm ever to file bankruptcy due to unethical behavior – Laventhol & Horwath. Art has written many articles for the accounting profession and is a frequent lecturer. Visit his web site at: www.artberkowitz.com

Cindy Chernow is a Professional Speaker, Career Consultant, and Trainer. As an experienced speaker, she provides corporate training and professional development on a broad range of topics including Presentation Skills, Communications, Networking, Time Management and Creativity. Visit her web site at: www.chernowconsulting.com

Gordon Graham is a 28-year veteran of California Law Enforcement. His education as a risk manager and experience as a practicing attorney, coupled with his extensive background in law enforcement, have allowed him to rapidly become recognized internationally as a dynamic presenter with multiple areas of expertise. Visit his web site at: www.gordongraham.com

David R. Hancox, CIA, CGFM is Director of Audits and State Expenditures for the New York State Comptroller's Office. He is the co-author of three auditing texts - two are published by Sheshunoff Information Services. David is listed in Marquis's Who's Who in the World, Who's Who in America and Who's Who in the East. Visit his web site at: <http://home.nycap.rr.com/dhancox/siena/drhbio.htm>

J. Michael Inzina, CPA, CGFM is the founder of Audit Litigation, Training and Efficiency Consulting, Inc. (ALTEC). Michael has over 25 years of public accounting experience in local/regional firms, including 14 years as managing partner. He has experience in financial institutions, cooperatives, governments, and small business. He received a Special Recognition Award from the Society of Louisiana CPA's Board of Directors for his contribution to continuing education in 1994, and received AGA's National Education and Training Award in 2001. Visit his web site at: www.altec-usa.com

Gerald Silva, CPA, CGFM is the City Auditor for the City of San Jose. His prior experience includes State Budget Director and Director of Program Auditing for the State of Arizona, Audit Manager with the California Auditor General's Office, and the international accounting firm of Ernst & Whinney. Jerry is a Past-President of the National Association of Local Government Auditors, has served on numerous national committees for the Association of Government Accountants, is a former Chairman of the Western Intergovernmental Audit Forum, and former AICPA Government Committee member. Visit his web site at: www.ci.san-jose.ca.us/auditor/www.shtml

Roslyn Watrobski, CIA, CGAP is an Auditor in Charge for the Bureau of State Expenditures in the Forensic Audit Support Team, New York State Comptroller. She leads audits to identify fraud, waste and abuse in state funds for New York State operations. She is the President of the Albany Chapter of the Institute of Internal Auditors

WHO SHOULD ATTEND:

- Auditors (Financial, Operational, Compliance)
Directors/Supervisors/Managers/Staff
- CPAs, Controllers, Consultants
- Quality Assurance, Information Systems, and Security professionals

LOGISTICS:

Continental Breakfast (2), Lunch (2), and Reception with Dinner (Thursday evening) are included in the registration. Guests may attend. (\$65 fee includes Continental Breakfasts)

Business Casual Attire

Crowne Plaza Hotel Union Square, 480 Sutter Street, San Francisco, CA
Phone: (415) 398-8900 / Van and Taxi transportation available from the SFO or Oakland airports. **Hotel Rate of \$159.00- per night, IIA Audit Managers' Conference 2002.**

Hotel Reservations must be made by 6/28/02 to guarantee the rate.

Hotel Parking \$31.00* per 24hrs *(Price Subject to Change).

Directions to Crowne Plaza Hotel Union Square

From SFO Airport (101 North)

- Follow 101 North to 80 East (Downtown/Bay Bridge)
- Take 4th Street Exit (last exit for San Francisco)
- Stay in Center Lane and veer left, Onto Bryant Street
- Turn left onto Third Street, cross Market Street onto Kearny Street
- Turn left onto Sutter Street (480 Sutter Street) (Parking lot around corner – Powell Street)

From Bay Bridge (80 West)

- Take Fremont Exit, Follow Fremont Street across Market Street, onto Front Street, Turn left onto Pine Street, Turn left onto Montgomery Street, Turn right on Sutter Street

From Golden Gate Bridge (101 South)

- Follow Lombard Street, Turn Right onto Van Ness Avenue, Turn Left onto Bush Street
- Turn Right onto Grant Avenue

Questions/Concerns: **Martin J. Krone, Conference Coordinator**, (408) 265-7835
San Jose Chapter –Institute of Internal Auditors (www.sjiia.org)

REGISTRATION FORM

REGISTRATION: \$475.00 IIA MEMBERS \$560.00 NON MEMBERS
EARLY REGISTRATION \$390.00 IIA MEMBERS \$475.00 NON MEMBERS

PAYMENT OF EARLY REGISTRATION MUST BE RECEIVED BY JUNE 10, 2002

IIA, SAN JOSE CHAPTER
ID # 94-2377576; CALIF. CORP. # D 1230732

REGISTRATION FORM: MAIL TO: (MAKE CHECK PAYABLE TO IIA-SJ)
SAN JOSE CHAPTER – IIA, P.O. BOX 90025, SAN JOSE, CA 95109-3025

NAME: _____ WORK PHONE: _____
COMPANY: _____ HOME PHONE: _____
MAILING ADDRESS: _____

E-MAIL ADDRESS _____

ADDITIONAL CHARGE FOR GUEST ATTENDING DINNER & BREAKFAST(S) \$65.00

GUEST(S) NAME ATTENDING: _____

ATTENDING SEMINAR: _____ **AMOUNT: \$** _____

#GUEST ATTENDING: _____ **AMOUNT: \$** _____

TOTAL ENCLOSED: \$ _____

ATTENDING SESSION: A OR B ON THURSDAY, AUGUST 8
PLEASE CIRCLE: C OR D ON FRIDAY, AUGUST 9

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