



## Final Agenda

### “Standards, Strategies and Tools for the 21st Century Auditor”

**Monday, October 30**

**Location: Prince Jonah Ballroom**

7:15 - 8:00      **Registration and Breakfast**

8:00 – 8:10      **Introductions and Welcome**

*Tonia Lediju, Chair, Western Intergovernmental Audit Forum; Director of City Audits, City Services Auditor Division, Office of the Controller, City and County of San Francisco*

8:10 – 8:50      **Welcome and Opening Remarks**

**Session 1, Key Note Session: Sustaining Paradise: Auditing on an Island**

**Les Kondo, State Auditor of Hawaii**

**Learning objectives:** Perhaps more than any other state, Hawai'i's uniqueness is its most valuable asset: the Islands' beaches, forests, mountains, and national parks are the main attraction for the visitors that fuel the economy, and the State's agricultural lands are vital to the burgeoning diversified agriculture industry. Its rich cultural history provides a unique perspective to local, national, and international events, and its geographic location makes it an ideal testbed for clean energy solutions and innovation. At the same time, this environment is fragile—it is home to about one-third of all federally listed endangered species in the United States, is vulnerable to invasive plant and animal species that could threaten our remote home's unique biodiversity, and its isolation is a persistent challenge. This presentation will explore the value and importance of ensuring accountability, integrity, innovation, and effectiveness in government to preserve and protect our unique environment.

**Moderator: Tonia Lediju, Chair, Western Intergovernmental Audit Forum; Director of City Audits, City Services Auditor Division, Office of the Controller, City and County of San Francisco**

8:50 – 9:00      **Networking and Break**

9:00 – 10:15      **Session 2: Effective and Innovative Audit Communication and Reporting;  
Engaging Our Stakeholders**

**Chad Blair, Honolulu Civil Beat**

**Keoki Kerr, Hawai'i State Teachers Association; Former Investigative Reporter,  
Hawai'i News Now**

**Margarita Fernández, Chief of Public Affairs at California State Auditor**



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**Learning objectives:** How do you best communicate the message of your audit report? This session will explore some tools that may help you better convey your audit message and maximize impact. Participants will:

- Learn to make your dull/dense audit results more appealing, easily accessible, or easier to understand through the use of techniques for writing effective, impactful audit reports. Techniques include selecting an appropriate report format and developing key messages for your audience
- Learn to use graphics to convey your results effectively – a picture is worth a thousand words and can sometimes convey your point more efficiently.
- Learn how to effectively engage stakeholders using various tools and techniques effective ways to use the media, press releases, social media, technology, infographics and visual aids.
- Learn from industry experts how to better engage audience (panel discussion: reporter, editor, communications persons)

**Moderator: Jennifer Catanzariti, Graphics and Communications, Office of the Auditor, State of Hawai'i**

10:15 – 10:30

#### Networking and Break

10:30 – 11:45

#### Session 3: High Risk Areas at the Federal, State and Local Levels of Government

**Bill Reinsberg, Assistant Director, Strategic Issues, U.S. Government Accountability Office**

**Linus Li, Audit Principal, California State Auditor**

**Learning Objectives:** In this session, participants will learn how governmental audit agencies are identifying and monitoring high risk programs. These include:

- Federal Level: Learn about how GAO identifies, monitors, and sometimes removes programs from its high-risk program.
- State Level: Learn about California's state high-risk program which is authorized in state law. This segment will address the State Auditor's authority for the program and the steps taken to determine its high-risk programs and functions. These include those particularly vulnerable to fraud, waste, abuse, and mismanagement, as well as those of particular interest to the residents of the State and those that have potentially significant effects on public health, safety, and economic well-being.
- Local Level: Learn about California's new local high-risk program which is authorized in state law. Learn about the high risk local government audit process which includes identifying high-risk local government agencies, performing audits of high-risk local government agencies, public reporting of the results of audits, and following up to determine whether appropriate corrective action has been taken regarding recommendations made.

**Moderator: Margarita Fernández, Chief of Public Affairs, California State Auditor**

11:45 – 1:00

#### Lunch (Prince David)



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1:00 – 1:50 **Session 4: Tools and Techniques for Improving Team Dynamics**

**David Sheppard**, Inspector General, Denali Commission; Regional Inspector General, U.S. Department of Commerce

**Learning Objectives:** Participants will learn about strategies to build and participate on high performing teams. In this session, we will discuss the characteristics needed to create and lead well-integrated teams where individuals are motivated to contribute at their highest potential, qualities of effective team leadership, and techniques leaders and members can use to raise the probability of success and impact. Participants will learn about effective communication with peers, subordinates, managers, and with those that we audit for essential for successful outcomes.

**Moderator: Tonia Lediju**, *Director of City Audits, City Services Auditor Division, Office of the Controller, City and County of San Francisco*

1:50 – 2:00 **Networking and Break**

2:00 – 3:00 **Session 5: BREAKOUT SESSIONS**

**Session 5A: Building Relationships**

**Facilitator: Mark de la Rosa**, Deputy Director of City Audits; Office of the Controller, City and County of San Francisco

**Learning Objectives:** Building relationships with audit stakeholders helps audit organizations meet and achieve their organizational strategies, goals, and commitments. Having a structured and robust approach for communicating with these stakeholders are critical in gaining a thoughtful understanding of stakeholders' expectations, organizational culture, operations, and transactions, and developing and maintaining auditee cooperation and support throughout the audit engagement and beyond. This roundtable session will: explore examples of how various organizations have implemented stakeholder management strategies in building sustainable and effective relationships; provide practical tips and techniques for achieving successful and collaborative stakeholder relationships and communication, while maintaining auditor independence and objectivity; and discuss challenges of relationship building and strategies for how to overcome them.

**Session 5B: Open Discussion Forum**

**Facilitator: Bonnie Hall**, Assistant Director, U.S. Government Accountability Office

**Learning Objectives:** This session is aimed at discussing topics of relevance to the participants in the room. Structured like many of the past traditional forum breakout sessions, this open forum would explore issues that participants want to discuss as it relates to the theme of “Standards, Strategies and Tools for the 21<sup>st</sup> Century Auditor.” Participants can also share additional issues and challenges at this session, offer information and insight, and exchange relevant experiences.



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3:00 – 3:10

#### Networking and Break

3:10 – 4:00

#### Session 6: Evaluating Audit Performance

**Drummond Kahn**, Instructor, USA Graduate School

**Learning Objectives:** In our audit organizations, we strive to do the best job possible with the limited resources at our disposal. But, how do we in fact gauge our organization’s performance? This session will share leading practices in developing and implementing a framework of meaningful performance measures, objectives, goals, and metrics as well how these results are communicated to key stakeholders.

**Moderator: Bonnie Hall**, *Assistant Director, U.S. Government Accountability Office*

4:00 – 4:10

#### Networking and Break

4:10 – 5:00

#### Session 7: Cyber Security and IT Auditing

**Todd Nacapuy**, CIO, State of Hawaii

**Learning Objectives:** Given the rapid pace of technology and data growth and the cybersecurity risks and vulnerabilities we hear about in the news each day, it should come as no surprise that cybersecurity has become a top-of-mind issue for most audit stakeholders, elected officials, and government management and leadership. This session will explore how various audit organizations and jurisdictions have developed their cybersecurity and information technology audit programs (for example, how they developed their audit teams, resources, and body of work over time). Speakers will also discuss highlights of critical audit findings and recommendations, share some lessons learned and tips from their audit program implementation and industry trends, and provide their perspectives on the direction of cybersecurity and IT auditing, including the role of auditing in anticipating and mitigating risks, as well as building organizational resilience.

**Moderator: Jennifer Ueki**, *Deputy Auditor, Office of the Auditor, State of Hawaii*

5:00 – 5:10

#### Closing Remarks

**Tonia Lediju**, *Chair, Western Intergovernmental Audit Forum*

5:15 – 6:45

#### Reception (Garden Gazebo)



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### “Standards, Strategies and Tools for the 21st Century Auditor”

**Tuesday, October 31**

**Location: Prince Jonah Ballroom**

7:15 - 8:00 **Breakfast**

8:00 – 8:50 **Session 8: Grooming Our Future Leaders for Success and Qualities of Effective Leadership**

**Bonnie Hall**, Assistant Director, U.S. Government Accountability Office

**Margarita Fernández**, Chief of Public Affairs at California State Auditor

**Tonia Lediju**, Director of City Audits, City Services Auditor Division, Office of the Controller, City and County of San Francisco

**Learning Objectives:** Finding and nurturing our next-generation audit leaders should be a primary concern for all organizations, especially as many current leaders are preparing to retire and organizations are faced with the need to prepare the next generation of effective leaders to take over. This session will explore what it means to be (and the qualities of) an effective leader in the public sector. This session will also discuss how organizations can build effective technical and leadership skills that create sustainable professional growth. Speakers will also discuss how today's organizations can help staff identify their own professional and personal goals (such as, bringing the whole person), while focusing on strategies for developing and implementing a successful succession plan that balances technical skills and soft skills/emotional intelligence. This session will also explore various talent management trends and opportunities and strategies for grooming our future leaders.

**Moderator: Mark de la Rosa**, Audit Deputy Director, City Services Auditor Division, Office of the Controller, City and County of San Francisco

8:50 – 9:00 **Networking and Break**

9:00 – 9:50 **Session 9: Homelessness and Affordable Housing—Problems and Oversight Challenges**

**Marc Alexander**, Executive Director, Office of Housing, City and County of Honolulu

**Mark Chandler**, Grants Officer, U.S. Department of Housing and Urban Development

**Learning Objectives:** As the homelessness and affordable housing problems continue to grow, and more funds are allocated to these areas, there is an increased need for oversight and accountability to ensure that funds are spent efficiently and effectively. This panel will provide insights into the homelessness and affordable housing problems, solutions, and oversight challenges at the various levels of government. Speakers will discuss efforts to coordinate and direct homelessness and affordable housing programs and activities serving target communities and populations. The panel will also explore efforts to ensure oversight and accountability in relation to funds allocated and performance indicators, including oversight challenges and opportunities.



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**Moderator: Troy Shimasaki, Senior Auditor, Office of the City Auditor, City and County of Honolulu**

9:50 – 10:05

**Networking and Break**

10:05 – 10:55

**Session 10: Yellow Book and Auditing Standards**

**Jim Dalkin, Director, Financial Management & Assurance, U.S. Government Accountability Office**

**Learning Objectives:** In this session, participants will gain a better understanding about the Government Auditing Standards. This session will discuss the main elements of various standards in accountability that provides the framework for high quality government audits, including any relevant updates on the proposed revisions.

**Moderator: Edwin Young, Honolulu City Auditor**

10:55 – 11:10

**Networking and Break**

11:10 – 12:00

**Session 11: Data Analysis Tools and Innovative Data Analytics**

**Ben Ward, Principal, Information Technology Audits, California State Auditor**

**Learning Objectives:** More and more, auditors are relying on data to present findings to deliver audit results. In this session, participants will learn how to identify the relevant data and determine the quality of that data. Further, the participants will learn to effectively convey high-quality data to decision makers and learn some of the tools available to perform data analytics. Finally, the speaker will also discuss recent experiences and successes in using tools/techniques to analyze and present data in an impactful manner.

**Moderator: Margarita Fernández, Chief of Public Affairs, California State Auditor**

12:00 – 12:10

**Closing Remarks**

**Tonia Lediju, Chair, Western Intergovernmental Audit Forum; Director of City Audits, City Services Auditor Division, Office of the Controller, City and County of San Francisco**