

Final Agenda

“Audit Update in the Desert: Emerging Challenges and Techniques”

Monday, September 12

Location: Palm EF

12:15 - 1:00 **Registration**

1:00 – 1:10 **Welcome and Opening Remarks**

Margarita Fernandez, *Chair, Western Intergovernmental Audit Forum; Chief of Public Affairs, California State Auditor’s Office*

1:10 – 2:00 **Keynote Address**
Optimizing the Audit Workforce – Trends in the Federal Inspector General Audit Community

Kathleen S. Tighe, *Inspector General, U.S. Department of Education*

Moderator: Ray Hendren, *Regional Inspector General for Audit, U.S. Department of Education*

Learning Objectives: Participants will hear about issues and trends currently being discussed by Federal audit executives related to the audit workforce – professional development, needed competencies and skills, succession planning, and employee engagement. In addition, the presentation will cover specific human resource initiatives undertaken by the U.S. Department of Education’s Office of Inspector General to promote enhanced communications among and between managers and audit and investigations professionals to fully engage these professionals in the operations of the audit organization.

2:00 – 2:15 **Networking and Break**

2:15 – 3:30 **Identifying Improper Payments and Fraud Using Data Visualization**

Christopher R. Westphal, *Owner, SME Analytics, analysis365*

Moderator: Eduardo Luna, *San Diego City Auditor*

Learning Objectives: Data, data, and more data. Every government agency has it, but can we do more with it than just transaction testing? Learn from an expert in data analytics. Auditors can use data to inform risk assessment and planning, to understand an agency’s environment through the performance of substantive analytics, to improve audit quality, and to detect fraud. Learn how to use the data, how to analyze the data and establish relationships, and how to interpret results.

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3:30 – 3:45 **Networking and Break**

3:45 – 5:00 **Accountability in Education**

Vicki Hanson, *Director, Division of School Audits, Arizona Office of the Auditor General*

Kathleen Fullerton, *Audit Principal, California State Auditor’s Office*

Moderator Bill Greene, *Phoenix City Auditor*

Learning Objectives: Every year, the government—federal, state, and local agencies—invest a substantial amount of resources in providing solid K-12 education and making higher education more accessible and affordable. What can we auditors do to provide government leaders, lawmakers and the public with information about how well educational agencies are performing and where improvements can or should be made? Hear from two state audit organizations about audit approaches to evaluating performance and finances, and the use of and impact of the audit results.

5:00 – 5:10 **Day 1 Closing Remarks**

Margarita Fernandez, *Chief of Public Affairs, California State Auditor’s Office*

5:00 – 6:30 **Reception**

Location Courtyard West

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7:00 - 8:00 **Continental Breakfast**

8:00 – 8:50 **Risk Assessment: Auditing What Matters Most**

Eduardo Luna, San Diego City Auditor

Moderator: John Provan, Assistant Regional Audit Manager, Office of Inspector General, U.S. Department of Justice

Learning Objectives: We are assigned a limited amount of time and resources to conduct audits. As one audit manager once said, we can't boil the ocean. We have to be very strategic to focus our limited resources on areas that can have the greatest impact. Utilizing a risk assessment process, auditors can create audit programs that target areas of area of greatest vulnerability. Learn the risk assessment approach the San Diego Auditor's Office uses to audit what matters most.

8:50 – 9:00 **Networking and Break**

9:00 – 10:30 **How Safe Is Your Data? IT Security Audit Approaches**

Lindsay Harris, Auditor Specialist, Information Systems, California State Auditor's Office

Nate Robb, Senior IT Auditor, Arizona Office of the Auditor General

Moderator: Ross Tate, Director of Internal Audit, Maricopa County

Learning Objectives: Becoming a paperless government has many advantages—less space, convenience, savings—but it also brings some disadvantages including security issues—unauthorized third party access and/or data loss. This session will focus on the importance of strong IT system controls and approaches to auditing them given the extensive range of confidential and sensitive information maintained in government IT systems. Panelists will discuss IT security audit approaches, findings, and results from recent audits in their respective states. In addition, participants will learn which IT security controls can be tested with fewer resources and which ones are more resource intensive.

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10:30 – 10:45

Networking and Break

10:45 – 11:35

Creating an Inspiring and Inclusive Work Place: The Role of the Agile Leader

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

Moderator: Rad Snelding, *Las Vegas City Auditor*

Learning Objectives: This session will explore effective leadership behaviors that foster an environment that supports and inspires a multi-generational workforce. Highlighted will be study data on how public sector leader behaviors and attributes influence millennial employees' organizational commitment and productivity.

11:35 – 12:50

Lunch

Location: Courtyard West

12:50 – 1:45

Roundtable Discussion: Breakout Groups

Human Capital Issues, Room Palm EF, **Kathleen Fullerton**, *Audit Principal, California State Auditor's Office*

Ethics, Room Palm C, Moderator: **Mark de la Rosa**, *Lead Audit Manager, City Services Auditor Division, Office of the Controller, City and County of San Francisco*

Principals' Meeting, Dolores, Moderator: **Margarita Fernandez**, *Chair, Western Intergovernmental Audit Forum; Chief of Public Affairs, California State Auditor's Office*

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1:45 – 2:00

Networking and Break

2:00 – 3:20

Happiness and Mindfulness in the Workplace

Dr. Lamees Khorshid, *Clinical Health Psychologist*

Moderator: Bonnie Hall, *Field Office Manager, U.S. Government Accountability Office*

Learning Objectives: This presentation will focus on current research on the benefits of “happiness and mindfulness”, and how specific behaviors that can be practiced in the workplace can make for a productive work environment by decreasing stress and increasing morale, efficiency and productivity.

3:20 – 3:35

Networking and Break

3:35 – 4:50

An Overview of Fraud in Federal Education Programs

Natalie Forbort, *Special Agent in Charge, Inspector General for U.S. Department of Education*

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

Learning Objectives: Federal education programs provide about \$200 billion in funding for elementary, secondary, and post-secondary education programs annually. Unfortunately, there are many fraudsters that concoct various schemes to commit fraud against these programs. During this session, you will learn about some of the more common and harmful schemes, how Education OIG’s Investigations services unit is fighting to identify and pursue these cases, and what you can do to help prevent fraud in education programs.

4:50 – 5:00

Closing Remarks

Margarita Fernandez, *Chair, Western Intergovernmental Audit Forum; Chief of Public Affairs, California State Auditor’s Office*

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Passcode: wiaf2016