



2010 MIAA FALL WORKSHOP Program Overview

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PRE WORKSHOP TRAINING- October 20th, 2010

Better Decisions, Faster Solutions, Fewer Mistakes

October 20, 2010, 9:30 a.m. – 5:30 p.m.

Presented by: Randy Park, B.Sc, M. Eng.

Your workday - indeed your life - is about making decisions. This training will help you make better decisions for desired results - by creating an improved foundation for those decisions built from a combination of practical tools and in-depth insight into how people think and analyze information.

Even with formal experience and certified training, we still use short cuts when making decisions, including matching the situation to past experience, jumping to conclusions, extrapolation, etc. In this MIAA pre-Fall Workshop training we will learn how these thinking approaches can be traps in an entertaining, enlightening manner.

Randy's use of optical illusions, brain teasers, and interactive exercises will illustrate the hidden challenges of making good decisions given the way the human brain works. We will then practice with tools you can use to improve the basis on which you make decisions, communicate and collaborate with peers, board members, councillors and stakeholders to:

- develop and scope work plans and audit programs,
- achieve performance measurement,
- deal with difficult and or unsupportive Boards or Council members,
- develop recommendations that will be followed up on,
- represent an audit function as a value added part of good governance, and
- have auditees/clients improve organizational efficiency by embracing audit.

Randy will also include effective communication strategies to work collaboratively with, although independently from, management to achieve desired results.

FALL WORKSHOP – Day 1 (October 21st, 2010)

Audit Roundtable

October 21, 2010, 9:00 a.m. – 12:00 p.m.

Moderated by: Frank Medeiros, Region of Peel Internal Audit

Each member organization will be asked to provide an outline of audits in progress and audits completed during the past year. This is a valuable and popular session so we request you send your summary information electronically to Debra Williams (webmaster@miaa.ca) to be posted on the MIAA website www.miaa.com. Participants are requested to print off the summary information and bring it to the Fall Workshop. This information **will not** be distributed at the workshop.

Beating the Fraudster at Their Own Game: Prevention, Detection and Investigation

October 21, 2010, 1:30 p.m. – 2:45 p.m.

Presented by: Edward Nagel, CA·IFA, CBV of Nagel & Associates

How and how quickly an organization responds to fraud, will drive the extent of damage that could result from a financial crime event—be it financial, reputational or otherwise. Knowing what is fraud and the indicators or “red flags” to look out for is critical in managing this assumed risk within any organization. Citing real-life cases, this session will provide first-hand experience from various investigations conducted, the key challenges faced and what steps were taken to make the investigations successful. This session will also address the basic principles of investigations, current trends in risk management and the critical role that internal audit can have in an investigation.



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Evaluation of Ethics in the Public Sector

October 21, 2010 3:00 p.m. – 4:30 p.m.

Presented by: Sheila Jones, MBA, CIA, CCSA, CFE, City Auditor, City of Burlington and Fay Booker, Principal – Booker & Associates

The session will be presented as a case study on the evaluation of ethics in a large public sector organization. Through the case study, Sheila and Fay will provide a framework for evaluating ethics in an organization, an audit program to conduct the audit, guidance on drawing a conclusion and providing an audit opinion and pose key questions and messages for Audit Committees to support fulfillment of their mandates.

FALL WORKSHOP – DAY 2 (October 22nd, 2010)

'Audits-to-go'

October 22, 2010, 9:00 a.m. – 10:00 a.m.

- 1. City of Toronto Charter of Expectations for Public Servants - Conflict of Interest– Ruvani Shaubel, Director, City of Toronto Internal Audit** – the presentation will provide an overview of the City's Charter of Expectations for all members of Toronto Public Service and specifically focus on the employees' responsibility to "Act with integrity". One of the policies that fall within this responsibility is adherence to the City's Conflict of Interest policy. The presentation will provide a summary of this policy and the role undertaken by the City's Internal Audit Division to ensure the policy is better understood and implemented by employees.
- 2. Effectively Managing the Recruitment of Non-Union Employees in the Toronto Public Service – Akrivi Nicolaou, City of Toronto Auditor General's Office** - The objectives of this audit were to assess the effectiveness of internal controls over the recruitment process for non-union employees and to review compliance with relevant legislative requirements.

For the most part we found that existing policies and procedures are adequate and in compliance with legislative requirements. However, we found significant weaknesses with the controls to ensure compliance with a number of established policies. In circumstances where policies and procedures are not being followed, the risk exists that the City's recruitment objectives may not be achieved.

By addressing the audit recommendations, the Human Resources Division will ensure that the recruitment for non-union employees is transparent, fair, timely and in compliance with legislation, policies and procedures.

The Auditor General's complete report is available for review prior to the session at:

http://www.toronto.ca/audit/reports2009_sub19.htm

Region of Peel Network Access and Security Assessment

October 22, 2010, 10:30 a.m. – 12:00 p.m.

Presented by: Joan Appleton, Manager Internal Audit, Janette Myers-Sinclair, Project Manager Technology Infrastructure & Chris Medina, Ken Neilson and Joel Weisz, Net Cyclops Inc. (NCI)

The Region of Peel engaged Net Cyclops Inc. to conduct a network access and physical security assessment. Peel and NCI will provide an overview of the approach used and the results of the assessments. There will be presentations from Region of Peel Internal Audit, Region of Peel Technology Infrastructure and NCI.