



## WELCOME TO THE BIG 12 INTERNAL AUDIT CONFERENCE!

Lubbock, Texas. Birthplace of Rock 'n' Roll legend Buddy Holly. Home of the Texas Tech Red Raiders. Population 218,357...including 13 Texas Tech auditors who are ready to welcome you to town!

We have an exciting lineup of speakers on a myriad of topics relevant to your work, whether you are auditing athletics, a foundation, or an academic healthcare institution. In addition to hearing from our own Texas Tech audit staff, you will learn about Texas A&M's approach to ERM. OSU will showcase an audit of purchasing in our Audit Show & Tell session, and The University of Texas will discuss a topic near and dear to our hearts—Athletics. We have included several sessions on IT auditing, so whether you are swimming in the deep end of IT auditing or just getting ready to dip your toes in the water, there is something for you.

We have also prepared some fun activities for the conference, starting with a campus walking tour of the University's public art display, which Public Art Review has named as one of the top 10 in the nation. On Monday night, we will enjoy a tour of National Ranching Heritage Center, which is a unique outdoor museum of barns, houses, and other ranching structures, followed by a chuck wagon dinner under a beautiful West Texas sunset sky.

On your own, you may choose to tour an award-winning Texas winery, visit the Buddy Holly museum, or enjoy eclectic shops, restaurants, and bars in the historic Depot District.

So pack your bags and make your plans to head on over to Lubbock for a great week of networking, learning, and fun. We will see y'all there!

Kim Turner, CPA  
Chief Audit Executive  
Texas Tech University System

**Dates:**

Sunday, May 17, 2009 to  
Wednesday, May 20, 2009

**Location:**

Texas Tech University, Lubbock, Texas

**Registration Deadline:**

Thursday, April 20, 2009

**Conference Cost:**

Registration fees, which will be billed after the conference, are based on the actual cost of the conference divided by the number of participants in attendance.

**CPE Certificates:**

Texas Tech University System's Office of Audit Services is a state approved CPE Sponsor. Our sponsor number is 005738.

Conference Attendees can receive 20 CPE hours, if all sessions are attended (including the optional sessions). CPE certificates will be handed out at the end of the conference.

*Sessions do not require advanced preparation unless otherwise stated.*

## CONFERENCE REGISTRATION

### **Dates:**

Sunday, May 17, 2009 to Wednesday, May 20, 2009

### **Location:**

Student Union Building at Texas Tech University

### **Registration Deadline:**

Thursday, April 30, 2009

### **Registration Fees:**

Registration fees, which will be billed after the conference, are based on the actual cost of the conference divided by the number of participants in attendance. The conference registration fees include costs of select meals, including alcoholic beverages. If you wish to bring a spouse, additional charges for meal costs will be billed at a later date.

### **Cancellation Policy:**

If cancellation is made after May 9, no refund will be given. Upon notification, a replacement can attend.

## HOTEL INFORMATION

### **Address:**

[Staybridge Suites](#)  
2515 19th Street  
Lubbock, TX 79410

### **Phone:**

(800) 549-9029

### **Conference Rate:**

\$85 per night

### **Web:**

See our Website at [www.texas-tech.edu/audit](http://www.texas-tech.edu/audit) for Conference Hotel Link.

### **Deadline for Conference Rate:**

Sunday, April 26, 2009

## AREA ATTRACTIONS

- Historic Depot District Arts and Entertainment
- Buddy Holly Museum
- Silent Wings Museum
- American Wind Power Museum
- Caprock Winery
- Llano Estacado Winery

## LOCAL DINING

- Orlando's (*Italian*)
- Jazz (*Cajun*)
- Stella's (*Continental*)
- Cagle's Steaks (*Steakhouse*)
- Lujan's (*Tex-Mex*)

## CONFERENCE AGENDA

### *Sunday, May 17*

12:00 - 4:00 pm	Golf Scramble
3:00 - 6:00 pm	Registration
4:00 - 6:00 pm	Campus Art Tour
7:00 - 9:00 pm	Welcome Reception

### *Monday, May 18*

8:00 - 8:10 am	Welcome
8:10 - 9:00 am	Keynote Speaker: Dr. Michael Shonrock
9:00 - 12:00 pm	Sessions
12:00 - 1:00 pm	Lunch
1:00 - 5:00 pm	Sessions
6:00 - 9:00 pm	National Ranching Heritage Center Event and Dinner

### *Tuesday, May 19*

8:00 - 8:10 am	Announcements
8:10 - 12:00 pm	Sessions
12:00 - 1:00 pm	Lunch
1:00 - 5:00 pm	Sessions

### *Wednesday, May 20*

8:00 - 8:10 am	Announcements
8:10 - 12:00 pm	Sessions
12:00 pm	Final Announcements and Distribution of CPE Certificates

## CONFERENCE ATTIRE

Casual dress. Feel free to bring a light jacket for use in the meeting room.

## LINKS

Additional information and registration forms can be found at:  
[www.texas-tech.edu/audit](http://www.texas-tech.edu/audit)

## CONFERENCE EVENTS

### *National Ranching Heritage Center Event and Dinner*

This evening will begin with a fascinating discussion and tour of Texas Tech's 30-acre facility established to preserve the history of ranching, pioneer life and the development of the livestock industry in North America. You will have the opportunity to see historic windmills, dugouts, barns, a bunkhouse, a one-room school house, a blacksmith shop, a locomotive, and an elegant two-story Victorian ranch home as well as many other buildings. Each building has been authentically restored, furnished or outfitted to reflect period correctness. The evening will end with a barbeque dinner. This evening will be a great way to network with your Big 12 colleagues.

### *Golf Scramble*

Would you like to play golf on one of the nation's top collegiate courses? Come join us for a round of golf at the Texas Tech Rawls Course, recognized by *Golfweek Magazine* and *Golf Digest* as one of the best courses in the nation. Sunday, May 17<sup>th</sup>, tee times between 12:00 and 12:30. \$70 per person, payable upon arrival, and includes green fees & cart for 18 holes, bucket of range balls, and boxed lunch (hamburger, chips, fried pie, & drink) RSVP by April 20th to Emily Knopp. ([emily.knopp@ttu.edu](mailto:emily.knopp@ttu.edu))

### *Campus Art Tour*

If you arrive early, join us for a leisurely stroll around Texas Tech University to view the University Public Art Collection. Texas Tech seeks to enrich the cultural and intellectual life of its campuses by building and maintaining a unique collection of public art created by leading artists of our time. Texas Tech's Public Art Collection has been named one of the top 10 university public art collections in the nation by *Public Art Review*. Bring your comfortable walking shoes because the distance is approximately 1.5 to 2 miles.

## SPEAKERS AND TOPICS

### SYSTEM IMPLEMENTATIONS WITH AUDIT—MAKING IT RIGHT!

**Time:** Monday, May 18, 9:00 - 10:00 am

**Description:** This session will discuss the ERP implementation at Texas Tech and the role of audit staff in the project. The 5-year project began in 2005 and is wrapping up in 2009. With 21 different software components and services being implemented and changing every mission critical system at Texas Tech, it was imperative that Audit Services be involved but at what level and with what role? This session will expand upon why to involve audit and how and where to involve audit.

The audience will learn:

- What we did right,
- Where we needed improvement,
- Ongoing audit involvement,
- Application to non-ERP implementations.

**Speakers:** Kay Rhodes is the Associate Vice Chancellor and System CIO for the Texas Tech University System (TTUS) where she has worked for 28 years. She oversees the information technology departments which are shared by Texas Tech University (TTU) and Texas Tech University Health Sciences Center (TTUHSC) and the ERP implementation, ConneCTech.

Mr. Jeff Hagins is the Assistant Managing Director of Information Systems at Texas Tech University. Mr. Hagins has been with Texas Tech for the past 18 years. Mr. Hagins played an important role in developing TTU's Finance, Payroll, HR, and Budget systems.

Ms. Kerrie Visconti is the Assistant Managing Director of Information Systems for enterprise application security. Ms. Visconti has been with Texas Tech for the past 11 years.

### THE JOURNEY TO ERM

**Time:** Monday, May 18, 10:20 - 12:00 pm

**Description:** Enterprise risk management began to get the attention of internal auditors at the turn of the century. The problem was that there was really not any consistent framework for organizations to use or for internal auditors to review. That all began to change about seven years ago which is where my story begins.

- IIA Performance Standard and Practice Advisory on ERM
- NACUBO White Paper on ERM
- A&M System Internal Audit Initiative to Bring ERM to the A&M System
- COSO ERM Framework
- Auditing ERM Processes
- A&M System Policy on ERM

**Speaker:** Charles R. Hrnccir is a Director for the Texas A&M System Internal Audit Department. He received his bachelor of business administration in accounting from Texas A&M University in 1980. Prior to joining the System Internal Audit Department in April of 2000, Charlie worked for the Texas State Auditor's Office for 19 years. Charlie is a CPA and is active in the Boy Scouts of America and Little League International.

Charlie has made presentations at the TACUA Annual Audit Conference, the Big XII Annual Audit Conference, and the Texas Society of CPAs Government Conference.

### BACKGROUND CHECKS AND SANCTION CHECKS, OH MY!

**Time:** Monday, May 18, 1:00 - 2:40 pm

**Description:** This session will discuss the importance of conducting background checks and sanction checks to minimize liability and risks arising from employee interactions with students and other customers and/or employee access to institutional funds, financial information, confidential information or export controlled items or information. Participants will learn:

- The laws concerning background checks and sanction checks;
- The value to your institution in conducting background checks and sanction checks on employees; and
- The need for ongoing sanction checks for employees and vendors.

**Speaker:** Mildred L. Johnson, J.D., CPC is the Institutional Compliance Officer for Texas Tech University Health Sciences Center (TTUHSC) in Lubbock, Texas. Ms. Johnson is responsible for developing and maintaining the TTUHSC institutional compliance program with primary oversight of the Billing Compliance Program and HIPAA Privacy. In her role as Institutional Compliance Officer, Ms. Johnson provides support to other regulatory oversight areas, including but not limited to Research Compliance, OSHA and ADA.

### AUDIT PROJECT SHOW & TELL

**Time:** Monday, May 18. 3:00 - 5:00 pm

**Description:** Auditors will be showcasing audits performed at their campuses and handing out related audit programs and/or tools to perform a similar engagement at your campus. These audits involved an innovative approach, had a significant impact on the institution, or were groundbreaking in some way.

**Moderator:** Sandy Jansen, CIA, CCSA, is the Assistant Chief Audit Executive for Texas Tech University System. Sandy has been a member of the System's internal auditing team for 14 years. She is a volunteer seminar instructor for the Institute of Internal Auditor's and serves on the Texas Association of College and University Auditors Board. She is also serving as ACUA's Midyear Conference director.

## SPEAKERS AND TOPICS CONTINUED

### IT AUDIT SHOW & TELL

**Time:** Monday, May 18. 3:00 - 5:00 pm

**Description:** Auditors will be showcasing IT audits performed at their campuses and handing out related audit programs and/or tools to perform a similar engagement at your campus. These audits involved an innovative approach, had a significant impact on the institution, or were groundbreaking in some way.

**Moderator:** Teresa Jack, CPA, is the Audit Director for Texas Tech University Health Sciences Center. Teresa has 10 years of audit experience and has been a member of the Texas Tech University System's Office of Audit Services for 8 years.

### THE NEW FORM 990: NAVIGATING THE CHANGES

**Time:** Tuesday, May 19, 8:10 - 9:00 am

**Description:** Form 990, once a relatively simple form, has been completely rewritten and is now much more complex. This session will help you become familiar with and understand the newly revised Form 990. It is critical that you learn the steps your organization can take today to prepare for the required reporting on a form which has not been significantly changed in nearly 30 years.

**Speakers:** Jim Brunjes has been with the Texas Tech University System for 18 years. He has served during his tenure at Texas Tech as the staff Vice Chancellor to the Chancellor, the CFO of Texas Tech University, and for the last seven years as the System Vice Chancellor and CFO.

He has served at Vice President level positions also at the Texas A&M University System, Southwest Airlines, Midwestern State University and the University of Houston. He has a Masters of Statistics and Bachelor's degree in Mathematics from Texas A&M University.

Kyle Clark has been with the Office of the Vice Chancellor and Chief Financial Officer of the Texas Tech University System for the past 9 years. In his current capacity, he serves as the Assistant Chief Financial Officer. He is a Texas Tech University Jerry S. Rawls College of Business graduate, where he received a Bachelors of Business Administration and a Master's in Business Administration. In July 2009, he will complete his final year of SACUBO's Certified Business Management Institute and will receive his certification.

### INTRODUCTION TO COMPUTER FORENSICS AS AN AUDIT TOOL

**Time:** Tuesday, May 19, 9:00 - 10:00 am

**Description:** Computer Forensics is an increasingly valuable tool for uncovering misuse of resources, illegal intrusion, data theft, fraud and other offenses. However, many internal auditors are unaware of the advantages that computer forensics can bring to audit investigations, and may not have the tools to conduct computer searches using methods that will ensure that evidence collected is ready to be used in court. This presentation will provide the participant with information about how to prepare for computer investigations, and will outline the best practices for acquiring, analyzing, recovering and reporting evidentiary data.

**Speaker:** Lieutenant David Parker is a commissioned Texas Peace Officer employed by the Texas Tech Police Department, and serves as the department's Chief Investigator. Lt. Parker has also been deputized as a Special Deputy United States Marshal and serves as a Task Force Officer with the FBI—Lubbock Resident Agency. Lt. Parker has assisted local, state and federal law enforcement agencies in conducting computer crime and computer forensic investigations over the past nine years.

### AUDIT DIRECTOR ROUNDTABLE

**Time:** Tuesday, May 19, 10:20 - 12:00 pm

**Description:** This session will provide an opportunity for both experienced and new directors to gather and exchange ideas, best practices, challenges, and information on important topics of common interest. Prior to the conference, the moderator will poll participants by e-mail to identify and prioritize discussion topics.

**Moderator:** Kim Turner, CPA, is the Chief Audit Executive for the Office of Audit Services at Texas Tech University System. Kim manages a staff of 14 professionals with responsibility for the audit activities at the System, which includes Texas Tech University, Texas Tech University Health Sciences Center, and Angelo State University. Kim is on the City of Lubbock Audit Committee and has served on the boards of several professional and philanthropic organizations, including being a past president of ACUA. She has presented audit topics for many organizations, including ACUA, TACUA, NACUBO, and the Society of Corporate Compliance Executives.

## SPEAKERS AND TOPICS CONTINUED

### PRACTICALLY PERFECT PLANNING

**Time:** Tuesday, May 19, 10:20 - 12:00 pm

**Description:** This course is designed to instruct auditors on the audit planning process. This workshop will assist both new and seasoned auditors with audit planning concepts, risk assessment, and how to document the planning process. Key concepts:

- Evolution of audit planning
- Planning the Project
- Engagement Risk Assessment
- Setting Engagement Objectives
- Program and Audit Budgets
- Milestones

**Speakers:**

Simone Barnhill, CPA, is the Audit Director for Texas Tech University. Simone has 10 years of accounting and audit experience and has been a member of the Texas Tech University System's Office of Audit Services for 4 years.

Sandy Jansen, CIA, CCSA, is the Assistant Chief Audit Executive for Texas Tech University System. Sandy has been a member of the System's internal auditing team for 14 years. She is a volunteer seminar instructor for the Institute of Internal Auditor's and serves on the Texas Association of College and University Auditors Board. She is also serving as ACUA's Midyear Conference director.

### BUILDING A STRENGTHS-BASED OFFICE ENVIRONMENT

**Time:** Tuesday, May 19, 1:00 - 2:40 pm

**Description:** Do you get to do what you do best every day at work? Learn steps in intrapersonal development from an emphasis of building on your natural talents and strengths from Gallup's StrengthsQuest program. Seminar content is based on forty years of research and over 2 million psychological interviews conducted by The Gallup Organization.

**Speaker:** Jay Killough, Associate Director & Strengths-Quest Coordinator, Texas Tech University Career Services. As a Master's graduate of Texas Tech University, Jay has worked in Higher Education for the past 8 years, primarily in Career Services, but also in Admissions and School Relations. He coordinates the Strengths-Quest program for Texas Tech University and enjoys traveling and presenting StrengthsQuest to various publics outside the University as a Gallup consultant. He has previous experience in the music and manufacturing industries, and has spoken to audiences across the country regarding career and professional development issues. Jay is involved in the Lubbock community as a former Board Member with Prevent Blindness and a 2004 graduate of Leadership Lubbock. He has served on the Southwest and Southern Association of Colleges and Employers planning committees and has served on their Board of Directors as Technology Director.

### NCAA HOT TOPICS ROUNDTABLE

**Time:** Tuesday, May 19, 3:00 - 5:00 pm

**Description:** Constantly changing bylaws and interpretations as well as heightened public relations risk make NCAA compliance an area of concern for internal auditors. Bring your hot topics, such as academic integrity, and best practices to share with other Big 12 schools.

Also, the University of Texas at Austin audit shop will present information on auditing major risks in athletics with their presentation on *Risks in Athletics: Auditing a \$120 Million Operation*.

**Speakers:** Mike Vandervort, CPA, has been the Director of Internal Audit at The University of Texas at Austin for 18 years. Prior to that, he served as the Business Manager at the University. He also spent five years teaching auditing at the UT McCombs School of Business.

Jamie Streusand is an Auditor III in the UT audit office, where she has worked for four years. She has led major audit projects related to Athletics.

**Moderator:** Simone Barnhill, CPA, is the Audit Director for Texas Tech University.

### WILLED BODY PROGRAM AND THE USE OF CADAVERS FOR TEACHING

**Time:** Tuesday, May 19. 3:00 - 5:00 pm

**Description:** This session will include a tour of the anatomy lab at TTUHSC and will be an informational session on TTUHSC's Willed Body Program.

**Speaker:** Claude Lobstein attended Wayland Baptist University, and graduate of the Dallas Institute of Mortuary Science. Established the willed body program for the Texas Tech University School of Medicine in 1973 and has been Director of the program since its beginning.

## SPEAKERS AND TOPICS CONTINUED

### RESEARCH COMPLIANCE: STRUCTURE AND FUNCTION

**Time:** Tuesday, May 19. 3:00 - 5:00 pm

**Description:** This session will discuss the creation of a research compliance program at Texas Tech University Health Sciences Center, with an emphasis on compliance with regulations regarding human subjects and grant expenditures. We will outline our processes for human research compliance audits and audits of grant expenditures. By the end of the session, participants will:

- Be aware of the need for research compliance programs at academic medical institutions
- Know the process by which human research compliance audits are conducted at TTUHSC
- Know the process by which audits of grant expenditures are conducted at TTUHSC

**Speakers:** Beth Taraban, MA, is the Director of the Research Integrity Office at TTUHSC. She has served as an IRB Administrator and is certified as an IRB Professional and as a Clinical Research Professional.

Victoria Rivera, MPA, is the Director of TTUHSC's Office of Sponsored Programs. She previously held the position of Research Compliance Officer at TTUHSC.

Chadley Copeland, MPA, is the current Research Compliance Officer at TTUHSC.

Their combined experience includes designing and implementing policies related to human research as well as many of the research compliance auditing functions that will be described in this session.

### IT AUDITING—AN APPROACH TO GENERAL CONTROLS REVIEWS

**Time:** Wednesday, May 20, 8:10 - 9:50 am

**Description:** This session will lead participants on an exploration of the relationship between general controls and application controls. Through this session we will present one risk assessment methodology for identifying focused areas for review. The session will also take an in-depth look at selected focus areas, discuss expected controls, and highlight suggested audit procedures. In addition, we will discuss the impact Green IT may have on general controls.

**Speakers:** Emily A. Knopp is an Audit Manager for Texas Tech University System, with 8-plus years of audit and corporate accounting experience. Ms. Knopp is a Certified Public Accountant in the State of Texas and has earned the Certified Information System Auditor designation. Ms. Knopp has assisted Audit Services in developing the IT audit function and leads many of the IT audits for the department. Ms. Knopp received BBA degrees in Accounting and Finance and a Master of Accountancy from Texas Tech University.

Amanda Clark is an Auditor for Texas Tech University System, with 3 years of experiences in audit. Ms. Clark is a Certified Internal Auditor and is working toward the Certified Information System Auditor designation. She is very active in Audit Services' efforts to educate the campus community on internal controls. Ms. Clark received BBA degrees in Finance and Economics and an MBA from Texas Tech University.

### INVESTMENTS—EMERGING AREAS OF RISK

**Time:** Wednesday, May 20, 10:10 - 11:00 am

**Description:** Falling prices and the looming threat of increased regulation have caused changes in the investment world. From an institutional vantage point, there is an increased need for analysis and documentation with regard to valuation, due diligence, and monitoring of managers. This session will address emerging areas of risk within those topics.

**Speakers:** Gary Ratliff became the Chief Investment Officer of Texas Tech University System in 2008. He is responsible for the university's \$600 million endowment and \$610 million short-term operating fund. Prior to joining the System, Gary was the Chief Investment Officer at the Denver Public Schools Retirement System, a \$3.5 billion public pension fund. In addition, he has worked at Sovereign Financial Services, a private equity advisor and fund-of-funds manager in Denver, Colorado. He graduated from the University of Denver with a Master of Science in Finance, and holds the designation of Certified Financial Analyst.

Eric Fisher, Treasury Services Manager, has worked in the Texas Tech Investments Office since 1995. He was an internal auditor for the University prior to that. Eric graduated from the University of Texas at Austin with a Master in Professional Accounting, and holds the designation of Certified Public Accountant.

### APPRECIATING YOUR INFLUENCE

**Time:** Wednesday, May 20, 11:00 - 12:00 pm

**Description:** This discussion will focus on the amount of influence an auditor has, and to what degree they embrace and utilize this power. We'll create a framework for the auditor to appreciate themselves in this role and tips for improving or enhancing their abilities in changing behaviors.

**Speaker:** Nathanael Haddox, J.D., became the first Ombudsman for Staff at Texas Tech University in July 2005. Prior to joining Tech, he had been practicing family law and mediation since his graduation from Texas Tech School of Law in 1999. He serves as an adjunct professor at Wayland Baptist University teaching Business Ethics and is an instructor for the Lubbock County Alternative Dispute Resolution System, where he teaches Family Mediation. Nathanael serves as the Chair of the Ethics Committee of the International Ombudsman Association. In addition to completion of the statutory requirements for mediation, Nathanael also has advanced training in family, victim/offender and transformative mediation. Nathanael received his undergraduate degree in Criminal Justice from the University of South Carolina in 1990.