



NEW YORK REPORTS



GOLD AWARD CHAPTER

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the



Dear Colleagues:

Welcome to the Fall edition of our newsletter. I hope it finds you in good health and spirits. As we settle into the new season, we look forward to the programs that we'll be offering you in the coming months. On September 16th we kicked-off our 2005/2006 workshop and luncheon program with Sandra Miller, who presented a workshop titled "Engage, Influence, and Motivate".

Our luncheon speaker was Sal Marchiano, weekend sports anchor for WB11 News at Ten. Both speakers did a wonderful job helping us launch our programs for the year. Thanks to all who attended and the Chapter's volunteers who make these programs run smoothly. Special thanks to a few of our newest volunteers who are really making an impact - Crystal Poston, Linda Tan, and MariaElena Ochoa.

In early October, we hosted a four-day Certified Internal Auditor (CIA) examination review course. The course instructor was Roger McDaniel and the facility was provided by New York Life Insurance Company. About seventy-five Chapter members in pursuit of their CIA designation attended the course. Good luck to everyone who will be sitting for the November examination! Also, much thanks to Jennifer VanAlstyne and Juan Perez from our CIA Committee for their efforts in planning this successful event. Keep an eye on our website (www.nyiaa.org) for information about our next CIA review course in April 2006.

On October 14th, we held our second monthly workshop and luncheon program. Ed Robinson, author, certified professional speaker, and President of Advanced Marketing Concepts, conducted both the workshop and the luncheon. The workshop was a full-day session focusing on project management skills for internal auditors. I heard some excellent

feedback about the workshop and Ed's unique presentation style from several attendees. I attended the luncheon program and thought Ed's presentation on the Changing Role of Internal Auditors was very interesting. To all of you who attended the luncheon, feel free to "power clap" at any time!

Our next workshop and luncheon program is scheduled for November 18th. The topics are:

- **Workshop: Using Business Process Analysis in Your Audits**, presented by Robert Leubke (*7 CPE credits*)
- **Luncheon: Keeping Our Promise**, presented by Thomas J. Warga, Senior Vice President and General Auditor, New York Life Insurance Company, and IIA Chairman of the Board

I hope to see a big gathering at our next workshop – please join us! Remember, there are only a few more opportunities left this year to earn those coveted CPE credits!

Luca A. Pagoto, President
IIA New York Chapter

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Editor's Corner

Juggling! That's all we do these days. We juggle family and work demands struggling to keep pace and putting forth our best effort, we hope. Endless articles and books are available on prioritize your time, speed reading, improving your memory, working efficiently and efficiently, de-cluttering your life, etc all promising to help you gain more time. I'm sure you'd read them if you had the time.

"Why me?" we ask as another email comes in adding to the 30 still unread or as the phone rings just as we're about to leave for the day. "I have to do this because it's my job-- they paid me to do it" speaks to Duty. "I like to give a full day's work for a full day's pay -- I like to give my best", speaks to Pride.

For those of us who live in the spirit of these dual creeds of Duty and Pride, juggling is a way of life. We know no other way.

All who find the time to participate in the NY Chapter of the IIA --- give yourself a big round of applause!

"Serene will be our days and bright, And happy will our nature be, When love is an unerring light And when joy is its own security." -- Ode to Duty by W. Wordsworth

Michelle Duke, CPA
Newsletter Chair

Influence, Engage, Motivate: How Auditors Can Use a Social Science to Add Value

On September 16, 2005, the New York Chapter of the IIA conducted a workshop to teach auditors how to use the social science to influence, engage, and motivate their clients. Dr. Sandra J. Miller presented the seminar, which was enlightening and refreshing.

The highlights of the course were as follow:

- Human behavior and influence
- The skills of influence
- Win/win negotiation as an influence strategy
- Influence in a group setting
- Creating organizational change

Auditors are required to be proactive, open-minded and use other leadership skills to motivate, influence and persuade their clients. These skills are most desirable and useful when influencing a behavior or persuading for a change. Learning about human behavior can enhance or develop the skills necessary to influence others.

The skills needed to influence others are a combination of displaying self-control, listening, questioning, communicating, and preparing in advance. Empathy also plays an important role when influencing people. Needless to say, influence is a skill and it can be learned.

A win/win negotiation is a strategy to influence others, and as Dr. Miller mentioned, “80% of all communication is in fact a negotiation”. It is safe to say that good communication leads to a successful negotiation. In a win/win strategy, the best alternatives are developed when each party in the negotiation has opportunities for mutual gain. Consequently, using win/win negotiation can help auditors in persuading their clients to a better outcome.

Influencing in a group setting and creating organizational changes can be accomplished by utilizing all the skills previously discussed such as advance preparation, listening, questioning and empathy. In addition, understanding the group culture while managing change at an individual level can help overcome resistance we may encounter to any proposed change.

In summarizing Dr. Millers’ key learning points, we need to remember that when dealing with people there is no defined reality, only each person’s perception. Influencing and motivating strategies must focus on both the rational and emotional aspect of people. We must remember that listening and questioning are the keys to successful influence. Understanding the reasons why people do what they do will allow us to influence their behavior.

Junny Rivera

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IIA/NY Chapter 2005-2006
Seminars
at
Madison Square Garden

November 18, 2005

Robert Luebke

“Using Business Process Analysis in Your Audits”

December 16, 2005

Joanne Feierman

“Sharpening Your Report Writing Skills”

January 13, 2006

Joel Kramer

“Attributes of World Class Audit Departments and Best Practices”

February 10, 2006

Rich Lanza

“Best Practices in Audit Technology Implementations”

March 10, 2006

Annual Audit Seminar

April 7, 2006

Nick Barone

“Enterprise Fraud Risk Assessments”

May 5, 2006

Barbara Davison

“Continuous Auditing”

For More Information Visit our Website at <http://www.nyiaa.org/>

You're Invited to our Garden Party

Institute of Internal Auditors - NY Chapter

Luncheons

**at
Madison Square Garden**

November 18, 2005

Thomas J. Warga

IIA Chairman of the Board,

New York Life Insurance Company

"Keeping Our Promise"

December 16, 2005

John McKeever

"Get It Before It Gets You....."

Fraud Prevention Made Easy

January 13, 2006

Warren Hersh

"A Strategy for Managing an Organization's

Key Controls"

February 10, 2006

Julie Connors, Partner

Deloitte & Touche LLP

"How to Assess and Audit Extended

Enterprise Risk"

March 10, 2006

Annual Audit Seminar

April 7, 2006

John Langione, Partner

Ernst & Young

"Fraud Awareness for Internal Auditors"

May 5, 2006

- Awards Presentation

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