



ABOUT OUR UPCOMING EVENTS

JUNE 17, 2004

AWARDS CELEBRATION LUNCHEON
AT THE MARRIOTT HOTEL, WOLF ROAD,
COLONIE, NY.

JUNE 25, 2004

CHARITY GOLF TOURNAMENT
AT THE STADIUM GOLF CLUB IN
SCHENECTADY, NY.

RESERVATIONS: ONLINE AT
WWW.AGANYCAP.ORG OR
CONTACT REBEKAH STANTON AT (518)
427-4811 OR RSTANTON@KMPG.COM
NO-SHOWS WILL BE BILLED THE
FULL COST OF THE EVENT.



Chapter Receives Several National Awards

Congratulations are in order again this year for the many hardworking Chapter members who are going to be honored in several National AGA award categories. It was another stellar year for us.

Not surprisingly, the New York Capital Chapter again receives an award in AGA's Chapter Recognition Program. This award recognizes individual chapter performance and provides a standard by which each AGA chapter maintains a well-rounded operation for the professional growth of its members. Our Chapter has won this award every year in memory and, this year, we are again at the "platinum all-star" level. We attained this award for excellence in chapter administration, membership growth, educational programming, communications, and community service. In fact, our Chapter had the most points of any other AGA chapter! **Lori Vaccaro** will accept the award on behalf of our Chapter at the AGA Professional Development Conference in Washington, DC.

This is the second year in a row that **Jim Nellegar** won first place in the Chapter Website Award Competition for his exemplary efforts designing and maintaining the Chapter's website. Back to start his next winning streak, **Roger Mazula** won first place in the Chapter Newsletter Competition. Roger is a dual winner this year. AGA National has also recognized Roger with the Chapter Service Award for his dedicated work to the AGA for well over a decade.

For the second year in a row, AGA National will recognize our Chapter's excellent education program. Our esteemed Vice President for Education, **Raymond Harris**, will accept the prestigious National Education Award at the PDC.

Kirk Schanzenbach will be acknowledged as the individual member who recruited the most new AGA members this year – an amazing 27 new members – and will receive the AGA Member Recruitment Award.

Come to the June 17th Business meeting and see what other awards our Chapter may receive. Local awards will also be given to recognize outstanding Chapter service this year.



CAPITAL IDEAS

PUBLISHED BY: NEW YORK CAPITAL CHAPTER
ASSOCIATION OF GOVERNMENT ACCOUNTANTS

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PRESIDENT-ELECT

LORI VACCARO

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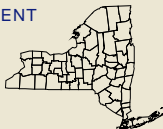
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CHAPTER HISTORIAN

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CAPITAL IDEAS IS PUBLISHED BY THE
NEW YORK CAPITAL CHAPTER OF THE
ASSOCIATION OF GOVERNMENT
ACCOUNTANTS
P.O. BOX 1923
ALBANY, NY 12201



President's Message

from
Kirk Schanzenbach



Dear Colleagues:

This time my newsletter picture will be right, I just know it. Thanks Roger for finally getting it right!

It was an amazing year! It's hard to believe it but this will be my last letter as president of the Chapter. It has been both a privilege and honor to serve such a great group of talented people. The Chapter Officers, Directors and committee volunteers worked very hard this year and, with your help, accomplished an incredible amount. To underscore our achievements, our Chapter received six National AGA awards this year. We received the Chapter Recognition, Education, Newsletter and Website awards for overall excellence as a Chapter, and specifically for our educational activities, newsletter and Website. Roger Mazula received the Chapter Service award for his many years of excellent work for our Chapter. We also received the recruiter of the year award.

Along the same lines, the Strategic Direction Committee (mentioned in the last newsletter) has completed its work for this year. The results are in and you can read all about it in the related article in this newsletter. The bottom line is that our strategic plan, developed and approved two years ago, is working as intended. It's providing us with the overall direction and guidance that is and will continually help us meet the needs of our members and strive for excellence as a Chapter. In order to continuously monitor the relevance of our strategic plan and our progress for achieving it, the Strategic Direction Committee will continue to meet quarterly and report to the membership at the Chapter Awards Luncheon every June.

Speaking of the Awards Luncheon, I hope that you can make it to the luncheon on June 17th. This year it will be held at the Marriott on Wolf Road. The on-site sign in will begin at 11:30 and the buffet lunch will begin at 12:00. The festivities will begin promptly at 12:30. There will be great food and the festivities, all for the low, price of \$10 for members. Please pre-register for this event as soon as possible at: <http://www.aganycap.org/education/events/june/june.htm>.

Continued on page 11.

Editor's Note: For the last issue, Kirk Schanzenbach described himself as being short in stature and having a receding hairline. I apologize once again. The photo of Mini Me may have been a bit over the top. Sorry, Kirk. Of course, I wanted to get a correct picture of you in your President's Message before the end of your term. I was a bit surprised when your family offered me a picture of you. It was almost like they were going out of their way to embarrass you for some reason.

Developing High Impact Audits

by David R. Hancox, CGFM, CIA

*Listen to the MUSTN'TS, child,
Listen to the DON'TS
Listen to the SHOULDN'TS
The IMPOSSIBLES, THE WON'TS
Listen to the NEVER HAVES
Then listen close to me -
Anything can happen, child,
ANYTHING can be.*

Shel Silverstein

For the last 20 years I've been teaching a class called **Developing High Impact Audits**. Let's talk about some of the key issues from the class.

This class is about understanding the basics of our profession and carrying out the basic theory in a practical and competent way. It starts out by talking about failed audits - a financial statement audit with an unqualified opinion, but the firm goes bankrupt within a year; a compliance audit that misses some significant issue of noncompliance; a performance audit that is ignored by policymakers and does not bring about change.

Then the class discusses the five elements of a finding: criteria, condition, effect, cause and recommendation. In doing so, we observe that some audits may not properly develop each of these areas. Sometimes, only potential effect is cited as opposed to exploring and developing actual or real effects from the condition cited. Cause can be difficult to isolate and, therefore may not get the full attention it deserves. There is also a risk that the cause we claim is not the true cause of the conditions we found. Further evaluation may have identified a more fundamental or root cause. Also, we must resist the tendency to make a recommendation that addresses the condition found, [There are no controls over cash. Establish controls over cash.], but does not address the cause that led in the first place to the condition.

To develop cause, it helps to think about its relationship to the components of internal control. For example, while the cause of a finding may be rooted in missing or inadequate control activities - policies, procedures, segregation of duties, reconciliations. Sometimes we don't spend enough time exploring whether control is rooted in other components of

internal control. For example, did management properly assess risk - even if it wasn't on a formal basis, does management's allocation of resources reflect an adequate consideration of risk? Are there competent people in responsible positions? Are the information and communication systems working to assure a proper flow up, down, sideways and in and out of the organization? There are many other issues that could be explored.

With respect to recommendations, we must ask ourselves, "Are we making a textbook recommendation that do not reflect the actual operating environment confronted by management?" For example, to say, "segregate duties," may not be practical in an area that is understaffed and has no realistic expectation of getting more resources. In this case, the more value-added recommendation may be to establish detection controls that can be implemented on a risk basis.

We then talk about evidence. We discuss the value of documentary evidence in an age of color copiers, color printers, and access to corporate logos on the Internet. The ability to change or make up documents is significantly increased in today's environment. We talk about delays by agency staff in giving us access to files that are completed. The ability to purge, add or clean up the files is increased when delays occur. We talk about the CPA firms that have been snookered by client organizations. The latest being Grant Thornton and Parmalat - the managers at Parmalat pulled the bank confirmation request the auditors prepared and placed in the company's mail system and proceeded to prepare a phony letter from Bank of America, with corporate logo, and confirmed that a \$4.2 **billion** bank account existed. The auditors accepted this evidence.

CPA firms...
have been
snookered by
client
organizations.

We talk about testimonial evidence that is not freely given. If agency managers or internal auditors sit in on every interview you conduct, you have no assurance you are receiving competent and relevant evidence. You're probably better off not holding the interview than allowing it to be done under these conditions.

At one public authority, the auditors found prior audit working papers in the authority's files. Management apparently went into our room at night and photocopied important papers. I've seen altered documents and phony documents. In our some audits, we have seen management subsequently add information to original documents that we had in our possession. In another audit, officials sent us documentary evidence that supposedly supported a transaction. When we asked the auditor to go on-site and get the original documentation, the auditor saw a notation that had been blanked out on the copy provided to us. It was a note from management instructing staff how to evade complying with state purchasing requirements.

So this is basic auditing theory that we teach. Each of us, at all levels, should be engaged in a dialogue about this theory with our staff to better ensure that we collectively understand the concepts and can apply them consistently and effectively in our work.

Every one of us should study our profession, keep up with the frauds that are going on in the corporate world and understand how auditors have failed, discuss your findings and audit approaches with different people to get new ideas, work to produce the best possible products we can every day - and have fun!

...listen close to me-
Anything can happen, child,
ANYTHING can be.

Dave Hancox is co-author of two books on government performance auditing. He's on the faculty of Siena College and the USDA Graduate School in Washington DC.

Strategic Direction Committee Reports Success

By Dan Tworek, Strategic Plan Development Committee and Strategic Direction Committee

The past year has been an exciting one for the New York Capital Chapter as we have seen the results of the successful implementation of the Chapter's Strategic Plan. The Strategic Direction Committee conducted an assessment of where the Chapter stands with the implementation of its Strategic Plan, which was adopted by the Board of Directors in June 2002. Since then, the Chapter leadership has focused on aligning its governance structure and related Chapter activities with the goals and strategies defined by the plan.

A scan of Chapter operations since the Strategic Plan was adopted clearly indicates that the leadership is addressing the goals. These goals are as follows: Continuing Professional Education; Membership Growth and Retention; Early Career Development; Certification; Community Service;

Socialization; Recognition; Communication; Chapter Governance. A chapter member survey conducted in the Fall, 2003 demonstrated that, in general, the Plan is in alignment with member interest. Chapter Executive Committee minutes, the Chapter Newsletter, operational plans and reports prepared by the officers serve to demonstrate that the Plan is a dynamic and driving force behind the activities of the Chapter. Finally a scan of the National AGA's Long Range Plan indicates that the Capital Chapter is in alignment with the National goals.

However, the implementation of the Strategic Plan is ongoing. For example, the Strategic Direction Committee has begun work on the development of a Chapter Procedures Manual that will codify the various responsibilities and procedures involved with the officers

and directors. The Committee also evaluated the Chapter bylaws to ensure they complement National's bylaws where appropriate and provide the overall governance direction that the Chapter needs. These and a myriad of other chapter activities clearly demonstrate that the Chapter's Strategic Plan serves its membership well and future chapter leaders will have a foundation from which to plan and govern the Chapter's operations. Members can view the Chapter Strategic Plan on the Chapter's website at: http://www.aganycap.org/chapter_information/strategic_plan.htm.

Lead to Succeed: Achieving Excellence in Challenging Times

The New York State Leadership & Accountability Conference

Hart Theater—The Egg—Empire State Plaza, Albany, NY

June 23, 2004

Presented by the New York State Division of the Budget in cooperation with the Governor's Office of Employee Relations, the State Ethics Commission, the Office of the State Inspector General, and the Office of the State Comptroller

Program Highlights:

- Ensuring Effectiveness, Accountability and Achievement in Times of Crisis
- Overseeing Police reform in Northern Ireland
- The Price of Government—Getting the Results We Need in an Age of Permanent Fiscal Crisis
- How Do You Know When You Have Succeeded?
- Succession Management: Meeting the Challenges of a Changing Workforce
- Government Audit Challenges

For more information, call (518) 473-8087 or register on-line at <http://www.goer.state.ny.us/train/LeadershipApp.html>.

Association of Certified Fraud Examiners Albany Chapter Presents: Workers' Compensation Fraud

A three hour fraud presentation covering many important aspects of workers' compensation fraud. The presentation is geared toward augmenting the existing knowledge of workers' compensation professionals in identifying fraud potential and to encourage a collaborative effort between those professionals and the New York State Workers' Compensation Board, Office of Fraud Inspector General.

Topics of discussion:

- Fraud investigation/ Current concepts and theories
- Workers' Compensation Reform Act
- What exactly is Workers' Compensation Fraud?
- Identifying fraud potential
- Relevant laws used in the prosecution of workers' compensation fraud
- Elements of a fraud investigation and requirements for viable fraud prosecutions

Date: June 23, 2004
 Presenters: Vincent J. Fantozzi, Assistant Inspector General, Workers' Compensation Board
 Scott Jaffer, Assistant Inspector General, Workers' Compensation Board
 Location: Desmond Hotel, Wolf Road, Colonie
 Registration: 11:30 am
 Lunch: noon-12:50 pm
 Presentation: 1:00 pm to 4:15 pm
 Cost: \$20 for Albany ACFE members
 \$35 for other affiliate organization members (IIA, AGA, ISACA)
 \$50 for non-members
 3 CPE Credits will be available

Pre-registration is required; please register and/or cancel on or before June 21, 2004.

To make your reservations, please contact Melissa Jewett at jewettm@mail.amc.edu or by calling 518-262-6981.



*Advancing
Government
Accountability*

NEW YORK CAPITAL CHAPTER

TOPIC:

AWARDS CELEBRATION LUNCHEON
"CHAPTER AWARDS AND RECOGNITION
CEREMONY"

DATE:

THURSDAY, JUNE 17, 2004

TIMES:

11:30 AM – 11:45 AM – REGISTRATION
11:45 AM – 12:30 PM – LUNCH
12:30 PM – 2:00 PM – AWARDS AND RECOGNITION
CEREMONY

HOSTS:

KIRK SCHANZENBACH,
OUTGOING CHAPTER PRESIDENT
LORI VACCARO,
INCOMING CHAPTER PRESIDENT

LOCATION:

- MARRIOTT HOTEL – WOLF ROAD, COLONIE, NY

BUFFET MENU INCLUDES:

- SPICED CRUSTED CHICKEN BREAST
- GARLIC SPICED BEEF TIPS

COST:

- \$10 FOR AGA MEMBERS
- \$20 FOR OTHERS

President, Kirk Schanzenbach, summarizes the Chapter's successes for the year, and then turns the gavel over to our incoming President, Lori Vaccaro, who will outline her goals for the 2004-05 program year.

The event is also marked by the numerous recognition awards presented to the hardworking volunteers that help make our Chapter one of the most highly-regarded chapters in all of AGA.

In addition to the excellent networking opportunities during this program, the new officers and board members will be introduced to the group.

So, please mark your calendars and attend this year-end event that brings together our Chapter family to conduct a little business while having great food and lots of fun.



Registration: Online at www.aganycap.org or contact Rebekah Stanton at rstanton@kpmg.com - (518) 427-4811



*Advancing
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Accountability*

NEW YORK CAPITAL CHAPTER

EVENT:

**GOLF TOURNAMENT TO BENEFIT THE ALBANY
MEDICAL CENTER'S CHILDREN'S HOSPITAL**

SPONSORS:

- **ASSOCIATION OF GOVERNMENT ACCOUNTANTS -
NEW YORK CAPITAL CHAPTER**
- **INSTITUTE OF INTERNAL AUDITORS - ALBANY
CHAPTER**
- **INFORMATION SYSTEMS AUDIT AND CONTROL
ASSOCIATION - HUDSON VALLEY CHAPTER**

DATE:

JUNE 25, 2004

LOCATION:

**STADIUM GOLF CLUB
333 JACKSON AVE
SCHENECTADY, NY 12304**

TIME:

**8:00 AM START
SCRAMBLE FORMAT**

AWARDS:

**1ST PLACE TEAM PRIZE
LONGEST DRIVE
CLOSEST TO THE PIN**

REGISTRATION:

**[www.AGANYCAP.ORG](http://www.aganycap.org)
BY JUNE 11, 2004**

The local chapters of the Association of Government Accountant (AGA), Institute of Internal Auditors (IIA) and the Information Systems Audit and Control Association (ISACA) are co-sponsoring a golf tournament to benefit the Albany Medical Center Children's Hospital and you are invited to participate.



The day will include 18 holes of golf at the Stadium Golf Course in Schenectady as well as a breakfast in the morning, and an awards ceremony with complimentary hors-d'oeuvres. The cost of this event will be \$60.00 per person with the proceeds to benefit the Albany Medical Center's Children's Hospital.

Please join us for a day of golf and to support the wonderful accomplishments of the Children's Hospital. Don't have a full team? Not a problem! We will round out your team with other participants (we'll contact you about your team prior to the event).

To register for this event, go on-line at www.aganycap.org/community_service/charity_golf.htm or Contact Ken Evans at kevans@dot.state.ny.us if you have any questions.



Join AGA for the 53rd Annual Professional Development Conference (PDC) & Exposition

**June 27-30, 2004
Marriott Wardman Park Hotel
Washington, D.C.
Up to 25 CPE Credit Hours Available!**

For four days in June, leading public sector government financial managers will come together in Washington to discuss the best ideas for achieving accountability in government.

Learn from Dynamic, Thought-Provoking Speakers

To stay at the top of the profession, it's not enough for government financial managers to keep up to date on current developments in the field. To position yourself as a leader, you must understand emerging issues and trends to be prepared to handle the inevitable challenges and crises that arise in an ever changing environment. Technological advances in government financial management have changed financial reporting. New regulations have made those changes mandatory. Are you prepared to face these challenges? The PDC more than 80 educational sessions that address the timeliest issues affecting government financial management. Confirmed speakers include:

- Tom Allen, Chairman, Governmental Accounting Standards Board
- Phil Bryant, State Auditor, State of Mississippi
- David S.C. Chu, Undersecretary of Defense for Personnel Readiness, U.S. Department of Defense
- Douglas R. Carmichael, Chief Auditor and Director of Professional Standards, Public Company Accounting Oversight Board
- John Hamre, President and CEO, Center for Strategic and International Studies (CSIS)
- Gwendolyn Sykes-Brown, Chief Financial Officer, National Aeronautics and Space Administration

- David M. Walker, Comptroller General of the United States, U.S. General Accounting Office
- And many more!

Make a Commitment to Excellence

AGA's 53rd Annual Professional Development Conference & Exposition (PDC), with the theme, "Technology: Powering the Accountability Age," is one important way professionals can become more knowledgeable about the complexities of meeting new expectations for accountability. Commit to excellence today by registering for one of the top training events of the year.

Peer Networking, Exhibits & Creative Solutions Await!

The PDC brings together more than 1,200 professionals from all levels of government. Consider the benefits. Leaders in the field will discuss the timeliest issues affecting government financial management. The high-quality sessions alone are the biggest reason to attend, but the PDC is more than that. The PDC offers unparalleled opportunities to make valuable professional contacts. Discuss challenges with your peers and discover creative solutions. Connect with a national network of your colleagues. Check out exhibits of the latest information technology products and services that make agencies more effective.

Visit the AGA National Office website at www.agacgfm.org/pdc to view the conference agenda and obtain information on registration, hotel accommodations and travel discounts.

See you in Washington!

Early Careers Center



For Interview Success Start by Asking the Right Questions

by Deborah Walker, CCMC

Often the greatest interview anxiety focuses on trying to anticipate all the correct answers to interview questions. Equally important, however, are the questions YOU ask the interviewer. If job interviews are getting you no closer to an offer, maybe you are not asking the right questions.

There are three types of questions that help jobseekers gain interview advantage:

- Questions to uncover the interviewers top hiring motives
- Questions to illustrate the candidates interest and intelligence
- Questions to uncover the interviewers unspoken concerns

1. Questions to uncover the interviewers top hiring motives

You'll answer the interviewer's questions better once you know his/her particular hiring concerns. Here are examples of questions that will help you get inside the head of the interviewer:

- What do you see as the toughest challenge of this position?
- What qualities do you see as most important for this position?
- Why have others failed in this position?

Once you've asked any or all of the above questions, listen very closely. The first thing the interviewer says reveals his/her truest feelings. Use this information as insight for answering his/her questions to you. After all, what is an interview but a sales presentation? Any salesperson will tell you that you cannot sell until you know what the buyer wants.

2. Questions that illustrate your interest and intelligence

Did you know that an intelligent question can impress an interviewer even more than a snap answer?

The best types of questions to showcase your intelligence and interest come out of your research of the company and industry. You may want to ask questions concerning:

- Strategy for reaching a specific niche market
- The company's long-range goals
- Territorial expansion plans

Granted, some information may be deemed confidential. If you begin your inquiry with, Can you tell me... you give the interviewer an out if he/she cannot speak on the subject. Either way, you get the opportunity to impress the interviewer with your intelligent curiosity about corporate goals and plans.

Remember, pre-interview research is the key to forming insightful questions. Never try to wing your way through an interview without finding out facts ahead of time. Some good sources for research include:

- Online searches using search engines such as Google or Yahoo
- Public library reference materials
- Company website
- Press releases

If you've been out-performed in interviews lately, try this strategy and see if you don't get called back for second interviews more often.

3. Question to uncover the interviewers unspoken concerns.

As you sense your interview winding down, don't forget to find out what issues or concerns the interviewer has concerning you as a good candidate fit. Don't make the assumption that the interviewer will volunteer his/her concern. Nine times out of ten they won't. If you don't ask, the interviewer won't tell you his negative perceptions of you. The most straightforward way to find out is just to ask:

- What concerns do you have that prevent you from asking me back for the second interview?
- What concerns do you have that prevent you from offering me the position?

Once you've asked this question, be still and listen closely to how the interviewer responds. Pay attention to body language as well. If the interviewer says I have no concerns, while averting his eyes, or touching his face, it's a sure sign the interviewer DOES have concerns but is reluctant to state them. If so, a little gentle prying is in order as long as you don't make the interviewer too uncomfortable.

Once the interviewer has stated his concerns, use the opportunity to answer with one of your previously thought out success stories that illustrate your ability to meet or exceed his expectations.

If you've done your pre-interview homework and conducted a little role-play practice, using these three types of questions in your next interview will help you reach your career objective faster. Here's hoping you get a chance very soon to try out all three of these types of questions in an interview.

Three Things Every Recruiter Looks for in a Resume

by Deborah Walker, CCMC

If you are in the middle of a job search, recruiters can be either your friend—or your foe. They make the choice to keep you out of the hiring process or to introduce you to corporate hiring decision makers. The quality of your resume is a key factor in determining how recruiters will treat you in the job market.

There are three things every recruiter looks for in a resume:

- Focus
- Core competencies or transferable skills
- Accomplishments

If your resume lacks any of these crucial elements, then you are probably not capturing the attention you deserve, and you are missing out on important interview opportunities.

1. Focus

Since recruiters' time is at a premium, they must know your career focus within seconds of opening your resume. If your career focus isn't clearly stated, you can't assume the reader will take the time to search through your resume for clues. Most recruiters consider "Career Objective" statements worthless if they contain no real information about the specific position you are looking for and the industry expertise you offer. The best objective statements are concise and to the point.

2. Core competencies or transferable skills

Once a recruiter understands your focus, he/she will want to know if you have the required core competencies or transferable skills to accomplish the job. A thorough research of employer job descriptions will help you identify the core competencies your resume must feature.

You'll capture and hold recruiter attention by including only those core competencies relating specifically to your focus. Be careful not to muddy up your personal marketing message by including extraneous skills. If you remember the all-

important rule of relevancy, you'll go a long way toward keeping the reader's attention on your key skills.

3. Accomplishments

Once your resume has made it through the initial screening for focus and skills, the recruiter will want to know how you stack up against other candidates. Remember, with record-high resume response to job openings, recruiters need good, solid reasons to recommend you for consideration over the mountain of other candidates. Clear, concisely stated accomplishments are the best way to distinguish yourself from your competition.

Whether the recruiter works for one corporation or represents many corporate clients as a third-party recruiting consultant, he or she must be able to give valid reasons for promoting you as a viable candidate. You can make their job infinitely easier by including the information they need—and bring your resume to the top of the candidate pile. When your resume sells itself, you gain advantage points, and make the recruiter look good as well.

For optimum impact, write accomplishments that illustrate the strength of your core competencies, transferable skills and focus. An accomplishment is only valuable to your resume if it promotes the skills your target employers are looking for. Remember the rule of relevancy as you craft each of your accomplishment statements.

In today's extremely competitive job market, employers rely heavily on recruiter to screen out the crowd of applicants. Allow them to present you as one of their best candidates by letting your resume present your best abilities.

Deborah Walker, CCMC

Resume Writer ~ Career Coach

Find resume and job-search tips in the article archive at www.AlphaAdvantage.com

Email: Deb@AlphaAdvantage.com

CGFM Recognized in NY Office of State Comptroller

The persistence of AGA's New York Capital Chapter has resulted in recognition of the CGFM certification within the Office of State Comptroller, which employs more auditing, accounting and finance professionals than any other agency in New York State government.

CGFM recognition means that applicants for two of the major job titles in the office—state program examiner and municipal program examiner—can earn two points on an entry-level rating exam that assesses education, qualifications and experience. The highest rating is 15 points.

Chapter president Kirk Schanzenbach, who is also with the Office of State Comptroller (OSC), said earning the CGFM will not only help job applicants, but also employees seeking promotion. Participating in professional associations and maintaining certifications are formally considered as a factor in the performance assessment promotion process.

Schanzenbach said the move to bring more recognition for the CGFM Program stemmed from the chapter's strategic plan, developed a couple of years ago. Chapter officers each took on a focus area, and vice president Francine Marzinsky, CGFM, put CGFM recognition at the top of her priority list.

The OSC was the most logical place to start. Agency Executive Deputy Comptroller, Diana Ritter, strongly supports professional associations and employees pursuing certifications in their professional fields. Not only has the agency been at the forefront of recognizing professional certifications, it has a strong AGA presence and bureau chiefs supported it. OSC's personnel director Jay Canetto became a champion of the cause, supporting the use of certifications within OSC and helping put the professional certifications agenda before the state Department of Civil Service.

Schanzenbach said it would have been very difficult, if not impossible, to be heard before the Civil Service Department if not for Canetto's help. His support and influence within the civil service system was critical to the success of our efforts, he said.

Another important advantage was that AGA was not acting alone, Schanzenbach said. The chapter contacted and partnered with other professional associations, among them the New York Society of CPAs and the local chapters of the Institute of Internal Auditors and Certified Fraud Examiners. Not only is the CGFM recognized now, but also the CFE, CFM, CGAP, CMA and CIA. The CPA and the CISA were already recognized as proof of two years of experience.

The chapter is working on other fronts as well. Members are in discussions with the Civil Service Department about recognizing the CGFM in hiring and promotions of accounting and auditing positions statewide. At the same time, the chapter has prepared a letter about recognition of professional credentials to distribute to state personnel directors and audit and finance bureau directors.

The letter was reviewed by Civil Service officials, and Canetto then

took it to the state Council of Personnel Directors' executive committee for their review and approval.

Once the materials are given the OK, the chapter will distribute them with an appeal to call the chapter representatives or the state Civil Service Department if anyone needs help establishing recognition. (Any AGA chapter leaders who want more information can contact Schanzenbach at kschanzenbach@osc.state.ny.us.)

For now, the OSC is the only New York state agency to recognize the CGFM. "We have a win there," Schanzenbach said, "but we haven't been able to go through all the other agencies yet, and it's a long and complicated process."

However, Schanzenbach is very pleased with Marzinsky's work and the progress that has been made. He is also optimistic that wider recognition throughout state government will come—with persistence. "I don't think it will be that difficult, but because of the size and complexity of New York State government, it just takes time," he said.

Source: AGA's *TOPICS*, March 15, 2004

President's Message

Continued from page 2.

The new Chapter officers and Directors are already starting to plan Chapter activities for the next year. If you are interested in participating in any of the planning activities, please contact the appropriate person listed on the back page of this newsletter or on our Chapter Website, www.aganycap.org to get involved. We encourage and welcome any involvement of Chapter members. The more members we have involved, the stronger and better our Chapter will be!

One last reminder, if you haven't renewed your membership, please take a few minutes to renew today and pass the word about AGA along to others that you think might be interested in joining. You can renew your membership on line at: <http://www.agacgfm.org/membership/join/>. We hope that we have exceeded our Chapter members' expectations. As always, we welcome your feedback on any of our programs, events or other activities at any time. We do pay attention to them. Feel free to contact me, or any of our officers with your comments, ideas or suggestions.

Thank you all again for such a great year!

For more information on AGA New York Capital Chapter, including our organization, history, finances, current officers, accomplishments, meeting minutes, etc, you can visit www.aganycap.org/chapter_information/main.htm.

AGA New York Capital Chapter Chapter Recognition Program FY 2003-2004 - Fourth Quarter (February, March, April)

The New York Capital Chapter had an outstanding year in the Chapter Recognition Program. We completed the year with nearly 9,000 points in the fourth quarter alone. We started off the year strong and wrapped up the year even stronger.

We will be recognized for our stellar performance with a plaque signifying our Platinum Chapter Designation that will be presented to our chapter at the 2004 Professional Development Conference in Washington, DC.

Thanks to the CEC members who were instrumental in making this an extremely successful year.

<u>Section</u>	<u>Through 3rd Quarter</u>	<u>4th Quarter</u>	<u>Total</u>	<u>Maximum</u>
Chapter Leadership, Planning and Participation	3,800	175	3,975	3,000
Education & Professional Development	3,950	3,450	7,400	4,000
Certification	3,550	2,275	5,825	4,000
Communications	5,428	861	6,289	3,000
Membership	2,125	125	2,250	3,000
Community Service	4,025	1,925	5,950	2,000
Awards	<u>4,350</u>	—	<u>4,350</u>	<u>1,000</u>
Total	<u>27,228</u>	<u>8,811</u>	<u>36,039</u>	<u>20,000</u>

If you would like to become more involved in chapter activities or join a committee please contact Lori Vaccaro or any member of the CEC listed at the end of this newsletter.

C G F M

Have You Renewed Your CGFM Certification for 2004?



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by Katya Silver
AGA Director of
Professional
Certification
Administration

Each year you need to renew your CGFM certification to retain it. It is a simple process. You can renew your certification online at <https://www.agacgfm.org/cgfm/renewal.htm>.

The requirements for retaining your CGFM certification are as follows:

1. Pay the CGFM renewal fee at the beginning of every year. This is \$20/year for AGA Members and \$50/year for Non-Members.
2. Adhere to the AGA Code of Ethics.
3. Complete at least 80 hours of continuing professional education (CPE) every two years in government financial management topics or related technical subjects.
4. Maintain and, if requested by AGA, provide detailed information on CPE hours completed.

Individuals not in compliance with the above requirements may not present themselves as a "CGFM" (either in writing or orally) or display the CGFM certificate.

If you have retired, if you are unable to renew your certification because you have not fulfilled the CPE requirement, or if you have questions about your CPE cycle, please contact the Office of Professional Certification at 1-800-AGA-7211.

If you do not renew your CGFM, it will be voided. After a certificate is voided, the Office of Professional Certification may grant recertification upon receipt of a letter of redress. In addition, you may be required to pass the three CGFM exams before recertification is granted. Clearly, the renewal process is a much easier process than recertifying, so please do not hesitate and renew your CGFM certification today.

AGA - New York Capital Chapter Chapter Awards for 2003-2004

Chapter Service Certificates

Michael A. Abbott, CGFM
 Jay Canetto
 Eileen L. Chambers
 Martin Chauvin
 Karen A. Cushman
 Kenneth Evans
 Brian E. Gee
 Richard A. Gerard, CGFM
 Thomas J. Goodfellow
 Deborah K. Harrington
 Kevin T. King
 Brian E. Mason, CGFM
 Anne Marie Miller
 Donna Moretti
 Mary E. Peck
 Alison Pingelski
 Lori Russo
 Sandra M. Schleicher
 Gary W. Simpkins, CGFM
 Rebekah Stanton
 Shelly A. Talaporos
 Suzanne Trzcinski

Chapter Service Awards

Jill M. Flinton
 Raymond H. Harris, CGFM
 Marcella Junco
 Ann M. Marsh
 Roger C. Mazula, CGFM
 Francine M. Marzinsky, CGFM
 James J. Nellegar, Jr.
 John S. Samaniuk, CGFM
 Daniel W. Tworek, CGFM
 Lori A. Vaccaro
 Nancy J. Varley

The John Wrafter Distinguished Chapter Service Award

Linda C. Zinzow, CGFM

The Tone from the Top Excellence Award

David R. Hancox, CGFM

Chapter Champion Award

Robert H. Attmore, CGFM
 James C. Cox, CGFM

National AGA Office Awards

Chapter Recognition Program

First Place

Chapter Service Award

Roger C. Mazula, CGFM

National Education Award

Raymond Harris, CGFM

National Website Award

James Nellegar

National Newsletter Award

Roger C. Mazula, CGFM

Recruiter of the Year

Kirk Schanzenbach

The winners of the "Sponsor a CGFM Candidate" contest are Thomas Mahoney, Dave Hancox and Cal Spring. By encouraging associates to consider pursuing the CGFM designation, they received a gift certificate from Simply Certificates. Thank you Thomas, Dave, and Cal!

Advancing Government Accountability

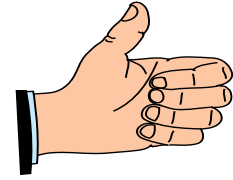
Surf over to the New York

Capital Chapter's Website

<http://www.aganycap.org>



Welcome and Thanks



We'd like to take one last opportunity to say welcome to our new members and say thank you to their sponsors.

Suzette Baker, NYS Office of State Comptroller
 Jason Bedell, CPA, KPMG LLP
 Michael Beebe, KPMG LLP, sponsored by Rick Hannmann, CGFM
 Jennifer Brown, NYS Office of State Comptroller, sponsored by Cheryl Simpkins
 Stephen Bugler, HHS OIG OAS, sponsored by Jill Flinton, CPA
 Jody Bundick, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Alfred Burton, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Lynn Canton, NYS Office of State Comptroller, sponsored by Ray Harris, CGFM
 Ronald Caponera, Town of Colonie, sponsored by Jill Flinton, CPA
 Wayne Carpenter, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Danielle Caruana, Lumsden & McCormick, LLP, sponsored by Denise Grebert, CPA
 Vincent Caterina, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Rima Cerrone, Albany County Airport Authority, sponsored by Dwight Hadley
 Lori Coleman, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Tina Colosimo, Lumsden & McCormick, LLP, sponsored by Denise Grebert, CPA
 Louis Cosentino, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Kenneth Cox, CGFM, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Steven DeGross, HHS OIG OAS, sponsored by Jim Cox, CGFM
 Tony Dolan, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Susan DuFour
 John Earl, NYS Dept. of Motor Vehicles, sponsored by Katie Meyer, CGFM
 Keith Foley, CGFM, NYS Dept. of Motor Vehicles, sponsored by Ed Wade, CGFM
 Jeff Fuller, NYS Office of State Comptroller, sponsored by Ray Harris, CGFM
 Kelly Gardineer, NYS Dept. of Motor Vehicles, sponsored by Ed Wade, CGFM
 Patrick Hall, NYS Office of State Comptroller
 Marilyn Harfenist, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Melissa Jefferies, CPA, NYS Teacher's Retirement System
 Madeline Johnston, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Beverly Jones, NYS Office of State Comptroller
 Tom Kelly, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Nadine Kilcullen, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Kevin King, CPA, Town of Malta, sponsored by Kirk Schanzenbach
 Lorraine Kiselewsky, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Dawn Kotin, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Mary Kozlowski, NYS Dept. of Motor Vehicles, sponsored by Ed Wade, CGFM
 Emily Kunchala, KPMG, LLP, sponsored by Rick Hannmann, CGFM
 D'Jyna LaBossiere, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Mario Lijoi, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Bryan Mahoney, KPMG, LLP, sponsored by Rick Hannmann, CGFM
 David Malone, NYS Thruway Authority, sponsored by Jill Flinton, CPA
 Larry Maxon, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Kimberly McDonough, NYS Div of Housing & Community Renewal
 Audrey Menard, NYS Dept. of Motor Vehicles, sponsored by Ed Wade, CGFM
 Ryan Messier, Lumsden & McCormick, LLP, sponsored by Denise Grebert, CPA
 Scott Messineo, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach

Lisa Millard, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Ann Marie Miller, NYS Office of State Comptroller, sponsored by Eileen Chambers
 Lydia Mitchell, NYS Office of State Comptroller
 Kenneth Morrison, NYS Dept. of Motor Vehicles, sponsored by Ed Wade, CGFM
 Erin Murphy, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 James Olson, City of Jamestown NY, sponsored by Francine Marzinsky, CGFM
 Marisol Pereira-Salazar, NYS Office of State Comptroller
 Chris Pinkoski, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Carrie Piser, NYS Office of State Comptroller
 Stephen Raptoulis, Lumsden & McCormick, LLP, sponsored by Denise Grebert, CPA
 John Rickard, NYS Dept. of Motor Vehicles, sponsored by Ed Wade, CGFM
 Chet Roberts, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Sharon Salembier, CPA
 Kristen Sankey, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Gary Sarafin, NYS Dept. of Motor Vehicles, sponsored by Ed Wade, CGFM
 David Sears, Lumsden & McCormick, LLP, sponsored by Denise Grebert, CPA
 Stephanie Sheridan, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Mary Shoff, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Jeffrey Stein, NYS Dept. of Labor
 Timothy Stewart, KPMG, LLP
 Nancy Stone, Lumsden & McCormick, LLP, sponsored by Denise Grebert
 Patricia Swain, NYS Office of General Services
 Jennifer Switzer, Town of Queensbury, sponsored by Henry Hess, CGFM
 Daniel Towle, NYS Office of State Comptroller, sponsored by Roger Mazula, CGFM
 James Tunney, Town of Clifton Park
 Courtland VanDeusen, Lumsden & McCormick, LLP, sponsored by Denise Grebert, CPA
 Edward Wade, CGFM, NYS Dept. of Motor Vehicles, sponsored by Francine Marzinsky, CGFM
 Deanne Webster, NYS Office of State Comptroller, sponsored by Cheryl Simpkins
 Paul Weslowski, NYS Office of State Comptroller, sponsored by Kirk Schanzenbach
 Mary Zysinksi, Lumsden & McCormick, LLP, sponsored by Denise Grebert, CPA

Membership News

by Jill Flinton, Vice President for Membership

2003-2004 Membership Recap

We had a very good membership year. National set goals for us, which included having 413 active members as of April 31, 2004; 75 new members; and retaining 338 members from last year.

I am pleased to say that we had 364 active members as of April 30, 2004 (88% of our goal), 73 new members (97% of our goal) and 300 retained members (87% of our goal). For our efforts, Kirk Schanzenbach, Chapter President, won the Recruiter of the Year Award for recruiting 26 new members. Kirk's award will be presented at the 2004 Professional Development Conference in Washington, D.C. on June 30, 2004.

Locally, we held our chapter membership contest. Denise Grebert, CPA and Ed Wade, CGFM both recruited 8 new members and will receive their prizes at our Celebration Luncheon on June 17, 2004 at the Wolf Road Marriott.

2004-2005 Membership Year

After being the VP for Membership for several years, I have decided to step down. Eileen Chambers will be the new VP for Membership. Please support her as much as you have supported me. Eileen has some innovative ideas for next year, and will be asking for assistance. I will still be an active member of AGA, so don't hesitate to contact me with any questions. Eileen's contact information is 518-402-2508 and echambers@osc.state.ny.us

Member Items

Stan Lockwood is retiring soon from the NYS Office of Mental Health. We wish Stan well in his retirement.

Francine Marzinsky, CGFM was promoted to Tax Processing Manager 1 at the NYS Dept. of Taxation & Finance.

Accountancy Board Leader Looks to New Year, Ongoing Issues

by Kate Prouty, *The Trusted Professional* (NYSSCPA), June 2004

Possessing a wide-reaching command of public, private and government accounting, Society member J. Dwight Hadley will now chair the New York State Board for Public Accountancy, on which he has served as a member for approximately nine years. Hadley replaced Nicholas J. Mastracchio Jr. as chair on June 1.

Hadley feels the National Association of State Boards of Accountancy's (NASBA) proposal to grant reciprocity to out-of-state CPAs will remain at the forefront of the board of accountancy's agenda this year.

"In concept, the board (of accountancy) is 100 percent in support of out-of-state reciprocity," Hadley said, "but the practical issue is that there are so many jurisdictions and everyone does things slightly differently. Our (the board's) responsibility is to monitor the way things happen in New York State. To open it up to other states, we would need to be sure that we have all the safeguards to do so."

Hadley also made his position known on peer review disclosure, another hot issue for the board to discuss during its meetings this year.

"I am personally in favor of peer review disclosure—otherwise how do you know it's been done—but we need to find a way it can be done with ease," said Hadley, who feels firms are more than willing to disclose the information if it doesn't cause excessive burden, particularly to financially vulnerable small firms and nonprofit organizations.

The board will also play a role in how the State monitors audit regulations, Hadley said, and how to apply them in different situations, such as in a public company audit as compared to a government audit.

"We live in an environment where different auditing standards apply to different situations. Adapting new standards is not necessarily the worst thing in the world, we just have to monitor this as it develops," Hadley said.

The board is responsible for advising the State's Board of Regents and the State Education Department (SED) on matters on professional preparation licensure, practice and discipline for CPAs and public accountants in New York State.

Hadley currently spends most of his days at Albany International Airport, not in transit, but overseeing all financial affairs, property management and concession negotiations as CFO of the Albany County Airport Authority.

"Airports are fascinating places to work, understanding it's a 24-hours-a-day, 365-days-a-year job in which you always find something new to do," Hadley said of his unpredictable career. Working for the good of all the CPAs and PAs in New York State may feel the same way.

Prior to his post at the airport, Hadley gained experience in public accounting for 10 years with Arthur Young & Company and for a few years in private practice before eventually working in government accounting on the local and state levels, where he's remained since the mid-1970s. He feels the "advantage of having been on many sides of the fence" will work in his favor in communicating with the Board of Regents and the SED.

Hadley has chaired several NYSSCPA statewide and chapter committees and has been a member of the American Institute of CPAs' Government Accounting and Auditing and Members in Government committees. In addition to serving as an editorial advisor to the *Journal of Accountancy*, Hadley is a founding member and past president of the New York State Government Finance Officers' Association.

Ed: - Dwight Hadley is also a member of the New York Capital AGA Chapter. Congratulations Dwight!

Malta Comptroller Cited for Excellence

Malta — Malta Town Comptroller Kevin King was recently awarded the Frank C. Moore Award for excellence in local government by the Empire State Capital Area Chapter of the American Society for Public Administration.

Albany *Times Union*, Friday, April 16, 2004

The Moore award is given for outstanding individual service and initiative that has exemplified superior management and administration in local government.

"I believe that our comptroller is second to none. He does a great job of guarding the taxpayers money," Supervisor David R. Meager said.

"Under his leadership, our open space program was instituted, a pension program for our volunteers was established, town departments have been more efficiently re-organized, grants for various projects have been secured, purchasing practices have been streamlined and that only scratches the surface. In truth, his fingerprints are on every one of our successful projects," Meager said.

King volunteered to lead a town committee to study the community's emergency management plan, which was updated after the terrorist attacks on 9/11.

In less than a year, the town's Comprehensive Management Plan has been completely revised, several tabletop emergency preparedness exercises to educate officials have been held, a well-equipped emergency operation center has been established, staging areas have been determined — which include a secondary EOC, helipad and triage area — and inter-municipal agreements have been signed with several other towns for use of equipment and manpower.

King also implemented an emergency evacuation assistance program designed for special needs people living at home who would need help with evacuation.

Chapter Executive Committee

April 13, 2004
Minutes

In attendance: Mike Abbott, Eileen Chambers, Marty Chauvin, Ken Evans (via phone), Jill Flinton, Ray Harris, Rosemary Ellis Johnson, Kevin King, Ann Marsh, Francine Marzinsky (via phone), Roger Mazula, James Nellegar, Kirk Schanzenbach, Amanda Shook, Shelly Taleporos, Lori Vaccaro (via phone), Nancy Varley, and Linda Zinzow (via phone).

Action Items (* Denotes carry over from previous meeting)

1. * Provide information and input to Dan Tworek on how objectives integrate with the strategic plan. - Membership Committee
2. * Send out notice of upcoming community service events. - Ann Marsh
3. * Contact individuals at the University at Albany about recruiting opportunities. - Ann Marsh
4. * Contact agencies to determine if old lap tops may be donated. - Kirk Schanzenbach, Jim Nellegar and Mike Abbott
5. * Ken will send golf info to Ray who will have it published in community events section of newspapers. - Ken Evans and Ray Harris
6. * E-mail OSC bulletin on paying for Association memberships to all Internal Audit Directors. Also share information on how it could save money on education events. - Ray Harris and Kirk Schanzenbach
7. * Increase Community Service budget by \$200. - Brian Gee
8. * Provide the promotional materials for the Golf tournament and for getting sponsors for the tournament to the CEC. - Ken Evans
9. Research how the old scholarship program was run and the scholarship guidelines. - Ray Harris and Roger Mazula
10. Discuss the possibility of secure members-only pages on the website with the new webmaster. - Jim Nellegar
11. Contact the Times Union and other local AGA chapters to inquire about their membership discount programs. - Eileen Chamber
12. Research how to implement the mentoring program. - Kirk Schanzenbach
13. Follow-up with the National Office regarding CGFM review classes. - Francine Marzinsky
14. Arrange for the Chapter to be a part of the WMHT membership drive. - Ann Marsh
15. Frame the picture of Seabiscuit to be send to the PDC. - Kirk Schanzenbach
16. Contact the National Office to see if the Chapter has any free registrations from last year. - Jill Flinton
17. Distribute the slate of officers for next year. - Lori Vaccaro

Decisions Made

1. Motion: Accept minutes for March 9, 2004 CEC meeting with one correction made to the date. Motion by Jill Flinton; Second by Rosemary Ellis-Johnson; passed unanimously.
2. Motion: Allocate \$4,000 to send members to the PDC. Motion by Linda Zinzow, Second by Kirk Schanzenbach; passed unanimously.
3. Motion: Approve the non-standing committees and the chairs of the committees. Motion by Lori Vaccaro, Second by Linda Zinzow; passed unanimously.

Other Meeting Notes:

Committee Updates

Each committee updated the CEC on discussions and issues with the committees:

Budget/Finance Committee – Financial statements were distributed as well as a copy of all transactions in the cash account for the month. All joint

Chapter events were adjusted appropriately. The Chapter is on target to be ahead of the net income goal for the year. The financial success of The Conference That Counts 2004 was also noted.

Education – The April 27, 2004 meeting is set for the Crowne Plaza and Coach Lanier from Siena has confirmed as guest speaker. Registration for the event can be done up until the day before the event. There is a speaker change for the May event. Judith Miller from the SUNY Procurement Office will now speak at the Century House in Latham on May 27, 2004. There is a \$15 early bird discount available. The TCTC evaluations were positive and the event ran very smoothly. Ray Harris was notified that the Chapter won the National Chapter Education Award for the second consecutive year that the award has been in existence.

Communication – The Chapter has entered both the newsletter and website competitions this year. Jim Nellegar is in the process of purchasing Frontpage software for the Chapter so we can update our site. The committee is still looking to obtain a surplus PC to be used solely for the Chapter. Roger Mazula has been awarded the Chapter Service Award.

Membership - Our membership currently is at 343 and our goal is 400. Membership renewals were due March 31, 2004; however there is a two-month grace period. In agencies that took part in the group discount, there is some confusion about how much members should pay. This confusion coupled with the change in early career status from 6 years to 4 years could result in losing members. The committee has researched best practices to determine the best ways to recruit and retain members using websites from other local AGA chapters. The research showed that a variety of ideas should be incorporated for best results. The committee felt that some of the ideas could possibly be incorporated into the business luncheon in June, such as:

- Honor longevity members (i.e., starting at 15 years of membership).
- Award member recruiters and introduce all new members with the sponsor at the luncheon.
- Provide top recruiter with award (possibly free event registration).
- Hold raffle for recruiters. For every new member, recruiter gets a raffle ticket. Recruiter must be present at the drawing to win.
- Have a guest speaker at the luncheon that discusses the benefits of joining the organization.

After a discussion, it was agreed to incorporate as many of these ideas as possible into the June Business Lunch.

Other ideas included:

- Host the luncheon prior to when the dues are due to be paid and consider making the luncheon financial in nature (i.e., estate planning, retirement, tax updates, etc.) The Education Committee will meet on April 22, 2004 and discuss the idea then.
- Offer academic scholarships to either members or children of members. The Chapter has had a scholarship program in the past which was financed by the interest from the bank account. Ray Harris and Roger Mazula will research how the old scholarship program was run and the guidelines used.
- Have a members-only site with benefits for the members such as handouts from conferences, job advertisements, etc. In order to do this, the Chapter will need to change the website vendor used so pages would be secure. Jim

Nellegar will discuss the issue with the new webmaster.

- Assign longevity members to mentor Early Career members. The Chapter does have a book on mentoring programs, and it has been considered in the past. Kirk will research the idea.
- Offer a discount program at local stores to members. A discount program could become very complex. Eileen Chambers will contact the Times Union and other local AGA chapters that already have discount programs in place to research the idea further.

Jill Flinton also suggested that the Chapter could possibly hold some events during the summer months for those agencies that need to use training money during those months. The education committee will discuss the idea during their meeting on April 22, 2004.

Certifications – Brochures on the CGFM are completed and were handed out. The brochures will be sent to select agencies along with a letter summarizing each certification and describing why the agency should include the designation in their hiring process. There are 19 State agencies that will be receiving the information.

Community Service – The VITA program was very successful with 250-300 hours of time being donated. The Chapter will again participate in the WMHT membership drive in June, details will be available soon.

Participation at the Professional Development Conference

A picture of Seabiscuit will be framed and then donated to the National Committee Service Raffle. It was decided that instead of setting a specific number of people the Chapter will pay to send to the PDC, setting a dollar amount of money the Chapter would spend would be more flexible. A motion was made to allocate \$4,000 to send members to the PDC. The motion passed unanimously.

Planning for Next Year

There will be two new committees next year: the Marketing Committee (replacing the Early Careers Committee and to be chaired by Ray Harris) and the Socialization Committee (chaired by Ken Evans). Lori Vaccaro will provide a slate of the officers for next year. A planning meeting will be held following the Business Luncheon in June. The Strategic Direction Committee will report results in the next meeting and is working on the policies and procedures manual.

Chapter Executive Committee

May 11, 2004
Minutes

In attendance: Mike Abbott, Rosemary Ellis-Johnson, Ken Evans (via phone), Jill Flinton, Brian Gee, Ray Harris, Ann Marsh, James Nellegar, John Samaniuk, Kirk Schanzenbach, Amanda Shook, Shelly Taleporos, Dan Tworek, Lori Vaccaro, Nancy Varley, and Linda Zinzow (via phone).

Action Items: (* denotes carry over from previous meeting)

1. * Provide information and input to Dan Tworek on how objectives integrate with the strategic plan. Responsible person: Membership Committee.
2. * Contact individuals at the University at Albany about recruiting opportunities. Responsible person: Ann Marsh.
3. * Contact agencies to determine if old laptops may be donated. Responsible person: Linda Zinzow.
4. * E-mail OSC bulletin on paying for Association memberships to all Internal Audit Directors. Also share information on how it could save money on

- education events. Responsible person: Ray Harris / Kirk Schanzenbach.
5. * Research how the old scholarship program was run and the scholarship guidelines Responsible person: Ray Harris / Roger Mazula.
 6. * Discuss the possibility of secure members-only pages on the website with the new web-master. Responsible person: Jim Nellegar.
 7. * Contact the Times Union and other local AGA chapters to inquire about their membership discount programs. Responsible person: Eileen Chambers.
 8. * Research how to implement the mentoring program. Responsible person: Kirk Schanzenbach.
 9. E-mail survey document to Jim Nellegar to put on the officers page of the website. Responsible person: John Samaniuk.
 10. Send out the entire outline of responsibilities as an example of the format to CEC members. Responsible person: Linda Zinzow.
 11. Send Linda Zinzow an estimated date of completion for the position description outlines. Responsible person: All.
 12. Write an article for the newsletter about the Strategic Direction Committee. Responsible person: Dan Tworek.
 13. Determine the number of Early Career members that have joined. Responsible person: Jill Flinton.
 14. Send to Roger Mazula the names of the new CGFMs. Responsible person: Jill Flinton.

Decisions Made:

1. Motion to approve 4/13/04 meeting notes. Motion by Ray Harris; second by Linda Zinzow.
2. Motion to provide free attendance at Awards Luncheon to awardees, the top 3 membership sponsors, and new CGFMs. Motion by Kirk Schanzenbach; second by Ann Marsh; passed unanimously.
3. Motion: Endorse the Dallas Chapter's proposal to change the name of the organization to the Association for Government Accountability with the word Professionals under the Association title. Motion by Ray Harris; second by Linda Zinzow; passed with one abstain (Jim Nellegar).

Other Meeting Notes:

Financial reports

Brian Gee distributed financial reports to the CEC members prior to the meeting via email. Brian has been in contact with the organizations the Chapter has receivables with. All receivables are expected to be paid.

Strategic Direction Committee and Results

The Strategic Direction Committee reported to the CEC on the results of their work to date. A one-page hand-out for the awards luncheon in June will be provided to update the membership on the strategic direction of the Chapter. There were five objectives for the strategic direction committee and each objective was reviewed by committee members. The objectives and results of review are as follows:

- Review membership survey results and develop long-term plan that inputs into strategic plan, etc. Result: The Strategic Plan seemed in-line with the membership survey results, so there were no changes made to the plan based on the survey.
- Policies and procedures – develop outline, timetable and responsibilities. Result: Linda Zinzow researched the policies and procedures already in place in other chapters. Each member currently in a position will be asked to develop an outline of responsibilities for their position. Linda will have available an



Optimist:

“The glass is half full.”

Pessimist:

“The Glass is half empty.”

Auditor:

“The glass is twice as large as it needs to be.”

outline of positions and responsibilities developed by another chapter that can be used as a reference. The estimated due date for the outline is January 2005. From then on, the outline will be updated annually. After Linda receives the position outlines for all positions, it will be presented to the strategic direction committee for further comment and then to the CEC.

- Review Strategic Plan and recommend adjustment – build in reporting/accountability. Results: The Plan will remain as is with the exception of a few minor changes. The Plan will continue to be updated as needed.
- Review by-laws, accept recommendations for changes from membership and make recommendations for changes to CEC. Results: Changes in the definitions for membership will wait until the fall after the PDC. The committee will also canvas the membership for suggested changes through the website and newsletter in the future.
- Review effective governance structure. Results: Annually the structure will be updated by surveying the CEC. The survey examines whether or not the goals are being achieved. A brief survey was provided to the CEC. The results of the survey will be summarized into a report and presented in June to the president.

Officers' Reports

Written reports for each committee outlining the accomplishments for the year, performance measures and analysis, and best practices/lessons learned were emailed prior to the meeting to the CEC. Comments on the reports were as follows:

Community Service – All goals were met for the year.

Education – Feedback on the TCTC speakers averaged 3.8, while other speakers at other events averaged over 4.0. This may be due to other factors, including the size of the event, location, room size, etc.

Early Careers – Originally planned 6 events, however only 3 events were actually held. One goal of the committee was to attract new early careers members. New early career members have joined, however, it is hard to tell whether or not this was due to the Early Careers events held.

Membership – Except for OSC, agencies that received group discounts in the past have decided not to participate in the AGA Group Membership Program. As a result, the members from those agencies who only paid \$70 are now being charged the \$20 difference. This may cause some members to not renew their membership.

Chapter Recognition

The Chapter has reached and exceeded its goal for the year and will be receiving a recognition award at the PDC.

Awards Luncheon

A number of awards will be given out at the Awards Luncheon on June 17th at the Marriot on Wolf Rd. The event planning is underway. The CEC decided that certificate awardees, the top 3 membership sponsors and new CGFMs will be invited to attend free of charge.

Name Change

The AGA is proposing a name change from the Association of Government Accountants to The Association for Government Accountability with the word Professionals under the Association title. The CEC agreed that the Chapter will endorse the name change (Jim Nellegar abstained from the vote).

New York Capital Chapter Schedule of Events: 2003-2004

September	8	Early Careers	<i>Night Out at Jillian's</i> North Pearl Street, Albany, NY
September	20	Community Service	<i>Capital District Habitat for Humanity</i> Rehabilitation Project
September	25	Seminar CPE: 4	<i>Budgeting in an Uncertain Fiscal Environment</i> Louis Raffaele, DOB; Robert Megna, DOB; James Poole, SUNY; Thomas Mahoney, OSC; Helen Fanshawe, OSC; Richard Longhurst, Burnt Hills - Ballston Lake School District Quality Inn, Watervliet Avenue Extension, Albany, NY
October	19	Community Service	<i>Making Strides Against Breast Cancer</i> Walk-A-Thon
October	23	Early Careers	<i>Night Out at the Bayou Cafe</i> North Pearl Street, Albany, NY
October	28	Seminar CPE: 4	<i>Adapting to the Future Audit Environment</i> Lynn Canton, OSC; Michael Connors II, Albany Co.; James Cox, DHHS; John Samaniuk, DOT; Nancy Valley, KPMG Century House, Route 9, Latham, NY
November	25	Seminar CPE: 8	<i>Fraud Seminar</i> James Vaughn, ATF; Michael Kramer, US Attorney; Jill Konviser-Levine, OIG Century House, Route 9, Latham, NY
December	16	Luncheon	<i>Holiday Luncheon - Humor for the Health of It</i> Joel Weintraub Wolfert's Roost Country Club, Van Rensselaer Boulevard, Albany, NY
December		Community Service	<i>Lights in the Park</i> Washington Park, Albany, NY
January	28	Seminar CPE: 8	<i>4th Annual Technology Seminar</i> Michael Farber, DOH; Frank Risler, Tax & Finance; Thomas Hurbanek, State Police; Keith Rhodes, GAO (invited) State Museum Theatre, Empire State Plaza, Albany, NY
January		Community Service	<i>Volunteer Income Tax Assistance (VITA)</i>
January		Early Careers	<i>AGA Informational Breakfast</i>
March	15-17	Conference CPE: 21	<i>The Conference That Counts 2004</i> Joint Conference with IIA and ISACA Holiday Inn Turf, Wolf Road, Colonie, NY
March		Community Service	<i>Big Brothers Big Sisters Bowl for Kids Sake</i> Bowl-A-Thon
March		Early Careers	<i>Another Night Out</i>
April	27	Luncheon CPE: 1	<i>Spring Luncheon</i> Rob Lanier, Siena Men's Basketball Coach (invited) Crowne Plaza Hotel State and Lodge Streets, Albany, NY
April		Early Careers	<i>Early Careers Round Table</i>
May	27	Seminar CPE: 4	<i>Fraud and Ethics in Procurement</i> David Hancox, OSC; Joan Sullivan, OSC; Attorney General Office Rep Century House, Latham, NY
June	10	Community Service	<i>WMHT Membership Drive</i>
June	17	Luncheon	<i>Awards Celebration Luncheon</i> Marriott Hotel, Wolf Road, Colonie, NY
June	25	Community Service	<i>Golf Tournament at Stadium Golf Club, Schenectady, NY</i>
June		Community Service	<i>The Stratton VA Medical Center Fund Raiser</i>
July		Early Careers	<i>Dutch Apple Cruise on the Hudson River</i>

Register Online for any Chapter event at www.aganycap.org, or contact Rebekah Stanton at rstanton@kpmg.com or (518) 427-4811

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