Association of College and University Auditors (ACUA)
The Association of College and University Auditors (ACUA) is an international professional organization serving institutions of higher education across the globe.

Since its establishment in 1958, ACUA has provided its members a collegial forum for exchanging and sharing knowledge and generating new ideas. ACUA is committed to increasing members' knowledge of auditing, regulatory compliance and risk management in higher education.

Location & Hotel Reservations
Renaissance Seattle Hotel
515 Madison Street
Seattle, WA 98104
1-800-546-9184

Room Rate: $149 plus tax single/double

Located near Pike Place Market, the Renaissance Seattle Hotel was recently honored with AAA Four Diamond status for its luxury accommodations and amenities. The hotel features a full fitness center, complimentary guestroom internet for ACUA attendees and spacious guest rooms with stunning views of the mountains, Puget Sound and downtown Seattle. This pet-friendly hotel is a welcoming retreat for the whole family.

Check-in time is 4 p.m., and check-out time is 12:00 p.m.

Based on room availability, the group rate may also apply three days before and after the conference.

The cut-off date for reservations is March 18, 2013. Be sure to make your reservations as soon as possible as rooms are likely to sell out prior to the cut-off date.

Hotel reservations can be made through the link located on the ACUA website, or by calling the hotel at 800-546-9184. If you make reservations by phone please be sure to mention that you are with the ACUA Midyear Conference so that you will be included in our room block.

Transportation

Airfare

Travel Arrangements
Segale Travel Service is ACUA’s preferred travel agency and is available to assist you with your travel to the Midyear Conference. Please contact Segale Travel Service at 800-841-2276 to make travel arrangements.
Shuttle Express offers convenient airport transportation service to the hotel. Shuttle Express offers Downtown Airport shuttle, Share Ride, Scheduled Service and Private Sedan/Limo Service. You will find a direct link for booking your shuttle on the ACUA website.

Continuing Education
Conference participants are eligible to receive a maximum of 20.5 CPE credit hours. Association of College and University Auditors is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State Boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding sponsors may be submitted to the National Registry of CPE Sponsors through its website: [www.learningmarket.org](http://www.learningmarket.org)

Activities and Attractions
Top Things to Do Near the Renaissance Seattle Hotel
- Pikes Place Market
- Space Needle
- Westlake Center
- Seattle Art Museum

Welcome Reception
On Sunday evening, catch up with your colleagues and ACUA friends at the Welcome Reception. Cocktails and hors d’oeuvres will be served. Be sure to participate in our trivia contest at the reception. The winner will receive two tickets to Tuesday evening’s Seattle Mariners game. This event will be a great opportunity to meet new ACUA friends so you won’t want to miss this reception!

Networking
After you have reconnected with old friends and made new friends at the Welcome Reception, plan to get together with them throughout the conference to explore Seattle. Your evenings will be free and Seattle offers a wide variety of activities and attractions. The baseball season will just be starting and the Seattle Mariners will be in town all week. More information about activities, attractions, dining and getting around the city is posted on the Midyear Page of the ACUA website.

Weather
Seattle’s average high temperature in April is 59 degrees Fahrenheit and the average low is 43 degrees Fahrenheit.

Attire
Business casual is appropriate for the educational sessions. Please pack a sweater or light jacket as meeting room temperatures tend to be cool.

Questions
Please direct any questions regarding the ACUA Midyear Conference to the ACUA Executive Office at (913) 895-4620 or via email to acua-info@goamp.com
Registration
Early Registration Deadline – February 20, 2013

Regular Registration – February 21 – March 15, 2013

On Site Registration – If you need to register after 5:00 p.m. (Central Daylight Time) on March 15, 2013 please bring your registration form and payment directly to the conference. (Registrations processed on-site may cause a delay at the time you check in at the registration desk.)

All registrations include: Program materials, three continental breakfasts, two lunches, three morning and two afternoon breaks.

Registration Confirmation
For those registrations received prior to March 15, 2013, ACUA will send a confirmation letter by e-mail or U.S. mail. When you receive your confirmation letter, please check the spelling of your name, address and the events for which you have registered to ensure that they are correct. If there is an error, please contact Susan Hime at the ACUA Executive Office at (913) 895-4784. The information on your confirmation letter will be the information used for your name badge and event tickets. If you do not receive a confirmation letter within three weeks of registering, please contact our office to confirm receipt of your registration.

Registration Cancellation Policy
Written notice of cancellations received before February 20, 2013, will be fully refunded. Cancellations received from February 21 – March 15, 2013, will be refunded less a $100.00 processing fee. After March 15, 2013, cancellation refund requests will be considered on a case-by-case basis. Substitution of registrants is allowed.

Schedule of Events

Sunday, April 7, 2013
4:00 PM – 7:00 PM  Registration
6:00 PM – 8:00 PM  Welcome Reception

Monday, April 8, 2013
7:00 AM – 4:30 PM  Registration
7:00 AM – 8:00 AM  Continental Breakfast
8:00 AM – 10:00 AM Conference Program (See Course Descriptions)
10:00 AM – 10:15 AM Refreshment Break
10:15 AM – 12:00 PM Conference Program
12:00 PM – 1:00 PM Lunch
1:00 PM - 2:45 PM Conference Program
2:45 PM – 3:00 PM Refreshment Break
3:00 PM – 4:30 PM Conference Program
6:00 PM – 10:00 PM Join the Host Committee for a fun-filled evening

Tuesday, April 9, 2013
7:00 AM – 4:30 PM  Registration
7:00 AM – 8:00 AM  Continental Breakfast
8:00 AM – 10:00 AM Conference Program (See Course Descriptions)
10:00 AM – 10:15 AM Refreshment Break
10:15 AM – 12:00 PM Conference Program
12:00 PM – 1:00 PM Lunch
1:00 PM - 2:45 PM  Conference Program
2:45 PM – 3:00 PM    Refreshment Break
3:00 PM – 4:30 PM    Conference Program

Wednesday, April 10, 2013
7:00 AM – 11:30 AM   Registration
7:00 AM – 8:00 AM    Continental Breakfast
8:00 AM – 10:00 AM   Conference Program (See Course Descriptions)
10:00 AM – 10:15 AM  Refreshment Break
10:15 AM – 12:00 PM  Conference Program

Course Descriptions

Basic Audit Training-Developing Audit Objectives, Risk Assessments and Audit Procedures

Paige Buechley
Assistant Director of Audits, University of Texas System Administration, Austin, TX

Dyan Hudson
Audit Manager, University of Texas System Administration, Austin, TX

Knowledge Level: Basic
Field of Study: Auditing
Prerequisites: None
Advanced Preparation: No

This course is designed for new auditors or as a refresher course for experienced auditors. As part of this course, participants will learn to:
• Develop a concise, overall audit objective.
• Identify appropriate criteria.
• Perform a risk assessment.
• Develop sub-objectives and audit procedures.
Participants will work in groups using case studies of audit areas in higher education, such as athletics, research, information technology security, and student services. The instructors will share tools used at the University of Texas System Audit Office.

About the Instructors:

Paige Buechley is the Assistant Director of Audits at the University of Texas System Administration. Before joining the UT System in February 2005, Paige worked at the Texas State Auditor’s Office for six years, where she conducted audits at universities and public schools. She earned three degrees from the University of Texas at Austin: Master of Public Affairs (LBJ School of Public Affairs), MBA (McCombs School of Business) and a BA in Government.

Dyan Hudson is the Manager of Audits at the University of Texas System Administration. Dyan’s previous positions include Audit Manager at the University of Montana, Associate Director for Audit at the University of Texas at Austin, and IT Audit Supervisor and Manager positions at the Texas Health and Human Services Commission and the Office of the Attorney General of Texas. She also spent several
years as an IT Auditor in municipal government and the banking industry, and was a Programmer and Systems Analyst before joining the audit profession. Dyan is a Certified Information Systems Auditor (CISA) and Certified Internal Auditor (CIA).

Auditing for Compliance-Tips and Techniques for University Auditors

David Clark  
Manager, Baker Tilly, Tysons Corner, VA  

Mike Cullen  
Senior Manager, Baker Tilly, Tysons Corner, VA  

Raina Rose Tagle  
Partner, Baker Tilly, Tysons Corner, VA

Knowledge Level: Overview  
Field of Study: Auditing, Specialized Knowledge & Applications  
Prerequisites: None  
Advanced Preparation: No

This workshop will provide attendees with the knowledge and resources to conduct internal audits of many key compliance areas within a university setting, with a focus on federal laws and regulations affecting research activities, data privacy and security, and general business operations. Topics will include:

• Athletics  
• Conflicts of Interest  
• Fundraising  
• Human Resources  
• Information Privacy and Security  
• Public Safety and Accessibility  
• Research Compliance (cost allowability, effort reporting, human and animal subjects, etc.)

Each topic will cover the process, governing rules, risks, controls, audit approaches, common findings, and government auditor focus areas. Upon completing this course, attendees will:

• Recognize the relevant standards governing higher education institutions, and the changing climate and focus of compliance.  
• Identify institutional risks within key compliance focus areas.  
• Develop an approach for auditing compliance with various laws and regulations governing all facets of higher education operations, and become familiar with related audit techniques and resources.

About the Instructors:

David Clark is a Manager with Baker Tilly, a national accounting and advisory firm. David serves in the firm’s Higher Education and Research Institutions practice, providing internal audit, risk advisory, and consulting services to colleges, universities, research hospitals, and non-profit research organizations. He specializes in assisting clients on projects related to financial and operational risk management, regulatory compliance, research operations, fraud investigation, and organizational governance.
David has presented on topics related to internal audit and grants and contracts compliance for the Association of College and University Auditors, the Institute of Internal Auditors, the Society for Research Administrators International, and the National Council of University Research Administrators. A graduate of the University of Virginia, David is a Certified Internal Auditor (CIA) and Certified Fraud Examiner (CFE) and holds a Certification in Risk Management Assurance (CRMA) from the Institute of Internal Auditors.

Mike Cullen is a Senior Manager with Baker Tilly, a national accounting and advisory firm. Mike leads the firm’s Technology Risk Services team in Washington, DC, focused on IT risk consulting and internal auditing. Over the past 10 years, he has worked with clients in many industries, with extensive experience with higher education and research institutions. He has led IT risk assessments and audits, developed information privacy and security programs, performed ethical hacking of IT systems, and conducted digital forensic investigations. Mike has presented to a variety of audiences, including ACUA, various IIA chapters and regional conferences, and at multiple universities. Mike is a Certified Information Systems Auditor (CISA), Certified Information Systems Security Professional (CISSP), and Certified Information Privacy Professional (CIPP). Before starting his career as an auditor he dreamed of being an astronaut or an ad man (before Don Draper made it cool).

Raina Rose Tagle is a Partner with Baker Tilly, an accounting and advisory firm with more than 1,400 personnel nationwide. Raina leads Baker Tilly’s national Higher Education and Research Institutions practice, providing internal audit, financial and operational risk management, construction audit, fraud investigation, technology risk consulting, and organizational governance services. Raina started her career with Arthur Andersen, progressing to serve as a manager in the audit and technology risk consulting practices. Prior to joining Baker Tilly, she served as interim executive director of not-for-profit organizations, chief financial officer of a technology consulting firm, and led her own consulting practice providing strategic planning facilitation, executive coaching, and organizational development. She is a Certified Public Accountant, Certified Information Systems Auditor, and Certified Internal Auditor. Raina has co-authored articles in the NCURA Magazine and Research Global on investigating fraud, working successfully with internal audit, and using risk assessment in sponsored research.

Intermediate Network Assessment and Audit

Phillip W. Hurd
ACUA President, Chief Audit Executive, Georgia Tech, Atlanta, GA
Knowledge Level: Intermediate
Field of Study: Auditing
Prerequisites: Experience
Advanced Preparation: Attendees will need a laptop with MS Windows (XP or higher) and Administrator Access will be required.

This course is organized specifically to provide a risk-driven method for tackling the task of designing an enterprise level, segment security verification and validation program. After covering a variety of high-level audit issues and general audit best practices,
course participants will, via hands-on experience, be presented with the technical “designs” for assessing common reliable controls that can be used to provide a reasonable level of security. Examples of how to repeatedly and systematically use risk prioritized mapping to verify these controls and techniques for automated compliance validation will be presented. Case scenarios will be used based on real-world examples. Upon completion of this course, participants will be able to:
• Develop a network security map;
• Create an audit plan for network, and segment, security; and
• Develop a potential breach diagram risk assessment.

About the Instructor:

Phillip Hurd is the Chief Audit Executive of the Georgia Institute of Technology. He served as the Associate Director for Information Systems Audit and Assessment for eight years, and in July 2007, Phil became Director of Internal Auditing. Prior to joining Georgia Tech, he served in the US Army for 10 years. Phil was a Communications Facility Chief for a strategic outpost on the Korean demilitarized zone. This life-shaping challenge helped him understand the need for confidentiality, integrity, and availability of information assets and their role in organizational operations.

Phil holds professional certifications as a CISSP, CISA, and CBM, and has a Master of Information Systems. Phil is the current President of ACUA and is a published author in the College and University Auditor journal. He has held several leadership positions in the industry and has been a featured speaker at professional conferences and presenter of live Webcasts.

Investigating Fraud in the College/University Environment

Ransom McClung
Assistant Instructor, Florida State University, Tallahassee, FL
Knowledge Level: Basic
Field of Study: Accounting
Prerequisites: None
Advanced Preparation: No

This course introduces the field of fraud examination for the prevention, detection, and investigation of common fraud schemes in a college/university environment. Best practices are identified for the investigative process designed for successful resolution of campus frauds. Additional topics covered in the course include interviewing employees, data mining for fraud indicators, fraud risk assessment tools, fraud auditing techniques, report writing, and fraud and ethics awareness training for your college/university.
Learning Objectives:
• Understand the seriousness of fraud and how it affects the university and its employees.
• Identify symptoms of fraud to detect, prevent, and investigate.
• Explain the steps in the data analysis process.
• Understand how to obtain and use evidence in an investigation.
• Understand the interview process.
• Understand how to prepare a fraud report.
• Utilize a fraud risk assessment to prevent fraud.
• Review the steps associated with fraud auditing techniques.

About the Instructor:

Ransom McClung has an extensive background investigating and auditing university operations. In May 2010, Ransom retired after 15 years at Florida State University (FSU) as the Director of Investigations and Training. Prior to working at FSU, Ransom worked for over 10 years with the Florida Board of Regents Inspector General Office. Ransom also worked as a state auditor and in public accounting. Ransom currently teaches undergraduate classes in accounting (financial, cost, managerial and forensic), fraud examination, and internal auditing at FSU. Ransom has certifications as a CPA, CFE, Cr. FA, and a CFF. He has a Master of Science Degree in Criminology from FSU.

Get Up and Running with IDEA-Hands on Training

Carol Ursell
Director of Training, Audimation Services, Inc., Houston, TX
Knowledge Level: Basic
Field of Study: Accounting, Specialized Knowledge & Applications
Prerequisites: None
Advanced Preparation: Attendees will need a laptop with the current version of IDEA installed. Audimation will provide a demonstration CD of current version of IDEA software for installation prior to the conference or keys and data files.

In this course, participants will learn practical tips and instruction; how to successfully obtain and import data; how to mine and analyze data efficiently; and enhance your analysis skills by learning the newest built-in features. In this training class we will:
- Cover the basics of acquiring data;
- Learn what data to ask for and new methods of importing;
- A special round table conversation to address data analysis challenges;
- Introduction to scripting techniques (last day)
Participants will learn to use features that will help with planning the audit; create tests using editors and wizards; extract records; create new fields to easily scrub data; stratify and summarize; age invoices; look for duplicates; join multiple files; and learn various sampling methods. On the final day, we will jump to the next level – covering many advanced skills; re-running tasks; creating pivot tables, statistics; using IDEA’s visual connector; and basic scripting.

About the Instructor:

Carol Ursell has more than 30 years of experience in both public accounting and industry. She joined Audimation Services in 1998 to help establish the company’s training department. Prior to joining Audimation, Carol was an accounting manager and audit coordinator for Cabot Oil & Gas, and worked in the audit department of Arthur
Andersen. Having worked in both industry and audit, Carol easily finds balance between the IT and data analysis sides of accounting. As director of training with Audimation, she is responsible for developing course curriculum, updating materials for new product releases and scheduling both public and on-site training sessions. Carol earned a B.B.A. in accounting from Southwest Texas State University and is a certified public accountant (CPA). She is a member of the American Institute of Certified Public Accountants (AICPA) and the Texas Society of CPAs.
I confirm that I am registering for the 2013 ACUA Midyear Conference. List name and title information as you would like it to appear on your name badge.

*Registrant’s Name: _______________________________________________________

*Title: ___________________________________________________________________

*Institution: _______________________________________________________________

*Mailing Address: _________________________________________________________

________________________________________________________________________

*City: ___________________________________________________________________

*State/Province: ____________________________________________________________

*Zip Code: ________________________________________________________________

*Country: _________________________________________________________________

*Phone: _________________________________________________________________

*E-mail: _________________________________________________________________

*Is this the first time you have attended ACUA’s Midyear Conference?  Yes  No

Liability Waiver

Please read and sign. I agree and acknowledge that I am undertaking participation in ACUA events and activities as my own free and intentional act and I am fully aware that possible physical injury might occur to me as a result of my participation in these events. I give this acknowledgement freely and knowing and that I am, as a result, able to participate in ACUA events and I do hereby assume responsibility for my own well-being. I also agree not to allow any other individual to participate in my place.

*Signature: ______________________________ Date: ____________________

Emergency Contact

*Name: __________________________________________________________________

*Relationship: _____________________________________________________________

*Phone: __________________________________________________________________

ACUA fully complies with the legal requirements of the ADA and the rules and regulations thereof. Please indicate if there are any special accommodations you need to participate fully in the ACUA Midyear Conference including food restrictions and any hearing or visual assistance you might need.

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

* Required
Track Registration
(Choose One Session):

- Basic Audit Training – Developing Audit Objectives, Risk Assessments and Audit Procedures
- Auditing for Compliance – Tips & Techniques for University Auditors
- Intermediate Network Assessment and Audit
- Investigating Fraud in the College/University Environment
- Get Up & Running with IDEA: Hands-On Training

Conference Attendees

Your registration includes instructional materials, three continental breakfasts, two lunches, three morning and two afternoon refreshment breaks. In order to place accurate meal reservations, please indicate below the functions in which you will participate:

*Sunday Welcome Reception  Yes  No
*Monday Luncheon  Yes  No
*Tuesday Luncheon  Yes  No

Spouse/Guest (if registering)

Name: __________________________________________
Name: __________________________________________

Guest registration of $55 includes the function below. You must pre-register your guest for this event.

Sunday Welcome Reception  Yes  No

Registration Fees

*Choose Registration Category:

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<th>Category</th>
<th>Early Registration by Feb. 20</th>
<th>Late Registration by March 15</th>
<th>On-Site Registration after March 15</th>
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<tr>
<td>Non-Member**</td>
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**Join ACUA today to register at the member rate! (Member application and fee must be submitted with meeting registration form.)
Payment Information

All fees must be paid in full at time of registration in US dollars. Please print this completed form and fax or mail to the ACUA Executive Office. *(F) 913-895-4652*

If you prefer to pay by check, print this completed form, include a check and mail to ACUA’s Executive Office at: **ACUA, P.O. Box 14306 Lenexa, KS 66285-4306.**

Online Registration is also available through the ACUA website at [www.acua.org](http://www.acua.org). *Please note that PO numbers cannot be processed through the online system- if you need to use a PO, please mail or fax your form.*

*Total Amount Due $ _____________________

☐ Check Enclosed (please make payable to ACUA in U.S. funds)
☐ Purchase Order # ____________________
☐ Visa ☐ MasterCard ☐ American Express ☐ Discover

Card Number: ________________________________
Expiration Date: _____________________________
Name on Card: ______________________________
Signature: _________________________________
Date: ________________________________