

APPFA NOTEBOOKS BY TOPIC

Revised May 2007

APPFA Conference Date	Actuary	Auditing	Benefits	Ethics/Fraud	Financial	Investments	Pension	Property	Standards	Technology/Communication
May 2007		X				X				
Nov. 2006		X	X	X		X				
May 2006		X		X	X	X		X		
Nov. 2005		X		X		X				
May 2005				X				X	X	X
Oct. 2004		X		X					X	X
May 2004	X	X		X	X	X	X			X
Nov. 2003				X		X	X	X	X	X
May 2003			X		X		X		X	X
Nov. 2002		X	X			X				X
May 2002					X	X	X		X	X
Nov. 2001		X		X		X	X		X	X
May 2001		X				X				X
Nov. 2000						X				
May 2000						X	X			X
Nov. 1999	X					X	X			
May 1999		X	X						X	X
Nov. 1998		X				X	X			X
May 1998		X				X		X		
Nov. 1997		X			X	X	X		X	
May 1997		X		X	X	X			X	X
Nov. 1996			X				X			X
Jun. 1996	X	X			X			X		X
Nov. 1995		X	X			X			X	X
May 1995		X		X		X	X		X	X
Nov. 1994	X	X		X		X				X
May 1994		X	X			X	X			X
Nov. 1993	X	X	X				X		X	X
May 1993		X	X		X		X	X	X	

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May 2007 Manchester		Recruiting, Hiring, & Training Internal Auditors Pandemic Influenza Planning: What in the World Do You Need to Know? Audit Committee Interactions: How You As CAE Can Effectively Serve Your Bosses Facilitated Control Self- Assessment (CSA): Techniques That Work!				Derivative & External Manager Oversight External Manager Oversight Securities Lending: Risks, Controls, & Rewards Risk Management Tools & Services: How Custodians Can Help OTC Derivative Processing – A Service Provider’s Perspective Transition Management				

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Nov. 2006 Chicago		<p>Observations on Internal Auditing in Public Pension Funds</p> <p>The Role of Audit in Public Sector Governance</p>	<p>DC Plans – If You Build Them, Will They Come?</p>	<p>Ethics & Governance in Public Pension Funds: The Internal Auditor’s Role</p>		<p>Option Strategies for Investors</p> <p>Investing in Private Equity / Due Diligence</p> <p>The Role of the Investment Consultant</p>				
May 2006 San Diego		<p>How to Mitigate Your Organization’s Risk Through the Partnership Between Internal Audit & Compliance</p> <p>Continuous Monitoring After the Audit</p> <p>Lessons Learned from Hurricane Katrina</p>		<p>The Psychology Behind Fraud, White Collar Crime & Unethical Behavior</p>	<p>GASB 43: Financial Reporting for Post Employment Benefit Plans Other Than Pension Plans</p>	<p>What’s It All About, Alpha?</p> <p>Personal Trading Policies Panel</p>		<p>Real Estate Compliance Auditing</p>		

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Nov. 2005 Nashville		Over & Under Auditing Risk Assessment & Internal Controls		Overview of Conducting Fraud Risk Assessments Identity Theft Things Everyone Should Know About Fraud		Fiduciary Responsibility				
May 2005 Phoenix				School District Frauds Best Practices – Building Relationships				Risk Based Asset Management	GASB40	Maintaining & Updating your Network Infrastructure Implementing New Systems

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Oct. 2004 New Orleans		Auditing Amidst Constant Change		Blueprint for a Model Ethics Policy					The Impact of the Sarbanes- Oxley Act on Non-publicly Traded Companies Fraud & the Auditor Committee of Sponsoring Organizations (COSO) – An Overview January 2004 Changes in IIA Standards Quality Assurance Review: What You Need to Know	Data Security: How Do You Protect Your Data & Storage Facilities?

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May 2004 Cleveland	Actuarial Presentation	Audit Committee Interaction & Relationships – Panel Discussion		Ethical Violations: It Couldn't Happen Here, Could It?	Best Practices – CAFR Reporting	Investment Performance – Panel Discussion	Risk Management for Pension Funds			Electronic Signatures “Four Quadrant Thinking” in Leading Change: A Change Management Strategy & More
Nov. 2003 San Antonio				Lies, Cons & the Truth		Alternative Assets	Current Issues in Public Pension Fund Auditing Business Continuity	Operation Reviews: Commercial Real Estate	Discussion on Best Practices for Audit Division Charters New Standards, New Challenges	System Implementation Projects...& the Role of the Auditor
May 2003 Reno			Public Pension Systems – Operational Risks of Defined Benefit & Related Plans & Controls to Mitigate those Risks		Emerging Payment Types & their Impact on Consumers & Businesses		Lump Sum Optional Retirement Programs Strategic Planning for Public Retirement Systems		I/A Charters – Audit Committees	e-Clarety – Review of Business Requirements Web Site Auditing & Security

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Nov. 2002 Newport		Employer Audits Corporate Governance Crisis – A Blueprint for Change Consulting – The Business Control Self Assessment – The Basics	It's 8 AM – Do You Know Where Your Retirees Are? Public Pension Systems – Benefit Risks & Controls to Mitigate those Risks			Auditing Private Equity Partnerships				Communication & Effecting Change Branding & Selling – The Name You Make Will Make Your Name
May 2002 Williamsburg					Using the Social Security Death Master File Checklists & Illustrative Financial Statements for Public Defined Benefit Pension Plans Prepared According to GASB #34	Overview of Real Estate & Private Equity Investments	EGTRRA & Current Issues in Deferred Compensation Plans		An Introduction to the New Internal Audit Framework	Communicating for Results in Government
Nov. 2001 Orlando		Risk Assessment Models – Alternative Approaches		Conducting a Fiduciary Audit		T+1 & STP Securities Lending – Program Design & Oversight	Changes in the Pension Environment & the Associated Risk		Fraud in Your Plan	Data Analysis Using IDEA

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May 2001 Toronto		Internal Auditing - Future Direction World Class Internal Auditing Peer Review Panel Discussion				Monitoring Investment Consultants T+1 & Straight Through Processing				Digital Analysis Using Benford's Law
Nov. 2000 San Diego						Auditing Investment & Derivative Strategies				
May 2000 St. Louis						Soft Dollar Lessons Learned	Discussion of Public Pension System Risk Document			Electronic Data Interchange (EDI) - Audit & Control Issues Cyber-Terrorism - Is Your Organization a Target? ACL Applications for Pension Audits Automated Workpapers

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Nov. 1999 Charleston	Actuarial Update - Update from the Actuary on Pension Plans					<p>Assessing Risks & Auditing Investments vs. Managing Investments</p> <p>Auditing Securities Trading – Issues & Answers</p> <p>The Chief Investment Officer’s Perspective on Internal Controls & Operational Risks in Investments</p> <p>The Investment Consultant’s Perspective on Internal Controls & Operational Risks in Investments</p> <p>External Managers Portfolio Audits</p>	<p>Funds Held for Inactive Members of Your Retirement System – Risks, Controls & Current Practices</p> <p>Cash Management Program for Public Pension Funds</p>			

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May 1999 Portland		Risk Assessment Risk Assessment Surveys, Sample Forms, Etc.	Auditing Benefits – Thinking About it Differently Social Security in the Public Sector						GASB Y2K Technical Bulletin & OPEB Project Status, Reporting by State & Local Governments – Fiduciary Activities	Auditing Your Y2K Contingency Plans Computer Fraud
Nov. 1998 Austin		Control Risk Self Assessments - The Next Generation Leveraging Internal Audit Resources				Implementation of Investment Risk Standards	Measuring Operating Risk in Your Pension Fund			Control & Security of Interconnected Networks The Auditor's Role in Management Information Systems Implementation

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May 1998 Baltimore		Outsourced Programs - Who is in Control?				Fixed Income from an Internal Perspective Issues to Consider in Auditing Securities Lending		Real Estate Portfolio Management Risks, Roles & Due Diligence Property Management Audits – Risks, How to. . . Real Estate Appraisals, Approaches, Assumptions, Etc.		
Nov. 1997 New Orleans		Implementing Control Self Assessment (CSA) Applying Practical Analytical Auditing Techniques			Custodian Bank Reviews – Sharing our Experiences	The Cost of an Equity Trade - Execution Analysis	Federal Tax Issues & the Retirement Plan		GASB Update	

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May 1997 Denver		Value-Added Auditing		Fiduciary Considerations & Ethics	Audits of Venture Capital Activity Auditing Accounts Payable & Expense Reports	Securities Lending			The New Fraud Auditing Standard	The Internet - Using it as an Audit Tool
Nov. 1996 Phoenix			Preparing for Reengineering Benefit Processing Health Care Audit, A Pennsylvania Case Study				Internal Controls of Public Retirement Fund Investment Management			Effective & Efficient Computer Auditing
Jun. 1996 Albany	Understanding the Actuarial Valuation Process	Internal Controls - Educating Management The "O" Word - Analysis of Outsourcing			Process Reengineering - Effect on Internal Controls & Auditing EFT Transactions - Following Them Through the System			Equity Real Estate Audits - Approach & Best Practices		Document Security Client/Server Security & Audit Approach

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Nov. 1995 Pasadena		Employer Audits Working with External Auditors	Healthcare Audits			Securities Lending Audit & GASB 28			Audit Committee Relations	Information Technology Risk Assessment Purchase of Accounting Investment Software
May 1995 Orlando		Risk Assessment Using Regression Analysis for Audit Business Recovery Planning		Ethics & Fraud: Establishing /Refining a Code & Minimizing Fraud		Auditing Foreign Exchange Transactions Soft Dollar Commissions	PERS Reengineering Implications		GASB 25	Interactive Audit Practices Imaging Concerns for Auditors
Nov. 1994 Austin	Actuarial Audits	Performance Auditing		Ethics, Fiduciary Responsibility & the Auditor		Controls Over Fixed Income & Other Custodial Issues				Improving Written Communication Skills

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May 1994 Madison		Corporate Governance - Active Investor Programs, Internal Auditor's Role in a Changing Environment	Current Health Care Debate in Congress & Concurrent Audit of Health Care Claims			Investment Auditing	System Reengineering Projects in a Pension Environment Public Employee Retirement System Audit Charters			LAN Administration & Controls

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Nov. 1993 Richmond	Actuarial Concepts - What Every Auditor Should Know	The Human Side of Change - Auditing Constantly Changing Environments Business Continuation - Concerns for the Auditor	Current Issues in Employee Benefits				Pension Topic Potpourri		Standards for the Professional Practice of Internal Auditing	Master Custodian Services: Products & Technology – Interaction with the Auditors Anti-piracy Efforts for Software Social Security Enumeration Project – Validating Member Demographics Systems Development Life Cycle Audits

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May 1993 San Antonio		Process Reengineering	Disability Audits & Disability Offsets		Audits of Custodians - The Internal Auditor's View		Pension Fund Health Plan Audits	Audits of Property Managers	Using SAS #70 – Reports on the Processing of Transactions by Service Organizations GASB Standards Update Federal & State Legislation	