October Chapter Meeting
Auditing for Impact

Date	Wednesday, October 24, 2012	
Time	8:45 – 9:00 AM	Registration
	9:00 AM – 12:00 PM	Program w/Break
	12:00 – 1:00 PM	Lunch
	The Officers and Board of Governors will meet from 1:00 to 2:00 PM	
Location	Spaghetti Warehouse 689 North Clinton Street Syracuse, NY 13204 315.475.1807 Directions inside *The Dispatch*	
Cost*	Members $30 Non-members $40 Students and Retirees $15 *Make check payable to IIA – CNY. Cancellation after October 17 incurs the cost.*	
Meal Choices	Spaghetti w/meatballs, 15-layer lasagna, Fettuccini Alfredo, Four-cheese manicotti, Chicken or regular Caesar salad	
CPEs	3 CPEs (CIA and CPA). The CNY IIA sponsor ID number for NYS is 002212. CPE requirements vary from state to state. Contact your state's board for information concerning your state's specific requirements.	
R.s.v.p.	By October 17, 2012 Via the Chapter Web site at http://www.theiia.org/chapters/index.cfm?act=home.page&cid=58 Or to Randy Browne at Randy.browne@nbtbank.com or 607.337.6177 Include your name, certifications, organization or school, and meal choice.	

Michael J. Fucilli, CIA, Auditor General Metropolitan Transportation Authority, New York City

This information-packed session will discuss key miscues audit departments should avoid not only to keep the department viable but also to add resources.

- Explore techniques for having a seat at the table
- Learn to identify business initiatives you should be a part of and how to open the door to them
- Review case studies illustrating techniques to put your department at the forefront of the organization
- Get the *wow* factor in your audit results through strategic risk-assessment techniques
- Explore how to transform your department from focusing primarily on financial controls and operational compliance risks to focusing on strategic business and operational risks

Topics include risk assessment, audit selection, identification of hot topics, quick-response auditing, when to act like a consultant, marketing of internal audit to management and the audit committee, staffing and talent management, and how to use co-sourcing to your advantage.

Michael J. Fucilli, CIA, General Auditor, MTA NYC The MTA is the largest public transportation organization in North America, with an operating budget of more than $15 billion.

Mike is responsible for a staff of 85 professionals. He has over 30 years' auditing experience in the private and public sectors, with companies such as Manufacturers Hanover Trust, ITT, and NJ Transit.

He is on The IIA's North American Board and The IIA's Global Board as well as the Board of The IIA NY Chapter. Mike has been a speaker for The IIA and the MIS Training Institute on topics such as risk assessment, quality assurance, and performance auditing.

He also is a Staff Instructor for Pace University, where he teaches The IIA Learning System for the Certified Internal Auditor (CIA) exam.

* Payment at the door is preferred. If pre-paying, indicate so when registering, make check payable to IIA – CNY, and send to NBT Bank, Attn: Randy Browne, Audit Department, 52 South Broad Street, Norwich NY, 13815.

Chapter Welcomes Le Moyne Student Chapter Officers and Board Member

The new student officers of the Le Moyne Student Chapter of the IIA have begun their new chapter year. The group has already organized their first campus meeting to launch their annual membership drive. We'll see many new students joining our Chapter and at our monthly meetings. Please welcome these students and share some of your own insights on internal auditing with them.

For the second year in a row, we have a new, very dedicated student who has joined our Board of Governors as a student board member. Her involvement on our board will provide our student chapter improved assistance in planning activities, faster communication, and advance insight into our annual goals. Please welcome her as well.

2012 - 2013 Le Moyne Student Chapter Officers

Co-Presidents: Daniel Falatico and Joseph Persia
Secretary: Kelly Condon
Treasurer: Joseph O'Connor
Student Board Member: Kelly Anderson

Upcoming Meetings and Seminar Promise Worthwhile, Interesting Professional Development

- November 14 Joint Meeting with Utica College: Two 2-hour sessions (4 CPEs total)
  - *Cybersecurity*
  - *Governance Best Practices and the Internal Auditor*
- February TBA Chapter Meeting: *Topic TBA* (3 CPEs)
- March TBA Academic Awards & Recognition: *Topic TBA* (1 CPE)
- April TBA Chapter Seminar: *Topic TBA* (6 to 8 CPEs) depending on length

November 14 Double Sessions at Utica College to Explore *Cybersecurity* and *Governance*

Jim Terry and Ryne Cornnachia of NBT Bank will speak on *Cybersecurity*, and George Curtis of Utica College will speak on *Governance Best Practices and the Internal Auditor* when your Chapter offers you two session on one day on November 14 at Utica College.

10 AM to 12 noon: *Cybersecurity*

1 to 3 PM: *Governance Best Practices and the Internal Auditor*

Both sessions will be in the ACJS Auditorium at Utica College.

See the detailed presenter information on the following page.

Chapter Directory Has Launched

The Chapter's 2012 - 2013 Directory is being distributed via email on or about September 30.

If you don't receive it, or if you would like a hardcopy, please contact Lynne Wadsworth at lynne.wadsworth@communitybankna.com or 315.445.7350.

September Meeting Focused on the *Future of Internal Audit*

Chapter members listen attentively as E&Y speakers discuss the future of internal auditing.

November 14 Presenters to Share Extensive, Practical Expertise

Jim Terry, SVP & Director, Operational Risk & Financial Crime Management, NBT Bank has 12 years' experience in financial crime investigations, over 7 of which are at NBT, where his responsibilities include information security, fraud, and anti-money laundering. Jim says that his *proudest moments* are when he is serving law enforcement to assist in combatting the financing of terrorism and thwarting account takeovers. He also cites working with others to promote cybersecurity and fraud awareness in the public and private sectors through seminars, conferences, and other venues. "I'm a true anti-money laundering and fraud geek, just getting my feet wet on the information technology and security side of the world," says Jim. He notes that NBT believes many synergies exist from combining these seemingly disparate areas.

Ryne Cornnachia, Cybersecurity Analyst, NBT Bank is responsible for ensuring security of online functions for retail and commercial customers, including daily fraud monitoring of ACH and wire transactions. He holds a BS in Economic Crime Investigation and is pursuing an MS in Cybersecurity and an MBA. Ryne has worked for Bank of New York Mellon as a KYC investigator and was an intern in the fraud and computer crimes division of a large metropolitan police department. He is a member of local chapters of FS-ISAC, InfraGard, and ACFE.

George Curtis, PhD, Esq., Professor of Criminal Justice (Retired) and Executive Director Emeritus, Economic Crime Institute, Utica College continues to teach undergraduate and graduate law-related courses in economic crime and cybercrime law. He is a co-author, with Professor Bruce McBride, of the college text *Proactive Security Administration* (Pearson Prentice Hall). His recent text, *The Law of Cybercrimes and Their Investigation* (CRC Press), was published in August 2011. Professor Curtis also has authored materials on the law of economic crime that are used at Utica College and elsewhere. He received a BA from Syracuse University in 1964 and a JD from Brooklyn Law School in 1967 and was admitted to the Bar of the State of New York in 1968. Professor Curtis is a Certified Fraud Specialist and is a member of the Association of Certified Fraud Specialists, its Board of Regents, and its national faculty. He also is a member of the Association of Certified Fraud Examiners and is a life member of its Upstate New York Chapter as well as a member of the Criminal Justice Educators Association of New York State. Professor Curtis is a past President of the Oneida County Bar Association and served on its Board of Directors for several years.

Members-Only Webinars Offer Convenient Professional Development

These upcoming members-only webinars are slated. Visit www.theiia.org for all the details.

- October 16: *Fraud Risk Assessments: Are Auditors Assessing the Right Risks?*
- November 6: *Building and Maintaining a Robust FCPA Compliance Program*
- December 18: *Building a Better Internal Auditor: Key Competencies for 2013 and Beyond*

On-demand 24/7 webinar playback is also available for members only, with access to the IIA's extensive library of archived webinars. Note that on-demand webinar playback does not qualify for NASBA CPEs.

IIA Research Foundation Continues to Publish Essentials for the Profession

Here are a few of the products that The IIA Research Foundation has released this year:

- *Sawyer's Guide for Internal Auditors, 6th Edition*
- *IFRS Implementation: Best Practices for Assurance of Organizational Value*
- *Minimize Costs & Increase the Value of Your Sarbanes-Oxley 404 Program: Management's Guide to Effective Internal Controls*
- *Auditing Employee Management*
- *10 Key Techniques to Improve Team Productivity*
- *Advancing Organizational Governance: Internal Audit's Role*
- *International Professional Practices Framework (IPPF)* Updated for 2012

The IIARF also offers IIA members more than 30 free research reports available electronically.

Catherine Liddy Casler

In the *Member Spotlight*

What is your current job title? Regulatory Compliance Auditor

For what organization do you work? Alliance Bank, N.A.

How did your career path lead to internal auditing? I often say that I came to IA through the backdoor. After about a 10-year, fulfilling career as a paralegal in Syracuse, my family and I moved to Florida. Early retirement wasn't in the cards, but I found it difficult to get a similar job that paid as well. I accepted an entry-level position as a processor with a mortgage banker, working my way to being an underwriter and manager. A few more career moves led to a large federally chartered savings bank, where I managed the residential mortgage quality-control program—within the bank's internal audit department. The bank exited the residential-lending business, but I stayed on as an operational auditor. I immediately began working to earn the Certified Internal Auditor designation, which I achieved in 2002, never regretting the long nights and weekends studying those entrancing CIA exam materials.

What is your educational background? And was internal auditing "on your radar screen" when you were getting your college education? I have an AAS in Paralegal Studies (Hilbert College, Hamburg, NY) and a BS in Business Management (SUNY Fredonia). And I had never heard of internal auditing until I started working in it!

Did particular individuals influence your career path? Who were they? How did they influence you? The Director of Internal Audit who thought I would make a good auditor set me on the IA career path. So many people in my work and personal life have admirable qualities that I try to emulate—I couldn't begin to name them all—but my husband, Don, is #1. Perseverance is his #1 quality!

What types of internal audit work do you enjoy most? Least? Most: Special Investigations. I've unraveled some interesting frauds. Least: Financial Audits. I hate that ticking and tying—unless it's for a forensic purpose!

What do you find most satisfying or rewarding about your work in internal audit? Most challenging? Both most rewarding and most challenging is helping reluctant and skeptical folks see that change is needed and possible without turning their world inside out. Sometimes it's better to plant the seed for the solution and let someone else think of it.

Where do you see internal auditing moving in the future? I see IA as becoming the new hot profession because of the recognition IA has received through recent corporate scandals, as well as the creation of college degrees in auditing.

What skills and knowledge do you think internal auditors will need? The skills and knowledge vary with the audit work, but the universal skill an auditor needs is the ability to see an issue from the other person's viewpoint, be that person management, the staff person who will implement a recommendation, a regulator, a shareholder, or a member of the public. That doesn't mean ignoring a problem; it means thoughtful consideration of how we present issues and solutions.

What do you enjoy doing outside of work? Spending time with family over a great meal, hiking, and camping. Our two sons have graduated from college, so Don and I are looking forward to vacation trips. I'm also on the Board and am the treasurer for the Community Action Partnership for Madison County, which works to alleviate poverty by helping people build skills for resilience in the face of change.

What other insights would you like to share with Chapter members? It's good to have a plan. It's better to be prepared to go with the flow.

What Are You Reading? What Are You Watching?

Dan Zeppetello recommends…

It Worked for Me by General Colin Powell. A look at the leadership style that General Powell employed during his military and diplomatic career. The best parts of the book were his behind-the-scenes descriptions of historical events that he participated in over the last 40 years.

Let's Pretend This Never Happened by Jenny Lawson. The autobiography of a very funny woman, whose claim to fame is her ability to tell amusing, albeit rambling stories about her childhood in rural Texas, adulthood in the big city of Houston, and her long-suffering husband.

Sally Cutler recommends…

The Great Gatsby by F. Scott Fitzgerald. Why not read the classic before the new movie comes out in mid-2013? You may have read it in high school or college, but this powerhouse of a short novel will speak to you differently as an adult reader.

Your Dispatch editor encourages you contribute to the occasional feature, "What are you Reading? What are You Watching?" Serious or light, professional or recreational—we want to know what you recommend. Send your recommendations to Sally.Cutler@Word-Wrights.com.

Gleim Offers Chapter Members Discounts on Materials, Courses

Our Chapter has partnered with Gleim Publications to ensure your success on the CIA exam! Working together, we will provide you the necessary study tools to prepare for this difficult exam.

Gleim provides an extensive self-study course for the CIA exam. Our most successful candidates use the Gleim CIA Review System with Gleim Online. This system combines Review Books, Test Prep software, Test Prep for Windows Mobile, audio reviews, Gleim Online and a Personal Counselor (a real live person!) to maximize your available study time. Because Gleim identifies and focuses on your weak areas, you will not spend any more time preparing than is necessary to guarantee success.

The CMA Review System with Gleim Online GUARANTEES that you will pass each exam part the first time. We are here to save you time and money.

As a Chapter member, you are eligible for 20% off all Gleim's CIA Review materials, as well as Gleim CPE. To take advantage of the reduced prices, please contact our Chapter representative, Melissa Leonard. Phone: (800) 874-5346, Ext. 131

Email: melissa.leonard@gleim.com

Fax: (888) 375-6940 attn: Melissa Leonard

IIA Promotes Board Advocacy, Encourages Members to Do Likewise

The IIA is committed to advocating for internal auditing's value to audit committees, boards of directors, and their equivalents. To that end, The IIA provides advice and materials, available through The IIA's website, and has an IIA headquarters position devoted to advocacy.

For resources that you can use, visit www.theiia.org and click your way through About Us → Advocacy → Promoting the Profession.

Directions: October 24 Meeting at *The Spaghetti Warehouse*

From the East

Take Route 690 West to Route 81 North.
Take Exit 22 (Court Street).
Make a sharp right at the top of the ramp.
Make a right at the first light.
Take the second left onto North Clinton Street.
Go approximately 1.5 blocks.
Spaghetti Warehouse is on the left.

From the West

Take 690 East to the Hiawatha Boulevard Exit.
Take a left onto Hiawatha Boulevard.
Make a right onto Solar Street.
Make a left onto Spencer Street.
Make a right onto North Clinton Street.
Spaghetti Warehouse is on the right.

The Central New York Chapter is on the Web at www.theiia.org/chapters/index.cfm?act=home.page&cid=58

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Kelly Anderson (Student Chapter Representative)
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James P. Gorman, CIA (Life)
Mary M. F. Rand, AMLP, CIA, CFSA, CBM (2014)
Terri L. Suchewski, CIA, CBM, CPA, CISA (2014)
Mary Telesca, CIA, CBM (2015)
Lynne Wadsworth, CIA, CFSA (2013)
Gail Whipple (2015)
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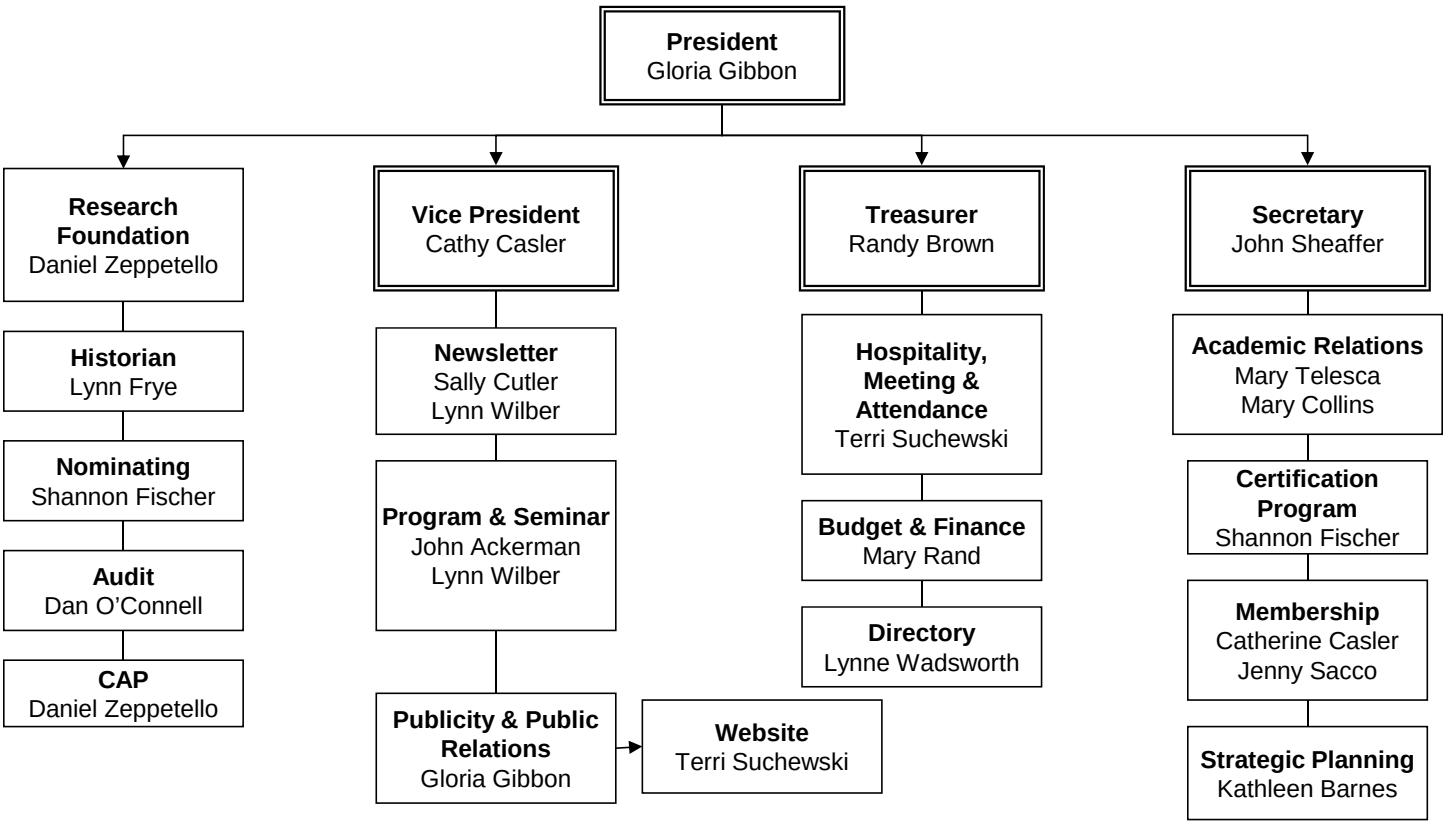
2012 – 2013 IIA CNY Organization Chart



The Dispatch

The Dispatch is published monthly, September through May, by The Central New York Chapter of The Institute of Internal Auditors. *The Dispatch* welcomes articles of interest to the Chapter membership. Contact Sally Cutler at sally.cutler@word-wrights.com.

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