A MESSAGE FROM OUR PRESIDENT

Dear Members:

I hope you all are enjoying your summer! First and foremost, I would like to thank the outgoing President of the New York Chapter, Laura Richard, the Executive Committee members, and outgoing Board of Governors for yet another successful year serving the chapter’s members. Once again, the New York Chapter has been recognized by The IIA as a “Chapter of Excellence” for its support of quality education and the CIA designation. We are also very excited about St. John’s University’s continued designation as an IIA Center of Excellence, and now, Pace University’s acceptance into the IIA’s Academic Awareness program (refer to page 9 for more details) as well as the free IIA membership to students (refer to page 5).

I am honored to serve as your Chapter President for the 2022-2023 year and lead our talented Executive Committee team. Our objectives for this year are aligned with the IIA’s North American Strategic Plan and include as key priorities: providing innovative, high quality and cost-effective professional development opportunities, advocating and contributing to the internal audit profession in collaboration with targeted schools, and enhancing our engagement with members to increase awareness of the valuable resources and opportunities provided by IIA membership.

Our Executive Committee leadership team has worked diligently and continues to adapt to the ever-evolving landscape of how and where people work, network, and continue their professional education and we believe we have built a strong foundation to support this chapter year’s strategy. Our strategy has been and will remain to stay flexible and agile yet responsive to our members’ needs and simplify how we offer value and services to our members. Our plan for the remainder of calendar year 2022 is to offer webinars virtually with consistent pricing from prior year. We would like to safely reintroduce in-person events in 2023, specifically with our Financial Services Conference in February 2023 and our Annual Audit Conference in May 2023 and through informal networking events in the Spring 2023. We look forward to continuing to offer high quality events and doing all we can to enhance these training experiences by incorporating relevant topics to the profession. We will be partnering with the North New Jersey and Long Island Chapters in delivering cross-chapter training opportunities with the goal of better serving and increasing access to training for our members. This year, we are also including a 3-course hands-on data analytics training track opportunity. We are bringing back the VIP Prepayment Plan for IIA members attending our virtual offerings at a meaningful discount off of member CPE pricing, consistent with last year. Our first webinar (8 CPEs) is planned for September 16, 2022, with the Long Island chapter; registration is now open and you should have received an email announcing the registration details – [link here to register directly].

Finally, I’d like to formally welcome our Executive Committee Leadership Team who I am extremely grateful to work with, including Min Kim (EVP), Sue Mortensen (VP of Professional Development), Anna Walters (VP of Professional Services), Dennis Wong (VP, Secretary), Quan Lin (Certifications Officer), Elrene Wittlinger (VP and Treasurer), Jennie Wallace (Programming Officer), Tim Ryan (Academic Relations and Advocacy Officer) and Mark Solonick (Membership Officer). Other key players include Bill Morello, Sherry Rodriguez, Brian Tracy, Saloni Kapoor and Maggie Simonetti. Please feel free to reach out to any member of the team for information on volunteer opportunities. We want to make your membership with the NY Chapter as valuable as possible and continue to build upon our abilities to support our members and the profession. Enjoy the rest of the summer and stay safe and well!

Kind regards, Angelina Fridman
NY Chapter President, Institute of Internal Auditors

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# 2022-2023 IIA NY Chapter Events Schedule

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<th>Date</th>
<th>Event Type</th>
<th>Event Name</th>
<th>CPE Credit</th>
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<tr>
<td>9/16/2022</td>
<td>Virtual Conference</td>
<td>Hot Topics &amp; Audit Soft Skills</td>
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<tr>
<td>11/3/2022</td>
<td>Virtual Conference</td>
<td>Governance, Risk, and Compliance</td>
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<tr>
<td>12/1/2022</td>
<td>Virtual Conference</td>
<td>Hands-on Data Analytics for Intelligent Auditing (Track 1 of 3)</td>
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<tr>
<td>12/8/2022</td>
<td>Virtual Conference</td>
<td>Hands-on Data Analytics for Intelligent Auditing (Track 2 of 3)</td>
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<tr>
<td>12/15/2022</td>
<td>Virtual Conference</td>
<td>Hands-on Data Analytics for Intelligent Auditing (Track 3 of 3)</td>
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<tr>
<td>1/20/2023</td>
<td>Virtual Conference</td>
<td>Public Sector Conference</td>
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<tr>
<td>2/16/2023</td>
<td>In-person conference*</td>
<td>Financial Service Conference</td>
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<td>3/10/2023</td>
<td>Virtual Conference</td>
<td>Fraud</td>
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<tr>
<td>4/7/2023</td>
<td>Virtual Conference</td>
<td>Cybersecurity &amp; Technology</td>
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<tr>
<td>5/4/2023</td>
<td>In-person conference*</td>
<td>Annual Conference</td>
<td>7</td>
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</tbody>
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* Due to COVID-19 and social distancing protocols, the in-person conferences may change to virtual session(s). This change will be communicated promptly.

*Disclaimer: These preliminary topics and presenters are subject to change.
Hot Topics & Audit Soft Skills
Friday, September 16, 2022 – Virtual (Zoom)
8:30 a.m. – 5 p.m.
(8 CPE/CPO Credits)

Event Summary
As we commence the 2022-2023 chapter year, there is no better way to do so than having our IIA President & CEO, Anthony Pugliese, as our keynote Speaker to kick off our first conference. Following Anthony, we will focus on a variety of hot topics and soft skills for auditors. You will learn about evolving topics that should be kept at the forefront of our audit plan, as well as some areas within the internal audit profession we should keep a pulse on. We will wrap up the day with Dr. Toby Groves sharing his insights on “Turning Auditors into Better Thinkers”.

Here is a glimpse of what’s in store for the day:
- Anthony Pugliese’s thoughts on advocating the profession and educating our members on upcoming initiatives
- Update on IIA changes and available resources to our members
- Impact of Environmental, Social or Governance (ESG) information
- Building Expertise within the Audit Team
- Emerging Risks Update
- Communicating audit results to management versus the audit committee
- Dr. Toby Groves wraps up the day with Turning Auditors into better thinkers

Conference Agenda:
- 8:30 – 8:40am: Welcome and Opening Remarks
  - Tom Comiskey – LI Chapter President
- 8:40 – 9:30am: Advocate the Profession and Educate our Members on Upcoming Initiatives
  - Anthony Pugliese – IIA President & CEO
- 9:30 – 10am: Update on IIA Changes and Available Resources to our Members
  - Carey Blakeman – IIA Director
- 10 – 10:15am: Break
- 10:15 – 11:15am: Impact of ESG
  - Eric Carlsson – KPMG
- 11:15 – 12:15pm: Building Expertise within the Audit Team
  - James Fitzmaurice, Gartner
- 12:15 – 1:15pm: Lunch
- 1:15 – 2:15pm: Emerging Risks Update
  - James Fitzmaurice, Gartner
- 2:15 – 3:15pm: Communicating Audit Results to Management versus the Audit Committee
  - Remonde Brangman & Melinda Stinnett, CBIZ
- 3:15 – 3:30pm: Break
- 3:30 – 4:50pm: Turning Auditors into Better Thinkers
- 4:50 – 5pm: Wrap Up and Closing Comments
MEMBERSHIP BENEFITS

Members enjoy many benefits from the IIA and the New York Chapter. Join or renew today!

- **Networking & Connecting:** Enjoy local networking programs, along with national and international conferences, to connect with a real community of 210,000+ like-minded industry leaders and peers from around the world.
- **Savings & Discounts:** Save on in-person, online, and on-demand learning opportunities, along with the Certified Internal Auditor® (CIA®) designation. Plus, member discounts on products, publications, and CPE reporting.
- **Learning & Leading:** Sharpen competencies on the latest topics and techniques with world-class courses and conferences facilitated by world-renowned leaders. Plus, access valuable career resources in the Audit Career Center.
- **News & Views:** Stay informed and up-to-date with the latest trends, opinions, and headlines from Internal Auditor magazine. Plus, our annual risk report and corporate governance index serve up must-read and relevant data.
- **Standards & Guidance:** Access exclusive guidance on day-to-day issues affecting internal auditors worldwide. Plus, become more effective and efficient by following industry standards to perform any audit, anywhere.
- **Volunteering & Contributing:** Develop leadership skills and help transform the profession as an IIA committee or board volunteer, event presenter, or contributing author in one of our many information outlets.
  - *Internal Auditor Magazine*
  - *Members-only Webinars*
  - *Complimentary CPE Reporting*
IIA STUDENT MEMBERSHIP

We have good news regarding student membership!

Starting August 1, 2022, IIA Student Membership will be free of charge for eligible students. Eligibility has also expanded to include part-time students actively enrolled in a minimum of 6 credits. Although student membership is free, each student will need to complete the application here.

Our highest priority is to add value back to the member, and we know that making student membership more accessible will open opportunities for your students, and your chapter, to thrive. This initiative is a great way to showcase Internal Audit as a global profession to students of all academic areas, and we are encouraging chapters to broaden their reach to students outside of solely accounting majors.

We are so excited for the future of student membership and engagement here at the IIA. We know that the future of the profession is in the hands of the next generation. If you have any questions about student membership, please reach out to chapterrelations@theiia.org.

VIP PREPAY MEMBERSHIP PLAN

The IIA New York Chapter is pleased to announce that we will once again offer the VIP Prepay Plan to our members for the 2022-2023 Chapter year. We are excited to continue to offer this discounted pricing to you for all virtual training events planned for the 2022-2023 year, as shown in the schedule below.

Our current schedule as outlined on page 2, includes eight virtual events and two in-person events. (Total of 49 CPE’s). Please note that the VIP Plan is eligible only for the virtual events at this time, and we will inform you should anything change. As of now, we are planning for an in-person Financial Services Conference in February 2023 and in-person Annual Audit Conference in May 2023. Should either event take place in person, VIP Plan credits will not be able to be used. We will inform you of any changes; more information and the purchasing options on these two in-person events will be sent to you closer to those events.

Similar to last year, we are partnering with other local chapters (specifically North New Jersey and Long Island) to host some of the training for our members. Your VIP credits can be used for those events as well.

Note to Returning Customers:

Welcome back and thank you for your membership! As we previously had communicated, unused credits from this chapter year will not be allowed to be carried over.

Also, the important things are staying the same; you will receive a discount code which you will use when you register for each webinar. The code will be emailed to you after you order, and anyone in your company who is an IIA member can attend any webinar. You will not be charged when you register for an event, as long as you use your discount code.
VIP Plan / Price

No change; VIP Plan prepaid credits are being sold in packages of 20 CPE hours at $240 per package (This is $12 per CPE hour, representing a 20% discount from member pricing of $15 per CPE hour). Buy them here by September 14th!

Other Info

> **Order**: Order your VIP Plan online at the link above.
> **Payment**: By credit card only online.
> **Register for Workshop Online**: Don't forget to register on the chapter website!
> **Chapter Website Link**: https://www.theiia.org/en/chapters/united-states/new-york/new-york/

IIA CIA LEARNING SYSTEM

**Calling All Aspiring CIA Candidates**

Get prepared with these **NEW!** CIA Exam Preparation courses:

- Discover the CIA Study Tools
- Try Free Practice Questions
- CIA Exam Preparation Instructor-led Courses
- Self-Study Program
Are you looking to demonstrate your financial services competency and credibility?

Exhibit your expertise and specialized knowledge by completing the Financial Services Audit Certificate! The revamped certificate has a brand-new self-study training program and focuses on the following:

<table>
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<th>Assessing Fraud Risks</th>
<th>Auditing Capital Adequacy and Stress Testing for Banks</th>
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<td>Auditing Culture and Conduct</td>
<td>Auditing Insurance Companies</td>
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<td>Auditing Market and Interest Rate Risk</td>
<td>Auditing Model Risk Management</td>
<td>Auditing Third Party Risk</td>
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<tr>
<td>Foundations of Auditing in Financial Services</td>
<td>Liquidity Risk Management</td>
<td>Financial Services Audit Assessment Exam</td>
</tr>
</tbody>
</table>

Learn more at https://www.theiia.org/en/learning/certificates/financial-services-audit/

THE IIA’S IT GENERAL CONTROLS CERTIFICATE

The IIA’s IT General Controls Certificate Program will teach you how to assess IT risks and controls. Achieving the certificate will validate your knowledge and experience in IT auditing. It’s time to exhibit expertise and audit more effectively. This innovative self-study program is available exclusively through the convenient IIA Training OnDemand platform and focuses on the following:

Learn more at https://www.theiia.org/en/learning/certificates/it-general-controls/

<table>
<thead>
<tr>
<th>IT Essentials: Introduction to IT</th>
<th>IT Essentials: Introduction to IT General Controls</th>
<th>Logical Security: Application, Database, and Operating System Layers</th>
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<td>Logical Security: The Network Layer</td>
<td>Auditing IT Change Management</td>
<td>Understanding the SDLC</td>
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<tr>
<td>Exploring Corrective Controls</td>
<td>Computer Operations</td>
<td>Physical and Environmental Controls</td>
</tr>
<tr>
<td>Governance of Enterprise IT</td>
<td>Auditing Project Management Practices</td>
<td>Auditing Third-party Technology-related Risk</td>
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</table>
Auditing Cybersecurity Program Certificate

ONLINE:

- Nov 14, 15, 16, 17, 18: 9:30 AM – 12:50 PM ET
- Dec 5, 6, 7, 8, 9: 1:00 PM ET – 4:20 PM ET

Learning Objectives

Attendees will be able to:

- Understand what drives cyber risk.
- Identify how to assess data storage solutions.
- Explore how to respond to digital transformation risk in real-time.
- Determine how to establish a typical, timely patch management process.
- Investigate commonly applied Vulnerability Management Maturity Models to assess organizational cybersecurity vulnerabilities.
- Identify how automation tools can be used in internal audit activities.
- Learn how to reduce risk exposure from common API and web services vulnerabilities.
- Determine how to mitigate risk exposure from common privileged access management vulnerabilities
- Establish how to adjust audit approaches for DevSecOps
- Review how to mitigate risk exposure from common SoD vulnerabilities.
- Understand internal audit’s role in incorporating data analytics and continuous monitoring.
- Determine areas of improvement in defensive incident response processes across every phase of the kill chain.
- Identify controls needed to operate a Security Operations Centers (SOC)

Learn more at: https://www.theiia.org/en/products/learning-solutions/course/auditing-the-cybersecurity-program-certificate/
The IIA-NY Chapter is proud to announce that, with our collaboration and full endorsement, Pace University has been accepted into The IIA’s Academic Awareness Program!

This prestigious program has been created to recognize the commitment and effort universities are making to provide students with the information and skill sets necessary to choose an internal auditing career. The IIA commends colleges and universities that promote internal audit awareness and education through their curricula.

With acceptance into this program, Pace qualifies for research grants and will now be listed as an IIA Internal Audit Academic Awareness Program university.

Pace’s application into this program was fully supported by Dean Singleton of the business school, and the designated coordinator will be Professor Charles Tang, who oversees and helps develop the curriculum related to necessary IA skill sets, with courses including Internal Auditing, Advanced Auditing & Analytics, IS Security and Control, and Accounting Info Systems.

Pace University has a long history of having students recruited into leading audit firms and companies seeking internal audit staff and management. Pace is the number one private university in the nation for social mobility and has an extremely diverse student body, including large numbers of first generation students, and first to go to college in their family (key factors in social mobility ratings).

Our chapter’s academic relations committee is working with Pace to also apply for the IA Education Partnership program with the IIA, before this year’s October deadline.
At the Intersection of Internal Audit and ESG

There never seems to be enough hours in the day to get through everything on the audit plan, not to mention the issues that seem to crop up all the time. These days, the topics that seem to be on the tip of everyone’s tongue and the top of every regulator’s mind are Environmental, Social, and Governance issues, commonly referred to as ESG. Read more on this [Here](#).

To Whom Should Internal Audit Leaders Report?

While there is very little debate that the head of internal audit, usually the chief audit executive (CAE), should report functionally to the board (usually the audit committee of the board), there are some strong opinions on where it should report for administrative purposes. Read what IIA’s Professional Standards have to say [Here](#).

Report Finds Digital Transformation Putting a Strain on Internal Controls

A new study finds that rapid transformation to the digital economy is putting a strain on control systems within organizations. The speed and intensity of changes, brought by the COVID-19 pandemic and rapid shifts in the economy, have disrupted staffing and increased the adoption of advanced technology, which has impacted internal controls. Read More [Here](#).

FEATURED ARTICLES

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Been involved in a recent activity, have a success story you would like to share, or want to recognize someone? Email: Saloni. Kapoor @scotiabank.com