

**Monday | March 13, 2023**

**8:15 – 9:30 a.m. CT**

**Opening Keynote:**

*Session Information Being Finalized*

**NASBA: | Learning Level: | CPE Credit: 1.5**

**Monday | March 13, 2023**

**10:45 a.m. – 12:00 p.m. CT**

**GS 2: Lead Your Way Forward: Resilient Leadership for the New Economy**

**Ryan Estis**

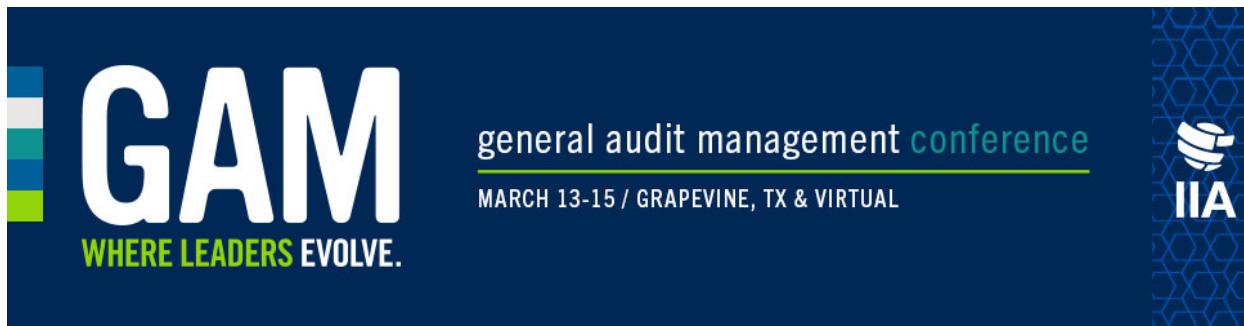
**Culture, Leadership, Business Performance Expert**

For an entire generation of business leaders, the actions they take now and in the months ahead will define them and their companies. Navigating this defining moment in the short term and preparing to capture opportunity in the long term will require a healthy mindset, critical decision making, and strong relationships. During this interactive virtual experience, Ryan Estis will leverage both his proprietary research and personal experience in leading a business through crisis and uncertainty. He will review lessons learned and provide very specific and actionable insight that participants can leverage to respond to short-term challenges and create momentum to capitalize over time.

In this session, participants will:

- Gain insights into downturn psychology and the window of opportunity.
- Assess the character traits of a “Futuremaker” and how to make the future happen.
- Hear about the coaching mindset, emotional resilience amid uncertainty, and the drivers of engagement and emotional commitment.
- Understand the “True North” leadership questions that create impact and discover the keys to effective leadership communication during a crisis.
- Receive a complimentary eBook, Adapt & Thrive.

**Ryan Estis** has more than 20 years of experience as a top-performing sales professional and leader. As the former Chief Strategy Officer for the McCann Worldgroup advertising agency, he brings a fresh perspective to business events. As a keynote speaker and consultant, Estis is known for his innovative ideas on leading change, improving sales



effectiveness, and preparing for the future of work. He supports the world’s leading brands, such as AT&T, Motorola, MasterCard, Adobe, the National Basketball Association, the Mayo Clinic, Thomson Reuters, Ernst & Young, and Lowes. Estis is also the author of a popular blog on business performance. His writing has been featured in Inc., Forbes, Entrepreneur, and FastCompany magazines.

**NASBA: | Learning Level: | CPE Credit: 1.5**

**Monday | March 13, 2023**

**1:30 – 2:30 p.m. CT**

**CS 1-1: Assessing and Managing Fraud Risk in a Changing Environment: What Have We Learned and Where are We Going?**

**Moderator:**

**Bruce Dorris**  
**President, and Chief Executive Officer**  
**ACFE**

**Panelists:**

**Panelists' Being Finalized**

***Session Information Being Finalized***

**NASBA: | Learning Level: | CPE Credit: 1.2**

**CS 1-2: Sharpened Focus: AI Lets Your Data Speak**

**Rachel Kirkham**  
**Vice President, Product and Data Science**  
**MindBridge Ai**

Major advancements in AI systems are letting the data speak for itself, showing you the path to risk, anomalies, and potential fraud. The future of a common ADA and continuous monitoring platform, used across the three lines, isn’t a fantasy. It’s here today and smarter than ever before, with capabilities to reconcile, link, match, and assess risks across systems and processes.



In this session, participants will:

- Gain an understanding of how far AI systems have come to support a more agile approach to the second and third lines of defense.
- Take home a framework to plan an AI implementation for agile planning, risk assessment, and building a new level of assurance.
- Learn how to increase efficiencies in audit and continuous monitoring while increasing effectiveness of work effort.
- Ask experts in rolling out AI systems and hear feedback directly from a progressive leader.

**Rachel Kirkham** joined MindBridge in January 2020 and delivers expertise at the intersection of data science and accounting. Previously, at the UK National Audit Office, she started as an Assistant Auditor and eventually rose to Head of Data Analytics Research. For 12+ years, Kirkham has bridged the gap between deep data analytics and complex market requirements, developing applications and visualizations that solve real problems in auditing and finance. She is an ACA-qualified chartered accountant, subject matter expert for the ICAEW, founding member of R-Ladies Global, and forum member of the Bank of England and FCA convened Artificial Intelligence Public Private Forum. Kirkham speaks often on the importance of diversity in STEM.

**NASBA: | Learning Level: | CPE Credit: 1.2**

**CS 1-3: Promoting Diversity, Equity, and Inclusion to Improve Employee Retention and Close the Talent Gap**

**Domonique Williams, CISM, CISA, PMP**  
**Director, Internal Audit and Financial Advisory**  
**Protiviti**

**Shalim Matos, CIA, CRMA, CPA, CFE**  
**Vice President and Chief Audit Executive**  
**Serta Simmons Bedding**

This session will cover how promoting diversity, equity, and inclusion (DEI) is not only a good thing to do, but also how it is good for business. The session will include an overview of studies that have shown how diverse and DEI minded organizations are more successful and have better retention.

In this session, participants will:



- Define DEI.
- Hear the benefits of promoting DEI and understand its impact on people and business today.
- Learn how to leverage data to make the case for DEI and its benefits, including improving employee retention and closing the talent gap.
- Gain insights into how organizations and audit groups can promote, support, and celebrate DEI.

**Domonique Williams** is an Internal Audit and Financial Advisory Director in Protiviti's Atlanta office. She has 14+ years of experience leading operational, financial, IT, and compliance audits, as well as project management, IT, and accounting work. Williams has been with Protiviti for 11 years, primarily overseeing IT audit projects, with a focus on tools and technologies to advance the maturity of audit and client processes, such as process mining, data analytics, and RPA. She is the Executive Sponsor for Protiviti's Black Employee Inclusion Networking Group (BEING) and Protiviti Atlanta's Gender Equality in Tech Group (GET IT). Williams also serves on IIA-Atlanta's Board of Governors.

**Shalim Matos** is the Senior Director and Head of Internal Audit at Serta Simmons Bedding, and she also serves as CFO for The IIA's Atlanta chapter. Matos started her professional career providing financial audit services at KPMG and in 2011, she transitioned to the internal audit field, joining Westrock, formerly Rocktenn. In 2020, Matos was selected to complete an Executive Leadership Program with Harvard Business School and received an "Excellence Through Leadership" award from IIA-Atlanta.

**NASBA: | Learning Level: | CPE Credit: 1.2**

#### **CS 1-4: Lessons Learned Along the Road to ESG Assurance**

**Moderator:**

**Ruth Nouanesengsy, CIA, CFSA, CRMA, CPA, CGMA, COSO**  
**Senior Manager, Internal Audit**  
**Workiva**

**Panelists:**

**Melissa Clawson**  
**Director, Internal Audit**  
**The Wendy's Company**



**Nancy Jordan**  
**Vice President, Internal Audit**  
**Cornerstone Building Brands**

**Tom Rams, CPA, CISA**  
**Senior Director, SOX and Internal Audit**  
**8X8, Inc.**

Hear from a panel of audit leaders about the challenges they've encountered and the lessons they've learned as they help their organizations navigate the ESG landscape at various levels of ESG maturity. Panelists will share the obstacles they've faced, how they were overcome, and the things they wish they'd known when they started.

In this session, participants will:

- Understand common challenges facing internal auditors as they assess ESG risks and begin the pathway to ESG assurance.
- Discover how other practitioners have worked through and overcome challenges to auditing the ESG programs in their organizations.
- Learn what's working and what's not in organizations at various levels of ESG maturity that are "down the road" on their journey to ESG assurance.

**Ruth Nouanesengsy** has been leading the Internal Audit department at Workiva since October 2019. She has more than 18 years of continuously progressive experience in internal audit with a variety of service and manufacturing companies, including insurance, automotive, food production, and technology. Her background has included compliance and operational audits, risk management, implementation of SOX and SOX-based programs, and process improvements for business and operational processes and internal audit processes.

**Tom Rams** is responsible for oversight of the SOX program, internal audits, and administration of the enterprise risk management program as Senior Director of SOX and Internal Audit at 8x8. He previously spent 11 years with PricewaterhouseCoopers LLP, providing assurance and advisory services. Rams is a Certified Public Accountant in Minnesota and a Certified Information Systems Auditor.

**NASBA: | Learning Level: | CPE Credit: 1.2**



**Monday | March 13, 2023**

**2:45 – 3:45 p.m. CDT**

***CS 2-1: Session Information Being Finalized***

**NASBA: | Learning Level: | CPE Credit: 1.2**

**CS 2-2: Risk Sensing: Leveraging Key Risk Indicators and Analytics to Inform Where and What to Audit**

**Moderator:**

**Mike Maali**

**US Internal Audit Solutions Leader**

**PwC**

**Panelists:**

**Additional Panelists Being Finalized**

Modernize the way internal audit assesses risk, determines scope, and audits differently by leveraging key risk indicators and analytics to deliver greater coverage and value to key stakeholders.

In this session, participants will:

- Learn how to identify key risk indicators and explain how to use them as part of a risk assessment and planning process.
- Hear examples of analytics and key risk indicators that can be used to identify higher risk audit entities and inform scope of work based on higher risk.
- Gain insights into the process for modernizing historically manual execution of testing with data analytics and full population analysis.
- Understand how to leverage analytics to provide more in-depth insights in the reporting process.

**NASBA: | Learning Level: | CPE Credit: 1.2**

**CS 2-3: The Ethical Internal Auditor: Keeping an Eye Out for Your Blind Spots**

**Richard F. Chambers, CIA, QIAL, CCSA, CGAP, CRMA**

**Senior Internal Audit Advisor**

**AuditBoard**



Ethical resilience is often listed as one of the top attributes of high-performing internal auditors and audit leaders in organizations around the world. To earn and sustain trust in the organizations they serve, internal auditors must not only conform to the profession’s code of ethics, but they must also bring a strong moral compass to their role every day. Internal auditors must know and guard against “blind spots” – a temporary inability to see the ethical aspect of behavior or a decision that is being made.

In this session, participants will:

- Understand the concept of ethical behavior by audit professionals, as well as the inextricable link between culture and ethical behavior.
- Examine characteristics of ethical audit leaders, barriers to ethical behavior and the courage needed to overcome them, and blind spots that often compromise the ethical behavior of internal auditors.
- Explore how to identify and navigate blind spots and other challenges and opportunities awaiting internal auditors as they model ethical behavior in the organizations they serve.

**Richard Chambers** is the CEO of Richard F. Chambers & Associates, a global advisory firm for internal audit professionals, and also serves as Senior Internal Audit Advisor at AuditBoard. Previously, he served for over a decade as the President and CEO of The Institute of Internal Auditors (IIA), where he led the organization to record global membership and countless milestones. Prior, Chambers was National Practice Leader in Internal Audit Advisory Services at PwC and Vice President of The IIA’s Learning Center. He is a globally recognized blogger and award-winning author.

**NASBA: | Learning Level: | CPE Credit: 1.2**

### **CS 2-4: The Troika of Money Laundering, Sanctions, and Corruption: How Internal Audit Safeguards Global Commerce**

**Sven Stumbauer**

**Managing Director; Anti-Money Laundering and Sanctions Practice Leader**

**Grant Thornton LLP**

Global commerce has been disrupted and roiled by a perfect storm of forces that have rapidly changed the environment for many worldwide financial institutions representing the core of transaction management behind global commerce. In this environment, financial institutions must become more risk agile and move from backwards-looking compliance measures to proactive risk management. Internal audit plays a significant role in



safeguarding financial institutions as a top strategic partner of the board and C-suite.

In this session, participants will:

- Review the disruptive challenges global commerce is facing.
- Understand how increasing regulatory enforcement, geopolitical changes, and record-setting monetary fines have made adequate anti-money laundering (AML) risk management a significant obstacle for financial institutions globally.
- Discuss opportunities and immediate action items that financial institutions should consider to stay ahead of the curve and avoid regulatory criticism and potential sanctions.
- Receive actionable insights to effectuate immediate change within their organization.

**Sven Stumbauer** uses his extensive cryptocurrency, AML, sanctions and Foreign Corrupt Practices Act acumen as a senior financial crimes compliance professional and leader of Grant Thornton's AML and Sanctions practice. With 20+ years of financial crimes, AML, sanctions compliance, anti-bribery, and anti-corruption experience, he has led complex, high-profile regulatory investigations and remediation programs. Stumbauer has also advised financial institutions and global businesses in the United States and 60+ countries worldwide on strategic initiatives, leading and streamlining processes, assisting businesses to achieve strategic goals and effective compliance, and collaborating with C-level executives and board members to evaluate, propose, and deliver effective change and transformation. Additionally, he has served as an independent monitor in prominent enforcement actions around the world.

**NASBA: | Learning Level: | CPE Credit: 1.2**

**Monday | March 13, 2023**

**4:30 – 5:30 p.m. CT**

**CS 3-1: Cyber Risk Excellence: Going Beyond Frameworks and Requirements**

**Brenda Bjerke, CISSP, CIPP**  
**Senior Director, Cybersecurity**  
**Target Corporation**

The last few years have proven to be an extreme test for organizations as they quickly pivoted to a digital-first environment and faced new operational realities, including acceleration of cyber threats. This session will explore how to support evolving business





priorities and create a risk-aware culture across the enterprise. Enabling strong collaboration between cyber risk and threat intelligence practices creates a meaningful, ongoing conversation about risk tolerance, program governance, and policy alignment to deliver on management expectations.

In this session, participants will:

- Discover how to develop a threat-focused cyber risk program.
- Hear tips for building a high-performing team with deep subject matter expertise and well-informed professional judgment.
- Understand how to create a risk-aware culture across the enterprise and enable the business to drive growth.

**Brenda Bjerke** joined Target in 2003 and is presently Senior Director of Cybersecurity, where she leads the Cyber Risk team and is responsible for the enterprise's Cybersecurity Management Office, Information Security Policy, Training & Awareness, Vendor Security, Business Information Security Office (BISO), and Payments & Compliance (PCI, GLBA, SOX, HIPAA) teams. After Target's data security incident in 2013, Bjerke played an important role in transforming the company's security culture. She serves on the Executive Leadership Team for Target tech's Diversity Action Committee and as the Executive Women's Forum (EWF) champion to advance women in security initiatives. Bjerke is an Ambassador to Cyversity and serves on the Board of Advisors for the EWF and on the Board of Directors for Blacks United in Leading Technology.

**NASBA: | Learning Level: | CPE Credit: 1.2**

### **CS 3-2: Continuous Assurance: Strengthening the First and Second Lines**

**David Malcom**

**Senior Vice President, Managing Director, Internal Audit Transformation  
Northern Trust**

**Dennis Bichsel**

**Director, IT Audit Services  
Northern Trust**

**Jeffrey Johnson**

**Senior Vice President  
Northern Trust**



**Joseph Gonski**  
**Senior Vice President, Data Analytics Program Lead, Audit Services**  
**Northern Trust**

With the advancement of technology, the role of the traditional internal audit function is changing. Hear how the Northern Trust audit team partnered with the first and second lines of defense to establish a continuous assurance model over system access. Through rules-based analytics, business intelligence, and predictive analytics, key applications are monitored regularly. This enables the first and second lines to achieve risk-based coverage over system access and ensure compliance with external regulatory oversight.

In this session, participants will:

- Examine internal audit's opportunities to partner with the business to achieve continuous assurance in lieu of sample-driven testing after the fact.
- Understand how audit and the first and second lines of defense can work together to achieve mutual objectives.
- Learn how various analytical techniques can be combined to offer a comprehensive risk profile.
- Discover how data analytics can be utilized to shift traditional control monitoring procedures into a continuous assurance framework.

**David Malcom** has 22 years of technology audit and risk consulting experience. Upon joining Northern Trust in August 2021 in the new role of Senior Vice President and Managing Director of Audit Services, he was tasked to build out a team with the skills and experience needed to assess risk and audit digital transformation programs and the emerging technologies underpinning these efforts. Previously, as a Managing Director at Accenture for 15+ years, Malcom led the Global IT Audit and Data Analytics team and played a key role in transforming the Internal Audit department to become digital and data driven. Earlier in his career, he served as Chief Information Security Officer for a global hospitality company and spent several years with the Big 4.

**Joe Gonski's** career includes experience in both audit and data/technology settings. Starting as an external auditor with KPMG, he eventually became the internal audit data analytics lead for Accenture, developing their analytics capability from scratch. Gonski was recognized as the 2021 IIA-Chicago Innovator of the Year for the cutting-edge program developed at Accenture, which embedded data analytics into all phases of the internal audit cycle. Currently, he leads the data analytics function for Northern Trust Internal Audit.

**NASBA: | Learning Level: | CPE Credit: 1.2**



### **CS 3-3: Session Information Being Finalized**

**NASBA: | Learning Level: | CPE Credit: 1.2**

### **CS 3-4: When Cash Is King: Risks in Cash-intensive Industries Like Cannabis**

**Chris Jeffrey, CPA**  
**Partner, Risk Advisory**  
**Baker Tilly**

**Joe Shusko, PMP, CISA**  
**Principal, Risk Advisory**  
**Baker Tilly**

**Mumta Taneja, CRMA**  
**Senior Manager, Risk Advisory**  
**Baker Tilly**

This session takes a deep dive into the top risks facing cash-heavy industries like cannabis and gaming. We will deliver insights and mitigation strategies, including firsthand experiences from a cannabis audit executive, into how to approach the challenges of cash, fraud, HR, regulatory, and cyber/IT risks and controls. You will walk away with a better understanding of how to address hazards that could be lurking in the blind spots of your growing business!

In this session, participants will:

- Gain an understanding of key risks facing companies in cash-intensive and highly regulated industries.
- Hear about tools, techniques, and leading practice strategies to address those key risks.
- Discuss internal audit's role in supporting leadership and evaluating and addressing those key risks across the organization.

**Chris Jeffrey** leads Baker Tilly's firmwide cannabis practice and the Illinois risk advisory practice. He has 20+ years of experience providing industry-specialized services in large and complex organizations across 20+ countries on four continents. His technical practice areas include Sarbanes-Oxley (SOX) compliance, co-sourced and outsourced internal audit, risk assessment, financial and operational risk management, internal controls, and organizational governance. Jeffrey has held multiple leadership positions within Baker

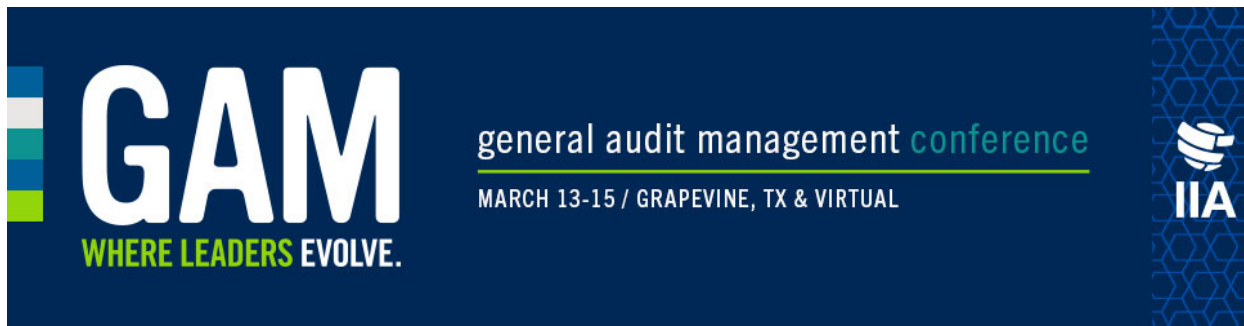


Tilly, helping stand up numerous service lines, including outsourced internal audit, co-sourced internal audit, SOX compliance, and ESG. He speaks and writes regularly on topics related to risk management and the cannabis industry.

**Joe Shusko** is a Principal in Baker Tilly’s Risk Advisory practice, based in its significantly expanding Chicago market. He has more than 20 years of team building and decision-making experience with a proven track record of reputable performance. As demonstrated throughout his career as a U.S. Marine Corps infantry officer, cybersecurity and information technology (IT) specialist, Shusko helps clients evaluate and mitigate their key cybersecurity risks, bringing significant expertise in IT audit, cybersecurity, IT SOX, and ERP control assessments.

**Mumta Taneja** is a Senior Manager in Baker Tilly’s Risk Advisory practice with 18 years of experience delivering risk advisory, Sarbanes-Oxley (SOX) compliance and internal controls, consulting, and internal audit services. She has a diverse industry background across cannabis, manufacturing and distribution, software and technology, and food and beverage organizations. Her expertise includes conducting enterprise risk assessments, auditing business processes, performing data analytics, determining SOX readiness, and implementing and evaluating SOX compliance.

**NASBA: | Learning Level: | CPE Credit: 1.2**



**Tuesday | March 14, 2023**

**8:45 – 9:45 a.m. CT**

### **GS 3: The New *Standards*: Elevating the Internal Audit Profession for the Future**

**Dr. Lily Bi, CIA, CRMA, CISA**

**Executive Vice President, Standards, Guidance, and Global Certifications**

**The IIA**

**J. Michael “Mike” Peppers, CIA, QIAL, CRMA, CPA**

**Chief Audit Executive**

**The University of Texas System**

**Paul Sobel, CIA, QIAL, CRMA**

**Chairman Emeritus**

**Committee of Sponsoring Organizations of the Treadway Commission (COSO)**

Today’s rapidly evolving global landscape makes clear the need to revise the International Professional Practices Framework (IPPF) to better serve and elevate the internal audit profession globally. The IIA has undertaken an unprecedented project to review and revamp the IPPF and change the *Standards*. Through the new *Standards*, The IIA aims to transform the internal audit profession, ensure the professional practice of internal auditing, and evaluate internal audit’s impact on the organization and its stakeholders.

In this session, participants will:

- Hear about the progress of the IPPF Evolution project and how the IPPF is being simplified and streamlined.
- Gain insights on how the *Standards* are developed to stay current and relevant.
- Learn key changes to the new *Standards* as well as how to comment on the changes and implement the new *Standards*.
- Understand the impact of new *Standards* on professional practices and internal audit’s role in enhancing the organization’s sustainable value creation and protection.

**Dr. Lily Bi** has 30 years of experience in internal audit, risk management, IT, strategic management, and global credentialing in the United States, Japan, Singapore, and China. As Executive Vice President of Standards, Guidance, and Global Certifications at The IIA, she leads international standards and guidance setting for the global internal audit profession, as well as the organization’s unprecedented project to review and revamp the International



Professional Practices Framework. Dr. Bi also oversees all of The IIA’s global certifications and provides strategic direction to certification programs impacting 300,000+ candidates and certified individuals worldwide. She received her Doctor in Business Administration degree from the University of South Florida.

**J. Michael “Mike” Peppers** is Chief Audit Executive for The University of Texas System in Austin. His 30-year career began in public accounting and has included serving as CAE at U.T. MD Anderson Cancer Center and U.T. Medical Branch. Peppers was The IIA’s 2017–18 Chairman of the Global Board and 2012–13 Chairman of the North American Board; he currently chairs the International Internal Audit Standards Board, and has been President of the Houston and Florida West Coast Chapters. Peppers has written and co-authored auditing articles and speaks often on internal audit-related topics. He has been recognized as a Distinguished Faculty Member in The IIA’s volunteer faculty program, was inducted into the American Hall of Distinguished Audit Practitioners in 2019, and received the Victor Z. Brink Award for Distinguished Service in 2021.

**Paul Sobel** is Chairman Emeritus of COSO, having served as Chairman from February 2018 through December 2022. He retired from Georgia-Pacific in 2020, having served as Vice President/Chief Risk Officer and CAE. Sobel authored or co-authored *Managing Risk in Uncertain Times*; *Auditor’s Risk Management Guide: Integrating Auditing and ERM*; *Internal Auditing: Assurance and Advisory Services*; and *Enterprise Risk Management: Achieving and Sustaining Success*. He was The IIA’s Chairman of the Board in 2013–14 and held other IIA leadership roles. Sobel’s accolades include being named to *Treasury & Risk Magazine’s* 100 Most Influential People in Finance as well as being inducted into The IIA’s American Hall of Distinguished Audit Practitioners and receiving the Bradford Cadmus Memorial Award and Victor Z. Brink Award.

**NASBA: | Learning Level: | CPE Credit: 1.2**

**Tuesday | March 14, 2023**

**8:45 – 9:45 a.m. CT**

**CS 4-1: *Session Information Being Finalized***

**NASBA: | Learning Level: | CPE Credit: 1.2**



## **CS 4-2: The Internal Auditor of the Future**

**Dawnella Johnson**  
**Partner and Global Internal Audit Leader**  
**Crowe**

Internal audit is in need of new innovation. The businesses we serve have changed radically – and are still changing. That means we need to change too. We’re proposing a totally new way of doing internal audit, which we believe will become the way of the future in as few as three years. This presentation will reveal the four “Pillars of the Future” that have transformed Crowe’s internal audit business.

In this session, participants will:

- Learn tangible ways to make their internal audit practice more human centered, leverage technology and data to improve their processes, and position themselves as frontrunners in the new age of internal audit.
- Discover tips for aligning project and process goals to the organization’s strategic roadmap to support a sharper business advocacy approach.
- Consider how data and technology can be leveraged to ensure continuous improvement and standardized activities.
- Identify ways to incorporate experience checkpoints at every stage of an internal audit.

**Dawnella Johnson** is a driving force in creating a culture of excellence, innovation, and inclusion. She has helped develop technologies and solutions that empower organizations to be more productive and profitable. Johnson was named to the 2022 Most Powerful Women in Accounting by the AICPA and CPA Practice Advisor. As one of the top leaders in the accounting profession, her leadership has had a demonstrable effect upon the accomplishments of her organization. A mentor, sponsor, and role model, Johnson encourages those around her to thrive and flourish.

**NASBA: | Learning Level: | CPE Credit: 1.2**

## **CS 4-3: Internal Audit and Raising Awareness for DEI**

**Lauren Shaw**  
**Senior Manager**  
**Deloitte**



**Chris Caldwell**

**Manager**

**Deloitte & Touche LLP**

With DEI awareness rising worldwide, organizations that nurture a fair workplace will thrive. Internal audit has the skill set to help organizations track their DEI goals, advise on tackling cognitive biases, and accelerate building an all-inclusive culture. This session will focus on topics covered in the recently published series produced jointly by Deloitte, the Internal Audit Foundation, and The IIA on internal audit's opportunity and obligation to nurture an inclusive culture by starting within its own function.

In this session, participants will:

- Learn more about the current DEI landscape.
- Discover how internal auditors can leverage their skills to support DEI initiatives within their organization.
- Understand how to continue fostering DEI within their own function.

#### **CS 4-4: Internal Audit's Role in Avoiding the Perfect ESG Storm**

**Kevin Gould, CA**

**Audit Committee Chair and Internal Audit Consultant**

**TeamMate**

**Michelle Hurley, CSPO**

**Senior Product Marketing Specialist**

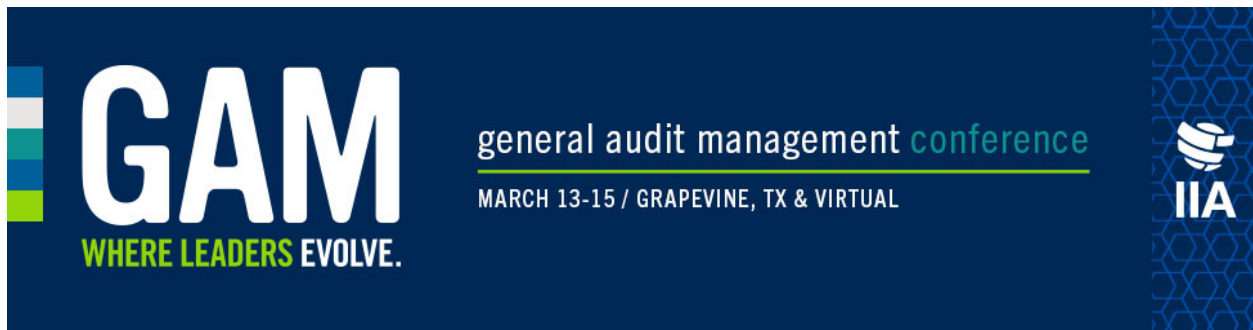
**TeamMate**

A “perfect storm” is a particularly bad or critical situation, arising from a number of adverse and unpredictable factors. Savvy organizations recognize the potential disruption and impact that weather-related events and more broadly, ESG risks, can have on their businesses – employee safety, supply chain, sales/revenue, business continuity, and more. There is a need for internal auditors to understand and have a clear direction on how to identify, measure, report, and mitigate ESG-related risks.

In this session, participants will:

- Examine the scope of ESG, including key drivers, risk considerations, and how the risk landscape is rapidly evolving.
- Hear about the cause and impact of perfect storm scenarios and real-life examples.
- Explore skills and tools internal auditors need to identify and address ESG risk.





**Kevin Gould** is a Chartered Accountant with a strong background in internal audit and a recent focus on ESG. He has 25 years of experience as a consultant, advisor, and auditor, working for banks and consultancy firms of all sizes. Gould has a long-held interest in sustainability, and his recent work includes writing guidance for internal auditors to address the risks associated with sustainability in their organizations. He is now an independent consultant, in addition to serving as a non-executive director and audit committee chair on several boards.

**Michelle Hurley** is a Senior Product Marketing Specialist for Wolters Kluwer TeamMate, where she develops and drives engaging marketing, customer outreach, and sales enablement programs. She uses her experience working with audit departments to influence the product roadmap and gauge the value of TeamMate+ to help audit departments overcome the challenges facing their industry. Throughout her career, Hurley has held several senior roles in channel marketing and digital product marketing. She is a Certified Scrum Product Owner.

**NASBA: | Learning Level: | CPE Credit: 1.2**

**Tuesday | March 14, 2023**

**12:45 – 1:45 p.m. CT**

**CS 5-1: *Session Information Being Finalized***

**NASBA: | Learning Level: | CPE Credit: 1.2**

**CS 5-2: Digital Internal Audit: The Upside and Risks of Extended Reality and Metaverse**

**Michael Smith**

**Internal Audit and Enterprise Risk Partner**

**KPMG**

Extended reality (XR) refers to all real-and-virtual combined environments that enable tech-enabled interactions. The promise of XR is fueling predictions for once-unthinkable possibilities within the fast-emerging metaverse. By 2030, we could be spending more time in the metaverse than in the real world. However, as organizations race to embed these technologies into their business functions, there are many risk-related challenges they must consider. Internal audit will be charged by stakeholders to identify and help respond to risks and make progress managing this emerging technology. There is a need for a comprehensive framework and crypto-specific capabilities to support this transformation and prepare for a changed future.



In this session, participants will:

- Be introduced to the metaverse and XR.
- Understand opportunities for organizations to harness the benefits of XR to drive business forward.
- Learn about potential upsides and risks regarding XR, steps organizations can take to turn risks into opportunities, and how to manage the risks to build stakeholder trust.
- Examine the internal audit function’s role in XR, including what we’ve learned from other technologies that internal audit can apply to this wave of innovation and how internal audit can know when to make bets in this space.

**NASBA: | Learning Level: | CPE Credit: 1.2**

### **CS 5-3: Internal Audit’s Role in Organizational Trust 5x5: Insights and Actions**

**Geoff Kovesdy**

**Principal**

**Deloitte and Touche LLP**

**Michael Bondar**

**Principal, Risk and Financial Advisory**

**Deloitte and Touche LLP**

Trust is not just an abstract concept to define and better understand; it has become a tangible and strategic priority for organizations across sectors and industries all over the globe. Simply put, we have entered a “Trust Age” – where a wide range of stakeholders hold organizations accountable for being trustworthy. Internal audit can play a critical role in helping bring the topic of trust into focus.

In this session, participants will:

- Learn about the impact of trust on organizational performance.
- Uncover the various factors influencing trust for organizations.
- Discover actions that organizations can take to better manage trust and build “trust equity” to improve performance, generate value, and build resilience.
- Gain perspective on the role internal audit can play in helping organizations manage trust.

**Geoff Kovesdy** leads risk assessment capabilities for Deloitte, bringing more than 17 years of experience in modernizing and transforming risk management activities across the three



lines through digital capabilities. This includes developing and implementing strategy, facilitating workshops, and identifying and developing use cases. Kovesdy specializes in enhancing end-to-end risk management activities and programs.

**Michael Bondar** is a Principal in the Risk & Financial Advisory business, leading Deloitte's Enterprise Trust offering. He focuses on helping clients improve organizational performance by building, protecting, and enhancing levels of trust for companies across a wide range of stakeholder groups. Bondar spent the first decade of his career leading business process transformation and ERP implementation programs for global clients in the consumer, life sciences, healthcare, technology, media, and telecom industries. Then, after spending time as a technology executive at a leading software company, he returned to Deloitte to lead Global Innovation efforts focused on developing, scaling, and commercializing the firm's technology-based solutions.

**NASBA: | Learning Level: | CPE Credit: 1.2**

**CS 5-4: *Session Information Being Finalized***

**NASBA: | Learning Level: | CPE Credit: 1.2**

**Tuesday | March 14, 2023**

**2:00 – 3:00 p.m. CT**

**CS 6-1: *Session Information Being Finalized***

**NASBA: | Learning Level: | CPE Credit: 1.2**

**CS 6-2: *Session Information Being Finalized***

**NASBA: | Learning Level: | CPE Credit: 1.2**

**CS 6-3: *Session Information Being Finalized***

**NASBA: | Learning Level: | CPE Credit: 1.2**



## CS 6-4: Current Market Conditions and Inflation

**James Gannon**  
M&A Analyst  
EY

**Karl Erhardt**  
Managing Director  
EY

Current market conditions are impacting enterprise strategy, governance, and business decisions. A perfect storm led to extreme volatility in 2022. Pandemic, supply chain, fuel supply, war, fiscal policy, and other risks impacted global economic uncertainty. We will highlight how to support the enterprise and mitigate these risks, as well as where to provide assurance during these challenging times. Areas where internal audit can help include governance, models, expenses, product pricing, and communications.

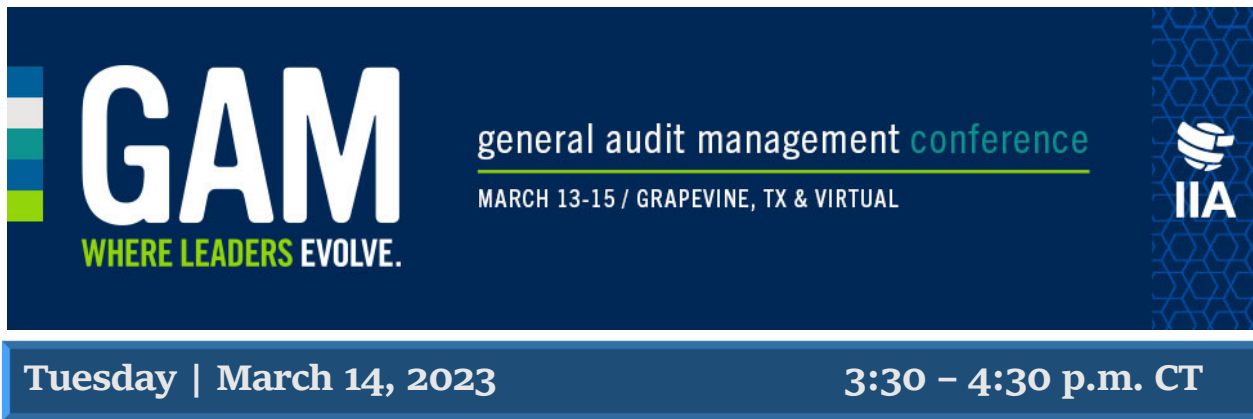
In this session, participants will:

- Gain perspective on current market conditions and inflation.
- Understand and discuss key impacts to the banking capital markets and insurance sectors, including enterprise strategy, governance forums, and external reporting.
- Explore internal audit's impact and how internal audit should plan for enhanced coverage.

**Jim Gannon** is a Managing Director in the Consulting Services practice of Ernst & Young LLP. He has more than 20 years of experience in the financial services industry, specializing in internal controls, quality reviews, enterprise risk management (ERM), model risk, risk culture, risk conduct, risk appetite, and corporate governance. His background includes extensive work with banks, government sponsored entities (GSEs), depositories, exchanges, clearing houses, investment banks, investment advisors, and broker-dealers.

**Karl Erhardt** is a New York area based Managing Director in the Financial Services Organization's Business Consulting service line of Ernst & Young LLP. He is a leader in the enterprise risk management and internal audit competencies, with a focus on the insurance sector. Erhardt joined EY in January 2021 after a multi-decade career serving as Chief Auditor and a C-suite executive for a Fortune 50 leading global provider of insurance protection, retirement, and savings solutions. Additionally, he led a global data project to synthesize data governance and data management practices.

**NASBA: | Learning Level: | CPE Credit: 1.2**



**Tuesday | March 14, 2023**

**3:30 – 4:30 p.m. CT**

***CS 7-1: Session Information Being Finalized***

**NASBA: | Learning Level: | CPE Credit: 1.2**

**CS 7-2: Adding Big Value With Small Audit Teams**

**Sarah Duckwitz**  
**Director, Internal Audit**  
**CrossFirst Bank**

Small audit departments can add value to their companies while still providing assurance. This session will share strategies and examples for how audit teams can be a competitive advantage for their company, even with limited resources. Included will be a discussion on leveraging technology in small audit teams for assurance and advisory.

In this session, participants will:

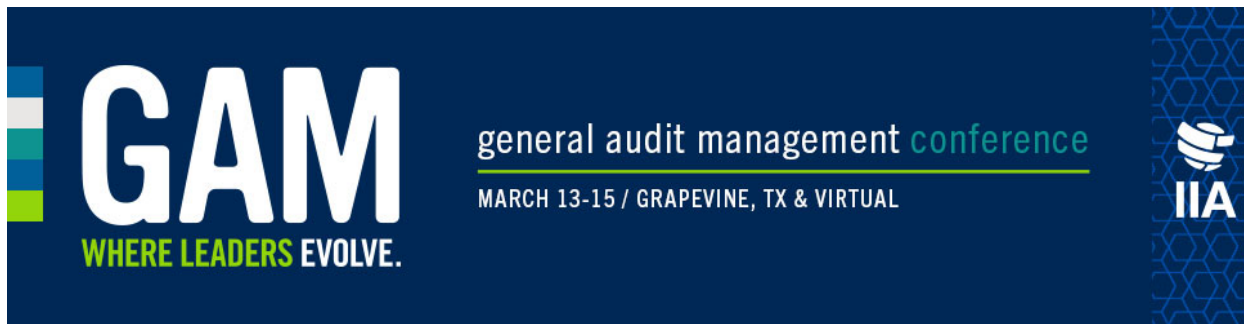
- Discover how to effectively combine advisory into their assurance engagements.
- Learn how to identify and plan for special projects as well as how to showcase results and impact when complete.
- Gain insights into leveraging technology for value-add projects and audit coverage.

**Sarah Duckwitz** is the Director of Internal Audit at CrossFirst Bank, a publicly traded bank headquartered in Leawood, Kansas. She previously led the internal audit department at two other financial institutions in the Kansas City metropolitan area. Duckwitz has more than 20 years of experience in internal audit and financial management, and has worked in several industries, including retail, energy, construction, and telecommunications. Her background in all aspects of internal audit has encompassed financial, operations, information technology and security, and compliance. She is also a longtime volunteer with The IIA’s Kansas City chapter.

**NASBA: | Learning Level: | CPE Credit: 1.2**

***CS 7-3: Session Information Being Finalized***

**NASBA: | Learning Level: | CPE Credit: 1.2**



**CS 7-4: Session Information Being Finalized**

**NASBA: | Learning Level: | CPE Credit: 1.2**

**Tuesday | March 14, 2023**

**4:45 – 5:45 p.m. CT**

**CS 8-1: Session Information Being Finalized**

**NASBA: | Learning Level: | CPE Credit: 1.2**

**CS 8-2: Using Data to Perform Corporate Risk Assessments**

**Ben Getz, CIA, CPA, CFE, CISA, CISSP, CPCU**  
**Director, Internal Audit Services**  
**RLI Corp.**

**Pat Ferrell, CIA, CRMA, CISA, CFE, CPCU**  
**Vice President, Internal Audit Services**  
**RLI Corp.**

This presentation will examine a case study of how a macro-risk assessment process was enhanced by using data, which enabled the internal audit function to be more objective when risk-ranking auditable entities for audit coverage.

In this session, participants will:

- Explore how using data can help identify key risk indicators.
- Understand how to create and maintain a corporate risk assessment.
- Discover how a new risk assessment can be used to set up the annual audit plan.

**Ben Getz** is a Director of Internal Audit Services at RLI Corp. He has been with RLI since 2011 and has served as RLI's lead IT auditor since 2015. Prior to RLI, he worked as an external auditor in public accounting. Getz has achieved numerous designations to further his professional career.

**Pat Ferrell** has 24 years of audit experience. As Vice President of Internal Audit Services at RLI Corp., he oversees the assurance and advisory audit function and also holds responsibility for Sarbanes-Oxley administration. Prior to RLI, Ferrell worked in audit and claims at State Farm Insurance. He has presented at numerous conferences, including The



IIA's Financial Services Exchange, IIAG, MIS SuperStrategies, MIS AuditWorld, and ISACA's CACS. He currently serves as a board member for The IIA's Central Illinois chapter. Ferrell also has served on a number of local nonprofit boards, including Heart of Illinois Big Brothers Big Sisters and Neighborhood House.

***CS 8-3: Session Information Being Finalized***

**NASBA: | Learning Level: | CPE Credit: 1.2**

***CS 8-4: Session Information Being Finalized***

**NASBA: | Learning Level: | CPE Credit: 1.2**



Wednesday | March 15, 2023

8:30 – 9:45 a.m. CT

#### **GS 4: RETHINK. REBOOT. REINVENT. An Innovative Framework to Navigate Volatile Times**

**Josh Linkner**  
**Creative Troublemaker**

Over the past few years, the world as we knew it was turned upside down. From the COVID pandemic to the war in Ukraine to inflation, the resulting shock waves have ushered in a new era of accelerated transformation impacting the global economy, supply chain, and workforce. Successful models of the past have been rendered obsolete, requiring leaders to rethink their strategy. Five-time tech entrepreneur, New York Times bestselling author, venture capitalist, and world-renowned innovation expert Josh Linkner will help leaders respond to volatility with an elevated capacity for inventive thinking and creative problem-solving through his battle-tested Reinvention Framework.

In this session, participants will:

- Hear about the core mindsets, habits, and tactics of the most innovative leaders on the planet.
- Be reenergized and fueled with inspiration and energy to forge ahead in uncertain times.
- Be reequipped and armed with a proven framework and specific tools to reinvent a new future.
- Be ready and emboldened to meet the challenges of the day and drive sustainable success.

**Josh Linkner** is a creative troublemaker. He started his career as a jazz guitarist and then went on to become the founder and CEO of five tech companies, which sold for a combined value of more than \$200 million. He is also a deeply experienced business leader, venture capitalist, top-rated keynote speaker, New York Times bestselling author, and professional jazz guitarist. He is a world-renowned expert on innovation, disruption, and hyper-growth leadership.

**NASBA: | Learning Level: | CPE Credit: 1.5**





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**Wednesday | March 15, 2023** **10:15 – 11:15 a.m. CT**

**Closing Keynote: *Session Information Being Finalized***

**NASBA: | Learning Level: | CPE Credit: 1.2**