



IIA INTERNATIONAL CONFERENCE

CHICAGO / 17-20 JULY



Sunday, 17 July

1:00 – 5:00 PM CDT

Pre-conference Workshop 1: Managing Risk, Governance, and Sustainability: The Role of Internal Audit in Navigating the Changing Business Landscape

Rodney Irwin
World Business Council for Sustainable Development (WDCSD)
Chief Operating Officer
Lecturer
Yale School of Management
USA

Brad Monterio
Executive Vice President, Member Competency and Learning
The IIA Global Headquarters
USA

***Additional Registration and Fee Required to Attend
Workshops are available for purchase and do not require a conference registration***

The global risk landscape has changed. ESG risks are now front and center of all business risks. Equally, under increasing pressure from civil society, customers, and governments, leading global businesses have started to make net zero and nature positive commitments, set science-based targets to align with 1.5 climate scenarios, and commit to delinking operations from natural resource degradation. On a practical level, however, ensuring these commitments and ambitions are upheld will require rethinking all aspects of business and embedding ESG, and specifically nature, into all functions of business.

This workshop will motivate attendees to consider how to embed sustainability risks and opportunities into their business practices and processes to improve decision-making and improve the efficiency and effectiveness of management processes.

It will focus on the role that internal audit can play in providing assurance to the governing body that the business is effectively assessing all potential risks, including ESG-related risks. The workshop will address corporate purpose, the importance of robust governance, stakeholder engagement, and management of risks and opportunities to support business decision-making and improve processes to drive a more integrated organization that creates and protects value.

In this workshop, participants will:

- Understand the changing business landscape and why ESG matters to their business.
- Explore the business case for embedding sustainability into risk management, control, and governance practices
- Increased their awareness of internal audit's role in supporting business decision-making.



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- Gain insights into enhanced approaches to risk management to better integrate ESG-related risks.
- Improve their preparedness to provide the governing body with decision-useful information.

The workshop will incorporate several different learning approaches, including presentations, interactive discussion, Q&A and group activities.

Discussion topics will include:

- Identifying, assessing, and prioritizing ESG-related risks and understanding the impact on business objectives.
- The role of internal audit in ensuring effective risk management.
- Application and approaches to improving business practices and integrating sustainability.

During the workshop, attendees will have the opportunity to share experiences, insights, and best practices. Participants should expect to walk away with valuable insights from peers, ideas to implement in their organization, and the confidence to embed sustainability considerations within their organization.

Agenda

	Time	Speaker
Welcome and introduction	5 minutes	Rodney Irwin
Mentimeter Q&A (understanding of the room)	10 minutes	Rodney Irwin
Understanding the changing business landscape and why ESG matters to your business	15 minutes	Rodney Irwin
Embedding ESG into risk management, controls, and governance	15 minutes	Rodney Irwin
The role of internal audit in ESG reporting	25 minutes	Brad Monterio Speaker to be announced
Break	15 minutes	
The Three Lines and ESG	20 minutes	Rodney Irwin Brad Monterio
Risk Game (introduction and play)	60 minutes	Rodney Irwin + Facilitators
Debrief discussion	15 minutes	Rodney Irwin
Break	15 minutes	
Knowledge sharing exercise (TBC)	30 minutes	Rodney Irwin
Mentimeter Q&A	10 minutes	Rodney Irwin
Wrap up	5 minutes	Rodney Irwin

Rodney Irwin is Chief Operating Officer at the World Business Council for Sustainable Development, based in Geneva, Switzerland. He provides leadership for finance, HR, ICT, facilities, fundraising, corporate governance, and statutory duties, and manages relationships with key education partners, including Yale University, Institute for Management Development, and Global Network for Advanced Management. He previously led WBCSD's Redefining Value program. Irwin holds a doctorate in comparative corporate governance, ethical decision making, and reporting from ISM Paris. He is a Fellow of Chartered Accountants Ireland, Member of Chartered



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Governance Institute UK & Ireland, Council Member of International Integrated Reporting Council, Board Member of Climate Disclosure Standards Board, Professor of Accounting and Sustainability at Leuphana University, Faculty Lecturer at Yale School of Management, and Honorary Teaching Fellow at Lancaster University Management School.

Brad Monterio is responsible for portfolio strategy, development, and distribution of professional education programs to more than 200,000 internal audit professionals globally as Executive Vice President of Member Competency and Learning for The IIA. Previously, he was Chief Learning Officer for California Society of CPAs, the largest state CPA society in the US. Monterio is also co-founder and former Managing Director of Colcomgroup, Inc., a consultancy serving the accounting, auditing, finance, and technology sectors. He sits on the Board of Directors for the Institute of Management Accountants and is a member of the International Integrated Reporting Council and the US Integrated Reporting working group.

NASBA: Specialty Knowledge | Learning Level: Basic | CPE Credit: 4.2

Pre-conference Workshop 2: RPA is Here: Now What?

Bryant Richards, CIA, CRMA, CMA
Director, Center for Intelligent Process Automation
Nichols College
USA

Mike Jacka, CIA
Chief Creative Pilot
FPACTS
USA

***Additional Registration and Fee Required to Attend
Workshops are available for purchase and do not require a conference registration***

Robotic Process Automation (RPA) is changing the nature of work. And that means internal audit faces a future where the processes around it are changing – those that are reviewed, as well as those used by the department. The good news is that internal audit is uniquely positioned and suited to benefit from this disruption, creating significant value for its clients. How your department benefits will depend on the strategy and direction you set now. Through discussion and breakouts, attendees will not only learn the basics of RPA, but the impact it can have on the department and the organization, enabling IA leaders to choose the best path forward for their departments.

After attending the workshop, attendees will be able to:

- Explain the fundamentals of RPA.
- Describe real-world applications of RPA in the work environment.
- Show the value RPA can have within the internal audit department.



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- Use RPA as a tool in the development of the department and staff.
- Create a high-level plan for your department that positions it to create value in the face of comprehensive digital transformation

Agenda

- Section 1: Explain the fundamentals of RPA & Describe real-world applications of RPA in the work environment.
 - (20 minutes) Introduction and opening presentation
 - What is RPA
 - Tools
 - Use Cases
 - (20 minutes) Breakout
 - Who is using RPA in the company
 - How is it being used
 - What use cases exist within companies (not internal audit)
 - (20 minutes) Debrief
- Section 2: Show the value RPA can have within IA.
 - (20 minutes) Presentation on internal audit possibilities
 - Auditing bots / Auditing with bots / Botting Audit
 - Identifying automation opportunities
 - Governance reviews
 - Quality assurance / testing reviews
 - (20 minutes) Breakout
 - What opportunities exist within IA departments
 - What are the challenges
 - (20 minutes) Debrief
- (30 minutes) Break
- Section 3: Use RPA as a tool in the development of the department and staff.
 - (20 minutes) Presentation on development/retention/recruitment
 - Skills
 - Emerging IT risks
 - Process analysis
 - Tools
 - (20 minutes) Breakout
 - Identify 3-5 reasonable goals/actions do you have for your team related to RPA and digital transformation?
 - Identify 1-3 “transformative” possibilities



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- Section 4: Create a high-level plan for your department that positions it to create value in the face of comprehensive digital transformation
 - (5 minutes) Section introduction
 - RPA stance
 - What is the cost/value of being first?
 - What happens if we do nothing?
 - (10 minutes) Breakout
 - What is your stance for your organization?
 - List 3 recommended actions for your IA department to occur in the next Year? Next 5 years?
 - (15 minutes) Debrief

Bryant Richards is the Director of the Center for Intelligent Process Automation (CIPA) at Nichols College and an Associate Professor of Accounting and Finance. He spent 20+ years as a consultant, executive, and industry professional primarily within internal audit and compliance. As the future of work fundamentally changes, Richards believes that the internal audit profession must prepare by embracing an automation journey of its own.

Mike Jacka was responsible for projects as far-ranging as developing fraud investigation procedures for a 100-person audit shop, overseeing western regional auditing operations, and designing auditor training programs for a global organization of 200+ staff members during his 30-year career in internal audit with Farmers Insurance. Currently, he is Chief Creative Pilot for Flying Pig Audit, Consulting, and Training Solutions (FPACTS), a group dedicated to advancing the skills and quality of internal auditors and all professionals. He is a top-rated presenter, award-winning columnist, and contributor to Internal Auditor magazine. He also authored or co-authored numerous books.

NASBA: Information Technology | Learning Level: Intermediate | CPE Credit: 4.2

Pre-conference Workshop 3: CIA Exam Prep Course: Part 1 — The IIA's CIA Learning System® Essentials of Internal Auditing

Vicki McIntyre, CIA, CPA, CFSA, CRMA, CGAP
President
FirstPlus Resolutions, Inc.
USA

Additional Registration and Fee Required to Attend
Workshops are available for purchase and do not require a conference registration

A networking break will take place from 3:00–3:30 p.m.

Taught by CIA-certified instructors, this CIA Part 1 exam prep workshop is designed to give attendees a high-level introduction and overview of the topics covered on the CIA certification exam. The course will reinforce attendees' CIA knowledge, clarify topics, and build exam-day confidence.



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CIA Part 1 topics will include:

- Foundations of Internal Auditing
- Independence and Objectivity
- Proficiency and Due Professional Care
- Quality Assurance and Improvement Program
- Governance, Risk Management, and Control
- Fraud Risks

In this workshop, attendees will:

- Gain a better understanding of the CIA exam syllabi.
- Learn test taking and study tips to prepare for the exam.
- Review practice questions and answer rationales.
- Develop a working knowledge of the CIA Part 1 topics at a high-level overview.
- Identify strategies to assist with the development of study plans.

Each attendee will receive online access to The IIA's CIA Learning System Self-study Version 7.0 Part 1 materials for one year. Printed books are available for purchase separately.

Please note: Additional self-study time outside of the classroom will be necessary to prepare for the exam.

Vicki McIntyre is a “big picture” risk manager whose internal audit, financial management, public accounting, regulatory supervision, and compliance management experience includes 20+ years in financial services as a California state bank examiner, vice president of finance for a closely held bank, and vice president of risk management for a regional bank. McIntyre’s consulting firm specializes in promoting continuous improvement of internal audit activities by performing quality assessments, independent validations, and readiness reviews of internal audit departments. An internationally recognized speaker and trainer, she has taught numerous internal audit and risk management courses as well as The IIA’s CIA Learning System. McIntyre is a longtime volunteer IIA leader and currently serves on the Global and North American Nominating Committees.

NASBA: Auditing | Learning Level: Basic | CPE Credit: 4.2



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Pre-conference Workshop 4: CIA Exam Prep Course: Part 2 — The IIA's CIA Learning System® Practice of Internal Auditing

Goli A. Trump, CIA, CRMA, CFE
Director, Internal Audit and Advisory Services
Montgomery College
USA

***Additional Registration and Fee Required to Attend
Workshops are available for purchase and do not require a conference registration***

A networking break will take place from 3:00–3:30 p.m.

Taught by CIA-certified instructors, this Part 2 CIA exam prep workshop is designed to give attendees a high-level introduction and overview of the topics covered on the CIA certification exam. The course will reinforce attendees' CIA knowledge, clarify topics, and build exam-day confidence.

CIA Part 2 topics will include:

- Managing the Internal Audit Activity
- Planning the Engagement
- Performing the Engagement
- Communicating Engagement Results and Monitoring Progress

In this workshop, attendees will:

- Gain a better understanding of the CIA exam syllabi.
- Learn test taking and study tips to prepare for the exam.
- Review practice questions and answer rationales.
- Develop a working knowledge of the CIA Part 2 topics at a high-level overview.
- Identify strategies to assist with the development of study plans.

Each attendee will receive online access to The IIA's CIA Learning System Self-study Version 7.0 Part 2 materials for one year. Printed books are available for purchase separately.

Please note: Additional self-study time outside of the classroom will be necessary to prepare for the exam.

Goli A. Trump has 25+ years of experience as a chief audit executive, fraud investigator, chief risk officer, chief financial officer, and board director in private firms and nonprofit organizations in the United States and United Kingdom. Her expertise encompasses cybersecurity, higher education accounting, and nonprofit risk management. Trump is co-author of *The IIA's Certification in Risk Management Assurance® Exam Practice Questions, Version 1*. She delivers instruction for The IIA, including the CIA Learning System® CIA Exam Prep Course, and she has designed and delivered courses on effective ERM, fraud awareness, and ethics for auditors.



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Monday, 18 July

9:00 – 10:45 AM CDT

Opening Keynote: State of the Internal Audit Profession

Anthony J. Pugliese, CIA, CPA, CGMA, CITP
President & Chief Executive Officer
The IIA Global Headquarters
USA

IIA President and CEO Anthony J. Pugliese, CIA, CPA, CGMA, CITP, will discuss issues currently shaping the internal audit profession as well as provide updates on The IIA's strategic plan and global operating model. He'll share the latest developments on priority topics like ESG and cybersecurity, and explain what The IIA is doing to prepare practitioners and advance the profession's interests in these areas. Pugliese will also reveal a glimpse into the future of internal audit profession, illustrate how The IIA is helping to build that future, and outline the steps that internal auditors should take today to prepare themselves.

Anthony J. Pugliese is President and CEO of The IIA, focused on enhancing membership services, creating new approaches to learning and competency development programs, fulfilling The IIA's multimillion-dollar digital transformation initiative, and enhancing the value of internal audit. Pugliese was previously President and CEO of the California Society of CPAs, where he led development of a Diversity, Equity, and Inclusion Committee to identify and address racial and other inequities in the accounting profession. Prior, he served in key leadership positions at what is now the Association of International Certified Professional Accountants. Pugliese has been repeatedly recognized as one of the most influential people in accounting, appearing most recently on the cover of Accounting Today.

[NASBA: Auditing | Learning Level: Basic | CPE Credit: 1.5](#)

Monday, 18 July

11:25 AM – 12:25 PM CDT

CS 1-1: Scaling Automation Through a Revised Internal Audit Operating Model

Geoff Kovesdy, CRMA, CISA, CISSP, CRISC
Principal
Deloitte & Touche LLP
USA

Internal audit functions often struggle to adopt digital technologies and realize benefits due to their reliance on highly manual processes and legacy systems standing in the way of achieving an optimal target state. The time has now come for internal audit functions to take concerted steps towards modernization and develop a structured blueprint to achieve immediate and long-term benefits of adopting analytics and automation technology, increasing the insight and value to business stakeholders.



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In this session, participants will:

- Rethink the current internal audit operating model in a digital environment.
- Identify keys to success in adopting and enabling digital tools and technologies across the audit lifecycle.
- Discuss common challenges when scaling automation and analytics programs.
- Review actionable steps that can drive progress toward a modern, digitally driven internal audit function.

Geoff Kovesdy is a principal in Deloitte & Touche LLP, leading the Risk & Financial Advisory's Internal Audit Risk Assessment offering. He brings 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. He holds The IIA's Certification in Risk Management Assurance as well as the Certified Information Systems Auditor, Certified Information Systems Security Professional, and Certified in Risk and Information Systems Controls designations.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 1.2

CS 1-2: Disruptive Technology: How Dow Chemical Leverages Cybersecurity Technology for Internal Audit and Compliance

Brian Tremblay, CIA, CISA
Compliance Practice Leader
Onapsis
USA

Jeff Miller, CISA, CISSP
Cybersecurity Manager
The Dow Chemical Company
USA

Traditionally, in internal audit and compliance programs, technologies such as RPA, data analytics, and audit management systems lead the pack. But what if technologies used by information security could yield potentially even more value for internal audit by not only identifying, monitoring, and even mitigating cybersecurity risk, but also automating critical compliance requirements such as SOX? In this case study, hear how Dow Chemical is doing just that!

In this session, participants will:

- Explore technologies used by information security that can deliver value to internal audit.
- Examine the capabilities of these technologies and understand how they can be utilized.
- Hear how Dow Chemical's information security team leverages these technologies for both security and compliance/audit support.
- Learn what actions internal audit can take to understand and leverage these technologies.



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Brian Tremblay works closely with information security professionals seeking to leverage cyber technologies for audit and compliance use cases, facilitating new ways to think about technologies that can be disruptive to the profession and enable audit and compliance leaders everywhere. He has spoken at many IIA conferences.

Jeff Miller is a proactive, forward-thinking information security professional who leverages cyber technologies for audit and compliance use cases, including automatically (versus manually) collecting information from Dow's ERP, running regular compliance audits automatically, and aligning with internal and external audit on the use of these technologies. He has engaged in significant communications with executive-level leaders at Dow and Onapsis.

NASBA: Information Technology | Learning Level: Intermediate | CPE Credit: 1.2

CS 1-3: ESG and Internal Audit's Responsibilities

Imtiaz Hussain, CPA, CISM

Managing Director and Deputy Chief Auditor

BNY Mellon

UNITED KINGDOM

The session will explore the role of internal audit in ESG by highlighting key risks and opportunities that could impact organizations. It will explore the case for ESG disclosures and how audit can play a key role to call out any risk of greenwashing. Through real-life cases, the presentation will examine tools and techniques that could be deployed for auditing ESG and what could be delivered as tangible audit product. Finally, the presentation will highlight key regulations across the globe driving the incorporation of ESG into organizational strategy.

In this session, participants will:

- Understand ESG and how internal audit can add value.
- Evaluate internal audit's role in ESG disclosure and how internal audit can help the enterprise mitigate the risk of greenwashing.
- Discuss key global regulations driving the momentum for ESG.
- Evaluate tools and techniques that could be deployed for effective delivery of ESG audits.

Imtiaz Hussain is the Managing Director and Deputy Chief Auditor for Investment Management (IM) and Wealth Management (WM) at BNY Mellon. His primary responsibilities include the creation of IM and WM internal audit strategy and the risk-based annual audit plan; delivery of audit projects in a timely manner and within budget; and seamless operations of the audit function. Hussain also drives audit's Agile Transformation initiative, chairs the internal audit forum for ESG, and is a member of the Group of 25 (group of globally significant financial institutions) Internal Audit Working Group for ESG.

NASBA: Auditing – Governmental | Learning Level: Intermediate | CPE Credit: 1.2



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CS 1-4: Why Most KPIs Drive Internal Audit in the Wrong Direction

Maciej Piołunowicz, CIA

Chief Audit Executive

Bank Gospodarstwa Krajowego (State Development Bank of Poland)

POLAND

We live in a world where everything has to be measured. If you can't measure it, you can't improve it. But does that hold true for internal audit? Auditors typically use a set of KPIs; unfortunately, quite often they drive us in the wrong direction. Why is that? Which KPIs can we use, and how can we measure – and improve – the real value of internal audit?

In this session, participants will:

- Analyze different value-added scenarios for internal audit.
- Evaluate the effectiveness and efficiency of different KPIs through polling sessions.
- Differentiate between KPIs that lead the internal audit function in the right direction – and those that don't.
- Discuss how best to influence decision makers to create the best value-add for internal audit.

Maciej Piołunowicz has 15+ years of experience as an internal auditor in banks. Since 2010, he has been Chief Audit Executive of Bank Gospodarstwa Krajowego (State Development Bank of Poland), where he manages a team of 21 auditors. He previously worked in internal audit in BZ WBK (currently Polish branch of Santander Bank) and National Bank of Poland (Polish central bank). As Vice Chairman of IIA–Poland, Piołunowicz is responsible for international cooperation with other Institutes. He is a lecturer for post-graduate studies on internal audit at the Warsaw School of Economics. Piołunowicz has presented at conferences throughout Europe and authored articles on internal audit and corporate governance published by leading Polish newspapers and magazines.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 1.2

Monday, 18 July

12:35 – 1:35 PM CDT

CS 2-1: Using a Fraud Risk Map to Uncover Fraud Patterns

James Ruotolo, CFE

Senior Manager, Fraud and Financial Crimes

Grant Thornton LLP

USA

Fraud is deceptive in nature and many fraud actors, particularly internal staff, are very good at hiding their activities, as they are aware of the controls in place to prevent fraud, making it easier to circumvent those controls. For this reason, internal auditors can find value in using a “fraud risk map” to identify fraud scenarios that could be perpetrated and the specific controls that would need to be circumvented to succeed. This session will explore the development and use of a fraud risk map in internal audit.



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In this session, participants will:

- Learn what a fraud risk map is and how to use it.
- Explore some common fraud scenarios and how they can be covered up.
- Develop a new set of tools to use when assessing fraud risk.

James Ruotolo is a Senior Manager in the Fraud and Financial Crimes practice at Grant Thornton, LLP. He has 20+ years of antifraud experience, previously holding senior leadership roles in a financial services investigation unit and running the fraud and security intelligence product division for an industry-leading analytics software company. Ruotolo is a Certified Fraud Examiner, the co-inventor of two patented fraud detection models, a frequent author and speaker on fraud risk management and technology, and a member of the board of directors for the nonprofit Identity Theft Resource Center.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 1.2

CS 2-2: Cybersecurity Insanity: Doing the Same Thing But Expecting a Different Result

Grant Ostler, CPA

Director, Integrated Risk Principal

Workiva

USA

Let's talk about how internal audit can move the needle in cybersecurity and data privacy.

In this session, participants will:

- Learn how cybersecurity and data privacy are evolving.
- Understand typical points of weakness in cybersecurity.
- Examine data privacy programs (and how the same old issues continue to plague organizations).
- Identify steps they can take to actually improve the effectiveness of the cybersecurity and data privacy programs in their organizations.

Grant Ostler is a Principal of Integrated Risk at Workiva and has more than 30 years of experience, primarily in the disciplines of auditing, enterprise risk management, and process improvement. He served as Chief Audit Executive for nearly 20 years for entities ranging from Fortune 500 companies to a pre-IPO technology company, including building internal audit functions from scratch and leading the implementation of SOX 404 compliance programs for three companies. Ostler is an active member of the Twin Cities Chapter of The IIA, where he's held numerous leadership positions, including Chapter President, over the past two decades.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 1.2



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CS 2-3: Integrating Sustainability Into the Three Lines Model: The Role of Internal Audit

Amy Senter
Director, North America
WBCSD
USA

Jim Pelletier, CIA, CGAP
Vice President, Portfolio Strategy
The IIA Global Headquarters
USA

Be among the first to explore collaborative guidance developed by The IIA and WBCSD, which focuses on integrating sustainability into the recently updated Three Lines Model.

In this session, participants will:

- Gain insights into the role of the governing body in overseeing and ensuring the effectiveness of the control environment and risk management processes.
- Examine how sustainability risks and opportunities can be embedded into the first and second lines to improve decision-making.
- Consider the role of internal audit in supporting the business to ensure that all three lines collectively contribute to the creation and protection of value.

Amy Senter is a Global Director for the World Business Council for Sustainable Development (WBCSD). Her work focuses on financing transformation of the food system – from how companies make business decisions through to how banks can decarbonize their portfolios. Prior, as Vice President and Chief Sustainability Officer for Kellogg Company, Senter led global strategies to deliver the company’s responsible sourcing and natural resource conservation commitments across its supply chain, partnered with the R&D division to develop the company’s Wellbeing food design approach, and delivered new commercial opportunities. Senter previously worked for the United States Department of Agriculture, leading National Environmental Policy Act compliance for the \$8 billion Farm Service Agency.

Jim Pelletier has 20+ years of internal auditing experience in the public and private sectors. As The IIA’s Vice President of Portfolio Strategy, he focuses on improving member value and advancing the internal audit profession. Pelletier also held leadership roles with oversight of The IIA’s International Professional Practices Framework (IPPF), professional guidance, Audit Executive Center, Financial Services Audit Center, Public Sector Audit Center, EHS Audit Center, *la* Magazine, North American and Global Advocacy, and Quality Services LLC. Pelletier previously served as City Auditor for the City of Palo Alto, CA and as Chief of Audits for the County of San Diego, CA. He also held auditing roles with the California State University System, PETCO Animal Supplies, Inc., State Street Corporation, and General Electric.



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CS 2-4: Steps to Future-proofing Your Internal Audit Function

Larry Herzog Butler, CIA, CRMA, CPA, CGMA, CRISC
Head of Internal Audit
Delivery Hero SE
GERMANY

Sholpan Niyazbayeva, CIA, ACCA
Senior Manager, Global Internal Audit
Delivery Hero SE
GERMANY

Building an efficient and effective audit team is challenging. Building an internal audit team of the future seems impossible. In this session, we will examine how the internal audit heroes at Delivery Hero are future-proofing its internal audit function by enabling successful delivery of communications to management and the board and developing their ‘superpowers’ to build an amazing experience for its customers.

In this session, participants will:

- Understand steps to be taken to future-proof their internal audit function.
- Explore the future of internal audit and the skills needed to “deliver” value.
- Create “recipes” for success, focusing on what matters in internal audit communications.
- Discover how to present information that is “easy-to-digest.”

Larry Herzog Butler is Head of Internal Audit for Delivery Hero Holding SE. A former Deloitte & Touché CPA, he has 20+ years of experience providing audit, compliance, business process improvement, ERM, and advisory services to a wide array of clients. His broad background has spanned planning and executing internal audits and Sarbanes-Oxley (SOX) engagements, reporting to audit committees, managing key stakeholder relationships, training audit staff, and strengthening internal controls over financial reporting. He also has an extensive record of volunteer service with The IIA, encompassing various leadership roles, including President and board member of IIA–Los Angeles, former member of the Global Professional Development Committee, and current member of the Global Guidance Committee.

Sholpan Niyazbayeva joined Delivery Hero SE in 2017. She helped establish the internal audit function team, and as the team’s senior manager, she focuses on internal audit execution and quality. With a background that includes more than 10 years in executing a combination of internal and external audits, her mission is to build a world-class audit team and nurture the younger generation of professionals to shape the future of Delivery Hero. Niyazbayeva previously managed and performed audits for various sizable companies in oil and gas, construction, aviation, FMCG, real estate, mass media, and other industries.



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Monday, 18 July

2:45 – 4:00 PM CDT

General Session 2: Good Employees Can Rationalize Bad Decisions: A Look at Fraud in Today's Organizations

Kelly Richmond Pope, Ph.D., CPA
Forensic Accountant
Associate Professor, DePaul University
Filmmaker
USA

If you were to ask people whether they think stealing is wrong, most would respond by saying “Yes.” And yet, fraud, theft, and other forms of financial crime cost organizations millions per year. Join us for this interactive session as professor, forensic accountant, and filmmaker Kelly Richmond Pope explores how fraud happens and discusses preventive strategies that all stakeholders should know in order to keep their organizations fraud free. Based on her research and teaching, Dr. Pope will share personal lessons learned from intimate conversations with white-collar offenders, whistleblowers, and victims of fraud.

Kelly Richmond Pope is a global expert in the forensic accounting field. She is a Professor of Accounting in the School of Accountancy and Management Information Systems at DePaul University in Chicago, Illinois. Additionally, she is an award-winning documentary filmmaker and author. Dr. Pope produced and directed *All the Queen's Horses*, which chronicles an astonishing case of small-town municipal fraud. She is also Co-founder of *Red Flag Mania*, a business that creates digital investigations for lifelong learners. Her upcoming book, *Fool Me Once*, will be published by Harvard Business Review Press.

NASBA: Specialty Knowledge | Learning Level: Basic | CPE Credit: 1.5

Monday, 18 July

4:40 – 5:40 PM CDT

CS 3-1: Welcome to the New Age: Influencing a Data-forward Culture

Samantha Webster, CPA, CFE
Enterprise Risk and Audit Director
LATICRETE International, Inc.
USA

Kevin Legendre
Senior Audit Data Analyst
Mohegan Sun
USA



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Grant Houle
Chief Audit Executive
Mohegan Sun
USA

How does your internal audit shop influence the data culture at your organization? Do you conduct full analytic reviews? Do you use RPA for continuous monitoring? Can internal audit provide these services and still maintain independence? Mohegan Sun's internal audit shop has demonstrated to the business the importance of utilizing data analytics and data assessments to drive decision making and identify potential fraud throughout the organization. We are currently spearheading RPA implementation.

In this session, participants will:

- Learn how to define what "improvement" means to their internal audit group and how to create "improvement goals."
- Understand how to use their "improvement goals" to drive their data assessments, achieve project goals, and create a data-driven culture within their department.
- Evaluate how they are currently using analytics in their department to drive the assessment of enterprise risk, audit plan decisions, continuous monitoring, and efficiency in auditing.
- Review the tasks that "annoy" them (repetitive tasks) and identify tasks with RPA potential.

Samantha Webster has more than 16 years of experience in auditing, forensics, and tax, including six years in public accounting. She is currently the Enterprise Risk and Audit Director at LATICRETE International. Previously, she led the data analytics program, robotic process automation initiatives, and internal audit ERM program at Mohegan Sun and was in gaming for nine years. Her group at both companies has been uniquely positioned to effect change for the organization by using data to further prove audit findings and show departments a different picture of how their departments really work. Webster's programs at Mohegan demonstrate the benefit of data analytics and have saved the company in excess of \$2M since inception.

Kevin Legendre has been with the Mohegan Tribe since 2015. His experience encompasses audit, data analysis, and automation. In his time with the Mohegan Tribe, he has developed several monitoring analytics, executed fully analytical process reviews, and automated routine processes within internal audit using RPA.

Grant Houle has 20+ years of professional experience in accounting, audit, and financial management, including 14 in gaming at Mohegan. He currently oversees the internal audit teams at Mohegan's owned and managed properties in the US, Canada, and Korea. The teams are responsible for compliance and operational audits across all business units with specialized functional teams in analytics and IT audit. In addition, he managed the operational accounting team for two years, overseeing gaming, hotel, and inventory accounting. Prior to Mohegan, Houle was Associate Vice President of Operations and Finance for Ticket Network, a technology solutions startup in the secondary ticket market.



IIA INTERNATIONAL CONFERENCE

CHICAGO / 17-20 JULY



CS 3-2: An Internal Auditor's Guide to Cybersecurity

**Darren Hulem, CISA, CEH, Security +
Supervisor, IT and Risk Advisory Services
GRF CPAs & Advisors
USA**

**Melissa Musser, CPA, CITP, CISA
Partner and Director, Risk and Advisory Services
GRF CPAs & Advisors
USA**

**Mac Lillard, CPA, CFE, CISA, CRISC, CITP
Risk & Advisory Services, Manager
GRF CPAs & Advisors
USA**

The widespread introduction of work-from-home policies has provided more opportunities for fraudsters to implement attacks. Last year alone, cybercrime reports to the FBI quadrupled and left many organizations feeling vulnerable to online threats. This session will examine the critical elements of a cybersecurity program and practical ways internal audit can work alongside information security teams to manage risk. It will cover the various benefits of well-devised internal IT assessments to protect organizations from outside threats, along with best practices needed to beef up cybersecurity efforts and protect organizations' most sensitive data.

In this session, participants will:

- Gain insights into the cybersecurity landscape and how internal audit can assist in protecting organizations from threats.
- Understand emerging cybersecurity concerns as a result of the pandemic and work-from-home virtual environments, and why data privacy is a critical concern to internal audit.
- Learn about the value of security awareness training, the importance of third-party due diligence, the key elements of business continuity and disaster recovery plans, and how new technologies can protect organizations.

Darren Hulem has more than eight years of experience in technology infrastructure, providing supervision, architecture, deployment, and upgrading of company computer network systems, including hardware, software, servers, and mobile devices. As a certified IT professional, he performs both on- and off-site testing and setup; monitors existing technology to determine future network needs; interacts with staff and management to ensure efficient application of upgrades and implementation of overall system improvements; and conducts information security and perimeter vulnerability assessments, IT risk assessments, network design and support, and IT training. Hulem was previously a System Engineer at Network Depot and an Applications Analyst for Ricoh USA.



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Melissa Musser is a Partner at GRF and Director of Risk and Advisory Services, where she and her team deliver comprehensive assessments to help organizations proactively develop innovative strategies to mitigate and identify opportunities related to strategic, financial, compliance, operational, and IT risks. In her 20+ years of professional experience, she has developed expertise in establishing and maintaining internal audit departments, strategic planning, optimizing internal controls, compliance, ERM, and cybersecurity programs. Musser previously spent 10 years in public accounting and 4 years in internal audit management roles for global SEC companies. She currently serves as President of The IIA's Washington, DC Chapter.

Mac Lillard is a Risk and Advisory Services Manager with GRF CPAs & Advisors, helping client organizations streamline processes, increase efficiency, improve internal controls, implement ERM to assist in risk assessment and strategic planning processes, and enhance their cybersecurity posture. Lillard speaks at and attends professional seminars related to auditing (internal and external), ERM, fraud examinations, and information systems control and security. He serves as Associate Vice President of Programs for The IIA's Washington, DC Chapter. Additionally, he sits on committees for multiple nonprofit organizations, helping local charities improve their operations.

NASBA: Information Technology | Learning Level: Basic | CPE Credit: 1.2

CS 3-3: Changing the Game to Accelerate Risk Response!

Patrick Rodriguez, CIA, CISA
Solutions Consultant
Wolters Kluwer TeamMate
USA

Organizational leaders need timely and frequent insight on risk. There are various approaches to addressing that need, including continuous risk monitoring, analytics, and agile auditing. Each brings a unique benefit for auditors and leaders alike, but it's time to take it to the next level. Join this session to learn how continuous risk monitoring, analytics, and agile audit come together to accelerate risk response.

In this session, participants will:

- Understand the role of continuous monitoring in the audit workflow.
- Gain insights into how and where to deploy analytics.
- Learn how to leverage agile audit to improve efficiency and frequency of reporting.

Patrick Rodriguez has worked in the audit and assurance world for 20 years as a practitioner and as a consultant, with roles spanning IT audit, audit practice management, operational auditing, forensic auditing, data analysis, and audit best practice improvement in companies of all sizes. He has brought his passion for leveraging technology to gain process improvements to his implementation and solutions consulting positions at Wolters Kluwer. Rodriguez has been a guest speaker on the topic of auditing and data analytics on college campuses and through local professional associations. He served on the Board for the Houston Chapter of the Association of Certified Fraud Examiners.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 1.2



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CS 3-4: The Hershey Company Digital Internal Audit Strategy

Jonathan Laubenstine, CPA, CFE
Senior Director, Internal Audit
The Hershey Company
USA

Sanjay Singh
Vice President, Internal Audit
The Hershey Company
USA

This session will provide an overview of The Hershey Company's Digital Audit Strategy, which leverages the McKinsey model to prioritize where to play and how to win. It includes three guiding principles and action plans related to people, processes, and technology that will significantly advance Hershey's maturity along the digital maturity continuum over the next three years.

In this session, participants will:

- Gain insights into developing an effective digital audit strategy for their organization.
- Understand how to prioritize investments in digital capabilities that provide the greatest value in reducing risk, strengthening controls, and delivering efficiency.
- Explore how to leverage digital capabilities to establish repeatable, portable, and sustainable processes.
- Discover how to optimize routine processes to enable more efficient delivery and how to redeploy resources on more value-added proactive controls advisory services.

Jonathan Laubenstine is a Senior Director of Internal Audit with 15+ years of experience providing attestation, assurance, and advisory services across Hershey's global business units, systems, and processes. During his tenure, he has managed internal audit's entire scope, including financial, operational, IT, Sarbanes-Oxley, and compliance audits, as well as designed/implemented strategy for internal audit's data analytics, controls automation, and advisory service offerings. He has served as a key resource in managing numerous domestic and international initiatives. Laubenstine is currently responsible for creating and delivering the annual internal audit plan, advancing the internal audit department's data analytics and continuous monitoring capabilities, advancing controls automation companywide, leading control design and go-live assessments for the S/4 HANA implementation, and developing a high-performing internal audit team.

Sanjay Singh has 25+ years of experience as a finance leader with increasing responsibility, working across a broad spectrum of markets in Asia, Europe, and Latin America for large, multinational companies. He is currently Vice President of Internal Audit for The Hershey Company. Prior, Singh served in the same role at Ryder System, Starbucks, and Dollar Tree Stores. He previously held finance leadership roles at OfficeMax/Boise Cascade, and sales/marketing/product development roles at Xerox India and at ITC India.



IIA INTERNATIONAL CONFERENCE

CHICAGO / 17-20 JULY



Tuesday, 19 July

9:00 – 10:30 AM CDT

General Session 3: Concrete Empathy: A Playbook for Leading Modern Teams to Innovation

Erica Dhawan

**Award-winning Keynote Speaker and Author
USA**

We live in a culture defined by a distinct empathy deficit: The boss who expresses displeasure without giving valuable feedback. The mansplaining colleague who has no interest in the opinions of others. The team member who spends most of the meeting texting and answering emails. Why is empathy today at such a low point? Fewer face-to-face interactions, an ever-accelerating pace of change, and an increasing number of matrixed teams working remotely.

In this session, participants will:

- Understand practical ways to activate Concrete Empathy to create cultures of psychological safety, employee engagement, wellbeing, and innovation.
- Discover simple ways to signal understanding and empathy across difference and distance.
- Learn rules of thumb to avoid misunderstanding, ambiguity, and conflict.
- Gain tools to foster innovation and create lasting relationships both within their organization and with clients, customers, and other key stakeholders.

Erica Dhawan is an internationally recognized leading authority, speaker, and advisor on 21st century teamwork, collaboration, and innovation. Rated #1 on the Top Women Keynote Speakers of 2020 and named by Thinkers50 as the “Oprah of Management Thinkers,” she frequently appears in Harvard Business Review, Fast Company, and Wall Street Journal, and has authored two books – *Get Big Things Done: The Power of Connectional Intelligence* and *Digital Body Language: How to Build Trust and Connection, No Matter the Distance*. Dhawan shares innovative strategies to unlock the collective power of teams, build a culture of trust across any distance, and create authentic engagement to ensure competitiveness.

NASBA: Behavioral Ethics | Learning Level: Basic | CPE Credit: 1.2



IIA INTERNATIONAL CONFERENCE

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Tuesday, 19 July

11:10 AM – 12:10 PM CDT

CS 4-1: The Power of Analytics and Visualizations in Internal Audit

Jenna Caprara, CIA, CFE
Internal Audit Manager
AARP
USA

Matt Leister, CISA
IT Internal Audit Manager
AARP
USA

This session is for those who are early in their data analytics journey or are looking to take their data analytics and visualizations program to the next level. The session will include using data analytics for audit testing and will also expand on how to transform data into useful visualizations for the audit team, client, and audit committee.

In this session, participants will:

- Understand ways internal audit can analyze and visualize data in the support of an audit.
- Discover how dashboards can be used to improve client communication and audit committee reporting.
- Explore how to implement data analytics and visualizations effectively within an internal audit program.

Jenna Caprara is an Internal Audit Manager at AARP with eight years of internal audit experience. Additionally, she has five years of external audit experience with RSM US. She has led financial, compliance, and operational audits across various processes, including procurement, risk management, and travel and expense. Caprara has helped establish and improve data analytics consideration and utilization within AARP's Internal Audit Department through management and maintenance of audit status dashboards and board reporting dashboards as well as consideration and implementation of analytics for each audit performed. She has volunteered for the past five years with The IIA as Vice President of Membership, Washington, DC Chapter President, and Chapter Board Member, and she is currently District Representative for the Mid-Atlantic.

Matt Leister is AARP's IT Internal Audit Manager. He has eight years of experience in internal audit, along with a track record of working with clients to drive continuous improvement.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 1.2



IIA INTERNATIONAL CONFERENCE

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CS 4-2: Mounting a Defense Against Ransomware: How to Manage Your Risk

Joe Shusko, CISA, PMP
Principal, IT Risk and Cybersecurity
Baker Tilly, US, LLP
USA

Emily Di Nardo, CPA, CITP, HITRUST CHQP
Partner
Baker Tilly, US, LLP
USA

Ransomware continues to be a leading form of cyber attack, globally presenting an ever-evolving threat landscape to defend against. With increased attack sophistication and precision, targeted organizations face growing exposure to impacts such as financial loss, reputational damage and litigation. Our cybersecurity specialists will discuss the impacts and trends of ransomware attacks, how ransomware attacks are executed, and key practices to minimize your ransomware risk.

In this session, participants will:

- Understand the elements of a ransomware attack and recall recent incidents in the news.
- Identify the range of impact a ransomware attack could have on their organization.
- Discuss practices that should be in place to minimize the impact of a ransomware attack.
- Gain insights to manage their risk against a ransomware attack.

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 and cybersecurity and information technology (IT) specialist, he helps clients evaluate and mitigate their key cybersecurity risks. Prior to joining Baker Tilly, Shusko served as Director of IT Risk, Controls, and Audit at PwC. He brings a significant background in IT audit, cybersecurity, IT SOX, and ERP control assessments.

Emily Di Nardo is a business-oriented systems consultant with experience in financial services. Her outstanding organizational skills are complemented by thorough knowledge of loan servicing, insurance, banking, and asset management organizations. Services she provides include financial and IT auditing, risk management, cloud environments analysis, business process improvement, internal audit, and control compliance as required under the Sarbanes Oxley (SOX) Act of 2002, System Organization Controls (SOC) reports, and HITRUST. Prior to joining Baker Tilly, Di Nardo worked in the Assurance Financial Services practice of PwC in Chicago, Illinois, where she gained led and performed cross-functional audits for both public and non-public companies.

NASBA: Information Technology | Learning Level: Intermediate | CPE Credit: 1.2



IIA INTERNATIONAL CONFERENCE

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CS 4-3: Rats in a Maze: A Behavioral Perspective on Ethics for Internal Auditors

Mike Jacka, CIA
Chief Creative Pilot
FPACTS
USA

Bryant Richards, CIA, CRMA, CMA
Director, Center for Intelligent Process Automation
Nichols College
USA

When it comes to ethics, internal auditors are great at looking at the rats – the villains who led the scandals. But do we ever look at the maze? This session explores psychological research that offers insights into why human behavior is susceptible to creating unethical environments. It explores how these apply to internal audit, offers strategies for using these perspectives, and considers future possibilities.

In this session, participants will:

- Gain insights into some of the psychological drivers of unethical behaviors.
- Understand how these drivers are reflected in the culture of the organization and how internal audit can watch for related indicators.
- Apply these concepts to the internal audit department and individual auditors to help to ensure professional ethical integrity.

Mike Jacka was responsible for projects as far-ranging as developing fraud investigation procedures for a 100-person audit shop, overseeing western regional auditing operations, and designing auditor training programs for a global organization of 200+ staff members during his 30-year career in internal audit with Farmers Insurance. Currently, he is Chief Creative Pilot for Flying Pig Audit, Consulting, and Training Solutions (FPACTS), a group dedicated to advancing the skills and quality of internal auditors and all professionals. He is a top-rated presenter, award-winning columnist, and contributor to *Internal Auditor* magazine. He has also authored or co-authored numerous books.

Bryant Richards is the Director of the Center for Intelligent Process Automation (CIPA) at Nichols College and an Associate Professor of Accounting and Finance. He spent 20+ years as a consultant, executive, and industry professional, primarily within internal audit and compliance. As the future of work fundamentally changes, Richards believes that the internal audit profession must prepare by embracing an automation journey of its own.

NASBA: Behavioral Ethics | Learning Level: Basic | CPE Credit: 1.2



IIA INTERNATIONAL CONFERENCE

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CS 4-4: Beyond 3 Lines: The Collaboration Imperative For Connected Risk

Richard F. Chambers, CIA, QIAL, CCSA, CGAP, CRMA
Senior Internal Audit Advisor
AuditBoard
USA

The 21st century has ushered in an era of risk volatility unprecedented in human history. It has also inspired an appreciation for enterprise risk management as a means of ensuring business resilience. This session will explore how the emerging era of connected risk management will necessitate the demise of silos. It will also highlight the progress made in promoting interaction between audit, risk, and compliance professionals, and the imperative for more collaboration in the future.

In this session, participants will:

- Learn why today's dynamic risk environment requires audit, risk, and compliance professionals to collaborate more closely than ever before.
- Discover how to drive business resilience and value with a more connected approach to risk management.
- Hear about key risk management trends, and learn how to leverage them to stay ahead of emerging risks.

Richard Chambers is the Senior Internal Audit Advisor for AuditBoard, overseas Honorary Dean of China's Nanjing Audit University, and Founder and Chief Practice Leader of Richard F. Chambers & Associates. He previously served for 12+ years as President and CEO of The IIA. His 40+ years of internal audit experience includes National Practice Leader in Internal Audit Advisory Services at PwC; Inspector General of the Tennessee Valley Authority; Deputy Inspector General of the U.S. Postal Service; and Director of the U.S. Army Worldwide Internal Review Organization at the Pentagon. Chambers is a globally recognized blogger and award-winning author of *The Speed of Risk: Lessons Learned on the Audit Trail, 2nd Edition*; *Trusted Advisors: Key Attributes of Outstanding Internal Auditors*; *Lessons Learned on the Audit Trail*; and *Agents of Change: Internal Auditors in an Era of Disruption*.

[NASBA: Auditing | Learning Level: Overview | CPE Credit: 1.2](#)



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Tuesday, 19 July

12:20 – 1:20 PM CDT

CS 5-1: Internal Audit's Roles in Mitigating Cognitive Biases

Angelina K. Y. Chin, CIA, CRMA, CCSA, CPA
Retired Audit Director and Author
USA

Mark Salamasick, CIA, CRMA, CISA, CSP
Managing Director
Mark Salamasick & Associates
USA

Cognitive biases are systematic, repetitive, unconscious, and involuntary errors in thinking that impact judgments and decision-making. No human being is immune from cognitive biases. Biases permeate all decision-making and operating processes for the Board, management, employees, internal auditors, and external auditors. Biases cloud our judgments and threaten internal audit's objectivity, independence, due professional care, and audit quality. Audit thought leaders and regulators have raised red flags on these threats.

In this session, participants will:

- Examine what cognitive biases are, how they impact decision-making, what causes the biases, and why combating biases is everyone's job.
- Recognize some common biases that impact internal audit, risk management, strategic planning, and business processes.
- Learn how to apply strategies to mitigate biases.
- Gain insights into developing assurance and advisory services to help management recognize and mitigate biases.

Angelina Chin is a retired executive from the Fed of Chicago and General Motors Company. She has 40 years of global leadership experience in audit, risk management, corporate functions, and business operations. She led many initiatives to help all three lines advance their maturity curves. Chin is a 2021 inductee to The IIA's American Hall of Distinguished Audit Practitioners. She has served on the IIA Global Board and various committees for 30 years, including as Chair of the Audit Committee and Global Ethics Committee, and Vice Chair of the Internal Audit Foundation's Committee of Research and Education Advisors. Chin co-authored and reviewed many IIA Practice Guides and publications, including *Sawyer's Internal Auditing, 7th Edition*. She is the author of *Understanding and Auditing Corporate Culture – A Maturity Model Approach* (2020) and *Recognizing and Mitigating Cognitive Biases – A Threat to Objectivity* (2022).

Mark Salamasick recently retired as Executive Director of Audit from the University of Texas System after a 40-year career as a practitioner and educator in internal audit and consulting. His current focus areas include performing quality assurance reviews, consulting, and working with universities on internal audit education. In 2003, he created a graduate UT-Dallas. He worked on many audit and technology transformations at Bank of



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America and the University of Texas System. A 30+-year volunteer with The IIA, he has received several awards and was admitted to the American Hall of Distinguished Audit Practitioners in 2020. He speaks frequently at IIA events and has written numerous publications, including all editions of the IIA textbook.

NASBA: Behavioral Ethics | Learning Level: Intermediate | CPE Credit: 1.2

CS 5-2: Emerging and Next Wave Technologies: Balancing Risk and Opportunity

Randy Armknecht, CISSP

Managing Director, Emerging Technologies

Protiviti

USA

Ben Franjesevic, CIA, CISA, CMA

Director, Technology Audit

Protiviti

USA

Technology advancement continues at a pace hard to imagine even a few years ago. Concepts and theories are now becoming practical realities with broad acceptance and accessibility within grasp. Fueled by exponential improvements in computing capabilities increasingly delivered as-a-service (cloud), IoT and AI enabled devices are part of our everyday business and personal lives and the revolutionary potential of quantum computing will become commercial reality within the next decade (some predict much sooner).

In this session, participants will:

- Receive an overview of emerging and next wave technologies, including cloud, IoT, AI, and quantum computing.
- Understand why internal auditors should be developing knowledge and skill in areas of emerging technology.
- Examine why emerging technologies should be included in internal audit plans.
- Learn how internal auditors should be preparing themselves and their organizations to identify, prioritize, and prepare for the risks and opportunities that continued, rapid adoption of these (and other) technologies will give rise to.

Randy Armknecht is currently leading Protiviti's Global Cloud consulting practice, which provides a variety of services that enable clients to operate with confidence in their cloud environment. With nearly 20 years in the field, he has experienced a variety of roles – from developer and network administrator to lead investigator and global architect. He applies this diverse industry background to approach technology problems with proven perspective. Armknecht is a frequent speaker on the topic of cybersecurity and cloud computing at venues such as conferences, IIA/ISACA chapter meetings, executive sessions, and as a guest lecturer at multiple universities.

Ben Franjesevic is a Director within Protiviti's Technology Audit practice. He has more than 12 years of experience focusing on IT internal audit and has performed a variety of IT audit projects, including SOX IT



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testing, IT general control assessments, IT security assessments, IT compliance support, robotic process automation, data analytics, IT governance reviews, asset management assessments, and system development lifecycle audits.

NASBA: Information Technology | Learning Level: Intermediate | CPE Credit: 1.2

CS 5-3: Leveraging COSO and Enhancing Governance

Paul Sobel, CIA, QIAL, CRMA

Chairman

COSO

USA

Patricia K. Miller, CIA, QIAL, CRMA, CISA, CPA

Owner

PKMiller Risk Consulting, LLC

USA

In an unpredictable and ever-changing world, good governance is critical to achieving and sustaining success. As part of its mission, the Committee of Sponsoring Organizations (COSO) is committed to advancing governance practices in organizations. This session, with the COSO Chairman and a Board member, will help internal auditors and risk managers keep abreast of leading governance practices, leverage COSO principles related to good governance, and actively embrace their respective leadership roles.

In this session, participants will:

- Gain an understanding of governance definitions and principles.
- Identify new and emerging governance leading practices.
- Use principles from COSO's frameworks and guidance to promote good governance.
- Build on the chief audit executive's role as trusted risk advisor, helping enhance governance effectiveness.

Paul Sobel has served as Chairman of the Committee of Sponsoring Organizations of the Treadway Commission (COSO) since 2018. He leads the Board in developing guidance and thought leadership on internal control, ERM, governance, and fraud deterrence. In 2020, Sobel retired from Georgia-Pacific, having served as Vice President/Chief Risk Officer and Vice President/Chief Audit Executive (CAE). He was previously CAE at three public companies. Sobel has authored or co-authored four books. He has received multiple awards from The IIA and volunteered in numerous leadership roles, including 2013–14 Chairman of the Global Board. He currently sits on the Consultancy Advisory Group for two IFAC boards. Earlier, he served on the COSO ERM Advisory Council for the update to the COSO ERM framework and on the Standing Advisory Group of the PCAOB.

Patty Miller is the IIA member of the COSO Board, and has significant experience in governance, risk management, and control. She is the founder and owner of PKMiller Risk Consulting, LLC. Prior, in her 14 years with Deloitte, she served as lead risk services partner on some of the firm's most significant technology and consumer business clients. She also led Deloitte's national internal audit risk services practice, consulting with internal audit partners



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on engagement risk and quality of services. Miller previously held mid and senior management positions in the telecommunications industry. She has authored multiple articles, received many awards, and served in numerous leadership roles with The IIA, including 2008–09 Global Chairman.

NASBA: Business Management and Organization | Learning Level: Intermediate | CPE Credit: 1.2

CS 5-4: A Forward-looking Internal Audit Function

Sod Chuluunbaatar

**Executive Director, IT Internal Audit
Syneos Health
USA**

Olusegun Ogunnaike

**Americas Internal Audit & Controls Solutions Leader
EY
USA**

The COVID-19 pandemic became the biggest risk event of the last decade – internal audit professionals need to be empowered to own an effective and progressive operating model that will embrace real-time risk assessments and offer continuous monitoring of threats across the enterprise. By leveraging advanced analytics, internal audit can help the organization anticipate and plot risks, including highlighting gaps in strategic plans. This panel discussion will highlight the future of internal audit, innovative audit approaches that yield positive results, and adapting technology to drive change.

In this session, participants will:

- Discover the opportunity for internal audit to become more agile, efficient, and transparent by migrating to advanced technologies, tools, and platforms.
- Understand how a truly digital platform can fundamentally improve baseline assurance while delivering higher value through deeper insights to stakeholders.
- Apply practices and navigate challenges to transform their internal audit functions to create greater value within their organizations.
- Understand that there must be equal balance between tools and mindset change; while transformation can be enabled by technology, it is people who will drive the change.

Sod Chuluunbaatar has more than 20 years of experience in finance, technology risk, application integrity, business process controls, information technology security and controls design and implementation, and policy and procedure assessment. He currently manages and leads internal audit and advisory engagements in the areas of IT, finance, and business operations for the largest contract research and commercial organization in the life sciences industry.



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Olusegun Ogunnaike is a business consulting partner, strategic problem solver, and risk management professional. His experience includes helping companies transform risks into opportunities in order to accelerate business performance. He serves as the EY Americas Solutions Leader for Internal Audit and Internal Controls.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 1.2

Tuesday, 19 July

2:30 – 3:30 PM CDT

General Session 4: DEI and IA: How Internal Audit Can Optimize Diversity, Equity, and Inclusion for the Department and the Company

Moderator:

Dorri C. McWhorter
President and Chief Executive Officer
YMCA of Metropolitan Chicago
USA

Yemi Akisanya
Global Head of Diversity, Equity and Inclusion
Groupon
USA

In this session, participants will:

- Learn about approaches to develop DEI strategies for their department.
- Understand how to translate corporate DEI into their daily work.
- Discover how to shape audit plans to reflect DEI objectives.

Dorri McWhorter became President and CEO of YMCA of Metropolitan Chicago in August 2021. Previously, as CEO of YWCA Metropolitan Chicago, she transformed the organization from a traditional social service organization to 21st century social enterprise, increased impact and organizational sustainability, quadrupled the operating budget, expanded service footprint to 10 new locations, completed seven mergers and acquisitions, implemented paid family leave, and developed a retirement plan. McWhorter led the effort to develop an exchange traded fund (ETF) for women's empowerment (NYSE: WOMN) in partnership with Impact Shares. She serves on multiple community boards and has held leadership roles with several CPA associations. McWhorter was inducted into the Chicago Innovation Hall of Fame in 2019.

Yemi Akisanya's Bio Being Finalized

NASBA: Personnel/Human Resources | Learning Level: Intermediate | CPE Credit: 1.2



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Tuesday, 19 July

3:40 – 4:40 PM CDT

CS 6-1: The Personal Data Supply Chain: What It Means to You and Your Company Now Audit Wise

Frank Vukovits, CIA, CISA
Senior Director, Strategic Alliances
Fastpath Solutions
USA

First, it was GDPR in the EU, then CCPA in the United States. The focus on privacy and the rights around personal data are now just a part of business. This session will examine how the controls around the privacy of personal data are more than just a technical challenge, and that without sound business process changes and updated methodologies, companies will fail to provide environments that others in their 'personal data supply chain' will want to work with going forward.

In this session, participants will:

- Gain an understanding of current privacy regulations and how they impact their company.
- Explore how their company needs to be changing its business processes to consider privacy and security by design into day-to-day operations, and the best way to audit these processes.
- Discover proven techniques that have allowed for easier adoption of privacy guidelines and regulations, and how auditors are reviewing these techniques.
- Determine where their company stands today and what actions may be required in the future to effectively handle personal data in their organization.

Frank Vukovits is Director of Strategic Partnerships at Fastpath and a 30-year experienced auditor and business software professional. Having held corporate IT audit roles as well as implemented and managed numerous ERP projects as a user, he now combines his software and audit knowledge in his role at Fastpath and as a speaker at user groups and audit events. He has presented educational sessions publicly for the past two decades and has been on all sides of auditing, as a user, an auditor, and a vendor of audit and security software. Vukovits formerly served on *Internal Auditor* magazine's Editorial Board and was an IIA Distinguished Faculty Member.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 1.2



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CS 6-2: Assicurazioni Generali: Innovation Is About People

Luca Veghini

Global Head of Audit Operations, Methodology and Technical Support
Assicurazioni Generali
ITALY

Nora Gürtler

Head of Group Audit
Assicurazioni Generali
ITALY

The Group Audit Digital Factory was launched to coordinate all digital initiatives within Group Audit, steering cross-country activities and involving talents from all around the world through a dedicated network, common knowledge, specific approach and training – for the ultimate benefit of our Business Partners.

It shapes the future of Audit, engaging and energizing people as active promoters of the Generali Lifetime Partner Transformation.

In this session, participants will:

- Recognize the strategic levers to develop a digital framework within an Audit function.
- Explore digital opportunities to bring an audit function to the next level, using new technology (RPA, AI, Data Visualization, Data Analytics).
- Develop ideas for new technology opportunities, through practical examples.
- Appraise the benefits that digital techniques in Audit can give to our Business Partners.

Luca is passionate about turning ideas into reality, leading innovation in a collaborative way.

He graduated in Business Management from the University of Verona (Italy) and he holds a master's degree from the University of California – San Diego.

Member of the Group Audit Leadership Team in Assicurazioni Generali since 2018, he has a pivotal role in the strategic and digital development of the Function - also through the experimentation of new technologies.

Nora Gürtler has served as Head of Group Audit for Assicurazioni Generali since October 2017. She holds a doctorate in asymptotic statistics. Between 2011 and 2016, she held various positions within Generali Deutschland Holding (e.g., Chief Risk Officer); in 2015, she became a member of the Executive Committee, and in 2016, a board member of Generali Deutschland AG. Gürtler is a Fellow of the German Actuarial Association (DAV) and a Certified Enterprise Risk Actuary (CERA).

NASBA: Information Technology | Learning Level: Advanced | CPE Credit: 1.2



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CS 6-3: Third Party Risk Management: Taming the Winds of Change

Linda Tuck Chapman
Chief Executive Officer
Third Party Risk Institute Ltd.

The “winds of change” are blowing hard, and from every direction. A recent and dramatic increase in the type, volume, and impact of risk events positions effective third party risk management at the top of C-suite executives’ and board members’ agendas. To fulfill their responsibilities, audit professionals must quickly “up their game,” driving advancement and maturity of current practices forward, elevating risk awareness across the enterprise, and mandating effective risk oversight.

In this session, participants will:

- Consider what the pandemic taught us about third party risk management.
- Gain insights into mitigating risk, strengthening business resilience, and enabling enterprisewide integration of policies and practices.
- Discover how RegTech and risk insight solutions improve risk insight while reducing work effort.
- Discuss noteworthy changes to roles and responsibilities across the Three Lines of Defense.
- Understand how to leverage specialized knowledge to increase their value as a business partner.

Linda Tuck Chapman is the founder and CEO of Third Party Risk Institute Ltd., providing specialized training, third party risk management, peer networking, adaptable tools and templates, and global best practices. She also serves as President of Ontala Performance Solutions Ltd., and created and leads the 10 week video-based Certified Third Party Risk Management Professional program (C3PRMP). With prior hands-on SVP experience in three major financial institutions (BMO Financial Group, Fifth Third Bank, Scotiabank Group), Chapman guides organizations to build strong third-party risk and relationship management practices that smoothly integrate with procurement, legal, compliance, IT, operations, risk, and audit. She is a popular speaker and has authored two books and been featured in many professional periodicals.

NASBA: Auditing | Learning Level: Basic | CPE Credit: 1.2



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CS 6-4: Diversity: Are We Just Checking the Box?

Mark Maraccini
Partner
Crowe
USA

Kimberly Ellison-Taylor, CPA, CGMA, CITP, CISA
Chief Executive Officer
KET Solutions, LLC
USA

Kavita Zeeshan, CIA
Senior Audit Manager
Crowe LLP
USA

We have all heard a lot about diversity over the years, but for the last two years things have been, well...different. Perhaps we should take a step back and try to understand what diversity, equity, and inclusion (DEI) really means, how it affects people, and what role internal audit can play. How can internal audit identify program barriers and help assess the program to enable achievement of meaningful success within the appropriate objectives?

In this session, participants will:

- Learn various DEI activities that will improve their understanding of the program and assist in the internal audit process.
- Discover ways to objectively review the DEI program.
- Identify ways to provide meaningful, yet objective, internal audit recommendations related to the DEI program.

Mark Maraccini is a lead partner at Crowe for providing internal audit services to governmental entities. He has 21+ years of experience with government, higher education, and not-for-profit audits and other consulting projects. He has served on several panels for The IIA and AGA related to risks surrounding governmental internal audit divisions. Throughout his career, Maraccini has worked extensively with governmental and institutions of higher education, conducting risk and internal control assessments. He has also conducted numerous single and compliance audits that helped lay the foundation for understanding internal controls and risks surrounding financial reporting and federal compliance. Over the past 11 years, he has expanded his breadth to encompass risk assessments, focusing on ERM and internal audit.

Kimberly Ellison-Taylor is Chief Executive Officer of KET Solutions, LLC, a consulting firm focused on business growth, innovation, strategy, transformation, and inclusive leadership. A sought-after keynote speaker, she has been named to Accounting Today's Top 100 Most Influential People in Accounting and CPA Practice Advisor's 25 Most Powerful Women in Accounting. She is also an adjunct professor for Carnegie Mellon University's Chief Information Officer Certificate program, and an independent board director. Previously, Ellison-Taylor served in



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global leadership roles for Oracle Corporation and held positions at Prince George's County Government, KPMG, Motorola, and NASA Goddard Space Flight Center. She also has a long history in volunteer leadership positions with professional associations such as AICPA.

Kavita Zeeshan is a Senior Audit Manager with Crowe LLP, specializing in internal audit and regulatory risk and compliance. She has 16 years of internal audit and consulting experience in the government, higher education, and not-for-profit sectors. Zeeshan's current client base primarily includes educational, community development, local/state government, and other nonprofit organizations, for whom she performs internal audits, agreed-upon-procedure engagements, other consulting services, and financial audits.

NASBA: Personal Development | Learning Level: Basic | CPE Credit: 1.2

Tuesday, 19 July

5:30 – 6:30 PM CDT

CS 7-1: AI-based Fraud Detection in Excel

Jimmy Kao, CIA, CFE
Global Audit Manager
Belkin International
USA

Do we need to be a Python expert to adopt AI to detect fraud? Can we leverage our most familiar and friendly tool, Microsoft Excel, to achieve the goal? With a little help from the add-in and the intelligence from the MS SQL server, we can use complicated algorithms without coding a single line! We will demo how to use famous shopping basket analysis, decision trees, K-means, and other advanced algorithms in real-world examples.

In this session, participants will:

- Gain an introduction to the basic concepts of AI-based fraud detection in Excel.
- Recognize the AI algorithms supported in Excel.
- Understand the process of using Excel for fraud detection.
- Develop real-world applications.

Jimmy Kao joined Belkin as a Global Internal Audit Manager to rebuild the internal control environment. He was previously an Enterprise Risk Consultant at Deloitte, applying his expertise in IT audit, business risk management, and forensic services to assist clients in various countries and industries, including finance, high-tech, retail, manufacturing, and electronic commerce, in utilizing advanced data analytics technology to obtain risk insight from various types of data. He has shared his experience with internal auditors, risk managers, and fraud investigators as a lecturer for The IIA, CAA, and ACFE Taiwan, and as the author of professional articles in related newspapers and magazines. In 2020, he published a book about how to fight occupational fraud.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 1.2



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CS 7-2: Auditing Blockchain, The Faithful Ledger

Deepak Wadhawan, CIA, CPA
Former Chief Executive Officer, IIA–India
Global Advocacy Committee Member, IIA Global
INDIA

This session focuses on concepts and broad considerations for auditing both permissioned and permissionless blockchains. A case study is used to enumerate important activities across different stages of the audit process, such as planning considerations, risk assessment, audit program development, testing techniques, reporting, and follow-up. It ends with suggestions on skill and capability building for auditing blockchain. The easy-to-follow presentation uses auditor-friendly concepts and analogies, starting with viewing blockchain as a faithful ledger.

In this session, participants will:

- Gain an understanding of the blockchain under review.
- Identify the important activities in the internal audit process.
- Learn how to build the skills and capabilities of staff on the engagement.

Deepak Wadhawan was CEO of IIA–India and a Senior Advisor at KPMG India, providing risk advisory services for more than three decades. He wrote a book on business process reengineering in 1994 and has since been following the usage of technology in business applications. Wadhawan engages with digital process innovation projects and tech start-ups in India and brings value through providing insights on the business model, strategies, GRC, and internal audit.

NASBA: Information Technology | Learning Level: Intermediate | CPE Credit: 1.2

CS 7-3: Regulatory and Compliance Management for Taiwan Listed Companies

Yi Hsin (Doris) Wang, CIA, CGAP, CRMA
Professor
National Taipei University
TAIWAN

Dr. Albert Chou (Shi-hao Chou)
Chief Executive Officer
Taiwan XBRL Committee
TAIWAN

Yu-Te (Alan) Fai
Chief Operating Officer
Ethink Web
TAIWAN



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To emphasize the effectiveness of corporate governance evaluation and ESG ratings, the Taiwan Corporate Governance 3.0-Sustainable Development Roadmap will be discussed, including how to strengthen Board functions and enhance enterprise sustainability. Then, Taiwan's ESG Dashboard, the world's first consolidated, public platform, will be illustrated to display the ESG ratings published by major ESG rating agencies. In addition, approaches to identifying and addressing data security risks will be proposed by using practical cases.

In this session, participants will:

- Understand how to use the Corporate Governance 3.0-Sustainable Development Roadmap to strengthen board functions and enhance enterprise sustainability.
- Discuss ESG trends and develop ideas for creating novel measures to improve ESG performances.
- Propose approaches to identifying and addressing data security risks, including number of data breaches, percentage involving personally identifiable (PI) information, number of users affected, etc.

Yi Hsin (Doris) Wang has devoted her teaching and research to big data analysis, accounting intelligence, corporate governance, risk management, ESG, internal control, and internal audit. Dr. Wang is Chairman of the Accounting Research and Development Foundation and a Professor of Accountancy at National Taipei University; as Director of the university's library, she developed the internal control framework and balanced scorecard performance system. In addition, Dr. Wang is the Audit Committee Chairman and a Board Member of Transcend Information Inc. She also serves as a Board Supervisor at Taiwan Telecom Technology Center. Dr. Wang was a Trustee of the Internal Audit Foundation and an IIA Global Board Member. She was a Board Member of First Financial Holding Corporation.

Dr. Albert Chou has served as CEO of the Taiwan eXtensible Business Reporting Language (XBRL) Committee since 2010 and as Vice President of the Taiwan Stock Exchange since 1990. He is an Associate Professor at National Taipei Business University. Dr. Chou earned his doctorate from Tamkang University's Graduate Institute of Management Sciences.

Yu-Te (Alan) Fai is Chief Operating Officer of Ethink Web, which provides data analytical computing services, RPA design consulting, and Web3 application development in the blockchain industry. Fai plays a key role in guiding company efforts to lead ESG development in Taiwan, publish ESG educational articles and books, and integrate blockchain technology into ESG fields like documentation/licensing.

NASBA: Specialty Knowledge | Learning Level: Basic | CPE Credit: 1.2



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CS 7-4: Establishing Strong Governance While Serving Public Interest

Moderator:

Dr. Lily Bi, CIA, CRMA, CISA
Executive Vice President, Standards and Global Certifications
The IIA Global Headquarters
USA

Panelists:

J. Michael Peppers, CIA, QIAL, CRMA, CPA
Chief Audit Executive
The University of Texas System
USA

Alta Prinsloo, CA
Chief Executive Officer
Pan African Federation of Accountants
SOUTH AFRICA

Credibility and trust in the professional practice of internal auditing require an inclusive and transparent standard-setting process that recognizes the perspectives and needs of all stakeholders. The IPPF Evolution project is transforming IIA *Standards* to promote consistent global practice and behaviors that are relevant and responsive to changes in society. Alta Prinsloo is Chair of the IPPF Oversight Council*, dedicated to ensuring IIA *Standards* serve the public interest. She will be joined by Mike Peppers, Chair of The IIA's International Internal Audit Standards Board and former Chairman of the Global Board, in a panel discussion moderated by Dr. Lily Bi, The IIA's Executive Vice President of Standards and Certifications, to share the latest thinking on this highly significant initiative for the global profession of internal auditing.

In this session, participants will:

- Learn the importance of setting globally accepted standards that are in the public interest.
- Hear about the progress of the IPPF Evolution project and how the new IPPF serves the public interest.
- Gain insights into upcoming changes to the IPPF and the *Standards* to stay current and relevant.
- Understand the impact of new *Standards* on the profession and their work.

**The IPPF Oversight Council is an independent oversight group comprising representatives from the International Federation of Accountants (IFAC), International Organization of Supreme Audit Institutions (INTOSAI), National Association of Corporate Directors (NACD), Organisation for Economic Co-operation and Development (OECD), and The World Bank.*

Dr. Lily Bi is Executive Vice President of Standards and Global Certifications at The IIA, overseeing internal audit standards and guidance setting and providing strategic direction for certification programs impacting 300,000+ candidates and certified individuals worldwide. Under her leadership, The IIA launched the revised CIA exam in 14 languages, revamped the CRMA designation, and finished the transformation of online testing. Previously, as



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Senior Manager of Group Internal Audit at Kirin Holding Company in Japan from 2014 to 2016, Dr. Bi was responsible for advancing company internal audit practices in Japan, Australia, the Philippines, and China, concurrently serving as Executive Auditor for two Kirin subsidiaries in China. From 2005 to 2013, as The IIA's Director of Standards and Guidance, Dr. Bi led two revisions of the *Standards* and the release of ten Global Technology Audit Guides (GTAGs). She holds a 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.

Alta Prinsloo – a Chartered Accountant (South Africa) – became Chief Executive Officer of the Pan African Federation of Accountants in November 2020. She had joined the International Auditing and Assurance Standards Board in 2002 and served as Deputy Director before transitioning to IFAC, where she held executive roles involving governance, strategy, risk, finance, operations and ICT, HR, and IP. Prinsloo oversaw a wide variety of initiatives, including accountancy capacity building, transparency and accountability in the public sector, professional accountants in business and in small- and medium-sized practices, and the Knowledge Gateway. She also led IFAC's new approach to advancing education for future-ready professional accountants. From 1997 through 2002, Prinsloo worked at the South African Institute of Chartered Accountants, becoming Technical Director in 2000. In 1996, at Amalgamated Banks of South Africa, she was responsible for professional development of the internal audit function. Prior, she worked in the national technical and training office of PricewaterhouseCoopers.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 1.2



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Wednesday, 20 July

9:15 – 11:00 AM CDT

General Session 5: Courageous Civility: Creating a Culture of Equity, Diversity, and Belonging

Shola Richards
Founder and Chief Executive Officer
Go Together Global
USA

In his inspiring flagship keynote, Shola Richards will introduce the transformative concept of Ubuntu (pronounced “oo-BOON-too”), which translates to “I am, because we are.” The Ubuntu philosophy, along with three powerful questions, will provide the audience with actionable strategies to transform their work culture, amplify team civility, and create an equitable and inclusive environment for everyone.

In this session, participants will:

- Learn proven strategies to strengthen team cohesion, togetherness, and inclusion (despite these deeply divisive and polarized times) in order to maintain a healthy workplace culture and optimal business results.
- Gain insights into keeping themselves engaged, energized, and positive when managing the nonstop challenges and complexities of life (both inside and outside of the workplace).
- Understand how they can make meaningful positive change in their organization even if they feel as though they lack the influence, professional title, or experience to do so.

Shola Richards is CEO and Founder of Go Together Global™ and bestselling author of *Making Work* and *Go Together*. A civility writer and authority on workplace happiness and engagement, his articles and “Go Together Movement” email series have been read by readers in 160+ countries, and his work has been featured on the Today Show, CBS This Morning, Forbes, Black Enterprise, Complete Wellbeing India, Business Insider Australia, and in numerous other outlets worldwide. Richards has shared his transformative message with leading healthcare organizations, top universities, Silicon Valley, the motion picture industry, and on the TEDx stage. He also testified on Capitol Hill on how to bring more civility to Congress.

NASBA: Personal Development | Learning Level: Basic | CPE Credit: 1.8



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Wednesday, 20 July

11:40 AM – 12:45 PM CDT

Closing Keynote Session: Tunnel Vision to Lateral Vision: New Tools to Navigate ESG in the World

Gillian Tett

Editorial Board Chair and Editor-at-Large, US

Financial Times

USA

Economic models, corporate balance sheets, and big data sets, while useful, are limited because you can only use them effectively if you look at context, including the wider environment and culture. Expanding beyond just narrow tunnel-vision models to combine social science and anthropology with medical science, computer science, and economic science can create an effective new way of building back better and looking at ESG in this post-pandemic world.

In this session, participants will:

- Learn how to navigate the world and plot the future by looking beyond economic models or balance sheets with anthropology.
- Understand the power of being an insider-outsider — and thinking like an anthropologist at work.
- Recognize the value of listening to social silence, or what we ignore.
- Discover how to embrace lateral vision, not tunnel vision.
- Examine how widening our cultural lens can help shape sustainable leadership.

Gillian Tett is Chair of the Editorial Board and Editor-at-Large, US, at the *Financial Times*. In her previous role at *FT*, she was Managing Editor (US) and columnist and also oversaw global coverage of the financial markets. Her track record of predicting important trends that impact the world include having called the credit crunch crisis three years ahead of anyone else. Tett now warns on the emerging risks posed by certain new types of Fintech — products and services that arise from new types of ‘financial innovation’ and the current lag of effective regulation and governance to manage these activities. An award-winning writer, she is the author of *The Silo Effect: The Peril of Expertise and the Promise of Breaking Down Barriers*, the *New York Times* bestseller *Fool’s Gold*, *Saving the Sun*, and *Anthro-Vision: A New Way to See in Business and Life*. Tett holds a PhD in social anthropology from Cambridge University.

NASBA: Specialty Knowledge | Learning Level: Basic | CPE Credit: 1.8



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Wednesday, 20 July

2:00 – 6:00 PM CDT

Post-conference Workshop 1: Auditor's Guide to Data Governance and Literacy

Michael Malcolm, CIA, CRMA, CISA, CISSP, CFE
Manager, IT Compliance and Advisory
Just Energy
CANADA

Additional Registration and Fee Required to Attend
Workshops are available for purchase and do not require a conference registration

A networking break will take place from 3:00–3:30 p.m.

According to CRN.com's "10 Biggest Data Breaches of 2021 (So Far)" released on July 23, 2021, "more than 98.2 million individuals were impacted by the 10 biggest data breaches in the first half of 2021, with three of the 10 largest breaches occurring at technology companies." What does this statistic have to do with data governance and data literacy?

Simply, ungoverned data is a recipe for disaster. Many of the year's events were directly attributed to data and information assets being improperly protected from either external bad actors, trusted insiders, or both. As an audit community, we need to validate that our organizations have adequate data literacy, governance, and protections in place to reduce the potential of data exposure or worse yet, data leakage or destruction.

This four-hour interactive workshop will cover the origins of data and information as well as the importance and key elements of data governance. It will also explain common threats to data and information assets along with the most common tactics for protecting data and information assets. Attendees will explore the fundamentals of data literacy – Reading Data, Working With Data, and Communicating Through Data – and simple techniques to apply data literacy to the internal audit process.

In this workshop, participants will:

- Gain an understanding of how to perform a data governance audit.
- Discover where to look, what to ask for, and how to assess the strength of data protection controls against common threats to data and information assets.
- Learn how to read, assess, and communicate results from data analysis into actionable audit observations.

Michael Malcolm has 30+ years of experience in information technology auditing, financial and operational auditing, and IT SOX compliance. His expertise encompasses COSO and COBIT control frameworks, general and IT application controls, ISO 27001, ISO27002, and SOC1 and 2 reviews. He gained knowledge of continuous improvement tools and techniques through leadership of Total Quality Management (TQM) and business process reengineering projects. Malcolm has served on The IIA's Global Academic Relations Committee and Quality



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Assurance Review team, and has delivered 15+ IIA seminars internationally. He has also held leadership roles with ASQ Kitchener and ISACA International.

NASBA: Auditing | Learning Level: Basic | CPE Credit: 4.2

Post-conference Workshop 2: Assessing Ethics for Your Organization

Mike Joyce, CIA, CPA, CRMA
Vice President
Chief Auditor & Compliance Officer
Blue Cross & Blue Shield Association
USA

Deanna Sullivan, CIA, CRMA, CPA, CFE
Principal
SullivanSolutions
USA

***Additional Registration and Fee Required to Attend
Workshops are available for purchase and do not require a conference registration***

A networking break will take place from 3:00–3:30 p.m.

A strong ethical culture is the foundation of good organizational governance. An ethical culture is created through a robust ethics program that sets expectations for acceptable behavior within an organization and by its external partners. It includes effective board oversight, a strong tone at the top, and organizationwide commitment, as well as a customized code of conduct; ethics training, communications, and system monitoring; and an incident reporting system.

Are you prepared to assess your organization for policies and processes concerning ethics?

This course is a good place to start. It provides a comprehensive overview of the elements of organizational ethics and the responsibilities for establishing and maintaining an ethical climate in an organization. Explore the roles of internal audit and compliance departments in supporting and assessing the ethical climate, examine approaches to auditing ethics, and determine the best approaches for reporting the results of an ethics audit.

In this session, participants will:

- Understand the elements of organizational ethics and the responsibilities for establishing and maintaining an ethical climate in an organization.
- Explore internal audit's role in supporting and assessing the ethical climate.
- Be informed about approaches to auditing the ethical climate of an organization.
- Prepare to apply concepts of ethics to internal audit programs and engagements.
- Determine the best approaches for reporting the results of an organizational ethics audit.
- Examine ways to shift the ethical climate based on the results of an organizational ethics audit.



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Mike Joyce – A current member of the North American and Global Nominating Committees, Mike has been an active volunteer member of The IIA since 1989 for both the Dallas and Chicago Chapters, and has been a frequent speaker at global and regional internal audit conferences. He was Chairman of the IIA Global Board of Directors for 2019 – 2020, and Chairman of the IIA North American Board of Directors for 2015-16. He served on the Board of Governors for the Chicago Chapter of the IIA from 1995 until 2015, including a term as Chapter President in 2001-2002. In addition, he served as a member and Chair of numerous IIA International Committees, including the Seminars (Learning Solutions Committee).

Deanna Sullivan is an internationally recognized speaker, author, and trainer. She has a diverse background ranging from auditing and accounting to consulting and training. She was a partner in Arthur Andersen's risk consulting practice and earlier in her career, was responsible for international and operational auditing at Enron Corp and Diamond Shamrock Corporation. Sullivan has been active on a variety of IIA International committees and delivers training for The IIA globally. She also serves as chairman of the Houston Chapter's Annual Conference. She is certified to teach ethics for Texas CPAs and is a Certified Ziglar Legacy Trainer and a certified DISC Behavioral Analyst.

Entertaining education is her passion, so she uses her spare time to teach a bible study class at Second Baptist Church and speak to businesses and schools for the Houston Livestock Show and Rodeo.

NASBA: Behavioral Ethics | Learning Level: Basic | CPE Credit: 4.2

Post-conference Workshop 3: Practicing Agility

Alison Williams, CIA, CISA
Audit & Risk Consultant and Speaker
Kaiser Consulting
USA

Jami (Harris) Shine, CIA, CRMA, CISA, CRISC
Corporate and IT Audit Manager
QuikTrip
USA

Additional Registration and Fee Required to Attend
Workshops are available for purchase and do not require a conference registration

A networking break will take place from 3:00–3:30 p.m.

In an environment where audit risk compounds nearly annually and budgets continue to stagnate or shrink, internal audit leaders find themselves in a perpetual juggling act as they try to balance budget, resources, and adequate risk coverage.



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Conference speakers, articles, whitepapers, and blogs over the last decade have touted the benefits of adding agility into internal audit processes, but few have offered an adequate roadmap toward agility, let alone provided the stepping stones necessary to begin the journey toward agile auditing.

This workshop is designed to supply internal auditors and audit leaders with their own agility roadmap to an agile auditing strategy and an executable plan that will move them from their current state to a desired future state with improved agility in every phase of the audit engagement.

In this session, participants will:

- Discover how to assess their current auditing processes in relation to The IIA's Internal Audit Competency Framework[®].
- Explore ways to successfully propose recommendations for adding agility throughout the audit process.
- Learn how agility and agile auditing maintains an internal audit department's compliance with The IIA's International Professional Practices Framework[®] (IPPF[®]) 2017 Edition (The Red Book).

Alison Williams is an IT and Management consultant for Kaiser Consulting, an international accounting and IT services firm. Alison has worked for multiple fortune one hundred and international companies. She has over 25 years of audit and compliance experience in banking, insurance, healthcare, and manufacturing industries. Her expertise spans leading operational and IT audit teams, IT infrastructure governance, third-party oversight, and enterprise risk management. She has obtained her COSO ERM certification to complement the work she does in developing and implementing control-based organizational change. Alison has been presenting with the IIA since 1994, both in person and through virtual sessions. Her facilitation experience ranges from material for college courses to public seminars. She is a member of The IIA and ISACA and serves on the BGSU Honors College Leadership Council. She also has a long history in volunteer leadership positions focused on developing women and youth leadership, including leading multiple United Way Campaigns. One of her biggest hobbies is native plant gardening.

Jami Shine has 15 years of internal and external audit experience. As Corporate and IT Audit Manager for QuikTrip, she manages operational, IT, and financial audits and consulting engagements. She also co-facilitates the ERM program and conducts the annual risk assessment process with the CAE. As a volunteer facilitator for The IIA, Shine leads online and in-person trainings. She is a speaker for MISTI's SuperStrategies and Audit World Conferences, The IIA's Leadership Academy, IIA and ISACA chapters, and the Accounting and Financial Women's Alliance. In 2020 and 2021, she served as emcee for The IIA and ISACA's GRC Conference. Shine was a District Representative and member of The IIA's North American Chapter Relations Committee from 2018–2022 and will serve on the Institute Relations Committee beginning in July 2022. She has written multiple articles for *Internal Auditor* magazine.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 4.2



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Post-conference Workshop 4: CIA Exam Prep Course: Part 3 — The IIA's CIA Learning System® Business Knowledge for Internal Auditing

Vicki McIntyre, CIA, CPA, CFSA, CRMA, CGAP
President
FirstPlus Resolutions, Inc.
USA

Additional Registration and Fee Required to Attend
Workshops are available for purchase and do not require a conference registration

A networking break will take place from 3:00–3:30 p.m.

Taught by CIA-certified instructors, this Part 3 CIA exam prep workshop is designed to give attendees a high-level introduction and overview of the topics covered on the CIA certification exam. The course will reinforce attendees' CIA knowledge, clarify topics, and build exam-day confidence.

CIA Part 3 topics will include:

- Business Acumen
- Information Security
- Information Technology
- Financial Management

In this workshop, attendees will:

- Gain a better understanding of the CIA exam syllabi.
- Learn test taking and study tips to prepare for the exam.
- Review practice questions and answer rationales.
- Develop a working knowledge of the CIA Part 3 topics at a high-level overview.
- Identify strategies to assist with the development of study plans.

Each attendee will receive online access to The IIA's CIA Learning System Self-study Version 7.0 Part 3 materials for one year. Printed books are available for purchase separately.

Please note: Additional self-study time outside of the classroom will be necessary to prepare for the exam.

Vicki McIntyre is a “big picture” risk manager whose internal audit, financial management, public accounting, regulatory supervision, and compliance management experience includes 20+ years in financial services as a California state bank examiner, vice president of finance for a closely held bank, and vice president of risk management for a regional bank. McIntyre's consulting firm specializes in promoting continuous improvement of internal audit activities by performing quality assessments, independent validations, and readiness reviews of internal audit departments. An internationally recognized speaker and trainer, she has taught numerous internal audit and risk management courses as well as The IIA's CIA Learning System. McIntyre is a longtime volunteer IIA leader and currently serves on the Global and North American Nominating Committees.