

Sunday | October 30, 2022 **1:00 – 5:00 p.m. PDT**

Pre-conference Workshop 1: Uncovered a Fraud: Now What? Why Internal Audit Should Think Like a Prosecutor!

Benjamin R. David, J.D.
District Attorney
New Hanover & Pender County, North Carolina

Additional Registration and Fee Required to Attend

A thief can steal more money using a computer than with a gun and a ski mask. Often, these crimes go unreported due to concerns about public perception, such as a betrayal of trust by an employee or a business partner. Auditors will be far more effective at convincing prosecutors to go after these criminals if they think like a prosecutor and speak the same language.

In this session, participants will:

- Learn how to detect white-collar crime and how to navigate the investigation.
- Explore real-life examples of what prosecutors look for when following paper trails.
- Hear about the five types of evidence and the five defenses that come up in these cases.

Section 1: Provide a comprehensive overview of white-collar crime. Attendees will learn how to detect these crimes and then prepare a case for prosecution without raising suspicion by the perpetrator. The section will provide the foundation for the sections to follow.

Section 2: Explore actual case studies of successful prosecutions and what evidence was presented to the prosecutor to bring the auditor's investigation to a successful conclusion. Attendees will work in groups to review a case and explore lessons learned. Through the activity, attendees will discover how to present the necessary evidence to law enforcement and obtain its cooperation throughout the fraud investigation process.

Section 3: Examine actual case studies related to cases that ended with an unsatisfactory outcome. Learn about cases that were poorly investigated and/or not properly organized



by an auditor/investigator. Actual case studies will include embezzlement, employee theft, employee conspiracies, setting up phony payrolls, accounts receivable fraud, and other similar crimes. Through this activity, attendees will understand how to satisfy a prosecutor's evidentiary needs to help prevent an unsatisfactory outcome.

Section 4: The session will conclude with a recap of the most important elements taught (i.e., the five defenses to any crime and how to overcome these defenses and get to the truth). Attendees will participate in a shark-tank exercise with the opportunity to prepare a pitch for one of the cases covered during the workshop.

Ben David has served as an elected District Attorney since 2004. He has served on the North Carolina Chief Justice's Commission on Professionalism and the Governor's Gang Task Force, and he is a founding member of Law Enforcement Leaders to Reduce Crime and Incarceration. David currently co-chairs the Chief Justice's Task Force on ACEs-Informed Courts. He is also an adjunct professor at UNC–Wilmington and a certified instructor for law enforcement. Before joining the District Attorney's Office in 1999, he was an associate attorney in the trademark litigation section of the Intellectual Property group at Petree Stockton (now Kilpatrick Townsend & Stockton). David has authored many magazine, newspaper, and journal articles as well as a book, *Crime and Community in the Cape Fear: A Prosecutor's Guide to a Healthier Hometown*. He has been a keynote speaker for national and international conferences as well as provided commentary on criminal justice issues on Today, PBS NewsHour, and Dateline NBC.

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



Monday | October 31, 2022 **8:00 – 9:30 a.m. PDT**

Opening Keynote: Ignite Your Future

Durran Dunn, CIA, CPA
Managing Director, Advisory Governance, Risk, Compliance, and Controls
Grant Thornton

There are people who assume leadership is solely associated with a title. The reality is that a title has less to do with true leadership. Durran Dunn, an award-winning accounting/finance professional and elite sprint athlete also known as *The Freeze* with the Atlanta Braves, will share his winning coaching strategies and techniques on how to *Ignite Your Future* by moving from star managers and individual contributors to becoming impactful leaders who are relevant for today and innovative for the future.

In this session, participants will:

- Identify what it takes to transform from individual contributors and managers to impactful leaders.
- Learn how to emerge and take on larger leadership roles and responsibilities with more complexities.
- Know the key characteristics of leadership necessary to successfully lead today and in the future.
- Understand the values and benefits of consistently building winning and empowered teams in their leadership journey.
- Unmask the traits of high-performing athletes and apply the athletic discipline necessary to be a successful leader.

Durran Dunn is a Managing Director in Grant Thornton's Risk, Compliance, and Controls practice. He has almost 20 years of leading global business experiences in accounting, finance, and internal audit in multiple industries, including manufacturing, consumer products, media and entertainment, and bio-pharmaceuticals. Previously, at Graphic Packaging International, he led transformational efforts to implement a revenue management system and contract management application. Dunn received the 2021 Black CPA 40 Under 40 Award and was a 2020 CPA Practice Advisor 40 Under 40 Professional Honoree. He is a National Board Director and Audit Committee Chair for the National Association of Black Accountants, was an ambassador with the American Institute of Certified Public Accountants (AICPA), serves as a facilitator and instructor for The IIA, and is a Board Member of The R.I.S.E. Charter Schools.



NASBA: Personal Development | Learning Level: Intermediate | CPE Credit: 1.5

Monday | October 31, 2022 10:00 – 11:30 a.m. PDT

General Session 2: Clarity, Impact & Speed: Delivering Audit Reports That Matter

Margie Bastolla, CIA, CRMA
Principal
Margie Bastolla Facilitations, LLC

Do stakeholders seem disinterested or push back on the audit department's reports? Do your team members struggle to write clear, concise, and coherent reports? Does report development and issuance take too long? Get solutions to these and other challenges from Margie Bastolla, author of The IIA's soon-to-be-released book, *Clarity, Impact, Speed: Delivering Audit Reports That Matter*.

In this session, participants will:

- Gain insights into "The 7 Deadly Audit Report Mistakes."
- Understand reader expectations for report structure, content, and readability.
- Learn about messaging for high-level readers.
- Assess agile auditing's impact on the report and reporting process.
- Identify practical ways to speed up report development and issuance.
- Get tips for building their team's report-writing skills and confidence.

Margie Bastolla is an author, trainer, and consultant who helps internal audit departments write clear, impactful reports; reduce report revisions; and quicken report issuance. This fall, The IIA will publish her book, *Clarity, Impact, Speed: Delivering Audit Reports That Matter*. Bastolla has taught thousands of auditors in hundreds of organizations to think critically and write clearly, helping them garner management's respect, grow in credibility, and become trusted advisors. Before forming her training company, she spent 20 years as an executive and director at The IIA in Orlando, Florida. Previous to The IIA, she was both an internal auditor and a public accountant. Bastolla has worked in 40+ countries.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 1.5



Monday | October 31, 2022 1:00 – 2:00 p.m. PDT

CS 1-1: Managing Difficult Employees: How to Deal With the Monsters, Zombies, Ghosts, and Vampires on Your Team

Carey Blakeman
Director, Member Value and Development
The Institute of Internal Auditors

Lindsay Patterson
Vice President, Membership
The Institute of Internal Auditors

For many managers, knowing how to effectively manage difficult employees can be the most challenging part of their job. Unfortunately, at some point you're likely to encounter a team member who is a monster (just plain mean), zombie (slow and/or lazy), ghost (aren't fully showing up), vampire (energy sucker), or some other type of Halloween horror. In this session, you'll hear real-world examples of these types of employees and learn what steps to take to either bring them back to the light or vanquish the problem for good (figuratively speaking, of course).

In this session, participants will:

- Learn specific techniques for dealing with problematic behavior, including negative attitudes, poor job performance, a refusal to accept accountability, poor work ethic, arrogance, and more.
- Recognize and apply the key components of performance improvement plans.
- Identify next steps for when an employee is not responding to coaching.

Carey Blakeman is Director of Member Value and Development for The Institute of Internal Auditors (The IIA). Blakeman ensures IIA members receive value from their membership while constantly seeking enhancements. In June 2022, the Outreach and Development team joined the Member Value team under Blakeman's leadership to assist with The IIA's vision of building relationships through holistic and consultative conversations. Blakeman brings with her six years of experience working with members and professional development at the AICPA.

Lindsay Patterson is Vice President of Membership at The IIA. In this role, she works to ensure IIA members have the tools they need to grow in their careers and help their



organizations succeed. Her portfolio includes chief audit executive support, member recruitment and retention, chapter engagement, and business development. Patterson previously worked at the American Institute of CPAs, where she managed projects in support of the updated risk assessment standard, the evolution of the CPA Exam, the SOC Suite of Services, emerging technologies impacting auditors, legislation, and regulation, and more. She has led international teams and staff at all levels, from entry-level employees to senior directors.

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

CS 1-2 Successfully Leading and Having Difficult Conversations with Hybrid or Remote Teams

Jeannette Buttler, CPA, CIA, CISA, CISSP
Manager
Schellman & Company, LLC

Over the past few years, it has been difficult moving from mainly in-person relationships to hybrid or remote relationships with our coworkers. We have learned to adapt and continue to optimize the way we work with others. Growth, promotion, and learning is still taking place in hybrid environments and the way we deliver feedback has changed as well. This session will explore some of the challenges with changing roles from an individual contributor to a leadership role, leading remote teams and how to build trust and have difficult conversations with team members.

In this session, participants will:

- Learn strategies to have direct conversations with your direct reports or your direct manager, including how to set up front expectations.
- Learn how to frame difficult conversations with remote team members into situations with win-win outcomes.
- Learn strategies to build trust and rapport with remote team members.
- Reflect on changing roles (promotion) from an individual contributor to a leadership role.

Jeannette Buttler specializes in IT attestation and compliance services for organizations across various industries. She has led and supported various projects, including compliance, SOX, and SOC engagements. She has over 8 years of experience comprised of serving companies of all sizes, including start-ups, Fortune 1000, and public, with a strong focus on technology (including digital currency and blockchain) and the financial



services sector. Jeannette serves as the Technology Assurance Committee Chairperson for the New York State Society of CPAs. Prior to joining Schellman & Company, Jeannette worked at PwC and Friedman LLP.

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

CS 1-3: CAE Year One – Lessons Learned

Mike Hurst, CIA, CFE
Director, Internal Audit (CAE)
Utah Transit Authority

I'm a new CAE as of July 2021. I will describe "lessons learned".

1. Building relationships, both internal and external.
2. Empowering a team for success.
3. Becoming data driven.

In this session, participants will learn:

- Key strategies to build, maintain, and repair business relationships.
- How to set up a team for success through empowerment, recruiting, and retention.
- Why becoming a data driven internal audit function adds value to the organization?

Mike Hurst is the Director of Internal Audit and Chief Ethics Officer for the Utah Transit Authority, a public transit agency in Salt Lake City, UT. He is a Certified Internal Auditor and Certified Fraud Examiner.

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



Monday | October 31, 2022 2:15 – 3:15 p.m. PDT

CS 2-1: Elevating DEI Within Your Organization

Nadia Rizk
Director, Technology Audit and Data Analytics
Target

With so many organizations focusing on enhanced DEI&B (diversity, equity, inclusion, and belonging), many are looking for ways to improve on this journey. Being a person of color, a woman, bi-racial, and from different intersectional backgrounds, Nadia Rizk will lean on her experiences and activist work to reveal ways organizations can foster inclusive environments by creating equal and equitable experiences for all individuals.

In this session, participants will:

- Assess the current state of DEI&B in their organization.
- Evaluate various ways to improve recruitment and retention of diverse talent.
- Address and understand unconscious and implicit biases that put organizations at risk for potentially being unable to recruit and retain diverse talent.
- Gain insights into how we can all create an environment of inclusion and belonging.

Nadia Rizk is currently the Director of Technology Audit and Data Analytics for Target. She has a 14-year IT and engineering background in retail and manufacturing environments. For the past decade, she has been an activist for equality and equity in the corporate sectors, highlighting the experiences people of diverse backgrounds face that can be improved upon through allyship, inclusion, and belonging.

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

CS 2-2: Auditing Bots (RPA) While Enhancing Governance

Chris Denver
Managing Director
Crowe LLP

Ma'Kayla Tillman, CPA
Finance Transformation Senior Consultant
Crowe LLP



At a recent IIA–Chicago event, Richard Chambers mentioned that 89% of internal auditors are 43 years old or older. These demographics indicate that time is NOT on the side of CAEs, so enhancing their staff's capabilities now by using bots is a must. To meet the challenges of presented by the wave of retirements anticipated over the next decade, CAEs must develop staff that can use RPA, audit RPA, and understand the risks surrounding automation in general. This will lead to more efficient departments that better understand their audit subjects.

In this session, participants will:

- Understand practical approaches for auditing robotic process automation (RPA) running in areas that are "in scope" for internal audit.
- Integrate internal audits of bots into a holistic audit of a process, area, or system.
- Construct a practical audit plan by understanding the key risks of their company's Center of Excellence (CoE), the unit responsible for building, monitoring, and maintaining automations active in their company's systems and processes.
- Develop a plan to build and maintain bots to assist internal audit in the performance of the annual audit plan, while establishing independence from the CoE.

Chris Denver is a Managing Director in Crowe LLP's Finance Transformation delivery unit, responsible for finance transformation, controls governance, and robotic process automation for clients in multiple industries. His 27+ years of experience include roles as Chief Financial Officer, Controller, Director of SEC Reporting, and Chief Audit Executive. Credentialed as a Developer with UiPath, Denver is a thought leader in the automation space and an expert in internal audit management, governance, and performance, particularly through the deployment of technology solutions. He has conducted technical analysis to assist companies in ensuring compliance with relevant IFRS, GAAP, and SEC accounting rules and regulations. Denver is a former President of IIA–Chicago and presently sits on the chapter's Board of Governors.

Ma'Kayla Tillman is a Senior Consultant in Crowe LLP's Finance Transformation delivery unit. She has four years of financial experience as a finance transformation consultant, RPA business analyst, accounting advisory consultant, and auditor within the financial industry. Tillman has provided a range of solutions and technical capabilities, including operational improvement, change management, finance close and reporting, business integration, ERP implementations and management, and Robotic Process Automation (RPA) business analysis. She has also performed attestation and assurance services to assist companies in ensuring compliance with relevant GAAS, GASB, GAAP, IFRS, and SEC



accounting rules and regulations. Her specialties include manufacturing and distribution, technology, real estate, and construction.

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

CS 2-3: Creative Ways to Grow Your Team's Skillsets

Deidre Melton, CIA, CRMA, CFE, CDPSE, CISA, CIGI, CISM, CRISC
Associate Vice President, Audit and Chief Risk Officer
Florida Agricultural and Mechanical University
In today's ever-changing business environment, it is extremely important that your audit team members possess the skillsets needed to provide high-quality assurance and advisory services to your organization. However, many audit leaders are increasingly faced with limited or decreasing professional development budgets. Today's session will focus on creative ways audit leaders can empower their team members with the soft and technical skills they need.

In this session, participants will:

- Discover how to build effective training plans using The IIA's Internal Audit Competency Framework and their internal organizational resources.
- Learn cost-effective methods to develop technical skills.
- Explore a variety of creative ways to grow their team's power (soft) skills.

Deidre Melton is the Associate Vice President for Audit and Chief Risk Officer at Florida A&M University. She specializes in cybersecurity, governance, risk management, process improvement, and internal controls. Melton previously performed information technology audits of educational and local/state government entities for the State of Florida Auditor General's Office. She serves as Diversity & Inclusive Leadership Committee Chair for the Association of College and University Auditors (ACUA), serves on the SheLeadsTech Council for One in Tech (an ISACA foundation), is on the Audit Committee for Leon County Clerk of Courts and the Supervisory Committee for FSU Credit Union, is Vice President for ISACA Tallahassee, and is Chair of the Information Technology Audit Group for the State University System of Florida.

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



Monday| October 31, 2022 **3:45 – 5:00 p.m. PDT**

General Session 3: Emerging Leaders: Sparking Passion in the Profession

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

Panelists:
Adrian Romero
Risk Consulting Manager
RSM US LLP

Austin Walker
Audit Manager
Citi

David Li
Senior Consultant, Enterprise Risk Services
MNP LLP, Toronto

Madison Rorschach
City Auditor of the City of Denton, TX

Today's emerging leaders are assets to their organizations and their communities, offering a helping hand where needed, assisting those less fortunate, sharing their knowledge, and fostering the growth of the next generation of internal auditors. This session will provide an opportunity to meet four of our 2022 Emerging Leaders and learn more about their achievements and their impact on their organizations.

In this session, participants will:

- Discover strategies to take initiative and create engaging workspaces that help their teams to better collaborate and thrive.
- Examine new, innovative ways of approaching internal audit and promoting their ideas to leadership.
- Explore how emerging leaders continue to learn, grow, and excel in the internal audit profession.



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.

Adrian Romero is a Manager in RSM's Risk Consulting practice, providing large global industrial and consumer product manufacturing, life science, technology, and healthcare clients with internal audit, Sarbanes-Oxley, data analytics, and management consulting services. With a high degree of client contact, he has extensive experience working with global firms and international business units for clients on all major continents. Romero is an RSM FutureMaker Awardee, First Choice Advisor Award winner, Flavio Castillo Award winner, and national leader of RSM's VALOR (Veterans) Employee Network Group. He also supports the IIA–Miami chapter as Vice President of Specialty Centers.

Austin Walker is a Vice President – Audit Manager at Citi, where he leads audit teams covering the bank's capital planning and CCAR functions.

David Li is a Senior Consultant at MNP LLP. He brings knowledge of internal control over financial reporting, ITGC, and regulatory compliance to help clients identify opportunities to improve the efficiency and effectiveness of processes and internal controls through the development of enterprise risk and internal audit programs. Li possesses considerable experience working with financial services sector clients, such as Alterna Bank and Savings, China Construction Bank, State Bank of India, and Skyline Investments. Before joining MNP LLP, he worked at State Street Bank and Trust.

Madison Rorschach began her career in local government auditing in 2015. Madison currently serves as an At-Large Board Member of the Association of Local Government Auditors and previously served as the Chair of ALGA's Diversity, Equity, and Inclusion Committee. Madison has also served on the Boards of the Brazos Valley and Fort Worth IIA Chapters as well as on the Public Sector Advisory Committee.

NASBA: Personal Development | Learning Level: Basic | CPE Credit: 1.5



Tuesday | November 1, 2022 8:00 – 9:30 a.m. PDT

General Session 4: Do I Really Need to Network to be an Effective Internal Auditor?

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

Panelists:
Rachel Tressy, CIA, CRMA, CPA
Senior Vice President, Chief Auditor
Voya Financial

Tammy Valvo, CIA, QIAL, CCSA
Chief Audit Executive
Gate City Bank

Karen Begelfer, CIA, CRMA, CPA
Senior Vice President, Chief Audit Executive/Enterprise Risk Management
Hewlett Packard Enterprise

As an auditor, networking is extremely important, no matter where you are in your career. But how do you make the time and effort, given everything else on your plate? We will discuss why auditors need to network within our business areas to ensure that we are "in the know" and prove that we can be trusted advisors, and ultimately, critical friends. We also need to network with our peers to maintain an understanding of how our industry is evolving. How do we make that happen?

In this session, participants will:

- Discuss real-life examples of networking strategies for keeping business partners close and how doing so makes for better auditors.
- Explore real-life examples of how both introverts and extroverts can network with peers (outside of their company) and build strong internal audit networks, and why doing so is important at every career stage.
- Discover the real benefits of networking – more effective audit activities, sharing of ideas, and new friendships!



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.

Rachel Tressy joined Voya Financial in August of 2016 to lead the FCR/SOX team and advanced to Chief Auditor in August of 2018. She previously worked in business and audit related roles at Cigna for 15 years. Tressy started her career at Ernst & Young. She has spoken at numerous conferences, including GRC, IIA International Conference, and IIA Women in Leadership Forum.

Tammy Valvo joined Gate City Bank in September 2020 in the newly created position of Chief Audit Executive to enhance the internal audit function as internal audit team members journey from auditor to business partner to trusted business advisor to critical friend. In addition to innovating the methodology and approach to achieve operational excellence in full compliance with professional standards and guidance, Valvo is elevating the role of internal audit through a commitment to relationships and relevance. She previously served Rabobank, N.A. in many internal audit roles, including Chief Auditor through its acquisition by a California community bank. Valvo started her career at Arthur Andersen and Protiviti. A servant leader, she is passionate about transforming internal audit and creating a positive impact.

Karen C. Begelfer is Senior Vice President, Chief Audit Executive/ERM at Hewlett Packard Enterprise. Previously, as Senior Vice President of Finance Risk and Assurance at CBRE, she was responsible for internal audit, SOX compliance, and finance risk management. Prior, as Vice President of Corporate Audit Services at Sprint, she led the corporate audit, retail audit, ERM, and internal controls functions. Before that, Begelfer led the international audit function for Payless Holdings as Vice President and Chief Auditor and was also responsible for the company's ERM function and sustainability initiative. Earlier, she served as Director of Internal Audit at The Home Depot, delivered M&A integration services at PwC, and was a member of GE's corporate audit staff.



Tuesday | November 1, 2022 **10:00 – 11:30 a.m.**

CS 3-1: Lessons Learned From Implementing Continuous Auditing Through Automation

Peyton Hahn
Senior Manager, Audit Innovation
Fidelity Investments

Many internal audit functions say they want to implement some form of continuous auditing, and yet very few claim to have a fully functional continuous auditing program. While much attention is given to the technology involved in continuous auditing, what about the less-discussed procedural challenges such as: what do we do with 1000 potential exceptions? Should management take ownership of continuous auditing tools? What are the roles and responsibilities involved in a continuous auditing program?

In this session, participants will:

- Learn about emerging technologies impacting internal audit.
- View real-life use cases where data analytics has made an impact on the audit function.
- Understand their role in pushing audit into the digital future.

Peyton Hahn is an audit analytics leader with nearly a decade of experience in the financial services sector. Throughout his career, he has built audit analytics functionalities from the ground up, including continuous auditing, self-service business intelligence, risk management dashboarding, data mining, and artificial intelligence use cases. Hahn has presented at the Cincinnati chapters of The IIA and ISACA, Northern Kentucky University's Digital Transformation Symposium, and The IIA's Data Analytics Virtual Symposium.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 1.8



CS 3-2: ESG Risk & Reporting an Auditors Perspective

Grant Ostler
Director of Product Marketing
Workiva

Nancy Jordan, CIA
Vice President Internal Audit
Cornerstone Building Brands

Stakeholders are paying more attention to environmental, social, and governance (ESG) risk and reporting. Monitoring, disclosing, and addressing ESG risks and reporting can introduce new data management challenges and will require a fresh perspective from internal auditors, especially in environmental areas that have not typically been in scope for auditors. This session will discuss internal audit's role in ESG and reveal how internal audit leaders can help their organizations build a solid foundation for an effective and efficient ESG program that will scale as stakeholder expectations normalize and regulations are finalized.

In this session, participants will:

- Examine the impacts of ESG reporting and disclosure on an organization, with a focus on environmental and the potential for "greenwashing."
- Hear examples of the challenges, opportunities, risks, and key roles for internal auditors resulting from the emergence of ESG reporting.
- Explore emerging leading practices of an ESG reporting and auditing program.
- Recognize the benefits of connecting structured and unstructured data from disparate systems to a single source of truth to help teams validate ESG performance reporting, increase transparency, and support organizational change.

Grant Ostler is an Industry Principal of Integrated Risk at Workiva with 30+ years of experience emphasizing the disciplines of auditing, enterprise risk management, and process improvement. He served as chief audit executive for almost two decades 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. An active member of The IIA's Twin Cities Chapter, Ostler has held numerous leadership positions, including Chapter President, over the past two decades.



Nancy Jordan has 30 years of experience in internal audit, compliance, and risk management across various industries, including oil and gas, energy services, engineering and construction, and manufacturing. She is Vice President of Internal Audit for Cornerstone Building Brands, an exterior building products manufacturer with net revenue of $4.6B for FY2020. Prior, Jordan was responsible for worldwide internal audit activities and auditing global anti-corruption, business conduct, and trade sanctions processes for BHP Petroleum. Previously, at PwC, she led internal audit co-sourcing and outsourcing engagements; assisted companies with Sarbanes-Oxley compliance; co-authored the annual PwC Internal Audit State of the Profession report; and helped develop the approach for the initial PwC Sarbanes-Oxley Management Guide.

NASBA: Specialized Knowledge | Learning Level: Intermediate | CPE Credit: 1.8

CS 3-3: A Case Study in Defining Metrics That Matter

Sarah Kuhn, CIA, CRMA, CCSA
Director, Audit Services, Internal Audit
ConocoPhillips

Follow an audit department's path to define metrics for measuring recent achievements in analytics and automations. How did they decide what to measure? What tools are they using? Has it made a difference?

In this session, participants will:

- Identify current practical examples of metrics for innovation projects.
- Follow lessons learned from the case study to define metrics.
- Develop ideas for defining metrics that apply to their innovation projects.

Sarah Kuhn currently serves as the Director of Audit Services at ConocoPhillips, where she is responsible for department training, reporting, and compliance with standards. Additionally, she leads a small team dedicated to analytics and automations for the audit department. Kuhn has been an active member of The IIA for 19 years and served as the Tulsa chapter's President for 2019–20. She has been a guest speaker at local and national conferences on subjects ranging from career skills to various internal audit topics.

NASBA: Specialized Knowledge | Learning Level: Intermediate | CPE Credit: 1.8



Tuesday | November 1, 2022 1:00 – 2:30 p.m. PDT

CS 4-1: Ensuring Explainability in AI

John Wesley, CIA, CISA
Senior Analyst, Global Internal Audit
Boston Scientific

Automation in estimation and risk analysis using artificial intelligence (AI), robotics, and machine learning are increasing in popularity, but cannot replace traditional finance and accounting practices due to the lack of explainability. Auditors must ensure that decisions made using these tools are backed up with documentation and data, including when being used by the internal audit function.

In this session, participants will:

- Understand the risks of relying on machine learning and algorithms for decision-making.
- Learn how to ensure that AI outputs are explainable.
- Discover how to check and test AI outputs.

John Wesley grew up in an international household and is fluent in Spanish and French. An internal audit internship at a small tech company in Paris impassioned him to pursue a career in the profession. His first internal audit role at Nestle headquarters in Switzerland enabled him to travel globally. He returned to the U.S. to work at Nokia, auditing factories, warehouses, corporate offices, M&A, R&D facilities, sales contracts, ERPs, and numerous operations and processes around the world, in addition to writing a workpaper policy, implementing PowerBI analytics, and testing a custom audit tool. As a team lead, he led and mentored teams of 3-4 auditors, represented the team to top-level stakeholders, and recognized team members' accomplishments. He recently started at Boston Scientific in the same role.

NASBA: Information Technology | Learning Level: Intermediate | CPE Credit: 1.8



CS 4-2: How to lead your Internal Audit Function With Intention, Authenticity, and Curiosity While Embarking on the ESG Journey

Claudine Hébert, CGAP
Director, Internal Audit
Innovation, Science, and Economic Development Canada

The world is evolving rapidly, including environmental, social, and governance (ESG) issues. The internal audit function is well-positioned to support the governing body and management with objective assurance, insights, and advice on ESG matters. But to do so, leaders must first understand what drives an organization's number one asset: its employees. This session will delve into the power of intention, action, and failure; how to lead with authenticity, curiosity, and vulnerability; and the importance of diversity in the workforce.

In this session, participants will:

- Discover how setting intentions to actions and embracing failures as opportunities can help them meet organizational expectations and professional development objectives.
- Understand how leading with authenticity, curiosity, and vulnerability can help team members find their purpose in supporting organizational performance, including in providing assurance over ESG issues.
- Learn why it's important to foster workforce diversity, including a wide range of experiences and approaches, to drive innovation and performance in a dynamic environment marked by ongoing business model disruption, changing stakeholder demands, and accelerating sustainability risks.

Claudine Hébert first joined the federal public service in 2010 as a Senior Auditor at the Office for the Government of Canada. Since 2013, she has performed internal audits at Immigration, Refugees and Citizenship Canada, Global Affairs Canada, and the Public Service Commission. In 2016, she became Manager, Internal Audit Directorate, at Innovation, Science and Economic Development Canada, advancing to Director, Internal Audit in 2020. Hébert was appointed President of The IIA's 1,200+-member Ottawa Chapter in 2020. She has also served on IIA North America's Learning Solutions Committee. Hébert is passionate about the value internal audit brings to the federal government by identifying opportunities to improve the design and delivery of public sector policy, programs, and services.

NASBA: Specialized Knowledge | Learning Level: Intermediate | CPE Credit: 1.8



CS 4-3: Leveraging a Common Controls Framework to Stay Ahead of Regulatory Change in Privacy and Security

Vamsee Metlapalli
Information Security Manager
Adobe

With the increase in number of cyber threats and supply chain attacks in the industry, there has also been an increase in customer expectations towards security. This session will focus on how organizations can live up to the trust that customers put into cloud services.

In this session, participants will:

- Learn how establishing a common controls framework (CCF) can help organizations streamline security compliance and governance requirements in a multi-cloud environment to comply with growing global data security and privacy regulations like SOC2, ISO, GDPR, etc.
- Understand why implementing a driver-subscriber-contributor model can support governance and compliance efforts.
- Hear how they can establish formal roles and responsibilities in an organization to drive security compliance and governance at scale.
- Gain insights into leveraging a CCF to stay ahead of changes and updates to global security frameworks, certifications, and privacy regulations.

Vamsee Metlapalli is a Manager with the Technology GRC group within Adobe who helps in leading security compliance audits (including SOC2, PCI, ISO, etc.) to ensure compliance for different Adobe products and services. He has several years of experience as well as a deep passion for the fields of technology compliance, technology audit, and information security. In addition to driving strategy for the Technology GRC group, Metlapalli also plays a key role in ensuring that the Adobe Common Controls Framework (CCF) keeps updating and adapting with the changes in industry- leading security frameworks, privacy regulations, and compliance requirements.

NASBA: Specialized Knowledge | Learning Level: Intermediate | CPE Credit: 1.8



Tuesday | November 1, 2022 **3:00 – 4:30 p.m. PDT**

CS 5-1: Empower Your Audit Using Drones

Deniz Appelbaum, PhD, MBA
Chair and Assistant Professor
Montclair State University

Drones and robotics are evolving in many industries today, and auditing is no exception. Auditors not already gaining from the potential of drone-powered applications in their audit programs could be left behind if they do not adapt and adopt. Bring improved effectiveness and efficiency to your audit by using drones! This presentation will help auditors stay current with the latest drone advancements and scale new heights to deliver increased value to their organization. Drone project ROI and management will be discussed.

In this session, participants will:

- Acquire knowledge about business use of drones and their potential in audit.
- Understand how drones have permeated many industries.
- Follow a data-driven procedure for applying drones to an audit for measurable results.
- Develop ideas for quick applications of drones in the audit process.

Dr. Deniz Appelbaum, Chair and Assistant Professor of the Department of Accounting and Finance at the Feliciano School of Business of Montclair State University, enriches her academic pursuits with a practical view, after twenty years of experience in operations, credit, and business development in the corporate world. She has published over 25 manuscripts in *Accounting Horizons*, *Journal of Emerging Technologies in Accounting*, *Auditing: Journal of Practice and Theory*, *Journal of Information Systems*, and in other academic and practitioner journals, based on her research regarding analytics, big data, blockchain, and automation in financial auditing, municipal reporting, and fraud detection. Further, Dr. Appelbaum has conducted research with varied entities such as Proctor & Gamble, Dunn & Bradstreet, AICPA, GASB, the Volcker Alliance, the Asian Development Bank, and KPMG. To prepare accounting and auditing students for the technically advanced modern business environment, Dr. Appelbaum emphasizes the use of data analytics and appropriate software tools in the classroom. The accounting and auditing professions are currently undergoing huge disruptions due to technical innovations, and Dr. Appelbaum is devoted to preparing her students for these changes.



NASBA: Information Technology | Learning Level: Intermediate | CPE Credit: 1.8

CS 5-2: Internal Audit ESG Strategy

Sibasis Panda
Director, Internal Audit
Canadian Imperial Bank of Commerce (CIBC)

ESG has become increasingly important for organizations with significant attention from multiple stakeholders, including regulators, rating agencies, investors, senior management, and the board. As a result, the onus is on internal audit to develop and implement a comprehensive strategy to ensure appropriate coverage of ESG-related processes and controls across the organization. Given the complexity, criticality, and broad nature of this topic, what are key practical considerations when implementing a holistic internal audit ESG strategy?

In this session, participants will:

- Obtain an overview of ESG-specific audit entities, including changes required to the Audit Universe to ensure comprehensive coverage.
- Understand the types of engagements that can be structured as consulting versus pure assurance.
- Generate ideas for implementation of the target resourcing/operating model.
- Develop a continuous monitoring framework to monitor the ESG-relevant developments within the organization and the broader industry.

Sibasis is accountable for implementing the ESG Audit Strategy at Canadian Imperial Bank of Commerce (CIBC). He has more than 10 years of progressive work experience in finance, risk management, and sustainability. He has successfully completed the CFA Program and Sustainability and Climate Risk (SCR) designation offered by the GARP Institute.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 1.8



CS 5-3: Innovating the Audit Function

Sheka Mansaray, CPA
Associate Director Internal Audit
Merck

In today's social, economic, and geopolitical climate, it's critical to have an Enterprise Risk Management (ERM) program focused on risks that impact a company's ability to execute its strategy. Recent events such as the pandemic and the war in Ukraine have reinforced the importance of having a strong ERM program that provides timely, accurate risk information to senior leaders. To achieve this, internal audit functions must evolve in the ways they use data and technology and focus on bringing diverse talent with skillsets of the future in mind.

In this session, participants will:

- Learn how recent events/disruptions forced us to change the way we look at ERM.
- Discuss how to link an ERM program to the enterprise risks that impact the ability of a company to execute its strategy.
- Discover how to develop an effective audit plan to ensure that enterprise risks are mitigated.
- Explore the option of creating a center of expertise (COE) within internal audit to provide valuable data-driven insights to the rest of the organization.
- Examine the role of audit in developing future talent for the company.

Sheka Mansaray is a dedicated CPA with three years of public accounting experience and six years of experience specializing in the life sciences industry. Throughout his time in life sciences, he has served in multiple roles such as financial reporting, FP&A, and internal audit. Mansaray's key focus is the development of the industry in emerging markets. His goal is to play a significant role in the future growth and innovation of the pharmaceutical industry in these markets to help promote health equity for all. He believes that operating with a global mindset is crucial in today's business environment.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 1.8



Wednesday | November 2, 2022 8:30 – 10:00 a.m. PDT

General Session 5: Unleash Your Distinction

Khaliah Guillory
Founder, Nap Bar
Chief Executive Officer, KOG & Company

Khaliah Guillory's talk will ignite your superhero capabilities and spark thought-provoking questions. She will explore the benefits and positive impact of owning your truth and generating a new ecosystem of innovative ideas from a leadership lens. Her engaging approach explores ways to improve communication, make the organization better, and blaze a trail your legacy will thank you for. Guillory will share her DEI playbook for being a good human that will result in contributing to humanity like never before.

In this session, participants will:

- Learn how to curate conscious inclusion in the workplace.
- Unleash their inner greatness and overcome fear of being rejected.
- Gain insights into producing authentic leadership throughout their organization.
- Leave with a sense of purpose, fired up and inspired to celebrate, not tolerate, our differences.

The creative mind behind Nap Bar™ is Certified Sleep Expert, **Khaliah O. Guillory**. As a previous C-level executive, she knows a thing or two about handling stress.
Nap Bar™, the first white-glove, self-care napping experience in the world, offers communities and companies onsite and en-suite rest sanctuary to help reduce sleep deprivation and increase productivity.

Nap Bar's™ mission is to turn sustainable rest into sustainable productivity for not only health-conscious professionals, entrepreneurs, stay-at-home parents and travelers but sport venues, airports and corporations.

Khaliah has been featured in a plethora of national publications not limited to Forbes and Essence. Based on her philanthropy work in the community, Mayor Sylvester Turner declared October 29 as Khaliah O. Guillory Day.

NASBA: Personal Development | Learning Level: Basic | CPE Credit: 1.5



Wednesday | November 2, 2022 10:30 a.m. – 12:00 p.m. PDT

Closing Keynote: Fire Up So You Don't Burn Out: How to Prevent Burnout and Lead the Disengaged

Jessica Rector, MBA
Founder and Chief Executive Officer
Blaze Your Brain International

Monster.com recently reported that 95% of the workforce is thinking of leaving their jobs. The #1 reason cited? Burnout, and it's not slowing down any time soon. As the #1 expense to organizations, burnout is an organizational and leadership issue affecting morale and bottom-line results. Using her burnout research, Jessica Rector shares how individuals can identify what leads to burnout, how teams can stop stress from spreading to other work and life areas, and how leaders can ignite, motivate, and empower employees to build resilience, create a thriving culture, and tackle uncertainty and challenges without burnout.

In this session, participants will:

- Apply the three pillars of Jessica's Burnout Break Through and Prevention Program to amp up themselves and their team.
- Examine the Burnout Indicator Factor ™ and how to strategically stop burnout before it begins.
- Pinpoint the true cost of burnout to their organization and how to create a happy, healthy thriving workforce and culture.

Talk show host and Founder of the well-being company, Blaze Your Brain, Jessica Rector is on a mission to help others truly live.
Blaze Your Brain is the authority on breaking through burnout and tackling your negative thoughts and turning them into outer success and positive action!
The team at Blaze Your Brain consults with companies and trains teams to create a culture of well-being, by enhancing mental health and eradicating burnout out. They have worked with clients such as Scotiabank, NBCUniversal, the Dallas Mavericks, and Fortune's #2 "Best Company to work for."
As a #1 best-selling author of ten books, Jessica has shared the stage with Michelle Obama and has been seen on ABC, NBC, CBS, and FOX for creating change.
When Jessica is not traveling around the world for work, Jessica enjoys learning about the exciting world of Transformers, so she can carry on real conversations with Blaze Your



Brain's CFO, Chief Fun Officer, her nine-year-old son, Blaise, who is also a #1 best-seller author and the youngest published author in the United States.

NASBA: Personal Development | Learning Level: Basic | CPE Credit: 1.5