



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.



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.



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.



Monday | October 31, 2022

1:00 – 2:00 p.m. PDT

CS 1-1: Session Information Being Finalized

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.

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.



Monday | October 31, 2022

2:15 – 3:15 p.m. PDT

CS 2-1: Assessing 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.

CS 2-2: Session Information Being Finalized

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.



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

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

Session Information Being Finalized



Tuesday | November 1, 2022

8:15 – 9:30 a.m. PDT

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

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, CPA, CRMA
Senior Vice President, Chief Audit Executive and 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!

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 Begelfer Bio Being Finalized



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.

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

Session Information Being Finalized

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.



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.

CS 4-2: *Session Information Being Finalized*

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

Rahat Sethi
Information Security Senior Manager
Adobe

Vamsee Metlapalli
Information Security Manager
Adobe



Session Information Being Finalized

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.



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.

CS 5-3: The Evolving Landscape of GRC Audits

Sheka Mansaray, CPA

Associate Director Internal Audit

Merck

Session Information Being Finalized



Wednesday | November 2, 2022

8:30 – 10:30 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.

Khaliah Oni Guillory (KOG) worked her way from banker to C-level executive. While Vice President of Wachovia Bank, she helped found the Diversity Council, influencing a retention increase of approximately 35%. She serves on Mayor Sylvester Turner’s LGBT Advisory Board and is a former board member of the ALS (amyotrophic lateral sclerosis) Association Board, National Diversity Council, and Texas Diversity and Leadership Conference. An energetic public speaker and passionate advocate for acceptance, respect, and distinction, Guillory has inspired companies like Microsoft, Wells Fargo, Keller Williams, NASA, and LinkedIn by bringing new thought leadership to the table. She also shares her knowledge as host for the Startup Master’s podcast and contributing writer for Huffington Post.



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**

Session Information Being Finalized