WRK-1
Risk Workshop Based on COBIT 5

Steve Reznik, CISA
Risk Program Manager
Automatic Data Processing Inc.

- Understand the business drivers for IT-related risk management.
- Discuss the enablers of effective risk governance and management.
- Practice articulating IT risk scenarios and communicating impact in terms that decision makers can understand.
- Explore strategies to progress from “gap identification” to “risk triage” to quantitative comparisons of the cost and risk reduction benefit of multiple response options.

Steve Reznik has developed the global operational risk framework for ADP and supports risk-aware decisions. His prior roles include management consultant with PricewaterhouseCoopers LLP, internal auditor at Prudential Financial, and U.S. Air Force Officer. Reznik collaborated with a team of IT leaders from several countries and industries to create ISACA's Risk IT Framework and Risk IT Practitioner Guide and currently serves on the COBIT 5 for Risk Task Force.

Learning Level: Intermediate
Learning Field: Management Advisory Services

WRK-2
Advanced Statistical Data Analytics…in Excel!

Dr. Dan C. Kneer
President and CEO
Dr. Dan Kneer Advisory Group

This is a hands-on Workshop… Bring your laptops and have Excel ready to go!
For more information please see info sheet:
Info sheet for Advanced Statistical Data Analytics…in Excel!
2013 Governance, Risk, and Control Conference  
(An IIA and ISACA Collaboration)

- Learn advanced statistical techniques using software you already have to audit smarter, not harder.
- Discover how to find the outliers in terms of best and worst practices.
- Walk away with proven, usable, innovative technology and techniques to hit the ground running in the audit process.
- Combine two skills highly sought by today’s internal audit hiring managers into one powerful attribute: applying analytical and critical thinking to data mining and analytics capabilities.

**Dr. Dan Kneer** wrote his award winning Ph.D. thesis on auditing and received a Lifetime Recognition award from the AICPA for advancing auditing practice through the usage and teaching of applied and innovative technology and techniques. He specializes in creating awareness in his students to awaken the lean-mean-auditor within. Dr. Dan’s tenets are included in many of today’s accepted auditing standards guides, including The IIA, ISACA, COSO, AICPA, CobiT, SOX, and the Yellow Book, and he previously served as ISACA’s director of research.

*Learning Level: Intermediate*

*Learning Field: Auditing*

**Monday**  
August 19, 2013  
8:30 – 9:45 a.m.

GS 1  
**Identifying the Governance Forest Among the Trees: Survival of the GRC Professional in SoLoMo World**

Bhavesh Bhagat  
Co-Founder and Chairman  
EnCrisp, Confident Governance

- Understand the fundamental shifts in technology, business, and human behavior for the next decade.
- Learn how the macro social factors will disrupt the traditional ways of governance.
- Identify the synergies of internal audit, compliance, and risk management in this new world.
- Describe the challenges and opportunities these disciplines face in working together effectively.
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- "See around corners" by learning to view the world of GRC from a futurist's point of view.

**Bhavesh C. Bhagat** is co-founder of Confident Governance and is chairman at EnCrisp LLC. He is the founding chairman of the board at Cloud Security Alliance, Washington, DC. He participates as an angel investor for early stage ventures, and speaks at functions and events around the world on the topics of cloud computing, cyber security, IT governance, and the use of technology in enterprises and their impact on business and social issues surrounding emerging technologies.

*Learning Level: Intermediate  
Learning Field: Management Advisory Services*

**Monday August 19, 2013 10:15 – 11:30 a.m.**

CS 1-1  
A Synergistic Approach to Effective Enterprise Risk Management: Internal Audit, Compliance, and Risk Management

**Sheryl Vacca**  
Senior Vice President/Chief Compliance and Audit Officer  
University of California

- Identify the synergies of the roles of Internal Audit, Compliance, and Risk Management.  
- Provide a case example of an approach which can work effectively to mitigate risks.  
- Describe the challenges and opportunities of these roles working effectively.

**Sheryl Vacca** directs the University of California's system-wide audit and compliance programs applicable to all University locations including 10 campuses, five medical centers, the National Lawrence Berkeley Lab (managed for the DOE), and the Office of the President. Vacca has served in various leadership roles in compliance and audit for the past 18 years in education and health care. She is published and has presented nationally in the areas of internal audit and health care.

*Learning Level: Intermediate  
Learning Field: Management Advisory Services*
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CS 1-2
Extracting Dollars From Data

Pauline Kay, CIA
Divisional Vice President, Finance & Audit
Sears Canada Inc.

Shujat Omer, CISA
Director, IT Audit
Sears Canada Inc.

- Find out how Sears Canada implemented an automated regimen of continuous auditing that yielded recurring cost recoveries.
- Learn how to focus valuable audit resources on higher risk transactions to expose control gaps, fraud schemes, and to deter unethical behavior.
- Identify sources of data within your organization that hold the greatest potential for material savings through data mining.
- Examine the challenges and risks of incorporating data-driven auditing within your team.

Pauline Kay oversees the internal audit function with responsibility over audit, risk management, ethics, and fraud monitoring. Prior to joining Sears Canada, she worked in public accounting providing internal audit and risk management services to clients in manufacturing, life sciences, and insurance. She is a member of The IIA Toronto Chapter's Nominating Committee and is a part-time lecturer at York University.

Shujat Omer provides assurance over IT projects, general computing and application controls, infrastructure, and other IT risk management and compliance activities. In addition, he is responsible for technical initiatives within the audit group, including the Computer Assisted Audit Tools (CAAT) program and continuous auditing efforts. Prior to joining Sears, Omer held various positions in corporate and IT audit teams at Sun Life Financial, leveraging his background in IT service management and e-Commerce.

Learning Level: Intermediate
Learning Field: Auditing
2013 Governance, Risk, and Control Conference  
(An IIA and ISACA Collaboration)

CS 1-3  
The Danger of Heuristics and Biases in Audit

James Bone, Ph.D.  
President  
Global Compliance Associates, LLC

- Examine the mechanics of heuristics and biases in the audit process.  
- Discover new techniques that turn uncertainty into insight for better audits.  
- Improve the ability to identify frequently overlooked clues to internal control weakness using data.  
- Practice case studies to become more effective leaders in audit.

James Bone’s career has spanned nearly 30 years of management, financial services and regulatory compliance risk experience with Frito-Lay, Inc., Abbott Labs, Merrill Lynch, and Fidelity Investments. Dr. Bone founded Global Compliance Associates, LLC and TheGRCBlueBook in 2009 to consult with global professional services firms, private equity investors, audit, risk, and compliance professionals seeking insights in governance, risk, and compliance (GRC) leading practices and best-in-class vendors. He is a frequent speaker at industry conferences, contributing writer for Compliance Week and Corporate Compliance Insights, and serves as faculty presenter and independent consultant for several global consulting firms specializing in governance, risk, and compliance; IT compliance; and the GRC vendor market. Dr. Bone serves on the Board of Drury University.

Learning Level: Advanced  
Learning Field: Auditing

CS 1-4  
Building a Sustainable Business Focused IT Risk Management Program

Matt Gopin, CISA, CRISC, CFSA  
Director, IT Risk Management and Compliance  
Walgreen Co

Dan Casciano, CISA  
Principal, Advisory Services  
Ernst & Young, LLP

- Hear about Walgreen’s business drivers, journey, lessons learned and successes in building a sustainable IT risk management program.
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- Learn the key components of the IT risk management program.
- Discover how the IT risk processes at Walgreens help the company manage IT risk.
- Discuss how IT risk is integrated into IT governance and other risk, compliance, and assurance functions.

Matt Gopin has designed, implemented and currently operates information technology risk, compliance, and governance programs at Walgreen Co. Prior to Walgreens, Gopin was the executive director of internal audit for the Americas & Global IT for MF Global, where he established a regional internal audit function and global IT audit function. Previously, he served as senior manager in Technology & Security Services at Ernst & Young, vice president of internal audit at JPMorgan Chase, and a senior consultant in Arthur Andersen’s Technology Risk Consulting practice.

Dan Casciano has over 20 years of experience in IT risk and advisory services. He leads EY’s IT Risk Management Center of Excellence for the United States where he has directed numerous IT risk projects related to GRC implementations, risk assessments, current state program assessments, and program development. Casciano is also the former chairman of the COBIT Global Steering Committee responsible for assisting in aligning the COBIT strategy with ITGI strategy and identifying the strategic requirements of COBIT and COBIT-related products.

Learning Level: Intermediate
Learning Field: Management Advisory Services

Monday August 19, 2013 12:45 – 2:00 p.m.
CS 2-1
A Company’s Journey From ERM to SRM (Strategic Risk Management)

Kathy Robinson, CIA, CFSA, CRMA
Vice President, Risk Strategist
Automatic Data Processing (ADP)

Deon Minnaar, CIA
National Lead Partner for ERM/GRC
KPMG LLP

- Examine a case study of how one organization evolved and formalized its risk management processes to create a strategic tool to better enable the business.
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• Review the complex steps involved in aligning risk management with an organization’s strategic objectives.
• Learn tactics for engaging senior management by starting the strategic conversation.
• Discuss ways to define and exceed the expectations of management and the board.

Kathy Robinson is focused on risk strategy and has over 25 years of audit-related experience, primarily in the financial services industry. Prior to joining ADP, Robinson was an executive director at Morgan Stanley and held various positions of responsibility within the internal audit department. Before joining Morgan Stanley, she served as vice president in the compliance and control department at Citigroup, and also spent nine years with Credit Lyonnais responsible for the Latin American business line. Robinson has served in various volunteer roles with The IIA, as an instructor and former member of the Professional Issues Committee and Board of Research Advisors. She has facilitated for MIS Training Institute and Morgan Stanley and taught fraud awareness at Citibank.

Deon Minnaar serves as advisory partner at KPMG and has also served as the Americas lead partner on the deployment of continuous auditing and monitoring (CA/CM). In addition he is the advisory lead for the New York consumer and industrial market industry group.

Learning Level: Advanced
Learning Field: Management Advisory Services

CS 2-2
When Good Leaders Lose Their Way

Mark Whitacre, Ph.D.
COO & Chief Science Officer
Cypress Systems, Inc.

• Hear a firsthand account of the ultimate real-life lesson in personal and business ethics.
• Discover one man’s journey with the FBI to uncover one of the largest white-collar criminal cases in U.S. history.
• Learn about the importance of accountability and the need to always do the right thing.
• Understand the need to think long-term in personal and business decisions.
Mark Whitacre is an Ivy League Ph.D. best known for being the highest-ranking executive of a Fortune 500 company to ever become a whistleblower in U.S. history. He was the FBI informant of the historic ADM case and was charged for fraud that occurred during his tenure with the company. Whitacre served over eight years in prison. His undercover work with the FBI during the scandal inspired the movie "The Informant." Today, the FBI agents involved with the case tout Whitacre as a "national hero" for his assistance with one of the most important white-collar cases in history.

*Learning Level: Intermediate*

*Learning Field: Behavioral Ethics*

CS 2-3

**Implementing a World-class Operational Risk Management Framework**

Vladimir Liska, CIA, CISA, CRMA
Director, Operational Risk & Controls
TD Ameritrade

- Develop a robust yet flexible framework to facilitate the proactive management of risk across the organization.
- Bring together the tools and techniques around loss data capture, issue tracking, reporting/governance, risk/control assessments, and risk indicator monitoring.
- Implement a support and governance structure to drive a risk-based culture.
- Foster a collaborative partnership to help business partners achieve their objectives within an acceptable risk appetite.

Vladimir Liska serves as the risk coverage officer for the technology and corporate support areas of TD Ameritrade focusing on loss data capture, key risk indicators, risk committees, and overall consultation with management on current and emerging risks. Prior to this role, Liska worked in various positions in the internal audit group at TD Ameritrade as well as various technology and audit positions with PricewaterhouseCoopers, First Data Corporation, and Principal Financial Group.

*Learning Level: Intermediate*

*Learning Field: Management Advisory Services*
Use of Social Media in the Public Sector: Benefits, Risks Involved and Mitigation Strategies

Robert R. Venczel, CIA, CISA, CRMA
President and CEO
Bivium Executive Consulting Ltd.

Tanya Snook
Senior Project Officer
Treasury Board Secretariat

- Learn about the drivers, benefits, and the risks associated with implementing social media in the public sector, and the potential mitigation strategies.
- Walk through performing a social media risk assessment, and developing and implementing a project plan for a specific social media tool.
- Use analytics to measure the impact of social media implementation on your organization.
- Discuss participants’ examples of social media implementations, focusing on key controls to reduce the probability and impact of the associated risks.

Robert Venczel has more than 20 years of management consulting experience working with the public sector and private companies across multiple industries in the areas of ERM; information technology auditing; project risks and controls, and third party controls reviews; regulatory compliance; and audit committee reporting. Venczel is a qualified instructor for The IIA’s CIA Learning System®.

Tanya Snook is the former social media advisor for the government of Canada, having spent two years providing advice to departments on the creation, management, and risk mitigation of social media accounts. She also developed review processes and templates for the evaluation of social media use in departments, and participated in the development of policies to guide social media platform use. Snook has a background in web management and business analysis including web analytics, requirements management, business process mapping, information architecture, user experience and e-communications.

Learning Level: Intermediate
Learning Field: Auditing
Risk Management: Achieving and Sustaining Success

Paul Sobel, CIA, CRMA  
Vice President/Chief Audit Executive  
Georgia-Pacific LLC

Kurt F. Reding, Ph.D., CIA  
Grant Thornton Faculty Fellow, Clinical Assistant Professor  
Wichita State University

- Gain insights about what it takes to successfully launch ERM.  
- Deepen your understanding of risk governance and assessment criteria.  
- Sharpen your risk assessment, treatment, monitoring, and reporting capabilities.  
- Examine internal audit’s roles and responsibilities at each stage of ERM implementation.  
- Gather ideas about how your internal audit function can facilitate ERM sustainability.

Paul Sobel previously served as the chief audit executive for Mirant Corp., Aquila Inc., and Harcourt General’s publishing operations. He also served as international audit manager for PepsiCo, senior manager in Arthur Andersen’s Business Risk Consulting practice, and experienced manager in Arthur Andersen’s Financial Statement Assurance practice. Sobel has authored and co-authored numerous books and articles, including Enterprise Risk Management: Achieving and Sustaining Success. He has held a number of volunteer positions with The IIA, including his current role as senior vice chairman of the Global Board of Directors. In 2012, Sobel was recognized by Treasury & Risk Magazine as one of the 100 Most Influential People in Finance. He has served on the Standing Advisory Group of the Public Company Accounting Oversight Board and as The IIA’s representative on the Pathways Commission.

Kurt Reding teaches auditing and accounting information systems. He has served on The IIA’s Board of Directors, North American Board, Board of Research and Education Advisors, Academic Relations Committee, and The Wichita Chapter’s Board of Governors. Reding has received The IIA’s Leon R. Radde Educator of the Year Award and John B. Thurston Award. He has published numerous topical articles for industry trade publications and journals and coauthored three books published by The IIA: Internal Auditing: Assurance and Advisory Services, Enterprise Risk Management:
Dissecting Dodd-Frank and the Consumer Protection Bureau – What to Expect From the New Sheriff in Town

Jeffrey G. Matthews
Vice President
Charles River Associates

Tali M. Ploetz, CIA
Chief Compliance Officer
Think Finance

- Learn the finer points of the Dodd-Frank Wall Street Reform and Consumer Protection Act and which newly "regulated" industries are impacted.
- Identify recent trends, including the surprising sanctions involving companies with household names.
- Share lessons learned from the Consumer Financial Protection Bureau (CFPB) exams and recent litigation that has contributed to large fines and penalties imposed upon violators.
- Study the proposed compliance program elements the CFPB is expecting.

Jeff Matthews has significant experience in financial investigations, forensic accounting, and litigation support, while practicing for Big Four accounting firms, state, local, and federal governmental bodies. He has investigated and provided oversight for investigations of federal and state criminal violations, including fraud, and served as the consulting expert in developing and implementing numerous compliance programs in the financial industry. Matthews has been selected on three occasions to present at All Star, The IIA’s annual conference that features the year’s most popular speakers. Matthews developed and is currently teaching University of Texas at Arlington’s inaugural forensic accounting and fraud investigations class for the MBA program.

Tali Ploetz designs, implements, and oversees a robust financial services regulatory compliance function, covering compliance audit, service provider oversight, policies and procedures, and compliance training teams. Before Think Finance, Ploetz spent nine years at General Motors Financial Company, Inc. (formerly AmeriCredit) as vice
president of operations audit and nine years at Bank One as vice president of internal audit. She serves on the Board of Directors and the Audit Committee for the Boy Scouts of America, Longhorn Council and previously served on the Board of Directors for Destination Imagination, Mid Cities Region.

Learning Level: Intermediate
Learning Field: Regulatory Ethics

CS 3-3
Data Governance and Electronic Discovery – Trends, Case Law, and Leading Practices

Johnny Lee, J.D.
Managing Director; Forensic, Investigative & Dispute Services
Grant Thornton LLP

- Review the definition of Electronic Discovery, or “eDiscovery” and why less than half of organizations bother with this time-consuming, burdensome, and costly undertaking.
- Discuss the value of formal data retention policies.
- Learn how case law updates can help manage data more effectively and defensibly.
- Find out how to leverage existing organizational efforts related to compliance, data privacy, and information security.

Johnny Lee is a management and litigation consultant and former attorney, specializing in data analytics, computer forensics, and electronic discovery in support of investigations and litigation. He also provides advisory services to companies working to address complex data governance and records/information management issues. Lee is a frequent speaker, panelist, and contributor on issues involving eDiscovery, records and information management, data analysis, business intelligence, and the effective use (and risk management) of information technology.

Learning Level: Intermediate
Learning Field: Auditing

CS 3-4
Information Integrity Perspective for Audit and Risk Management

Achyut K. Hirve, Ph.D., CISA
Chief General Manager
Department of Information Technology
Reserve Bank of India

- Expand your understanding of Information Integrity in the context of decision process and risk management.
- Examine the financial crisis as a case of Impaired Information Integrity.
- Learn about the Reserve Bank of India’s management of systemic risk which proved helpful in preventing the building of risk in the domestic system.
- Discuss extending the scope of audit and risk management practices to provide assurance on information systems integrity and information processing for risk reporting.

Achyut Hirve oversees and directs implementation of technology initiatives within RBI as well as the banking industry in India. Previous assignments included roles within Central Banking such as regulation and supervision, management audit, management of external reserves, and currency management. Hirve also has experience in conducting management development programs in banking technology at India’s National Institute of Bank Management and at RBI College of Agricultural Banking. Prior to moving to Central Banking, he served in the government’s finance and accounts service and lectured in physics.

Learning Level: Advanced
Learning Field: Auditing

Monday August 19, 2013 3:55 – 5:10 p.m.
CS 4-1
Aligning ERM and Internal Audit at Devon Energy

Larry Baker, CCSA, CRMA
ERM & Audit Professional
Devon Energy Corporation

Charlie Wright, CIA, CISA
Vice President, Internal Audit
Devon Energy Corporation

- Understand one company's practical approach to designing and implementing ERM.
- Learn how to effectively use internal audit resources to evolve ERM.
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- Find out how to complete a comprehensive review of the company's key inherent risks.
- Hear strategies on discussing risk information with the board, management, and risk groups.
- Discover how to link ERM to the internal audit plan and special audit projects.

Larry Baker is responsible for helping Devon's executive management team evolve and sustain ERM as well as conducting special audit projects. He has more than 25 years of experience with ERM, strategic risk analysis, and internal auditing. Baker is recognized across North America as an early pioneer of ERM and control self assessment and helped introduce the first national industry conferences on the topics to the U.S. Previously, Baker served as an SVP/Partner with Marsh/Oliver Wyman, as a national director with both Ernst & Young and Deloitte & Touche, and as a senior manager of control self assessment/internal audit with MAPCO, Inc.

Charlie Wright joined Devon in 2005 and previously served as the general auditor at American Airlines. Wright served on the Board of Directors of the Airline Reporting Corporation and Goodwill Industries of Tulsa, as well as the Board of Management of the Air Travel Card. He is a popular conference speaker on topics such as enterprise risk management, Sarbanes Oxley, internal auditing, revenue accounting, system automation, and project management.

Learning Level: Advanced
Learning Field: Auditing

CS 4-2
The Psychology of Fraud

Toby Groves
Chief Executive Officer
Groves Research and Consulting

Elizabeth Pittelkow
Accounting Manager
Arrowstream Inc.

- Learn why long-held assumptions on the psychology of fraud are flawed and why this leaves us open to critical errors in judgment.
- Delve into the latest psychological research breakthroughs that uncover behaviors revealing how our minds work.
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- Experience interactive demonstrations that exhibit how radically different intuition is from reality.
- Apply this new knowledge and learning to the workplace.

**Toby Groves** specializes in researching the roles that individual and group psychology play in aberrant organizational behaviors. With his work and story featured in the media and select industry trade publications, and studied by business schools around the country, Groves uses his background in psychology and forensic accounting along with groundbreaking behavioral research, interactive demonstrations, and a compelling personal story to inspire audiences to think differently and make real progress toward understanding and improving our processes.

**Elizabeth Pittelkow** has a depth of experience in accounting, taxes, and financial reporting. She came to Arrowstream from the assurance area of PricewaterhouseCoopers, where she audited large GAAP filers, IFRS filers, private equity-owned companies, and non-profit businesses. Pittelkow, who also teaches the topic of accounting ethics, was selected as a 2012 recipient of the prestigious AICPA and Illinois CPA Society “Woman to Watch – Emerging Leader Award” for her significant contributions to the accounting profession.

*Learning Level: Intermediate*

*Learning Field: Behavioral Ethics*

**CS 4-3**
Privacy and Data Governance Program Maturity: The Use of GAPP to Evaluate Privacy Maturity, Risks, and Compliance

Doron Rotman, CIA, CISA, CISM, CGEIT, CRISC
Managing Director and National Privacy Service Leader
KPMG LLP

Sarah Pipes
Data Privacy Advisor
KPMG LLP

- Learn about privacy metrics and benchmarking tools to evaluate the maturity of an organization’s privacy program.
- Discuss how these tools can help internal and IT auditors assess an organization’s governance features as they relate to privacy and compliance.
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- Review AICPA’s and CICA’s Generally Accepted Privacy Principles (GAPP) and the Privacy Maturity Model (PMM) and learn how use these tools to assess organizational privacy risks across a wide spectrum of industries.
- Identify 3 reasons why auditors need to understand and employ these tools today rather than tomorrow.

Doron Rotman has more than 30 years of experience and extensive high-tech, financial services, manufacturing, and government industry knowledge, both in information technology and accounting/finance. Rotman has extensive knowledge of IT's impact on financial processes within organizations. He previously served as the Partner-In-Charge of KPMG Consulting (Israel) and the CIO of KPMG Israel.

Sarah Pipes has project experience from information security, internal audit, and legal perspectives. She has been published on European and online privacy issues, and has a background in developing and analyzing privacy and security policy, and applying relevant standards. Pipes’ current and past clients include leading entities in the online communications, manufacturing, credit card, software, telecommunications and semiconductor industries.

**Learning Level: Intermediate**

**Learning Field: Specialized Knowledge and Applications**

CS 4-4

**Governing Big Data**

Brian Rizman
Manager, Risk Assurance
PricewaterhouseCoopers LLP

- Learn about governance, risks, and compliance considerations that become particularly important in light of the explosion of data volume, variety, and velocity.
- Expand understanding of the need for governance to ensure enterprise information is accurate, consistent across systems, and valuable to the business.
- Hear about tools and techniques available to assist with enterprise information management.
- Learn the value of archiving/deleting data to improve system performance while also addressing legal and regulatory compliance considerations.

Brian Rizman is a member of PwC’s SAP GRC national practice, focusing on governance, risk, and compliance (GRC) technology, risk mitigation, data analytics and
control optimization solutions. He recently returned from three years in the United Kingdom where he worked with numerous multinational organizations on their SAP GRC access control and process control 10 implementations focusing on continuous control and data monitoring, as well as the target operating model to sustain an enterprise wide GRC program supported by technology.

*Learning Level: Intermediate*

*Learning Field: Business Management & Organization*

**Tuesday August 20, 2013 8:30 – 9:45 a.m.**

**GS 2**  
**Internal Auditing’s Relevance in Governance, Risk, and Control: Progress and Prognosis**

Richard Chambers, CIA, CGAP, CCSA, CRMA  
President and CEO  
The Institute of Internal Auditors

- Identify the emerging risks and uncertainties facing today’s business environment.  
- Discuss internal auditing’s relevance in governance, risk, and control.  
- Review the progress made by internal auditors.  
- Discover the prognosis for the future.

**Richard Chambers** has 36 years of internal audit, accounting, and financial management leadership experience, including a long career in public-sector internal auditing. His public service tenure included holding chief audit executive positions at three of the U.S. government’s largest organizations. Chambers also served as vice president of The IIA’s Learning Center and national practice leader in Internal Audit Advisory Services for PricewaterhouseCoopers. He has served on numerous boards and panels, including the U.S. President’s Council on Integrity and Efficiency; the City of Orlando, FL, Audit Board; the U.S. Government’s Executive Council on Integrity and Efficiency; The IIA’s Internal Audit Standards Board; and the Board of the Committee of Sponsoring Organizations of the Treadway Commission (COSO). In 2012, Chambers was named one of America’s “Top 100 Most Influential People” in accounting by *Accounting Today* magazine.

*Learning Level: Intermediate*

*Learning Field: Management Advisory Services*
Assurance Mapping: Charting the Course for Effective Risk Oversight

Anthony M. Reyes, CIA
Director, Audit Services
Pinnacle West Capital Corp.

Nathan A. Ives
Principal
StrategyDriven Enterprises, LLC

- Understand what assurance mapping is and the role it serves.
- Learn why assurance mapping should be performed.
- Identify the assurance map development phases.
- Understand the impact assurance mapping has on internal audit functions.

Anthony Reyes has more than 15 years of experience in internal controls assessment and consulting. In his current role, his responsibilities include significant interaction with executive management and the audit committee, development of department audit practices, and talent management/recruiting. Reyes is responsible for developing the annual audit plan and the planning and execution of financial, operational, IT, and environmental, health and safety audits as well as consulting projects.

Nathan Ives has more than 20 years of energy industry and consulting experience, including 12 years of external and internal advisory work within the energy industry specializing in strategic planning, resource management, project management, managerial decision-making, operational risk management, organizational alignment, and operator performance. Ives has advised executives and senior managers at numerous utilities on improving generation fleet and individual plant operating performance. He authored the nuclear industry's risk management, high-risk decision management, and operations performance standards and evaluation methods.

Learning Level: Advanced
Learning Field: Auditing

Scroogled: The Ethics of Using Personal Information for Marketing Purposes
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Ritija Gupta  
Strategy Lead, OST Global  
Founder, Kamkarta LLC

- Learn how marketing companies mine personal data, and at what level of specificity.
- Discuss how social networks and the increasing tendency toward volunteering personal information will continue to shape marketing and product development in the future.
- Explore this trend as online access becomes more intertwined with the demand for personal information.
- Identify ways to opt out and to bring information security back into the hands of consumers.

Ritija Gupta provides advisory services to OST Global in shaping their corporate development initiatives including branding and product development. Previously, she was a strategy consultant at Computer Sciences Corporation (CSC) in their Global Health Solutions division, providing M&A due diligence and advisory services internally, and serving external clients to increase revenue and find fiscal solvency during times of economic crisis. She has more than 10 years of experience as a strategy consultant and recently founded Kamkarta, a small business advisory firm focused on professional development, branding, and communications.

Learning Level: Intermediate  
Learning Field: Social Environment of Business

CS 5-3  
Why Do We Need Multiple IT Frameworks?

Mel Bodine, CRISC  
Manager - IT GRC  
Raytheon Company

- Expand your understanding of the basic relationships between COBIT and other IT frameworks.
- Learn practical ways to leverage COBIT and other IT frameworks.
- Use IT frameworks to manage risk.
Mel Bodine has been with Raytheon since 1987 and has held positions various leadership positions in areas including application development methodology, disaster recovery, configuration management, and data warehousing. She is responsible for the successful deployment/assessment of IT controls for Sarbanes-Oxley, including automated tool selection and implementation. Prior to involvement with IT, Bodine was a software engineer in a product line at E-Systems, a computer consultant at Texas Instruments, and also taught in college and public schools.

Learning Level: Intermediate
Learning Field: Business Management & Organization

CS 5-4
How Disruptive Technology is Changing IT Risk Management Today and in the Future

Norman D. Marks, CRMA
Evangelist
Norman Marks

- Understand how advances in technology are changing the way organizations are managed, directed, and enabled.
- Appreciate the differences these changes will make in the nature of risks from the use of technology.
- Consider how technology can be used to understand and manage those risks.

Norman Marks is an evangelist for “better run business,” focusing on corporate governance, risk management, internal audit, enterprise performance, and the value of information. He is also a mentor to individuals and organizations around the world. He served as CAE for several major global corporations for 20 years and is a globally recognized thought leader in internal auditing and risk management, having served as chief risk officer, compliance officer, and ethics officer, and managed what would now be called the IT governance function. He has been published on Sarbanes-Oxley and serves on the review boards of several audit and risk management publications, including the magazines of ISACA and The IIA. Marks is a contributing author, blogger, and speaker and ranks as one of the top global influencers in social media on the topics of GRC, internal audit, risk management, and governance. He has been honored as a Fellow of the Open Compliance and Ethics Group for his GRC thought leadership and as an Honorary Fellow of the Institute of Risk Management for his contributions to risk management.

Learning Level: Intermediate
2013 Governance, Risk, and Control Conference  
(An IIA and ISACA Collaboration)

Learning Field: Business Management & Organization

Tuesday  
August 20, 2013  
12:45 – 2:00 p.m.

CS 6-1  
A Practical Approach to Assess your ERM Function

Gurmit Aujla, CIA, CRMA, CRISC  
Director, Internal Audit  
British Columbia Lottery Corporation

Cindy Kailly-Smith, CIA, CRMA, CRISC  
Manager, Internal Audit  
British Columbia Lottery Corporation

- Understand internal audit's coordinated role with ERM.
- Hear how BCLC assessed and reviewed the ERM process.
- Learn practical ways to perform a similar assessment/review at your organization.
- Identify key tools and share in lessons learned.
- Gain insight into BCLC’s audit committee’s perspective.

Gurmit Aujla has led the transformation of BCLC's internal audit from a traditional, compliance-based practice to a proactive, risk-based group focused on providing good governance information to management and the audit committee. Prior to BCLC, Aujla worked in private industry, applying his auditing skills in both the international manufacturing industry and banking sectors.

Cindy Kailly-Smith started her professional career in finance before switching to a career in internal audit. She has more than 10 years of internal audit experience and prior to BCLC, Kailly-Smith worked as manager, corporate audit services for the Insurance Corporation of British Columbia, a major public sector organization.

Learning Level: Intermediate  
Learning Field: Auditing
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CS 6-2  
The FCPA, Al Capone and the IRS

Ron Stefani, CRMA  
Partner  
Aventine Hill Partners Inc.

- Identify a commonly ignored but crucial element of FCPA – one that got two corporate giants busted by the SEC in 2012.  
- Learn two proven techniques to help you survive and thrive in today’s highly regulated environment.  
- Discuss problematic FCPA risks and review possible solutions.  
- Review risk-based audit planning strategies for FCPA exposure.

Ron Stefani has more than 35 years of global business experience working for such well-known companies as Kimberly-Clark, Philip Morris, and PepsiCo. He has worked on six of the seven continents and has experience in all facets of business, understanding the risks and opportunities presented to auditors and compliance professionals. In addition to serving as a CAE for many years, Stefani has also been a controller, operations manager, and sales manager, and served on various executive leadership teams driving strategy, risk management, and operations for best-in-class performance.

Learning Level: Intermediate  
Learning Field: Regulatory Ethics

CS 6-3  
Beyond ROI: The Art and Science of Obtaining Leadership Support for IT and GRC Initiatives

Matt Podowitz, CGEIT, CISA,  
Principal  
Pathfinder Advisors LLC

- Debate whether IT and GRC are necessary evils or integrated partners.  
- Recognize typical leadership views of IT and GRC.  
- Address common "us versus them" mentalities that divide IT and GRC from the rest of the business.  
- Learn three approaches for making desired IT and GRC initiatives pivotal to leadership's own goals.
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- Use a hands-on, case-based process to apply those approaches to gaining leadership support for IT and GRC initiatives at your own company.

Matthew Podowitz is a strategic management consultant assisting entrepreneurial, middle market, and Fortune 500 clients to maximize returns on investment in operations and information technology, and addressing business considerations in strategic transactions such as mergers, acquisitions, and divestitures. Podowitz has developed and deployed methods, tools, knowledge, and learning to support large-scale IT performance improvement used by professionals at hundreds of companies worldwide. He is a frequent speaker at conferences and symposia on business performance improvement and has been published and featured within the industry on strategic IT topics and value contribution.

Learning Level: Advanced
Learning Field: Management Advisory Services

CS 6-4
Developing a COSO ERM and COBIT 5-based IT Risk Management Program

Debbie Lew, CISA, CRISC
Executive Director
Ernst & Young, LLP

Neill Masterson, CIA
Senior Manager, Advisory Services
Ernst & Young, LLP

- Learn how the holistic focus of COBIT 5 aligns well with COSO or any other ERM framework.
- Understand how a COSO-like ERM framework integrates with IT risk management objectives.
- Explore how ERM leading practices can be scaled to support IT risk management principles.
- Gain the ability to complete a comprehensive risk assessment leveraging the ERM principles while utilizing the COBIT 5 framework.
- Practice using the COBIT 5 enablers to develop risk management processes.

Debbie Lew has over 20 years of IT audit and information technology industry experience and has led a broad range of advisory engagements involving IT internal controls, IT risk management, and governance. She is currently a member of EY’s IT
Risk Management Center of Excellence and assists clients with the adoption of COBIT. Lew was involved in the development of COBIT 4.0/4.1 as a member of the COBIT (4.0/4.1) Steering Committee. She was also on the credentialing task force developing the Certified in Risk and Information Systems Controls (CRISC) certification. She provided oversight of the certification as a member of the CRISC Committee.

Neill Masterson has more than 15 years of risk advisory and audit experience, specializing in assisting clients in optimizing their risk and controls environment through prioritizing risk, controls, monitoring and reporting efforts to the highest risks to the organization, while reducing lower-value activities and related costs. He has assisted numerous clients in establishing ERM, including strategy, governance, assessment and monitoring frameworks, and reporting processes. Masterson has also led numerous risk assessments for clients, collaborating with client project teams to establish risk prioritization processes and tools, and facilitating risk review sessions with executives to prioritize key risks for management action. He has facilitated several cross-industry enterprise risk and internal audit roundtables and benchmarking surveys.

**Learning Level: Intermediate**  
**Learning Field: Management Advisory Services**

**Tuesday August 20, 2013 2:30 – 3:45 p.m.**

CS 7-1  
**Adding Value Through Effective Internal Audit Activities**

Kaveh Rikhtegar, CIA, CISA  
Director, Internal Audit  
Canadian Commercial Corp

- Gain an understanding of your audience and the governance framework.  
- Review building an effective and value-added internal audit organizational structure with tools and processes.  
- Learn how to use a risk-based approach linked to ERM to perform the annual audit plan.  
- Discuss the need for implementing an effective risk-based approach in performing test of controls.

Kaveh Rikhtegar has worked as a director of internal audit/controls in both the public and private sectors for more than 20 years with organizations including Deloitte, Canada Post Corporation, Office of the Auditor General of Canada, and Canadian
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Commercial Corporation. He is an in-demand presenter at industry conferences around the world.

**Learning Level: Intermediate**
**Learning Field: Auditing**

CS 7-2
Fraud in the Cloud: What You Don’t See Can Hurt You!

Meenu Gupta, CISA, CISM
President
Mittal Technologies

- Learn about potential fraud scenarios in a cloud environment.
- Explore ways to detect and effective strategies to manage fraud in the cloud.
- Review SSAE16 and FedRAMP as tools to assure information security and privacy.
- Discuss the usefulness of SLAs in mitigating fraud risk in the cloud.

Meenu Gupta has 25 years of experience in the information technology and cyber security disciplines including cloud security, compliance, and aScurity Architectures. Gupta has held senior level positions with KPMG, Bank of America, Lockheed-Martin Information Technology, Fannie Mae, and Vangent. She is also an adjunct professor at University of Maryland University College.

**Learning Level: Intermediate**
**Learning Field: Auditing**

CS 7-3
Continuous Controls Monitoring: Practical Tools and Techniques

Matthew Easton, CIA, CISA
Regional Director, Internal Audit
Invesco Ltd.

- Discuss real-world solutions for implementing an effective continuous controls monitoring program to add business value.
- Address strategies for overcoming common challenges with continuous controls monitoring, such as obtaining stakeholder buy-in and choosing the “right” controls to monitor.
- Learn how to gauge the appropriate frequency of monitoring activities.
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- Identify ways to leverage technology and data analytics.

Matt Easton is responsible for information technology audits around the world in addition to all business process audits within his organization’s Asia-Pacific region. He is the chair of Invesco’s continuous auditing working group, a global team tasked with implementing the strategy, methodology, and tools to support ongoing continuous auditing efforts enterprise-wide. Prior to joining Invesco in 2009, Easton served as senior manager in KPMG’s Advisory Services delivering internal audit, regulatory compliance, enterprise risk management, and information security services globally. While at KPMG, Easton was a national instructor and a frequent speaker at industry events and university campuses.

*Learning Level: Intermediate*
*Learning Field: Auditing*

CS 7-4
A Framework for Auditing Mobile Devices

Mike Cullen, CISA
Senior Manager
Baker Tilly Beers & Cutler, PLLC

- Weigh the increased productivity and efficiency mobile functionality allows against the risk as laws and regulations regarding privacy and the security of data evolve around the world.
- Discuss balancing the needs of your business and workforce with privacy and security requirements.
- Review information privacy and security risks as they relate to mobile devices such as smartphones, tablets, and laptops.
- Explore a framework that can be adapted to audit mobile devices and help companies address the risks of mobile technologies.

Mike Cullen leads the IT risk and IT audit services of his organization’s D.C. office. Over the last 10 years, he has worked with clients in many industries, leading IT risk assessments and audits, developing information privacy and security programs, performing ethical hacking, and conducting digital forensic investigations. Cullen has shared his expertise with numerous audiences, including various IIA chapters, regional conferences, and at multiple universities.

*Learning Level: Intermediate*
*Learning Field: Auditing*
2013 Governance, Risk, and Control Conference  
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Tuesday  
August 20, 2013  
3:55 – 5:10 p.m.  

CS 8-1  
Making a Crisis Count: Transitioning From Reaction to Proactive Enterprise Risk Assessment  

Jason Ackerman, CIA, CRMA, CGEIT, CRISC  
Chief Audit Executive  
Georgetown University  

Monica Dalwadi, CIA  
Director  
Baker Tilly Beers & Cutler PLLC  

Annie Searle  
Principal  
Annie Searle & Associates LLC  

Ross Tate, CIA  
Director of Internal Audit  
Maricopa County  

- Hear about effective delivery and integration of emergency response, crisis management, and business continuity to preserve value during a crisis.  
- Explore opportunities for internal audit to potentially transform the maturity of crisis management, risk assessment, and development of the audit universe.  
- Share how post-crisis assessments create learning opportunities to enhance crisis management plans, preparedness, and capabilities.  
- Understand how to deploy post-crisis assessment for internal audit’s evaluation of ERM risk assessment processes.  
- Explore options for validating your audit universe.  

Jason Ackerman has nearly 20 years of leadership experience delivering internal audit, GRC, and advisory services at corporate and public sector entities in the Americas, Europe, Asia, and Africa. He previously worked at major international consulting firms providing investigation, transaction advisory, technology commercialization, and strategy optimization services. Ackerman’s client’s included non-profits, Federal government agencies, and Fortune 500 companies.
Monica Dalwadi focuses on internal auditing on a wide range of business issues and regulatory compliance matters, corporate governance, and internal control structures, including crisis management reviews. Prior to joining the firm, she worked in the internal audit department of a financial institution, leading risk assessment activities and audited lending, deposits, and trusts. Dalwadi has worked with clients in higher education institutions, financial services companies, government contractors, and not-for-profit institutions, including the World Bank, The Catholic University of America, Howard Hughes Medical Institute, Princeton University, Children’s National Medical Center, and The George Washington University.

Annie Searle founded ASA in 2009 and prior to that, spent 10 years at Washington Mutual Bank, with responsibility for business continuity, disaster recovery, technology risk and compliance, technology change management, and, for a time, vendor and application information security. Since 2007, she is one of about 50 thought leaders selected by New York University for its annual Global Roundtable on Public-Private Preparedness. Searle wrote a book on identifying and handling personal risk at home, at work, online, and on the road, titled Advice From a Risk Detective, and her firm recently published a collection of 22 research notes titled Reflections on Risk. Her professional affiliations include Business Executives for National Security; Women’s Executive Forum; InfraGard; and the Global Association of Risk Partners (GARP). She is a lifetime member of The Institute of American Entrepreneurs and of the Hall of Fame for Women in Homeland Security and Emergency Management, and serves as an affiliate faculty member at the University of Washington’s School of Information.

Ross Tate began his internal auditing career in the banking industry in 1984. He joined the Maricopa County Internal Audit Department in 1989 and has been the director since 1994. He recently served as president of the Association of Local Government Auditors, an international audit organization.

**Learning Level:** Intermediate  
**Learning Field:** Management Advisory Services  
**CS 8-2**  
The Compliance and Audit Symphony: Soloists or Duet Partners?

Randall H. Stephens, J.D.  
Vice President, Ethical Leadership Group  
NAVEX Global Inc.

- Learn best practices and tips for partnering with compliance to improve enterprise risk assessment and mitigation.
- Discuss elements of an effective anti-fraud program.
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- Share compliance trend predictions and discuss the appropriate roles for compliance and audit

**Randy Stephens** is a lawyer and compliance specialist working in roles with legal and compliance responsibility for over 30 years, including companies with operations in Mexico, China, and Canada. He has significant experience leading compliance programs and working for some of the largest and most diverse public and private corporations in the United States, including Home Depot, Family Dollar, and US Foods.

*Learning Level: Intermediate*
*Learning Field: Management Advisory Services*

**CS 8-3**
**Measuring Information Governance: A Value Approach to GRC**

Robert S. Tillman
Director of Governance, Audit, Risk, and Compliance
ARMA International

- Review measuring and assessing information management integrity using the Information Governance Maturity Model (IGMM).
- Learn how to apply IGMM to identify critical weaknesses in the organizational information infrastructure to facilitate risk mitigation.
- Discuss 8 essential questions that must be asked in order to establish a benchmark for your organization’s information governance program.
- Learn to recognize the “Black Swan”; what you think you know can hurt you.

**Bob Tillman** follows and addresses federal legislative and regulatory matters in both Washington D.C. and Ottawa, Canada, including consumer privacy, database security, the Sarbanes-Oxley Act, internet regulations, the Dodd-Frank Act, trademark and copyright law, as well as issues related to risk, audit, compliance, and information governance. He is a popular speaker and has been published on the topics of records management, information governance, and the Sarbanes-Oxley Act.

*Learning Level: Intermediate*
*Learning Field: Auditing*

**CS 8-4**
**Information Technology and Cloud Computing: Preparing Your Organization for the Future**
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Warren Chan, CISA
Principal, Risk Consulting Group
Crowe Horwath LLP

Eugene Leung, CISA
Director, Internal Audit – Information Systems
Mars Inc.

- Learn how the COSO ERM model applies to cloud computing.
- Learn about the risk challenges of cloud computing.
- Have the opportunity to explore risk mitigation strategies.
- Review examples of cloud service provider contracts.
- Gain a high-level understanding of cloud governance concepts.

Warren Chan has more than 25 years of experience in the technology auditing and consulting profession. At Crowe, Chan has responsibility for developing thought leadership and strategies for addressing risks and controls with the evolving paradigm of cloud computing. He has presented and published extensively on the topic with ISACA, Compliance Magazine, and COSO, among others. Prior to joining Crowe, he spent 17 years with Arthur Andersen serving clients in a variety of industries including a technology risk management thought leadership position at Andersen’s World Headquarters.

Eugene Leung leads the internal audit/IS function for his organization and its subsidiaries. Prior to joining Mars, he served in numerous leadership roles advising clients on establishing sustainable IT governance and control programs, leading multiple clients through “year one” IT governance programs to design, document, implement, and test internal controls. Leung led compliance process improvement initiatives using automated workflow technologies, GRC solutions, and remote audit testing methodologies. Leung recently co-authored a COSO-sponsored ERM whitepaper on cloud computing.

Learning Level: Intermediate
Learning Field: Management Advisory Services

Wednesday August 21, 2013 8:30 – 9:45 a.m.
GS 3
2013 Governance, Risk, and Control Conference
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The Updated COSO Framework – Implications to Organizations and GRC Professionals

Robert B. Hirth
Chairman
Committee of Sponsoring Organizations of the Treadway Commission (COSO)

- Learn how COSO’s recent framework update will impact guiding and developing the control environments, risk assessments, and control activities for companies.
- Discuss how this affects GRC professionals today and tomorrow.
- Review required adjustments and the anticipated improvements and outcomes.
- Identify methods to apply adjustments and suggestions on communication with stakeholders.

Bob Hirth serves as COSO Chair and was unanimously elected by the board of its sponsoring organizations to serve a three year term beginning June 1, 2013. His experience includes all of COSO’s mission disciplines: ERM, internal control, and fraud deterrence. Hirth has worked on assignments and made presentations in over 15 countries, serving more than 50 organizations and working with board members, C-level executives, finance and accounting personnel, accounting firm partners, and employees. Most recently, Hirth served as a senior managing director of Protiviti, and before that, he was executive vice president, global internal audit and a member of the firm’s executive management team. In 2012, Hirth was appointed to serve a two-year term on the Standing Advisory Group of the Public Company Accounting Oversight Board (PCAOB). Hirth is a recognized leader in the internal audit profession, serving as IIA Research Foundation trustee and Service Provider committee member. In 2013, Hirth was inducted into The American Hall of Distinguished Audit Practitioners.

Learning Level: Intermediate
Learning Field: Auditing

Wednesday August 21, 2013  10:15 – 11:30 a.m.

GS 4
Industry Innovation and Changing Business Models—Setting the Tone at the Top

Brian L. Swartz
Senior Vice President and Chief Financial Officer
Apollo Group
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- Discuss the need for changing business models in the midst of an evolving economy and how the tone at the top sets the standard for the whole organization.
- Identify why changing business models requires persistent diligence on all fronts as companies strive to compete in today's economy.
- Review tactics to address enterprise risks created by innovation while responding to a dynamic business environment.
- Execute a strategy to meet the control needs of a worldwide company that relies heavily on its IT infrastructure.

Brian Swartz has nearly 20 years’ experience in corporate finance, including audit and governance and joined Apollo Group in 2007. Previously, he served as vice president and corporate controller with EaglePicher Incorporated for five years and successfully guided the company through a bankruptcy restructuring. Earlier in his career, Swartz worked with Arthur Andersen LLP with responsibilities in international audit and due diligence projects. He serves on the board of the directors of the Greater Phoenix Chamber of Commerce and serves as chairman of the board of the Phoenix Children’s Hospital Foundation.

Learning Level: Intermediate
Learning Field: Business Management & Organization