2013 Midwestern Regional Conference

Sunday November 3, 2013 12:00 – 5:00 PM

OS-1
Fraud Risk Assessment

Paul Rosol
Director of Risk Advisory Services
Experis

- Recognize what’s really behind the recent spike in fraud.
- Learn the top 10 most common internal control deficiencies contributing to fraud.
- Identify the steps to take if you discover a fraud in your company.
- Describe the importance and value of a fraud risk assessment.

Paul Rosol has more than 25 years experience within the financial services and retail industries, specializing in the areas of fraud and forensics, ERM, internal auditing, control, loan review, loss prevention, and insurance. Prior to joining Experis, Rosol’s experience included leadership roles in internal auditing, risk management, and financial services consulting with Wells Fargo, RSM McGladrey, and in the retail industry for national retailers, Musicland and Wilsons Leather. Rosol co-authored three manuals and numerous articles on various banking controls and operations issues.

Learning Level: Intermediate
Learning Field: Auditing

OS-2:
Preparing for an Effective Quality Assessment

Donald A Espersen, CIA, CRMA
Principal
despersen & associate

- Discuss the new Quality Assessment Manual for the Internal Audit Activity with one of the guide’s authors.
- Examine the streamlined quality assessment process flow included in the new QA manual.
- Understand how to use the tools in the new manual to complete a self-assessment and prepare for an external assessment.
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- Explore successful practices that can be used to get ready for an external assessment.

**Don Espersen** is an independent internal audit advisor and professional trainer whose firm specializes in the design and delivery of customized training programs and internal audit quality improvement activities. Before forming his own firm, Espersen held a variety of senior and staff auditor positions in several financial services organizations. He is an in-demand facilitator for The IIA’s Vision University series and is an IIA distinguished faculty member, having participated in the development of many of its courses; he is a member of The IIA Research Foundation’s Committee of Research and Education Advisers and co-edited The IIA’s “Risk Watch” column for several years. He is accredited in Internal Quality Assessment/Validation and has led numerous projects for internal audit groups in a variety of industries, sectors, and international locations.

*Learning Level: Intermediate  
Learning Field: Auditing*

**OS-3:**  
**Hot Topics in Financial Services**

Mark Sparano  
Chief Audit Executive  
U.S. Bancorp/U.S. Bank

Randy Melby, CIA  
Senior Executive Vice President, Chief Risk Officer  
BankUnited

- Understand current regulatory hot topics at large, complex banks.
- Discuss how boards, management, and control groups are adhering key issues in U.S. banking.

**Mark Sparano** has more than 25 years of experience in audit, risk management, and financial services. Prior to joining U.S. Bank in 2010, he served as chief auditor for Mellon Financial Corporation as well as chief risk officer for U.S. Trust.

**Randy Melby** is responsible for enterprise risk oversight, including internal audit, loan review, regulatory compliance, and overall operations and credit risk management. Previously, he served as senior vice president and general auditor of Washington Mutual, Inc. for over four years. He led a team responsible for internal audit and internal/external fraud investigations. Prior to Washington Mutual, he spent 24 years with Norwest Corporation/Wells Fargo.
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Learning Level: Intermediate
Learning Field: Regulatory Ethics

E-0:
CIA Exam Prep Course: Part 1 — Internal Audit Basics

Part 1 will be held during the Pre-Conference Sessions on Sunday.

William Woodington, CIA, CRMA
President
Woodington Training Solutions, LLC

This Part 1 CIA course is designed to give candidates a high level introduction and overview of the topics covered on the Part 1 CIA exam. The course will reinforce your CIA knowledge, clarify topics, and build exam-day confidence. Taught by CIA-certified instructors, each attendee will have the opportunity to work through practice exam questions, learn test taking tips, and will receive the updated Version 4.0 Part 1 IIA CIA Learning System™ self-study print, e-book, and online materials. Course topics will include:

- Mandatory Guidance
- Internal Control/Risk
- Conducting Internal Audit Engagements – Audit Tools and Techniques

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

Bill Woodington spent 18 years managing the learning and development (L&D) function for Wells Fargo Audit & Security and previously worked for four years as an audit specialist supervising audit projects prior to moving into the L&D position. Prior to that, Woodington worked for First Bank System and Deloitte and Touché. As an independent consultant, Woodington delivers a variety of customizable audit, business writing, and leadership seminars.

Learning Level: Intermediate
Learning Field: Auditing
2013 Midwestern Regional Conference
Monday       November 4, 2013       8:40 – 10:00 AM

GS-1: Sharpening Our Focus on the Road Ahead: Internal Audit in 2020

Carolyn Saint, CIA, CRMA
Vice President of Internal President, Internal Audit, 7-Eleven, Inc. and North American Board, Senior Vice Chairman

- Review key achievements in the profession over the past decade and where we find ourselves in 2013.
- Discuss five imperatives for the remainder of the decade.
- Identify attributes of high performing audit functions in 2020.
- Explore five strategic risks that could derail our collective progress.

Carolyn Devine Saint has been elected 2013-2014 chair of the North American Board of The Institute of Internal Auditors (IIA). She is currently vice president of internal audit at 7-Eleven Inc. in Dallas. Her rich background in the internal audit profession includes serving as vice president of internal audit at Lowe’s Companies, Inc. and Sears Holdings Corp., divisional vice president of internal audit at Kmart Corp., chief audit executive at Covansys Corp., and manager at Deloitte & Touche LLP. A sought-after speaker, Saint is recognized for her passion and enthusiasm on issues such as transformational leadership, change management, and internal auditing. She is well-versed in the U.S. Sarbanes-Oxley Act of 2002, risk management, and internal control, and has an impressive track record of turning around under-performing internal audit groups. An active IIA volunteer, both globally and locally, Saint has been on the North American Board since 2011, is a member of the Global Board of Directors, and is a past member of the North American Advocacy Committee and The IIA Research Foundation’s Board of Trustees. Locally, she has served as a member of the Dallas Chapter Board of Governors.

Learning Level: Intermediate
Learning Field: Social Environment of Business

Monday       November 4, 2013       10:30 – 11:45 AM

A-1: Effectively Partnering with Your Audit Committee

Linda Gilligan, CIA, CRMA
Sr. Vice President and General Auditor
2013 Midwestern Regional Conference

Federal Reserve Bank of Minneapolis

Julie Causey
Chairman
Western Bank

Kirsten Vosen
Partner
Deloitte & Touche LLP

- Discuss the current trends and developments that maximize the effectiveness of audit committee relationships.
- Review audit committee roles and responsibilities and discuss the challenges the audit committee encounters.
- Get tips for effectively partnering with the audit committee.

**Linda Gilligan** has served as the chief audit executive for the bank’s internal audit function for more than 13 years. She has held leadership positions in the Federal Reserve’s Conference of General Auditors and has extensive experience in bank regulation, operations, and administrative functions.

**Julie Causey** chairs the board and leads the management team of the bank. She is a third generation member of the family that owns Western Bank, which is focused on the needs of small business and the economic development community. Before joining the bank, Causey worked in international economics for multinational corporations. She owned and founded Minnesota International Economic Strategies and led the economics group for KPMG in Minneapolis and London. She is active on numerous local civic and business projects and has been presented with the National Association of Women Business Owners (MN) Woman of Achievement Award.

**Kirsten Vosen** has more than 23 years of professional experience planning and performing audit engagements, including Sarbanes-Oxley 404 attestation engagements and acquisition and merger integration activities, serving clients in the hospitality, consumer business and real estate industries. She has successfully led partner rotations on a number of client engagements. Vosen also participates in the recruitment, development, mentoring, and retention of staff.

*Learning Level: Intermediate*

*Learning Field: Administrative Practices*
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B-1
Fraud Risks in Today’s Economic Environment

Richard L. Ostrom
Chief Executive Officer
WayPoint Inc.

- Explore the emerging fraud risks of today as well as those traditional risks that just don’t seem to go away.
- Hear about the emerging risks that most businesses aren’t prepared for.
- Learn how to mitigate the emerging fraud risks.

Rick Ostrom has more than 35 years of business risk mitigation and investigative experience with the FBI, a Fortune 500 U.S. multinational corporation, and at WayPoint. He has conducted and supervised thousands of complex white-collar and internal investigations involving information security, intellectual property, health care fraud, corporate, and financial institution fraud. Ostrom’s professional services firm specializes in internal and external corporate investigations, due diligence, computer forensics, financial/forensic investigations, tax matters, and civil and criminal litigation support.

Learning Level: Intermediate
Learning Field: Management Advisory Services

C-1:
QARs - Self-Assessments with Independent Validation for Small Audit Functions

Philip E. Flora, CIA, CCSA
Principal
FloBiz & Associates, LLC & Strategic Partner, YCN Group

- Hear an overview of how to efficiently and effectively complete a QAR through self-assessment with independent validation.
- Learn how to prepare for an external QAR.
- Understand The IIA’s Standards as they relate to QARs.
- Discover ways to interpret, identify, and include required documentation in day-to-day internal audit processes.

Phil Flora is the principal/managing member for FloBiz & Associates, LLC, offering training, internal audit, and consulting services. He served as CAE for a not-for-profit public corporation
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for over 16 years and has more than 30 years of auditing/management/leadership experience. Flora has significant experience with QARs and is a sought-after conference speaker. He currently serves as a trustee for The IIA Research Foundation and previously served in other Foundation leadership roles. Flora is a former chair for The IIA’s Committee of Research and Education Advisors and has served on numerous IIA international committees. He has alliances with CPE Interactive as director of internal audit training and YCN Group.

Learning Level: Intermediate
Learning Field: Auditing

D-1
Developing IT Governance – A Balance Between IT, Operations and Internal Audit

Susan Heichert
Senior Vice President, Chief Information Officer
Allina Health

Mary Jo Flynn, CIA, CCSA
Director, Internal Compliance Audit
United Healthcare

- Increase your understanding of IT governance.
- Examine a case study of how IT Governance was implemented in a healthcare system.
- Understand the role of internal auditing in promoting and sustaining IT governance.
- Learn about the role of operations in the governance process.
- Discuss the challenges in the development and implementation process.

Susan Heichert has served in various roles in her nine years with Allina Health, focusing on implementation of Electronic Health Records (EHR). She has been a member of the College of Health Information Management Executives (CHIME) for five years, and is a Fellow of the Healthcare Information and Management Systems Society (FHIMSS).

Mary Jo Flynn has 30 years of leadership experience in the healthcare industry and currently oversees a team of compliance auditors and managers, risk assessment, audit plan development and execution, and collaboration with operational leadership and personnel. Previously, she served as CAE at Allina Health, working for 17 years in leadership roles within operations, compliance, and internal audit. She was responsible for risk assessment, audit planning, conducting engagements and department management of regulatory, IT, financial, and operational audit teams.
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Learning Level: Intermediate  
Learning Field: Management Advisory Services

E-1 through E-4:  
CIA Exam Preparation Course:  Part 2 — Internal Audit Practice

Part 2 will be held during all concurrent sessions on Monday. Registrants should attend all Part 2 sessions on Monday.

William Woodington, CIA, CRMA  
President  
Woodington Training Solutions, LLC

This Part 2 CIA course is designed to give candidates a high level introduction and overview of the topics covered on the Part 2 CIA exam. The course will reinforce your CIA knowledge, clarify topics, and build exam-day confidence. Taught by CIA-certified instructors, each attendee will have the opportunity to work through practice exam questions, learn test taking tips, and will receive the updated Version 4.0 Part 2 IIA CIA Learning System™ self-study print, e-book, and online materials. Course topics will include:

- Managing the Internal Audit Function  
- Managing Individual Engagements  
- Fraud Risks and Controls

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

Bill Woodington spent 18 years managing the learning and development (L&D) function for Wells Fargo Audit & Security and previously worked for four years as an audit specialist supervising audit projects prior to moving into the L&D position. Prior to that, Woodington worked for First Bank System and Deloitte and Touche. As an independent consultant, Woodington delivers a variety of customizable audit, business writing, and leadership seminars.

Learning Level: Intermediate  
Learning Field: Auditing
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Monday November 4, 2013  12:45 – 2:00 PM

A-2:
ERM Leading Practices – Internal Audit’s Role

Kreg Weigand, CRMA
Partner, Risk Consulting
KPMG LLP

- Highlight the value proposition for implementing ERM.
- Discuss the evolving role of ERM and current trends within risk management.
- Review leading practices of implementing an effective ERM program.

*Kreg Weigand* has more than 21 years of risk management experience and is a national leader in KPMG’s enterprise risk management (ERM)/governance, risk, and compliance (GRC) practice specializing in assisting companies with the governance, assessment, design, and implementation of their risk management programs and initiatives. Weigand also has significant experience in facilitating executive management and boards, program management, corporate governance, data and information privacy, operations and process improvement, compliance, and audit.

*Learning Level: Intermediate*

*Learning Field: Management Advisory Services*

B-2:
A Look Ahead: Supply Chain Forensics

Scott Read
Principal
Deloitte Financial Advisory Services LLP

Mark E. Pearson
Senior Manager
Deloitte Financial Advisory LLP

- Gain perspective on “doing more with less” as it relates to supply chain providers.
- Discuss ways to identify and eliminate fraud, waste, or abuse perpetrated by business partners and even customers.
- Discover how and why reliance on recurring transactions can leave money on the table.
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- Learn how to combine investigative, forensic accounting, and data mining techniques to critically evaluate the value of business partnerships, and identify/mitigate costly risks.
- Locate opportunities to boost the bottom line through the identification and recovery of cost savings.

Scott Read has consulted on a wide spectrum of electronic discovery, computer forensics, information governance, discovery technology, and litigation support matters during his career. He has led numerous efforts to advise clients in response to discovery demands arising from internal investigations, litigation, and regulatory inquiries. His background includes process improvement, technology implementation, and procedure and controls implementation related to the development of defensible discovery practices in electronic records management, email management, discovery, collection, processing, hosting, review, and production.

Mark Pearson has more than ten years of experience conducting and managing a variety of fraud, forensic accounting, and other dispute related engagements. He has performed numerous fraud examinations and forensic accounting assignments, various accounting restatement engagements, complex damages computations and other litigation support engagements for clients in a wide variety of industries. Pearson is also a Certified Fraud Examiner.

Learning Level: Intermediate
Learning Field: Management Advisory Services

C-2:
Corporate Social Responsibility Reporting

Katherine Blue
Managing Director, Sustainability Advisory Services
KPMG LLP

- Understand how companies manage this reporting and data.
- Learn about the importance of controls and processes around CR data.
- Learn why companies are third-party assuring CR data.
- Learn how internal auditing can support CR reporting.

Katherine Blue has 18 years of consulting experience centered in climate change and sustainability. She assists clients with full cycle sustainability reporting and shareholder disclosure needs and structure of controls, processes, and enterprise systems. Blue specialized in sustainability and regulatory environmental support in sectors including integrated oil and
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gas, power/utility, diversified industrials, and consumer/retail organizations. She is the executive sponsor for KPMG’s Network of Women (KNOW) in Atlanta, an organization with the mission of developing and retaining women at KPMG.

Learning Level: Intermediate
Learning Field: Auditing

D-2:
Cyber Security in a Rapidly Changing World

Lizabeth M. Lehrkamp
Special Agent
Federal Bureau of Investigation, Minneapolis Division

- Discuss why the diverse and ever-changing profile of typical attacker makes prevention difficult, particularly as attacks scale to a global level.
- Learn how federal cyber security agencies provide organizations with new reports, strategies, and defenses to safeguard their information.
- Review current cyber threats, the FBI’s strategy to address them, and how to protect your organization.

Lizabeth Lehrkamp joined the FBI in 2005, assigned to organized crime before moving on to investigating cyber crime. She has since been assigned to the Minneapolis field office’s Human Intelligence squad working cyber matters and assumed the role of InfraGard Coordinator for the Minnesota, North Dakota, and South Dakota chapters in 2011. Prior to her appointment with the FBI, Lehrkamp was employed in technical sales and application engineering.

Learning Level: Beginner
Learning Field: Computer Science

Monday       November 4, 2013      2:15–3:30 PM

A-3:
Meeting Stakeholder Expectations Through Combined Assurance

Urton Anderson, Ph.D., CIA, CCSA, CGAP, CFSA
Director of the Von Allmen School of Accountancy
Gatton College of Business and Economics
The University of Kentucky
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- Understand the role of assurance in the IA value proposition.
- Explore the concept of the organization is an assurance network.
- Learn how the combined assurance approach can effectively and efficiently meet stakeholders’ demands for assurance while reducing assurance fatigue.
- Explore best practices for implementing the combined assurance approach.

Urton Anderson was a member of the faculty at the University of Texas at Austin before joining University of Kentucky. His research has addressed various issues in internal auditing, corporate governance, compliance, ERM, and internal control. Professor Anderson is chair of The IIA’s Board of Regents, the Internal Auditing Standards Board (IASB), and The IIA Research Foundation’s Committee of Research and Education Advisers, as well as serving as an IIARF trustee. Professor Anderson also serves on the board of directors for the Society of Corporate Compliance and Ethics/Health Care Compliance Association, and previously served as Academic Fellow in the Office of the Chief Accountant of the SEC.

Learning Level: Intermediate
Learning Field: Auditing

B-3:
Fraud Detection and Investigation Through Computer Forensics

Mark Lanterman
Chief Technology Officer
Computer Forensic Services, Inc.

- Gain perspective on what the pervasive use of computers means to corporations and their clients.
- Review the benefits of and the burdens imposed by electronic evidence.
- Learn how information can be recovered from computers even though it has been "deleted" and get solid tips on protecting electronic information.
- Explore non-traditional evidence sources, such as the iPhone, iPad and social media and the ethical evidentiary considerations for their use.

Mark Lanterman spent 11 years as a police investigator and as a member of the U. S. Secret Service Electronic Crimes Taskforce before joining the private sector. He has assisted the Secret Service, FBI, and the U. S. Attorney's Office as well as hundreds of law firms and corporations with computer-related investigations. Lanterman was recognized by the director of the U. S. Secret Service for his contributions to law enforcement, and has been a court appointed computer forensic expert to the United States District Court.
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Learning Level: Intermediate  
Learning Field: Computer Science

C-3:  
Data Analytics

Matthew D. Storlie  
Manager, Data Assurance  
PricewaterhouseCoopers LLP

- Discover innovative ways to integrate data analytics into audit programs.
- Explore developing tests to search for potential fraud, waste, and abuse.
- Understand the potential impact of data analytics.
- Learn how to support an organization’s governance functions through data analytics.

Matt Storlie is responsible for managing data assurance practice within the organization’s IT & Process Assurance division. Prior to joining PwC, he led the data analytics practice at Luminescent Inc., a boutique professional forensic accounting and risk services firm. He has experience in data mining and analysis, fraud risk management, forensic accounting and examinations, computer forensics, corporate investigations, internal audit processes and procedures, financial modeling, and other advisory services. He is president-elect of the Minnesota Analytics Exchange and serves on the board of the Twin Cities Chapter of Certified Fraud Examiners.

Learning Level: Beginner  
Learning Field: Auditing

D-3:  
COBIT 5

Robert Johnson  
Senior Vice President  
Bank of America

- Expand your understanding of how COBIT 5 can be used in the internal audit process.
- Hear how different stakeholders from various companies have prepared for the COBIT 5 implementation.
- Learn some strategies for applying COBIT 5 to IT organizations of all sizes.
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Speaker information to be uploaded soon

Learning Level: Intermediate
Learning Field: Computer Science

Monday November 4, 2013 4:00–5:15 PM

A-4:
Leadership Skills/Business Partnership – Becoming a Trusted Business Advisor

James Roth, Ph.D., CIA, CCSA, CRMA
President
AuditTrends, LLC

- Learn how to advise and assess the governance process(es).
- Explore how to advise and assess organizational strategy.
- See how a CAE can become a trusted business advisor.

Dr. James Roth leads a firm devoted to identifying and communicating the best of current internal audit practices and has more than three decades of progressive internal audit and teaching experience. He has helped develop eight seminars, 10 books, and seven other major works for The IIA. A highly rated presenter, Roth was honored with the Bradford Cadmus Memorial Award in 2008, The IIA’s most prestigious award for contributing to the advancement of the internal audit profession.

Learning Level: Advanced
Learning Field: Auditing

B-4:
Business Ethics From Two Perspectives: Which is Better?

Stephen W. Minder, CIA
Chief Executive Officer
YCN Group LLC

- Explore three Business Ethics Mandates including codes of conduct, legislation, and contractual requirements.
- Discuss the Business Ethics Conscience, including the Golden Rule, the concept of fairness, and the “newspaper test.”
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- Compare and contrast what differentiates the two approaches.
- Learn why and how to merge the approaches going forward.

Stephen Minder has more than 35 years of experience in progressive internal audit, compliance and ethics programs, and strategic leadership. As a CAE, he built a large world-class internal audit function successfully delivering a broad scope of services throughout a multinational corporation. He is known for his innovative internal audit techniques, including the advanced use of technology. Minder is highly regarded a thought-leader who has contributed significantly to the growth of the profession through written publications, speaking engagements, and seminar instruction.

Learning Level: Intermediate
Learning Field: Behavioral Ethics

C-4:
Best Practices Third Party Management, Outsourcing, and Off-shoring

Brent Rudser
Director, Finance and Business Services
SUPERVALU Inc.

- Examine provider selection and governance issues in working with a third party firm.
- Learn current trends in Business Process Outsourcing (BPO) and evolution beyond traditional cost reduction and increased efficiencies.
- Identify key practices critical to achieving high performance BPO.
- Understand risk management framework and challenges in sustaining partnership.

Brent Rudser leads his organization’s Business Services which includes a global shared services platform in both business process and IT. During his time with SUPERVALU, he led initiatives in financial reporting, finance transformation, continuous improvement, shared services, Sarbanes-Oxley implementation, and M&A/divestitures. Prior to working with SUPERVALU, Rudser worked in controllership functions and process development for CNH Global, Newell Rubbermaid, and IBM.

Learning Level: Intermediate
Learning Field: Management Advisory Services

D-4:
Information Privacy in an International Environment
Jay Cline
President
MPC

- Hear an overview of the current international information privacy environment.
- Develop an understanding of the intense scrutiny industrialized nations are focusing on information privacy.
- Learn how and why resulting laws and regulations vary widely from region to region.
- Discuss current and evolving mechanisms for navigating and complying with varying requirements.
- Apply learnings to the role auditors have with various types of data, such as personally identifiable information, personal health information, and personal financial information.

Jay Cline is a former chief privacy officer of Carlson Companies, IT management consultant at EDS, and international trade-law expert in the U.S. Government. Cline has held leadership positions in the International Association of Privacy Professionals, and is a privacy columnist for Computerworld. His Privacy Maturity Model, used for measuring privacy programs, won the HP-IAPP Privacy Innovation Award for 2010.

Learning Level: Intermediate
Learning Field: Regulatory Ethics

Tuesday November 5, 2013 8:40–10:00 AM

GS 2:
The Future of the Internal Audit Profession

Larry Harrington, CIA, CRMA,
Vice President, Internal Audit
Raytheon Co.

- Discuss the need for internal auditors to adapt to evolving business environments that are IT-rich, multinational, and fast-paced.
- Hear how the change imperative represents challenges, but also creates opportunities for leadership.
- Review the key leadership skills required by internal audit leaders in the future.
- Learn practical suggestions to jumpstart your future success.
Larry Harrington has more than 25 years of experience in auditing and finance. He started his career in public accounting and has since held a wide range of positions within retail, financial services, insurance, manufacturing, and technology. Harrington has served as vice president of Finance, vice president of Human Resources, and vice president of Operations, as well as chief audit executive for several Fortune 200 companies during his career. Currently, he serves as a board member of The IIA’s International Board of Directors and chairs The IIA’s North American Board of Directors.

Learning Level: Intermediate
Learning Field: Management Advisory Services

Tuesday November 5, 2013 10:30 – 11:45 AM

A-5: Integrated Risk Assessments: Audit, Compliance, and ERM

Mike O’Leary
Global Internal Audit Leader
Ernst & Young LLP

- Understand the different types of integrated risk assessments.
- Discuss the current trends and practices of planning and executing an integrated risk assessment.
- Understand the benefits and value that an integrated risk assessment and coordination across risk functions can provide.
- Review leading practices in employing an integrated risk assessment for driving a high impact audit planning process.
- Learn from area CAEs how they conduct their risk assessments and integrate with other organizational risk functions.

Mike O’Leary is responsible for all overseeing the delivery of internal audit co-sourcing and outsourcing services, identification of leading practices within internal audit, and development of internal audit thought leadership issued by EY globally. O’Leary’s expertise also covers internal control/Sarbanes-Oxley advisory and remediation, fraud prevention and investigations, IFRS and accounting convergence advisory, ERM, and teaming with other practices in areas including IT security, transaction advisory, finance, and supply chain transformation. He is a frequent speaker and facilitator on internal audit topics.

Learning Level: Advanced
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*Learning Field: Intermediate*

**B-5:**
FCPA and International Anti-Corruption Regulations/UK Bribery Audit Strategies

Kevin C. Bennett  
Managing Director, Forensic Investigative and Dispute Services  
Grant Thornton LLP

- Gain an understanding on how to conduct an anti-corruption risk assessment.  
- Learn how to develop an internal audit work plan to address bribery and corruption risks for each high-risk location.  
- Discuss the importance of conducting transactional testing procedures.  
- Hear how to create effective mitigating controls to address bribery and corruption control deficiencies.  
- Expand your understanding of industry best practices.

Kevin Bennett has more than 20 years of experience and specializes in advising clients regarding global anti-bribery and anti-corruption investigations including FCPA and the U.K. Bribery Act, forensic accounting, and complex business litigation. He has assisted companies in performing anti-corruption due diligence procedures on international controls and procedures to ensure compliance with government regulations. Bennett regularly presents his investigation results to the SEC, DOJ, FDIC, and other government regulators.

*Learning Level: Intermediate  
Learning Field: Auditing*

**C-5:**
Auditing Mergers and Acquisitions, Including Merger Integration

Tom O’Connell  
VP – Audit Services  
Ecolab

- Review the role of the audit department in the M&A world.  
- Explore audit’s role during due diligence and the M&A pipeline.  
- Discuss ways the audit department can serve upon closing a deal.  
- Discover how auditing can continue to be of service during organization integration and post closing.
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Tom O’Connell oversees and directs the auditing function and SOX program for Ecolab globally. Prior to his role as the chief audit executive at Ecolab, he held various positions in corporate planning and divisional controlling. Prior to Ecolab, O’Connell held numerous roles in accounting and finance at Amoco Oil Co.

Learning Level: Intermediate
Learning Field: Auditing

D-5:
Social Media Security and Privacy Risks

Randy Ferris
Founding Partner
Violence Prevention Strategies, Inc.

Dan Murphy
Founding Partner
Violence Prevention Strategies, Inc.

Randy Ferris spent 31 years in proprietary security working for three Fortune 100 companies. In 1996, after dealing with several serious incidents involving domestic and workplace violence, he searched for methods by which companies might identify potentially violent situations and employ preventive or mitigating techniques. Since then Ferris has provided training for organizations and developed policies and processes related to threats and disturbing behavior. He is a sought-after speaker and has addressed various subjects related to domestic and workplace violence for numerous industry groups.

Dan Murphy retired from the New York City Police Department. There he attained the rank of sergeant and worked as a detective in several specialized units such as narcotics, gang crimes, and homicide. On September 11, 2001, Murphy was a first responder to the World Trade Center attack and was subsequently assigned to the Joint Terrorism Task Force, a collaboration among the NYPD, the FBI, and the CIA. In retirement, Murphy worked as a fraud and financial crimes investigator for the Bank of New York, eventually working as the director of corporate security for a Fortune 100 company.

Session information to be uploaded soon

Learning Level: TBD
Learning Field: TBD
2013 Midwestern Regional Conference

E-5 through E-7:
CIA Exam Preparation Course: Part 3 — Internal Audit Knowledge Elements

Part 3 will be held during all concurrent sessions on Tuesday and on Wednesday. Registrants should attend all Part 3 sessions on both Tuesday and on Wednesday.

William Woodington, CIA, CRMA
President
Woodington Training Solutions, LLC

This Part 3 CIA course is designed to give candidates a high level introduction and overview of the topics covered on the Part 3 CIA exam. The course will reinforce your CIA knowledge, clarify topics, and build exam-day confidence. Taught by CIA-certified instructors, each attendee will have the opportunity to work through practice exam questions, learn test taking tips, and will receive the updated Version 4.0 Part 3 IIA CIA Learning System™ self-study print, e-book and online materials. Course topics will include:

- Governance/Business Ethics
- Risk Management
- Organizational Structure/Business Processes and Risks
- Communication
- Management/Leadership Principles
- IT/Business Continuity
- Financial Management
- Global Business Environment

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

Bill Woodington spent 18 years managing the learning and development (L&D) function for Wells Fargo Audit & Security and previously worked for four years as an audit specialist supervising audit projects prior to moving into the L&D position. Prior to that, Woodington worked for First Bank System and Deloitte and Touche. As an independent consultant, Woodington delivers a variety of customizable audit, business writing, and leadership seminars.

Learning Level: Intermediate
Learning Field: Auditing
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Tuesday November 5, 2013 12:45 – 2:00 PM

A-6: Corporate Governance

David Ripka, CIA
Associate Professor of Accounting
St. Cloud State University

- Discuss the roles and responsibilities relevant to corporate governance for key stakeholders.
- Review current events illustrating lapses in corporate governance and lessons learned.
- Recommend steps for internal audit that can help eliminate these lapses and help the organization achieve its objectives.

David Ripka is a tenured professor currently teaching internal auditing, corporate governance, SEC accounting and reporting, and accounting at SCSU. Prior to teaching at SCSU, Professor Ripka held various positions at Xcel Energy including vice president and controller and director of internal audit.

Learning Level: Intermediate
Learning Field: Business Management & Organization

B-6: Regulatory Reform: Beyond Dodd-Frank for Financial Services

Carol M. Beaumier
Executive Vice President, Global Strategic Planning
Protiviti Inc.

- Examine how Dodd-Frank implementation has unfolded since it was enacted in 2010.
- Outline some of the legislation’s most important considerations for auditors.
- Discuss whether the newly recreated regulatory bodies, such as the Financial Stability Oversight Council and the Consumer Financial Protection Bureau, have met their originally intended missions in promulgating and implementing 400 new regulations.

Carol Beaumier oversees and coordinates the efforts of Protiviti’s strategic planning initiatives to continuously improve how the organization serves clients, develops world-class consultants,
2013 Midwestern Regional Conference

and achieves operational excellence. She also oversees the Global Financial Services industry practice. Beaumier previously served as executive vice president, global industry programs and leader of Protiviti’s Regulatory Risk Consulting practice. An experienced consultant and former bank regulator (OCC), Beaumier has over 30 years experience in a wide range of financial industry and regulatory issues.

Learning Level: Advanced
Learning Field: Regulatory Ethics

C-6:
Healthcare Reform and Employer Impacts

Charles F. Dubois
Vice President
Blue Cross Blue Shield of Minnesota

- Hear an overview of the Patient Protection and Affordable Care Act.
- Discuss the requirements this new legislation will visit upon employers.
- Learn strategies to deal with the potential impact on employers from the managed care perspective.
- Identify ways internal audit can positively affect the transition.

Chuck Dubois is an internal audit and risk management professional with more 25 years of audit and finance experience in the managed care and healthcare industries, specializing in managed care operations, integrated delivery systems, acute care hospitals, and physician groups. Prior to joining Blue Cross, he was a principal for Ernst & Young LLP, overseeing the internal audit and compliance audit outsourcing for select clients. Dubois also worked in audit leadership positions for the Mayo Foundation. His experience includes providing finance support, internal audit, consulting, compliance, and other specialized services for all aspects of managed care organizations and multi-hospital, multi-clinic physician-led organizations.

Learning Level: Intermediate
Learning Field: Regulatory Ethics

D-6:
Risk and Control Internal Audit Tools

Kim Ries
Partner
Ernst & Young
2013 Midwestern Regional Conference

Speaker and Session information to be uploaded soon

Learning Level: Beginner
Learning Field: Personal Development

Tuesday November 5, 2013 4:00 – 5:15 PM

A-7: How to Evaluate Corporate Culture

James P. Roth, Ph.D., CIA, CCSA, CRMA
President
Audit Trends

• Discover practical ways to evaluate the most powerful control in any organization.

GS 3:
Auditors as Leaders: It’s Not in the Title, It’s in the Execution!

Ruthe Holden, CIA, CGAP, CRMA
Chief Auditor
Los Angeles County Metropolitan Transportation Authority

• Expand your understanding of auditors as change agents.
• Identify the characteristics of effective leaders.
• Explore ways to develop and improve your personal leadership capacity.

Ruthe Holden oversees the internal audit office for Metro and conducts operational, performance, information technology, contract compliance, and regulatory compliance audits. She has 20 years of audit experience in both a local government agency and the federal government. Holden is a member of Association of Government Accountability Financial Management Standards Board, and chair of the American Public Transportation Association’s Committee of Audit Professionals.
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- Understand what internal audit *Standards* say about evaluating the corporate culture, and why it is an internal audit best practice.
- Learn the key principles and guidelines for evaluating the “soft” controls that make up the corporate culture.
- Take away proven evaluation tools – audit project and entity-wide surveys – that can be adapted for use in any organization.

Dr. James Roth leads a firm devoted to identifying and communicating the best of current internal audit practices and has more than three decades of progressive internal audit and teaching experience. He has helped develop eight seminars, 10 books, and seven other major works for The IIA. A highly rated presenter, Roth was honored with the Bradford Cadmus Memorial Award in 2008, The IIA’s most prestigious award for contributing to the advancement of the internal audit profession.

*Learning Level: Advanced*

*Learning Field: Auditing*

B-7:
How to Protect Your Company from Data Loss

Sergio Nesti
Vice President Pre-Sales and Enablement
Aveksa

Andy Byron
Global Vice President, Sales
Aveska

- Gain an understanding of the three threats of data loss prevention (DLP).
- Learn how to secure company confidential assets using DLP and identity access governance.
- Explore answers to the question, “Is there a silver bullet?”

Sergio Nesti has nearly 20 years of experience working at a variety of early-stage IT organizations and more than eight years’ experience working with some of the world’s largest organizations on global deployment of DLP solutions. His areas of expertise include DLP business case development; live production risk assessments; system design and architecture; and global production deployments. Nesti has served in critical roles in DLP programs for 50 organizations in the manufacturing, health care, financial services/insurance, hospitality, and transportation markets.
C-7:
A Practical Approach for Auditing Strategic Initiatives

Tom Andreesen
Managing Director
Protiviti Inc.

- Learn how to inventory and develop a comprehensive list of strategic initiatives.
- Hear about techniques to assess the risk of initiatives and their potential benefits.
- Identify steps to determine which strategic initiatives should be included in internal audit annual plans.
- Develop measures to monitor the progress and overall benefits delivered by strategic initiatives.

Tom Andreesen has 25 years experience in managing the evaluation, implementation, and support of application and technical solutions as well as helping companies assess their technology risks for audit plan development. He has helped companies establish their internal audit functions and corporate governance programs. Before joining Protiviti, Andreesen was with Accenture, focused on the design and implementation of technology solutions; Norstan Consulting, a technology consulting firm; and Arthur Andersen, as a senior manager for the technology risk consulting group. He is a member of the Board of Advisors for Pittsburg State University’s Internal Audit Education Partnership Program, and the MIS Advisory Council for Iowa State University.

D-7:
Cloud Computing Audit Risks

Greg Schu
Partner, Risk Advisory Services
McGladrey LLP
2013 Midwestern Regional Conference

Loras Even
Principal, Risk Advisory Services
McGladrey LLP

- Discuss areas for consideration when evaluating the control environment – applications, systems infrastructure, physical, and logical security.
- Identify ways to apply controls with HR to employee skills, experience, background checks, and employee access to information.
- Take a high-level look at other information sources – SOC reports (SOC 1, 2, or 3 and ISAE 3402), HIPAA/HITECH reports, payment card industry, ISO 2700x, and more.
- Review ways security reports be leveraged.
- Learn how supporting evidence can be obtained.

Greg Schu provides organizations with IT risk management, compliance, and risk advisory services and solutions, assisting clients with business process analysis and evaluating business and systems controls. Schu brings his experience as a consultant for financial audit and compliance requirements for Sarbanes-Oxley, Payment Card Industry (PCI), and Service Organization Controls (SOC) standards.

Loras Even brings more than 30 years of experience in information technology, which includes 14 years of focusing on security. He has in-depth experience in network security assessments and corresponding compliance requirements. Even has directed the security assessment practice for a variety of industries, including financial institutions, health services, manufacturing and government.

Learning Level: Intermediate
Learning Field: Computer Science

Wednesday November 6, 2013 8:40 – 10:00 AM

GS 4:
Workplace Violence Prevention Strategies

Randy Ferris
Founding Partner
Violence Prevention Strategies, Inc.
2013 Midwestern Regional Conference

Dan Murphy
Founding Partner
Violence Prevention Strategies, Inc.

Carol A. Martinson
Owner and Founder
Intentional Security Design

- Understand the importance of having a comprehensive Workplace Violence Prevention program.
- Learn about the regulatory, civil, and socio-business consequences after an act of workplace violence occurs.
- Learn and understand the program components a Threat Assessment and Management Team must know.
- Review how to apply this information to a business environment.

Randy Ferris spent 31 years in proprietary security working for three Fortune 100 companies. In 1996, after dealing with several serious incidents involving domestic and workplace violence, he searched for methods by which companies might identify potentially violent situations and employ preventive or mitigating techniques. Since then Ferris has provided training for organizations and developed policies and processes related to threats and disturbing behavior. He is a sought-after speaker and has addressed various subjects related to domestic and workplace violence for numerous industry groups.

Dan Murphy retired from the New York City Police Department. There he attained the rank of sergeant and worked as a detective in several specialized units such as narcotics, gang crimes, and homicide. On September 11, 2001, Murphy was a first responder to the World Trade Center attack and was subsequently assigned to the Joint Terrorism Task Force, a collaboration among the NYPD, the FBI, and the CIA. In retirement, Murphy worked as a fraud and financial crimes investigator for the Bank of New York, eventually working as the director of corporate security for a Fortune 100 company.

Carol Martinson, in addition to being a partner in Violence Prevention Strategies, is owner and founder of Intentional Security Design, a consulting company focused on designing safe and secure space. Previously she served as vice president of asset protection with SUPERVALU INC. and has security, risk management, and asset protection management experience in financial and big box retail. Martinson is active in ASIS International, ISMA, IACFI, and has served on the planning commission and boards of Bank Administration Institute, Food Marketing Institute, and Crime Stoppers, Inc.
A-8:
Industry Roundtable – Retail

MODERATOR:
Lisa Hauser, CIA
Senior Managing Director
PricewaterhouseCoopers LLC

PANELISTS
Sherry Poss
Buffalo Wild Wings

Carol Martins
Partner
Violence Prevention Strategies

Stephanie Anderson
Target

- Discuss topical issues with fellow internal audit leaders from major retailers.
- Benchmark with peers on how organizations are evolving to address the changing regulatory environment within the retail industry.
- Explore the role internal audit is playing to become involved in areas traditionally outside of annual audit plans.
- Review compliance issues as imposed by regulatory bodies such as DOL, OSHA, FTC and others.
- Hear from others how their functions are serving as their organization’s third line of defense.

Lisa Hauser has over 30 years of experience working with consumer retail and manufacturing companies in a variety of functions including business and regulatory compliance assessments; internal controls evaluation and design; business continuity/disaster recovery; and information technology risk management solutions. She also has significant consulting experience in managing complex ERM projects. Prior to PwC, Hauser was a partner at KPMG and held a global senior executive role at Marsh and McClennan Cos. She is a frequent speaker at industry events.
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and conferences and has been published in several industry publications.

Learning Level: Intermediate
Learning Field: Auditing

B-8:
Industry Roundtable – Financial Services

MODERATOR:
Mark Sparano
Chief Audit Executive
U.S. Bancorp/ U.S. Bank

PANELISTS:
Deb Anderson
Wells Fargo

Steve Wendt
Thrivent

Mike Deede
Piper Jaffray

Mark Sievers
Securian

We have assembled a panel of leaders to facilitate discussion of today’s key challenges for internal audit professionals in the financial services industry including:

- Positioning internal audit as an integral member of your company’s ERM framework.
- Identifying and responding to important emerging risks while ensuring sufficient ongoing coverage of existing operations.
- Attracting and retaining qualified professionals who possess the necessary levels of expertise and business insight.
- Ensuring internal audit establishes and maintains processes to continuously improve the effectiveness of its practices, tools, and execution.
- Effectively coordinating activities with others involved in the company’s governance, risk management, and internal control programs.
- Managing relationships to maintain open and frank discussions, providing timely and insightful advice, influence, and challenge across areas of heightened risk.
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Mark Sparano has more than 25 years of experience in audit, risk management, and financial services. Prior to joining U.S. Bank in 2010, he served as chief auditor for Mellon Financial Corporation as well as chief risk officer for U.S. Trust.

Learning Level: Intermediate  
Learning Field: Auditing

C-8:  
Industry Roundtable - Healthcare

MODERATOR:  
Steven D. Bunde  
Senior Director, Office of Integrity and Compliance and Internal Audit Health Partners Inc.

PANELISTS:  
Vicki Rasmussen  
Medtronic

Laurie Lafontaine  
Allina

Amy Jo Schaffe  
UnitedHealthgroup

- Understand key challenges facing the healthcare industry related to internal auditing.  
- Learn what risks are emerging in the healthcare marketplace.  
- Hear about potential responses to the rapidly changing environment in healthcare today.

Steve Bunde has more than 20 years of compliance and audit experience in the healthcare industry. In his current role, he leads the department responsible for assessing operational, financial, and compliance related controls. On the compliance side, he focuses on health plan and research operations, and also has experience with medical group, hospital, home care, and pharmacy activities. Bunde conducts new employee training on audit-related topics such as code of conduct, corporate integrity as well as presentations on privacy and fraud, waste, and abuse.

Learning Level: Intermediate  
Learning Field: Auditing
“In the process of recovering from recession, the manufacturing industry is facing many changes and challenges. Internal auditing is being charged with dealing with this evolving environment. This session will present an opportunity to hear from – and discuss with – internal audit leaders of major manufacturers on topics, including:

- Internal audit involvement in acquisitions and mergers
- Trade compliance for manufacturers
- Achieving audit coverage in diverse locations
- Auditing the manufacturing process

Please come with your questions and concerns, and plan on a lively, interactive session!”

Learning Level: Intermediate
Learning Field: Auditing
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Met Council
Beth Buse
MnSCU

Jim Nobles
Minnesota State Auditor

Magdy Mossaad
City of Minneapolis

Session information to be uploaded soon

Learning Level: Intermediate
Learning Field: Auditing (Governamental)

Wednesday November 6, 2013 12:00 – 5:00 PM

E-8 through E-9:
CIA Exam Preparation Course: Part 3 — Internal Audit Knowledge Elements

Part 3 will be held during all concurrent sessions on Tuesday and on Wednesday. Registrants should attend all Part 3 sessions on both Tuesday and on Wednesday.

William Woodington, CIA, CRMA
President
Woodington Training Solutions, LLC

This Part 3 CIA course is designed to give candidates a high level introduction and overview of the topics covered on the Part 3 CIA exam. The course will reinforce your CIA knowledge, clarify topics, and build exam-day confidence. Taught by CIA-certified instructors, each attendee will have the opportunity to work through practice exam questions, learn test taking tips, and will receive the updated Version 4.0 Part 3 IIA CIA Learning System™ self-study print, e-book and online materials. Course topics will include:

- Governance/Business Ethics
- Risk Management
- Organizational Structure/Business Processes and Risks
- Communication
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- Management/Leadership Principles
- IT/Business Continuity
- Financial Management
- Global Business Environment

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

**Bill Woodington** spent 18 years managing the learning and development (L&D) function for Wells Fargo Audit & Security and previously worked for four years as an audit specialist supervising audit projects prior to moving into the L&D position. Prior to that, Woodington worked for First Bank System and Deloitte and Touché. As an independent consultant, Woodington delivers a variety of customizable audit, business writing, and leadership seminars.

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