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.

Raven Catlin is an internationally recognized expert, speaker, and consultant in internal auditing. She has more than 15 years of auditing and seminar facilitation experience. Before starting Raven Global Training, Catlin was a consultant for Experis and a senior manager at Protiviti. She held internal audit positions with Freddie Mac, Bank of America, and Philip Morris. Catlin is a contributing author to The IIA’s CIA Learning System.
Vicki McIntyre has helped CIA candidates successfully pass their exams for more than four years, having taught The IIA’s CIA Learning System through two California universities and at seminars and conferences. As a CIA and CPA, McIntyre manages her own internal audit and risk management consulting services firm. Her background includes internal audit, financial management, public accounting, regulatory supervision, and compliance management experience. With more than 20 years in the financial services industry, McIntyre has served as a regulatory bank examiner, and as a senior leader of both finance risk management. She also performs quality assessments of internal audit activities and is a passionate IIA volunteer leader.

Learning Level: Intermediate
Learning Field: Auditing

Monday May 19, 2014 8:30 – 9:45 AM

GS 1
Internal Audit 2014 on the Track and What the Finish Line Looks Like in 2020

John W. Wszelaki, CIA, CRMA
Senior Vice Chairman, IIA North American Board of Directors
Director of Audit, Commonwealth of Virginia, Dept. of Alcoholic Beverage Control

- Learn what moonshining and audit have in common.
- Hear one perspective on how auditors view themselves compared with stakeholders’ perceptions.
- Discuss emerging trends related to staffing, focus, and priorities.
- Share approaches on the new COSO framework and the Affordable Care Act.
- Understand the profession’s five imperatives for the remainder of the decade.
- Discover five areas that could derail the profession’s progress.

John Wszelaki has served for 15 years in the division with responsibility for agency risk mitigation, ARMICS (Commonwealth of Virginia’s version of Sarbanes-Oxley) testing, IT security standard compliance, and conducts financial, operational, IT, fraud, and compliance reviews. Wszelaki also oversees administrative investigations and conducting state hotline reviews. Prior to joining the Commonwealth, he served as managing auditor in charge of global audit and investigations for American Greetings Corporation for 22 years. Wszelaki is active in The IIA, serving key roles at the local, regional, national, and global levels. He contributes as a volunteer instructor for The Institute and has conducted several quality assessment reviews both as a participant and independent validator.
Learning Field: Specialized Knowledge and Applications  
Learning Level: Intermediate

Monday  
May 19, 2014  
10:15 – 11:30 AM

CS 1-1  
COBIT5: The Intersection of Business Needs, IT Services, and Assurance

Mark Thomas  
President  
Escoute, LLC

- Understand the key components of the governance of enterprise IT (GEIT) to include the 5 principles and 7 enablers of the COBIT5 framework.
- Recognize the differences between COBIT4.1 and COBIT5.
- Learn how to apply COBIT as a valuable tool in scoping and executing assurance activities while maintaining enterprise value.
- Learn implementation strategies to successfully adopt COBIT5 or transition from COBIT4.1.

Mark Thomas is a nationally known ITIL and COBIT expert with more than 20 years of professional experience. Thomas has led large teams in outsourced IT arrangements, conducted PMO, service management and governance activities for major project teams, managed enterprise applications implementations, and implemented governance processes across multiple industries. His consulting spans industries including health care, finance/banking, manufacturing/distribution, services, high technology, and more. Thomas is respected as a consultative trainer and speaker in several disciplines.

Learning Field: Auditing  
Learning Level: Intermediate

CS 1-2  
Auditing Financial Planning and Analysis

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

Michael G. Vieceli  
Wealth Manager
Harbour Financial Resources, Inc.

- Explore the vital and complex objective of auditing an organization's investment planning, execution, and monitoring activities.
- Learn key processes necessary for successful and well-controlled investing functions.
- Identify fundamental activities within the investing process.
- Discuss the mechanics of choosing investment alternatives.

**Stephen Minder** has more than 35 years of experience in internal auditing, management, and accounting including senior leadership roles in audit with ADM, EY, and the Illinois Department of Revenue before co-founding YCN Group, LLC. He has designed and developed internal audit tools and specialized in IT audit, management, and security during his career. Minder also provides consulting services and QAR reviews/validations in addition to serving as a frequent training facilitator for The IIA.

**Mike Vieceli** is a wealth manager for Harbour Financial Resources, Ltd. He joined Harbour in 2002 and specializes in portfolio management and construction, as well as financial, insurance, and retirement planning. Prior to joining Harbour Financial Resources, Ltd., he was vice president of Finance/Operations for Polyline Corp. Before that, he held various positions as a financial adviser for Diversified Financial Group, Leading Edge, and IDS Financial Services. He also was an internal auditor for Archer Daniels Midland and Central Soya Co. Vieceli earned his Certified Financial Planner in 1988, Chartered Life Underwriter in 1997, and most recently the Retirement Income Certified Professional in 2013. He graduated from Indiana University in 1982 with a Bachelor of Science in Business. In addition, he holds the National Association of Securities Dealers Series 66 and the State of Illinois Life and Health Licenses. He also is a member of the Financial Planning Association.

Learning Field: Auditing
Learning Level: Intermediate

CS 1-3
Enterprise Risk Management: Focusing on the Right Risks

Michael Sargent
Director, Risk Management Services
CliftonLarsonAllen LLP

- Discuss factors driving the need for enhanced risk management.
- Learn a process for identifying, assessing, and prioritizing risks.
• Share information about key items to consider for enhancing risk management in organizations.

Mike Sargent is a director of Risk Management Services at CliftonLarsonAllen LLP. He is a subject matter specialist in enterprise risk management (ERM) with responsibilities that include supporting the delivery of governance, risk, and compliance-related (GRC) services that improve the overall corporate approach to managing risk. He has more than 30 years of experience in developing strategies; improving risk, governance, and financial management of private and public sector clients; and building and implementing successful management programs. Before joining CliftonLarsonAllen, Sargent held positions with Deloitte & Touche LLP, BearingPoint Inc., Arthur Andersen LLP, the City of Indianapolis, and the US Department of Defense.

Learning Field: Management Advisory Services
Learning Level: Intermediate

CS 1-4
The Affordable Care Act: Implications for Internal Auditors

C. Keith Powell
Actuary
Keith Powell & Associates

• Discuss the provisions of The Affordable Care Act that are most relevant to business.
• Dig into the underlying issues that the legislation attempted to address, and the likelihood that some legislation will address those issues in the future.
• Explore those provisions that warrant further careful analysis and even rethinking of prevalent attitudes on employees and insurance programs.
• Show details of the analysis needed to save money.

Keith Powell has many years of experience in the health area. For two years, he served as senior actuary for CCIIO, the federal agency responsible for implementing the Affordable Care Act. Before starting his own firm, Powell was a senior manager with Deloitte. Prior to his consulting career, he worked for Ford, Textron, two Blue Cross plans, and three insurer/HMO groups. For over 30 years, Powell's experience has concentrated in health care financing, pricing, product design, and financial reporting, and on working with federal and state agencies in health care.
Learning Field: Specialized Knowledge and Applications
Learning Level: Intermediate

CS 1-5 – CS 4-5 (this is a continuation of the Pre-conference session on Sunday)
CIA Exam Preparation Course: Part 3 — Internal Audit Knowledge Elements

Raven Catlin, CIA, CFSA
Trainer, Facilitator, Consultant Risk Management & Internal Audit
Raven Global Training

Vicki McIntyre, CIA, CFSA, CRMA
Vice President
FirstPlus Resolutions, Inc.

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:

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Raven Catlin is an internationally recognized expert, speaker, and consultant in internal auditing. She has more than 15 years of auditing and seminar facilitation experience. Before starting Raven Global Training, Catlin was a consultant for Experis and a senior manager at Protiviti. She held internal audit positions with Freddie Mac, Bank of America, and Philip Morris. Catlin is a contributing author to The IIA’s CIA Learning System.
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**Learning Field: Auditing**

**Learning Level: Intermediate**

**Monday May 19, 2014 12:45 – 2:00 PM**

CS 2-1

**Auditing Against ISO 27001/2**

Ronald W. Pelletier
Partner
Pondurance LLC

- Explore the rationale for enterprise implementation of general security frameworks and attestable frameworks.
- Look at the security program from the internal auditor's perspective
- Discover how to build a relevant and reusable audit program to measure growth and sustainability.
- Learn the pitfalls of typical security programs, and how to keep from becoming overwhelmed by the vast technologies intended to mitigate risk.

**Ron Pelletier** leads a team of seasoned security professionals to provide security risk management services that include the evaluation of security risk, assessing and implementing complex and enterprise security programs, evaluating and implementing traditional business continuity services, and evaluating and implementing crisis management and security incident response processes and programs (including forensic investigations). Prior to founding Pondurance, Pelletier was a technology and risk auditor with Ernst & Young for more than eight years, leading engagement teams with security program risk, attestable control environments, and compliance related endeavors such as such as SAS70 (now SSAE16), ISO
27001/2, HIPAA, PCI, and NERC CIP. He was also an active duty officer in the U.S. Army and reserve officer in the Indiana National Guard).

Learning Field: Auditing
Learning Level: Intermediate

CS 2-2
Auditing Anti-Bribery Compliance

Kathleen St. Louis, J.D.
Vice President, Finance, General Auditor
Eli Lilly and Co,

Courtney Hartnagel
Consultant, Corporate Audit Services
Eli Lilly and Company

- Gain an understanding of the global enforcement environment including recent high profile allegations and settlements.
- Understand the key elements of an effective anti-bribery compliance program.
- Learn how to plan the anti-bribery compliance audit including scoping processes and testing methodologies including the use of data analytics.

Kathleen St. Louis oversees and directs the internal audit function at Eli Lilly. Prior to her current role, she served as senior director of tax strategy and international taxes. St. Louis joined Lilly in 2006 with significant experience in both public accounting and industry, having previously served as vice president of finance and tax with Guidant Corporation, and also working with Arthur Andersen and Verizon. St. Louis served in leadership roles in a number of professional and not-for-profit organizations and currently serves as the chair of the Indiana University Maurer School of Law Dean’s Board of Visitors.

Courtney Hartnagel has planned, scoped, and lead audit engagements within the audit function at Eli Lilly since 2008. Prior to her current role, she served as a staff auditor for three years. In addition to leading audits, Hartnagel works on special projects including audit department training, fraud risk assessment, anti-corruption auditing, use of ACL and audit trends and metric reporting.

Learning Field: Auditing
Learning Level: Intermediate
CS 2-3
Ethics for Internal Auditors

James M. Reinhard, CIA
Audit Director
Simon Property Group, Inc.

- Gain an understanding of the IIA Code of Ethics and associated Standards.
- Expand your understanding of ethical behavior for internal auditors given various ethical dilemmas.
- Learn traits of good ethical behavior.
- Discuss ethical dilemmas faced by class participants.
- Examine approaches to deal with ethical dilemmas.

James Reinhard is an audit director for Simon Property Group, Inc., an Indianapolis-based real estate company. Reinhard has worked in various industries, including retail, insurance, health care, loan servicing, real estate investment trusts, state and local government, and nonprofits. He is an adjunct instructor at the Kelley School of Business, Indiana University – Purdue University - Indianapolis. As an active IIA member, he has presented locally and at national events, and served on the Professional Issues Committee. He also is a past president and board member of the Indianapolis chapter.

Learning Field: Behavioral Ethics
Learning Level: Intermediate

CS 2-4
ICD-10: Go-live Risk Management

David Ross
Senior Healthcare Consultant/Program Manager
RGP Healthcare

- Expand your understanding of the risks associated with the Oct. 1, 2014 International Classification of Diseases (ICD) compliance deadline for health-care providers, health plans, and covered entities.
- Hear about approaches to categorize and mitigate the various risks of implementing this mandate.
- Learn practical strategies to reduce operational and financial risks associated with ICD-10.
David Ross specializes in health-care IT, regulatory compliance, and patient safety. Since 2009, his primary consulting focus has been ICD-10 and U.S. Health Insurance Portability and Accountability Act (HIPAA) compliance, concentrating on operational and IT assessment, implementation and planning for health systems, health plans, government, and health systems. Before joining RGP Healthcare, he served in a variety of consulting and management roles for Siemens Medical Solutions and ACS/Xerox Healthcare.

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

**Monday May 19, 2014 2:30 – 3:45 PM**

**CS 3-1**  
**Implications of the Cybersecurity Executive Order / Cybersecurity Legislation**

Bari Faudree  
Director, Cyber Risk Services  
Deloitte & Touche LLP

- Learn how the executive order supports actionable initiatives to improve system and asset security and resilience.  
- Explore the National Institute of Standards and Technology (NIST) framework designed to reduce cyberrisks to critical infrastructure.  
- Share insights into how corporations may leverage this framework and improve their cybersecurity and risk programs.

Bari Faudree currently serves as the Deloitte national security lead for implementation of the health insurance exchanges and integration eligibility systems as a part of health reform and the Affordable Care Act. He has more than 23 years of IT experience in security strategy and large scale system implementations, ERP - SAP/Oracle systems integration, identity and access management implementations, system transformation, privacy, data protection, incident breach and remediation, and many additional areas. Faudree has more than seven years of internal audit experience working with various industry standards, security and vulnerability assessments, IT risk assessments, as well as financial, operational, and IT audits.

**Learning Field: Computer Science**  
**Learning Level: Advanced**
CS 3-2  
**Data Analytics: Great Resources to Get You Started**

Steve Biskie  
Managing Director  
High Water Advisors, Inc.

- Understand the key activities for getting started with data analytics.
- Hear case studies from audit departments that have successfully leveraged data analysis to improve processes.
- Discuss common barriers and techniques for overcoming them.
- Review freely available resources that can help move your program forward.

**Steve Biskie** specializes in transforming inefficient processes and technologies to optimize GRC and audit performance. A leader in the audit and compliance space for more than 20 years, Biskie is a thought leader and expert on implementing high-value, sustainable analytics and continuous audit programs. His advice has been sought by hundreds of organizations in more than a dozen countries, and he has helped more than half of the Fortune Global 50 most admired companies. He has authored dozens of articles, published a book on auditing the SAP system, and is a two-time IIA All Star speaker.

**Learning Field:** Auditing  
**Learning Level:** Beginner

CS 3-3  
**Business Risk of Fraud**

Trak Patel  
Director, Client Service - Risk Assurance Leader  
RGP

- Learn key strategies and tips to performing a fraud risk assessment.
- Hear actions companies are taking to prevent and detect fraud.
- Review case studies of actual fraud investigations and lessons learned.
- Understand the business implications and after-effects once a fraud has occurred.

**Trak Patel** recently joined RGP, most recently having served as the vice president of internal audit at Regal Beloit, where he was responsible for all internal audit functions worldwide, including Sarbanes-Oxley compliance; operational, financial, and IT audits. Prior to Regal Beloit, Patel served as director of internal audit and compliance at Snap-on Incorporated for 7
years. He is a prominent speaker on subjects including risk assessment, fraud, Sarbanes-Oxley, managing co-source relationships, data analytics, and effective communication.

Learning Field: Management Advisory Services  
Learning Level: Intermediate

CS 3-4  
Acquiring a Water and Wastewater Utility: Flushing out the Risks

Kristine D. Kuhn  
Director of Internal Audit and Enterprise Risk Management  
Citizens Energy Group

- Learn internal audit’s role in the acquisition of Indianapolis water and wastewater utilities.  
- Understand the model developed and used by internal audit from due diligence through post acquisition.  
- Hear about risks organizations face as they complete acquisitions and how internal auditors can help organizations mitigate them.  
- Discover ways to demonstrate the skills and competencies of internal auditors that can add value to all M&A deals.

Kristi Kuhn has been director of Internal Audit and Enterprise Risk Management for Citizens Energy Group since 2004. Kuhn has responsibility for internal audit, ERM, and the Sarbanes-Oxley program. Before joining Citizens, she served as director of Internal Audit Operations for Textron Inc., and held lead audit positions with several major Indiana employers, including Hillenbrand Industries, Cummins Engine, and Ernst & Young. Kuhn’s professional affiliations include serving as a past member of the Board of Governors of The IIA, where she served as chapter vice president. She was named a Distinguished Faculty Member for the National IIA Seminar Program and was an adjunct faculty member in internal auditing and cost accounting at the University of Indianapolis.

Learning Field: Finance  
Learning Level: Intermediate
Monday May 19, 2014 4:00 – 5:15 PM

CS 4-1
Cloud Governance & Security Risks – SaaS

Jason D. Claycomb
Principal
INARMA LLC
Corporate Governance Officer, OS33

- Learn about Software as a Service (SaaS).
- Gain an understanding of “the cloud” and its main varieties (SaaS, IaaS, and PaaS).
- Learn the risks associated with outsourcing IT for select business functions.
- Hear how service provider control objectives may not be aligned with internal control objectives.
- Determine how to audit controls that should be in place at SaaS providers.

Jason Claycomb has been a security and controls evangelist for 27 years, starting his career in IT audit with a Chicago bank, then working with PricewaterhouseCoopers and serving as national director of IT Services at Experis (formerly Jefferson Wells). He has consulted on control techniques with hundreds of companies ranging from start-ups to the Fortune 500. He brings a practical approach to the design or assessment of controls that should be in place within an organization based on that organization’s risk tolerance, management style, and regulatory requirements. In addition, Claycomb currently serves as the corporate governance officer for a cloud services organization.

Learning Field: Specialized Knowledge and Applications
Learning Level: Intermediate

CS 4-2
How an Effective HR Audit Mitigates Risk and Avoids Unnecessary Employment Litigation Costs

Scott James Preston
Shareholder
Jackson Lewis P.C.

- Expand your understanding of comprehensive human resources (HR) audits.
- Understand how and why the attorney-client privilege applies to HR audits.
- Identify critical risk areas and provide real-life examples of poor decision making.
• Demonstrate why performance management tools are essential in managing risk.
• Explain effective and economical strategies for dispute resolution and disclose effective ways to reduce legal spending on employment law.

Scott Preston provides advice and counsel on human resources issues and employment law to privately held and publicly traded companies around the country. He regularly counsels employers on risk management initiatives and works with clients to mitigate risk and avoid unnecessary litigation costs. He frequently conducts training to workforces of all aspects and counsels employers on policies and procedures to ensure they comply with state and federal law. Moreover, he represents clients before federal and state administrative agencies as well as state and federal courts. He is a highly experienced and strategic litigator, having received his training with an international law firm in Los Angeles.

Learning Field: Auditing
Learning Level: Intermediate

CS 4-3
Code of Conduct: Leading Practices

Mark Sifferlen
Vice President, Ethics & Compliance; Corporate Secretary
Cummins, Inc.

• Hear the history of the Code of Business Conduct and improvements made at Cummins Inc., recognized as "one of the most ethical companies in the world" and as one of the “top 100 corporate citizens, and improvements made.
• Learn about certification processes and approaches to global training and awareness.
• Examine ways to advance these practices in your organization through audit activities and more.

Mark Sifferlen oversees the company’s compliance with its Code of Business Conduct and its ethics and compliance program. He also serves as the company’s corporate secretary and focuses on corporate governance and compliance with the Securities and Exchange Commission and the New York Stock Exchange. Sifferlen has been with Cummins since 2000 and has held positions as deputy general counsel and assistant corporate secretary, and senior counsel. He launched Cummins’ online compliance training program in 2005 and is the primary author of the company’s Code of Business Conduct. Prior to joining Cummins, he was with Consolidated Products and Baker & Daniels.
CS 4-4
Financial Institutions Regulatory Update

Dennis M. Hild
Director, Regulatory Affairs
Crowe Horwath, LLP

- Get an in-depth update on regulatory activities surrounding Dodd-Frank, Basel III, and consumer financial regulation and understand how they are impacting internal audit and compliance functions at financial institutions.
- Hear about key areas of focus for federal regulators during recent examinations that have created significant regulatory challenges for banks and credit unions of all sizes.
- Learn some best practices in meeting increasing regulatory compliance challenges and staying ahead of the curve on current regulatory developments.

Dennis Hild is a director in the financial institutions practice at Crowe Horwath and is based in Washington, D.C. In his current role, Hild serves as the direct liaison with the federal financial institution regulators and closely monitors updates to regulatory guidance, evaluates the impact on financial institutions and client engagements, and serves as technical adviser to Crowe clients on technical inquiries related to financial institution risk management issues and regulatory requirements. He has more than 20 years of regulatory policy experience working with financial institutions. He spent nearly 15 years in various roles with the U.S. Federal Reserve System, where he developed an advanced knowledge of credit analysis and credit administration, regulatory capital structure, and bank governance and internal audit practices.

GS-2
Assessing Your Data Analytics Maturity

Steve Biskie
Managing Director
High Water Advisors, Inc.
- Review data analytics guidance provided by The IIA and other recognized thought leaders.
- Understand the key components of the audit data analysis maturity model.
- Learn key steps for progressing through each phase of the maturity model.
- Walk away with five tangible activities you can undertake to improve your program.

**Steve Biskie** specializes in transforming inefficient processes and technologies to optimize GRC and audit performance. A leader in the audit and compliance space for more than 20 years, Biskie is a thought leader and expert on implementing high-value, sustainable analytics and continuous audit programs. His advice has been sought by hundreds of organizations in more than a dozen countries, and he has helped more than half of the Fortune Global 50 most admired companies. He has authored dozens of articles, published a book on auditing the SAP system, and is a two-time IIA All Star speaker.

*Learning Field: Auditing*

*Learning Level: Beginner*

**Tuesday**

**May 20, 2014**

**10:15 – 11:30 AM**

**CS 5-1**

**Bring Your Own Device: Risk Management and Audit Considerations for a BYOD-enabled Environment**

John Maynor  
Director  
PricewaterhouseCoopers LLP

Nick Reva  
Manager, IT Risk & Security Assurance  
PricewaterhouseCoopers LLP

- Discuss the BYOD issue in terms of benefits and risks.
- Hear success stories from those who experience implementation challenges.
- Learn how to build a BYOD-aligned audit plan.
- Discuss the future of BYOD.

**John Maynor** is a director with 14 years professional experience in private industry and at PwC. Maynor has experience in building security governance practices within diverse industries, and he has performed HIPAA/HITECH risk assessments for numerous health-care organizations. In addition, he is adept at quickly understanding core business processes of
organizations and implementing focused risk management and controls programs. He combines his IT risk management experience and information security knowledge to assist clients in their overall risk management programs. He has performed IT controls review and optimization for clients looking to enhance their control environment. Most recently, Maynor has focused on assisting clients with vendor risk issues, including designing and implementing vendor risk management programs and performing on-site vendor assessments. Before joining PwC, he developed and maintained information security programs for Fortune 500 companies, including policy and awareness programs.

**Nick Reva** has more than nine years of experience in cloud, network, and information security. Prior to PwC, Reva was a lead security engineer for M&M MARS Inc. where he developed Information security technology to defend platforms and endpoints against cyberthreats and helped deploy a BYOD program. He has extensive experience with cloud and mobile risk and security. Reva has authored industry thought leadership on cloud and mobile security and spoken at IT conferences around the world. Reva has been named a Cloud Security Expert by www.SearchCloudSecurity.com.

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

**CS 5-2**  
**Data Analytics: Making the Move to Continuous Auditing**

Steve Biskie  
Managing Director  
High Water Advisors, Inc.

- Understand the differences between “normal” audit analytics and those to be used for continuous auditing.  
- Explore how to overcome common hurdles.  
- Discuss strategies for creating an effective rollout plan.  
- Review use cases for dashboards and other newer technologies.

**Steve Biskie** specializes in transforming inefficient processes and technologies to optimize GRC and audit performance. A leader in the audit and compliance space for more than 20 years, Biskie is a thought leader and expert on implementing high-value, sustainable analytics and continuous audit programs. His advice has been sought by hundreds of organizations in more than a dozen countries, and he has helped more than half of the Fortune Global 50 most admired companies. He has authored dozens of articles, published a book on auditing the SAP system, and is a two-time IIA All Star speaker.
Learning Field: Auditing  
Learning Level: Intermediate  

CS 5-3  
Anti-Bribery Regulatory Update  

Anthony A. DiMambro, CIA  
Senior Manager, Advisory Services  
Deloitte & Touche LLP  

Vito Giovingo  
Senior Manager  
Deloitte Financial Advisory Services LLP  

- Gain insight into emerging trends related to anti-bribery risk and enforcement.  
- Learn about internal controls aimed at improving an organization's anti-bribery compliance programs beyond Sarbanes-Oxley.  
- Understand how internal audit can be influential in helping a company achieve its compliance goals.  

Anthony DiMambro has more than 12 years of audit and consulting experience and assists chief audit, compliance, and risk officers with the development and execution of risk mitigation strategies and programs with a background in automotive and heavy equipment manufacturing. DiMambro focuses corporate and organizational governance, finance operations, and controls improvement.  

Vito Giovingo has ten years of experience providing forensic accounting services and works with legal, compliance, and risk officers to reduce the risk and cost of corruption and fraud. He has assisted clients in the consumer products, retail, manufacturing, banking, health and life sciences, education, re-insurance, and technology industries with conducting investigations into allegations of fraud and bribery, performing due diligence in connection with mergers and acquisitions, and conducting assessments of compliance with anti-fraud, anti-bribery, and U.S. trade sanctions regulations. Giovingo has published articles on corruption risk in Russia and Latin America and speaks on various corruption risk and compliance related topics.  

Learning Field: Specialized Knowledge and Applications  
Learning Level: Intermediate
CS 5-4  
Six Sigma for Internal Audit  

Teresa Snedigar, CIA, CCSA  
Director, Internal Audit  
Indiana Public Retirement Systems  

Manuel Mendez  
Director, Office of Audit and Performance  
City of Indianapolis  

- Review how one organization utilizes Lean Six Sigma methodologies and discuss the benefits of the strategy.  
- Learn how IndyStat provides process improvement and performance auditing opportunities.  
- Discuss new tools and measures within internal audits that can help advance business processes.  

Teresa Snedigar oversees the agency that handles retirement funds, a portfolio of nearly $30 billion in assets, for the majority of the state’s public service employees. She has more than 20 years of experience in the internal audit profession and has implemented new departments for two organizations. Prior to joining INPRS, Snedigar worked for Finish Line Inc, The Titus Group (a consulting company), Great Lakes Chemical, SAFECO Insurance, Lincoln National Group, Hillenbrand Industries, and Accordia Insurance. She teaches and speaks nationally on a variety of internal audit topics including Lean Sigma, ERM, control self-assessment, and information systems auditing.  

Manny Mendez oversees the department charged with institutionalizing Lean Six Sigma across the enterprise, performing process improvement projects, and conducting internal audit activities. He is a certified Six Sigma Black Belt and a mayoral cabinet member. Prior to joining the city, Mendez served as process improvement manager for Fifth Third Bank conducting Lean Six Sigma projects and auditing vault operations. He previously owned his own small business and served in the US Army for 9 years.  

Learning Field: Auditing  
Learning Level: Intermediate
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- Managing the Internal Audit Function
- Managing Individual Engagements
- Fraud Risks and Controls

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**Raven Catlin** is an internationally recognized expert, speaker, and consultant in internal auditing. She has more than 15 years of auditing and seminar facilitation experience. Before starting Raven Global Training, Catlin was a consultant for Experis and a senior manager at Protiviti. She held internal audit positions with Freddie Mac, Bank of America, and Philip Morris. Catlin is a contributing author to The IIA’s CIA Learning System.

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

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**Tuesday May 20, 2014 12:45 – 2:00 PM**

**CS 6-1**  
**Auditing Cloud Computing and Identifying Bring Your Own Cloud (BYOC) Risks**

Jared Hamilton  
Senior Manager, Technology Risk  
Crowe Horwath, LLP

- Learn how to assess and audit the security of a cloud computing environment.  
- Identify key areas to include in your cloud governance plan.  
- Understand how to match up business needs with cloud security controls.  
- Discover how to audit and assess the growing risks associated with BYOC.  
- Diagnose unauthorized cloud services in use on your internal network.

**Jared Hamilton** works in Crowe’s Technology Risk Consulting group and has 10 years of security and privacy consulting/auditing experience. He currently leads Crowe’s Information Security Assessment practice, focusing on information security and compliance assessments, penetration testing, and cloud computing risks. Jared’s experience spans multiple industries, including health care, financial institutions, manufacturing, insurance, higher education, utilities, and government.

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

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**CS 6-2**  
**Meeting the Challenge of Third-party Risk Management**

Matthew R. Bowser, CIA  
Senior Manager
Crowe Horwath, LLP

- Discuss the challenges third parties present to managing risk and the impact of omitting third parties in an enterprise’s risk management strategy.
- Learn a framework for effectively managing the risk presented by third parties.
- Share best practices on integrating third-party risk management into the operational risk management strategy.

**Matt Bowser** is a senior manager in Crowe Horwath’s Risk Consulting Practice and has more than 15 years of experience. Before working as a consultant, he worked in a bank’s internal audit department. Bowser has performed internal and IT audits as well as quality assessment reviews of internal audit activities. He also assists clients with corporate governance and risk management, including third-party risk management, and he helps his clients build sustainable ERM programs.

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

**CS 6-3**
**Can You See Fraud?**

Brenda Buetow  
Senior Manager, Risk Compliance  
Crowe Horwath LLP

- Discover a new way to look at your organization’s transactions and other data to help detect fraud.
- Learn how to visualize your data and see accounting transactions that represent suspicious activity.
- Gain a new vision of how to prevent and detect fraud in your organization.

**Brenda Buetow** is an experienced consultant and white collar crime investigator in Crowe Horwath’s Risk Consulting Services practice. Her 20 years of experience has included participating in and managing numerous investigations involving money laundering and terrorist financing, mortgage fraud, loan fraud, embezzlement, corruption, employee theft, and asset misappropriation. She is a respected fraud investigator who has authored and presented articles at the national and international levels on fraud prevention, detection, and investigation.

*Learning Field: Auditing*
Learning Level: Intermediate

CS 6-4
The Role of Auditing in the Public Sector

Nicholas DiMola
Principal
Quality Plus & Associates

- Learn about the role of the government auditor.
- Find out how government auditors help provide good public sector governance.
- Discover the unique challenges government auditors face in meeting their audit responsibilities.
- Learn the key elements of an effective government audit function.

Nicholas DiMola is the cofounder and a principal at Quality Plus & Associates (QP&A), an internal audit service firm. Established in 2007, QP&A specializes in performing reviews of internal audit functions and activities, as well as providing internal audit training. DiMola has more than 35 years of financial and internal audit experience in the transportation and government sector. He served more than 20 years as the chief audit executive for the Metropolitan Transportation Authority (MTA) and six years as vice president and chief financial officer for the MTA Long Island Rail Road. He currently serves as a member of the IIA New York Chapter Board of Governors and was a past president of the chapter. He is active with The IIA’s international committees, where he has served as chairman of the Professional Conferences Committee.

Learning Field: Auditing (Governmental)
Learning Level: Intermediate

Tuesday May 20, 2014 2:30 – 3:45 PM

CS 7-1
Cloud Governance & Security Risks – IaaS/PaaS

Jason D. Claycomb
Principal
INARMA LLC
Corporate Governance Officer, OS33
- Learn about two common cloud service platforms. Infrastructure as a Service (IaaS) is the most basic cloud offering where a company needs to provide and support the operating system and application. Platform as a Service (PaaS) enables a company to install and manage an application at a third party.
- Expand your understanding of cloud provider options and their impact on your business.
- Identify different control and audit strategies based on service provider arrangements.
- Learn how to determine whether a Service Organization Controls (SOC) audit report is adequate for your needs.
- Review vendor management best practices.

**Jason Claycomb** has been a security and controls evangelist for 27 years, starting his career in IT audit with a Chicago bank, then working with PricewaterhouseCoopers and serving as national director of IT Services at Experis (formerly Jefferson Wells). He has consulted on control techniques with hundreds of companies ranging from start-ups to the Fortune 500. He brings a practical approach to the design or assessment of controls that should be in place within an organization based on that organization’s risk tolerance, management style, and regulatory requirements. In addition, Claycomb currently serves as the corporate governance officer for a cloud services organization.

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

**CS 7-2**
**Auditing Accounts Payable: Beyond the Basics**

Brent Warner, CIA, CRMA
Manager, Specialized Advisory Services
CliftonLarsonAllen LLP

- Understand the risks that exist within the accounts payable function.
- Identify key controls that should be in place within the accounts payable function.
- Learn to develop test steps for key controls.
- Lean how data analytics and continuous monitoring can enhance an audit of the accounts payable function.

**Brent Warner** has more than 13 years of internal audit experience, including internal audit outsourcing, Sarbanes-Oxley implementation and testing, risk assessments, internal controls reviews, and quality assessment reviews for clients in industries such as financial institutions, health care, not-for-profit, and government. Before joining CLA, he was a financial consultant manager for a Fortune 50 organization, responsible for Sarbanes-Oxley and SSAE 16 controls.
documentation and testing, risk assessment, finance process reviews, and finance policy compliance testing. He also spent 8 years in internal audit for a $6 billion bank holding company. He serves on the Board of Governors for The IIA’s Indianapolis chapter and is a member of The IIA, the American Institute of Certified Public Accountants, and the Indiana CPA Society.

**Learning Field: Auditing**

**Learning Level: Intermediate**

CS 7-3  
**ERM: Moving Up the Maturity Model**

Raven Catlin, CIA, CFSA  
Trainer, Facilitator, Consultant Risk Management & Internal Audit  
Raven Global Training

- Explore risk management models, including COSO ERM, ISO 31000, and the Kings Model.  
- Discuss leveraging two IIA practices guides in the pursuit of creating a world-class ERM program.  
- Review an example of an ERM maturity model.  
- Identify strategies to on moving through the ERM maturity stages.

**Raven Catlin** is an internationally recognized expert, speaker, and consultant in internal auditing. She has more than 15 years of auditing and seminar facilitation experience. Before starting Raven Global Training, Catlin was a consultant for Experis and a senior manager at Protiviti. She held internal audit positions with Freddie Mac, Bank of America, and Philip Morris. Catlin is a contributing author to The IIA’s CIA Learning System.

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

CS 7-4  
**IT Audits for Non-IT Auditors**

William C. Murphy, CIA  
Staff Information Systems Auditor  
State Farm Insurance

- Learn how non-IT auditors can provide value when completing IT audits.
Differentiate between IT infrastructure and IT application audits.
Use simple risk assessment techniques to identify IT application risk.
Expand your knowledge of IT controls testing.

**William Murphy** is responsible for coordinating, creating, and executing audit programs for a broad range of information systems (IS) applications, systems, and networks. Murphy has been an audit practitioner for more than 17 years with over 35 years' experience in IS-related fields, including COBOL mainframe programming, IS training development, information security, and IT audit. He has served as president of the Central Illinois chapter of The IIA and ISACA. He also served as the District Representative of The IIA for Central Region 3 and on ISACA's NACACS conference committee.

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

**Tuesday May 20, 2014 4:00 – 5:15 PM**

**CS 8-1**
**Effective IT Governance: Business Criticality Driven Controls**

James Yang
Director, Business Resiliency
Cummins Inc.

Joshua W. Murer, CIA, CRMA
Director, Global IT Audit and Process Services
Cummins Inc.

- Gain insight on how a simple process can help you objectively prioritize any assets (e.g., business processes, IT systems, information, or facilities) by business criticality across the enterprise, regardless of size and purpose.
- Learn to align controls to the business’ risk appetite and apply them as the governing factors for process, application, data, infrastructure, and facility compliance.
- Simplify your audit effort and boost the audit effectiveness by measuring existing capability against defined controls and presenting actionable scorecards, so as to create a virtuous cycle of continuous operational risk reduction.

**James Yang** pioneered the “Business Criticality Driven IT” framework, which provides a simple yet powerful way to catalogue IT assets and a dashboard-style view of how an IT asset is positioned by business criticality. Yang was selected by the ISACA Certification Exam
Development Committee as a subject matter expert in risk identification, evaluation, response, and monitoring for the Certified in Risk and Information Systems Control (CRISC) certification.

Joshua Murer is an experienced governance, risk, and compliance professional with more than 15 years of accounting, finance, and internal audit experience. In his current role, Murer is responsible for global process audits, global IT audits, management advisory services, and fraud investigations. He previously worked for Crowe Horwath LLP, Deloitte, and Cardinal Health, Inc.

Learning Field: Business Management & Organization
Learning Level: Intermediate

CS 8-2
Auditing and Monitoring of Capital Projects

Clint Hangebrauck, CIA, CRMA
Director of Quality Control and Risk Management
NCAA

Thomas Hein, CIA
Lead Auditor
Eli Lilly and Company

- Learn one Fortune 500 company’s approach to monitoring global capital projects and their expenses.
- Understand the critical elements of a capital project’s project management processes.
- Learn how risk-sharing arrangements in capital projects are related to risk management and auditing.
- Review a risk assessment approach to identify capital projects’ processes for audit.
- Understand various controls that should be in place for capital projects.

Clint Hangebrauck oversees the quality control and risk management processes for the NCAA’s Enforcement Group. At the NCAA, he has served in such roles as internal audit director, enterprise risk management committee vice chair, and chair of the information security task force. Before joining the NCAA, Hangebrauck was a manager at a top 10 public accounting firm, where he specialized in outsourced internal audit engagements. During that time, Clint worked with many clients across multiple industries to perform capital project audits, capital vendor audits, capitalization audits, and many other capital-related engagements.
Tom Hein has worked for Lilly for 23 years, including nine years in various internal audit roles. He is currently a lead auditor in Lilly’s Corporate Audit Services and spends much of his time on third party, global business process, and anti-corruption audits. For four years, Hein led Lilly’s Capital Controllership and Audit group, which monitored and audited the company’s $1 billion in annual capital spending. Between audit assignments, Tom worked in financial controller roles in manufacturing and a global partnership.

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

CS 8-3
Prescriptions for Fraud Investigation Nightmares

John H. Straub, CIA
President
Straub Accounting LLC

- Learn why understanding the rules and principles of discovery is at the center of a successful fraud investigation.
- Recognize that a fraud investigator’s findings must withstand tremendous scrutiny.
- Understand that if you do not have a solid grasp of rules of evidence, investigation process, independence, organization, workpaper documentation, and the meaning of perseverance, you will fail.

John Straub is a consultant and expert witness in criminal and civil litigation matters and founded his own accounting firm that specializes in fraud investigation and prevention, expert witnessing, due diligence, dispute resolution, lost profits and earnings, estate services, financial statements, tax, and business advisory. He is a nationally recognized public speaker on fraud investigations and a former Fortune 100 chief financial officer/vice president who has worked in public accounting and industry for more than 35 years. Straub has co-authored two books on health-care reimbursement.

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

CS 8-4
Assessing the Risk of Supply Chain: What You Don’t Know Can Kill You

Scott Blankenship, CIA, CRMA
Learn how the risk to supply chains is the biggest risk to your organization — and likely is not included in your risk assessment.

Hear why supply chain risk is so important and its key role in assessing risk for your organization.

Participate in an interactive discussion focusing on the goals of supply chains and the risks they face.

Discuss the ways to assess and address risk, as well as best practices to incorporate supply chain risk into your risk assessment process.

Scott Blankenship has more than 20 years of accounting and internal audit experience and has served as the director of Internal Audit at H. D. Smith for the past five years. He has worked in manufacturing, wholesale and distribution, and financial services organizations. He has been a facilitator of IIA seminars since 2007 on numerous topics and serves as president of the Central Illinois chapter.

Learning Field: Specialized Knowledge and Applications
Learning Level: Intermediate

Wednesday May 21, 2014 8:30 – 9:45 AM

GS-3 Using the Updated COSO Framework to Reduce Costs and Increase Effectiveness

Larry E. Rittenberg, PhD., CIA
Professor Emeritus
University of Wisconsin

Learn the rationale for the update of the Internal Control–Integrated Framework and how it enhances control design and evaluation.

Understand internal audit’s leadership role in implementing the framework.

Discuss a controls rationalization process that has been used by companies to simultaneously (a) improve internal control over financial reporting and (b) reduce costs.

Discuss compliance and reporting objectives and why internal auditing should be prepared to expand its work in both of these areas.

Learn the relationship of the updated Internal Control–Integrated Framework and COSO’s Enterprise Risk Management–Integrated Framework (as well as others).
Larry E. Rittenberg is the former Ernst & Young Professor of Accounting and Information Systems at the University of Wisconsin and currently serves on the board of directors and chairs the audit committee of Woodward Inc. He is a former chair of The Committee of Sponsoring Organizations of the Treadway Commission (COSO) as well as a member of the COSO Advisory Group that updated the *Internal Control–Integrated Framework* in 2013. Rittenberg also wrote “COSO *Internal Control–Integrated Framework: Turning Principles Into Positive Action,*” for The IIA Research Foundation. Rittenberg is a member of The IIA’s International Professional Practices Oversight Board, served as president of The IIA Research Foundation, and has written numerous publications sharing his professional expertise with leading accounting and audit journals.

*Learning Field: Auditing*

*Learning Level: Intermediate*

**Wednesday**

**May 21, 2014**

**10:15 – 11:55 AM**

**GS-4**

**CAE Panel**

Larry E. Rittenberg, PhD., CIA
Professor Emeritus
University of Wisconsin

Harold Silverman, CIA, CRMA
Vice President, Internal Audit
The Wendy's Co.

Brian D. Thelen
General Auditor and Chief Risk Officer
General Motors Corp.

Tracy Sokol, CIA, CRMA
Vice President, Internal Audit
State Farm®

- Compare the roles of an internal audit function to a well-oiled racing team: driver, pit crew and chief, car owner, sponsor, media, and sanctioning body.
- Gain insights into the views of an experienced audit committee chair.
• Share in the panelists’ views on what contributes most to their effectiveness and ability to accomplish objectives.
• Look into the future to see what these voices of experience see in the near future for internal auditing.

Larry E. Rittenberg is the former Ernst & Young Professor of Accounting and Information Systems at the University of Wisconsin and currently serves on the board of directors and chairs the audit committee of Woodward Inc. He is a former chair of The Committee of Sponsoring Organizations of the Treadway Commission (COSO) as well as a member of the COSO Advisory Group that updated the Internal Control–Integrated Framework in 2013. Rittenberg also wrote "COSO Internal Control–Integrated Framework: Turning Principles Into Positive Action," for The IIA Research Foundation. Rittenberg is a member of The IIA’s International Professional Practices Oversight Board, served as president of The IIA Research Foundation, and has written numerous publications sharing his professional expertise with leading accounting and audit journals.

Harold Silverman previously was vice president of internal audit at Houghton Mifflin Harcourt Publishing Co. in Boston. Before that, he served as senior manager of internal audit at Raytheon Co., where he managed and led the team that performed audits at the corporate locations and divisions in the northeast. Prior to Raytheon, Silverman was an internal audit manager at PricewaterhouseCoopers, and he gained external audit experience at Arthur Andersen.

Brian Thelen joined GM in 2011 as general auditor and shortly thereafter assumed the CRO role. He previously served as vice president of audit services for Delphi Corporation. Thelen has more than 25 years of progressively responsible audit and other professional experience with Waste Management, Inc., American Standard Companies, Inc., and Ernst & Young. In addition to his audit responsibilities, Thelen helped to develop and enhance WMI’s corporate ethics and compliance programs. He was also responsible for development of the Sarbanes-Oxley compliance programs and the implementation of ERM programs.

Tracy Sokol began her career at State Farm in 1992 and has held leadership positions in financial operations and compliance leading to her current role. Her areas of emphasis include financial and statistical reporting, strategic planning, and incentive compensation. Prior to joining State Farm®, Sokol worked at PriceWaterhouse and Growmark. She is an alumni of the Leadership Illinois program, a professional development organization for women who have distinguished themselves as leaders in their professional fields and civic endeavors.

**Learning Field: Business Management & Organization**
**Learning Level: Intermediate**
Wednesday May 21, 2014 1:00 – 3:45 PM

Roundtable-1
CAE Roundtable (additional registration required)

MODERATOR:
Richard Walke, CIA, CRMA
Vice President of Internal Audit and Compliance
FORUM Credit Union

- This session is designed as an open forum for chief audit executives or the most senior auditor in an organization.
- The format will allow all attendees to place topics on the table for discussion.
- Information discussed in this session will not be communicated outside of the session.
- This format will allow for a free-flowing expression of ideas and opinions on each of the topics introduced by the attendees.
- Time will be limited, and the session will be fast paced to allow all topics to be addressed adequately.

Rick Walke has been working in internal audit functions for financial services organizations for more than 26 years. He is vice president of Internal Audit and Compliance for FORUM Credit Union, a $950 million credit union based in Fishers, Ind. Walke has experience in developing and enhancing internal audit operations, operations improvement, organizational development, and risk management. He is a past officer and past Board of Governors member for the Indianapolis chapter of The IIA.

Learning Field: Specialized Knowledge and Applications
Learning Level: Intermediate

Wednesday May 21, 2014 1:00 – 6:00 PM

Workshop-2
CIA Exam Prep Course: Part 1 — Internal Audit Basics

Raven Catlin, CIA, CFSA
Trainer, Facilitator, Consultant
Raven Global Training

Vicki McIntyre, CIA, CFSA, CRMA
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.

Raven Catlin is an internationally recognized expert, speaker, and consultant in internal auditing. She has more than 15 years of auditing and seminar facilitation experience. Before starting Raven Global Training, Catlin was a consultant for Experis and a senior manager at Protiviti. She held internal audit positions with Freddie Mac, Bank of America, and Philip Morris. Catlin is a contributing author to The IIA’s CIA Learning System.

Vicki McIntyre has helped CIA candidates successfully pass their exams for more than four years, having taught The IIA’s CIA Learning System through two California universities and at seminars and conferences. As a CIA and CPA, McIntyre manages her own internal audit and risk management consulting services firm. Her background includes internal audit, financial management, public accounting, regulatory supervision, and compliance management experience. With more than 20 years in the financial services industry, McIntyre has served as a regulatory bank examiner, and as a senior leader of both finance risk management. She also performs quality assessments of internal audit activities and is a passionate IIA volunteer leader.

Learning Field: Auditing
Learning Level: Intermediate