New CAE Roundtable: Pathways to Success in Your New Role

Those new to the audit leadership role will have an opportunity to network with likeminded individuals and seasoned professionals to learn and exchange strategies, and tools and techniques that will foster positive outcomes within the first year and beyond. Attendees will discuss, review, and evaluate competencies to be an effective leader in internal auditing. Attention will focus on strategies to gain and maintain success in those new to their leadership roles.

In this session, attendees will:
- Network with likeminded leaders in the profession.
- Hear from audit executives who will share success strategies within the first year of being in the role.
- Learn from seasoned professionals and discuss the future of internal audit.
- Participate in roundtable breakout discussions.

General Session 1: Bridging the Cybersecurity Gap: Government and Industry Roles

Leonard E. Bailey
Special Counsel, Criminal Division
U.S. Department of Justice

Cybersecurity is a complex, distributed problem. Maintaining the security of data and information systems is now a core challenge facing every business, but responding to evolving cyber threats is not a responsibility that businesses — or the government — can shoulder alone. How do U.S. government agencies and Industries forge effective partnerships that improve the security and resilience of networks and the confidentiality and integrity of data?

In this session, participants will:
- Characterize the scope and nature of cybersecurity challenges facing industry and the government.
- Learn how the US Department of Justice views evolving cyber threats.
- Describe the elements of effective collaboration between the public and private sector to counter cyber threats.
- Discuss how existing partnerships must be fortified to succeed.

Leonard Bailey serves in National Security in the DOJ’s Computer Crime and Intellectual Property Section (CCIPS) and as senior member of CCIPS’ Cybersecurity Unit. He joined the department’s Terrorism and Violent Crime Section in 1991. In the late 1990’s, Bailey served as special counsel and special investigative counsel to the department’s inspector general where he supervised sensitive investigations of department officials and programs. In 2000, he joined CCIPS where he has prosecuted computer crime and intellectual property cases;
advised on matters related to searching and seizing electronic evidence and conducting electronic surveillance; chaired the Organization of American States’ Group of Government Experts on Cybercrime; and helped establish the CCIPS Cybersecurity Unit. In 2009, Bailey moved to the National Security Division where he focused on offensive cyber policy, critical infrastructure protection, and national security cyber authorities as senior counselor to the assistant attorney general. He then served as an associate deputy attorney general where he coordinated intradepartmental and interagency cyber policy and the department’s work with the National Security Council. Bailey returned to CCIPS in 2013. He has taught law courses on cybersecurity and cybercrime at Georgetown Law School and Columbus School of Law in Washington, D.C.

Monday | March 12, 2018 10:15 – 11:30 a.m.

**General Session 2: The Brain Science of Performance: Managing Emotions in A Complex World**

Dr. J.P. Pawliw-Fry
Emotional Intelligence (EQ) Thought Leader
Leadership, Performance, and Change Expert

Today’s business environments are facing big challenges: accelerated rate of change, threat of disruption, ambitious targets, and aggressive competition. People want to do well but they frequently experience these organizational challenges as pressure, which can result in reduced diminished performance, lower engagement, and an inability to deal with change. It doesn’t have to be this way. Based on his *NY Times* best-selling book, *Performing Under Pressure, The Science of Doing Your Best When it Matters Most*, Dr. Pawliw-Fry will discuss how to handle pressures and manage emotions so you can reach your most challenging goals and succeed.

In this session, participants will:

- Discuss what exceptional leaders do differently to help their people manage change and perform at their best.
- Analyze the science behind why people, teams, and organizations respond the way they do to impending change and what to do about it.
- Review specific traps that leaders fall into that doom transformative change, and how to course correct when they appear.
- Learn how to help teams take the necessary risk required to be aggressive learners and create an innovative culture.
- Identify concrete tools to manage one’s own emotions under pressure and specific tools to connect and lead others to enhance their performance under pressure.

**Dr. JP Pawliw-Fry** is one of the highest rated lecturers at Kellogg School of Management’s Executive Education Program and an internationally renowned thought leader on the subject of Emotional Intelligence (EQ), leadership, performance, and managing under pressure. He serves as advisor to numerous Fortune 100
companies, including Johnson and Johnson, PwC, Goldman Sachs, HSBC, as well as Olympic medal winning athletes, and he has coached senior leaders at several Fortune 100 companies as well as Olympic and NBA coaches, the U.S. Army and U.S. Navy, and CIA. Dr. Pawliw-Fry’s training includes Harvard Medical School’s Mind/Body Medical Institute, and he speaks with individuals and leaders around the world, helping them improve their performance and understanding of emotional intelligence. He is an expert in performing under pressure and is one of the world’s most highly sought-after keynote speakers on the topic. Dr. Pawliw-Fry co-authored the bestselling book, Performing Under Pressure: The Science Of Doing Your Best When It Matters Most, with noted psychologist Hendrie Weisinger. He taught executive education at Queen’s University Executive Development Center as well as the Kellogg Graduate School of Management, and is a contributing columnist for The Economic Times.

Monday | March 12, 2018
12:45 – 1:45 p.m.

CS 1-1: The Future of Cybersecurity in Internal Auditing

Nathan Anderson
Senior Director, Internal Audit
McDonald’s Corporation

Chris Wilkinson, CISSP, CRISC
Principal
Crowe Horwath

Lucas Morris, CISSP
Senior Manager, Risk Consulting Practice
Crowe Horwath

Just as the profession evolved and adapted to IT’s growing importance, internal audit must once again adapt and evolve to address critical cybersecurity risks. This session will focus on the speed at which the role of the internal auditor is changing in the area of cybersecurity and cover the three broad categories highlighted in the results of a survey Crowe recently conducted jointly with The IIA’s Audit Executive center and the Internal Audit Foundation.

In this session, participants will:
- Understand the potential future needs of validating the effectiveness of cybersecurity risk management.
- Learn how to determine opportunities for improvement in terms of the level of collaboration and support among various groups.
- Understand the evolving responsibilities of internal audit in addressing cybersecurity issues.
- Recognize the growing need for cybersecurity technical expertise and experience needed as they look at attracting and retaining talent.
Nathan Anderson oversees IT audit, Sarbanes-Oxley, and data analytics for a Fortune 500 company. He focuses on identifying and addressing risks in areas such as technology, digital, legal, customer engagement, and analytics. Anderson has 18 years of experience in audit, consulting, and software development. In addition to McDonald’s, he has worked at Sears Holdings, Crowe Horwath, Xactly Corporation, Arthur Andersen, Hewlett Packard, and Accenture.

Chris Wilkinson specializes in technology risk services and has more than 15 years of experience focused on providing business continuity planning and penetration assessments. His expertise has included assisting organizations in the areas of information security strategies, penetration testing, cybersecurity assessments, and IT forensics. Prior to joining Crowe, Wilkinson delivered security services for a global consulting firm.

Lucas Morris has 11 years of experience in information security and privacy. He has extensive knowledge of current network security risks and vulnerabilities, including current exploit tactics and tools, particularly in the area of penetration testing of networks and applications. Morris also has expertise regarding information security governance and management with expertise ranging from operating as an information security officer through managing information security frameworks and governance.

CS 1-2: In Conversation With... Maximizing Effectiveness of Audit Committee Reports

Facilitator:
Cyndi Plamondon, CIA, QIAL, CISA, CCSA, CGAP, CFSA, CRMA
Senior Vice President and Chief Knowledge Officer
The IIA

Speaker:
Denise Dickins, Ph.D., CIA, CPA
Associate Professor
East Carolina University
Audit Committee Chair
Watsco, Inc.

The role of the audit committee in risk management and corporate governance is essential. The effectiveness of communication between the internal audit function and the audit committee is a critical component in providing this assurance. To be successful in this role, it is important that information communicated from the internal audit function is impactful.

In this session, participants will:
- Identify strategies to build a relationship with the audit committee.
- Explain how to discern what is important to the audit committee.
- Discuss communication strategies in strengthening the relationship and becoming a strategic partner with the executive team.
- Review components in setting annual performance objectives.
Cyndi Plamondon has responsibility for global revenues comprising more than US$16 million and leads a professional staff of more than 45 members in the areas of professional standards and assessments, professional and stakeholder relations, governance, and quality assessments. Prior to her most recent appointment, she served as vice president of global professional certifications, responsible for the administration, development, and execution of 12 certification exams in 20 languages delivered in 165 countries. Prior to that, she held posts including vice president of professional practices overseeing the development and distribution of standards and guidance for internal audit professionals around the world; vice president of educational programs; and manager of quality assurance reviews. As a member of the internal audit profession, Plamondon was director of internal audit for PSS World Medical Inc. and inspector general for the University of North Florida (UNF). She also worked in internal auditing for Prudential Insurance Co. for nearly 10 years in both the insurance and financial services areas. Plamondon regularly facilitates seminars and speaks at conferences on behalf of The IIA. She is a certified course developer/designer and has received The Institute’s Distinguished Faculty Member designation.

Dr. Denise Dickins teaches courses in auditing, corporate governance, accounting ethics, and fraud examination. As an academic researcher, her investigations on the impacts of mandatory auditor rotation and other auditing and corporate governance matters have been published in various academic, pedagogical, and practitioner journals including Auditing: A Journal of Practice & Theory, Issues in Accounting Education, and the CPA Journal. Dr. Dickins is a member of the Board of Directors of Watsco Inc., as chair of the audit and compensation committees. She has also served on the board of directors and audit committees of three other publicly traded companies over the last 10 years. From 1983 to 2002, she was with Arthur Andersen, and in her last role served as partner-in-charge of the South Florida audit practice.

CS 1-3: Unconscious Bias and the Effect on Audit Reporting

Harold Silverman, CIA, QIAL, CRMA
Vice President, Internal Audit
The Wendy's Company

Leveraging his experience in working in various industries and geographies, Mr. Silverman will discuss the effects of unconscious biases. Further, he will provide strategies for managing these biases with a particular emphasis on the audit reporting process. Attendees should plan to join the session with an open mind towards biases that they didn’t even know that they have.

In the session participants will:

- Learn strategies for identifying these biases
- Gain an understanding of the effect of bias on the audit reporting process
- Develop tools for managing unconscious biases
- Be challenged to join the session with an open mind towards biases that they didn’t even know that they have
Harold Silverman previously served as vice president of internal audit at Houghton Mifflin Harcourt Publishing Co. Before that, he served as senior manager of internal audit at Raytheon Co., managing the team that performed audits at corporate locations and divisions in the northeast. Prior to Raytheon, Silverman was an internal audit manager at PricewaterhouseCoopers, gaining external audit experience at Arthur Andersen. He currently serves as Chairman of the IIA’s Global Professional Development Committee and on The IIA’s North American Board.

CS 1-4: Fully Rotational Model

Allen Cooper, CIA, CRMA
Vice President, CAE
Treehouse Foods Inc.

During this interactive session, Cooper will discuss the characteristics of a fully rotational talent model and will compare it to what could be considered a more traditional non-rotational talent model.

In this session, participants will:
- Learn about the pros and cons of the fully rotational model.
- Consider aspects of each model and choose whether or not to implement such a model.
- Be encouraged to bring, and share, their experiences and unique points-of-view.

Allen Cooper has more than 25 years of experience in internal audit, financial reporting, financial planning and analysis, supply chain finance, and consulting gained primarily within the manufacturing, distribution, and retail industries. Prior to joining ConAgra Foods, Inc., Cooper held finance and accounting leadership roles at General Electric, Armco Inc., and EY. He has experience establishing internal audit functions as well as transforming underperforming audit functions. Cooper instituted a fully rotational model in the internal audit department at ConAgra Foods and invests a significant amount of his time in the recruitment and development of talent.

CS 1-5: Trends in Healthcare Innovation (Healthcare Industry)

Wendy Kemp, CIA, CPA
Assistant Vice President, Audit & Compliance
Baptist Health South Florida

Jeff Sopshin, CPA, CISA
Partner
EY
This session will address the evolving role of internal audit in innovative healthcare organizations such as changes in delivery, evaluation of fraud risk, managing the organization’s response to evolving external risks, implementation of robotics, and other key financial and patient management systems.

In this session, participants will:

- Develop audit approaches to address recent innovations in the healthcare industry.
- Explore the benefits of utilizing an innovative approach to fraud risk assessment.
- Explore audit’s role in incident response management to drive audit and improvement opportunities.
- Discuss audit’s role in technology changes such as robotics and other system implementation projects.

**Wendy Kemp** has more than 20 years of experience in auditing and finance. After dabbling in retail, she started her career in public accounting. She then accepted responsibility for the internal audit function at Baptist Health South Florida, one of America’s preeminent healthcare institutions. Headquartered in Coral Gables, Florida, Baptist Health is a $4 billion organization composed of 10 hospitals, more than 40 physician practices, and more than 50 outpatient facilities. Baptist’s clinical quality ranks them among the best in the nation, according to data from the U.S. government.

**Jeff Sopshin** leads the Risk Advisory practice in South Florida and has over 30 years of experience in information technology management, auditing, and security and risk management, and has been responsible for a large number of clients in diverse industries. Sopshin is responsible for managing a team of information technology auditors and consultants who provide advisory and assurance information technology services. He is particularly involved in IT strategy, IT audit, information security, business process and internal control analysis, ERP Integrity, Project Risk Management, Service Organization Control reviews and Sarbanes-Oxley consultation. He has been a frequent presenter on SOX 404, IT internal controls, and information security topics.

**Monday | March 12, 2018**

**CS 2-1: Using Data Points to Assess Corporate Culture**

Brian Christensen, CPA  
Executive Vice President, Global Internal Audit  
Protiviti

Katie Shellabarger  
VP, Chief Audit Executive  
CDK Global, Inc.

The culture of an organization is the mix of shared values, attitudes, and patterns of behavior that give the organization its particular character. Many internal audit departments are encountering new and uncharted territory when they are asked to audit the culture of the organization.
In this session, participants will:

- Discuss what it means to audit an organization’s culture and how to start the process.
- Understand the relationship between organizational culture and risk culture.
- Explore auditing the “tone-at-the-top.”
- Identify methods to incorporate data analytics into the processes that monitor an organization’s culture.
- Review key data points that indicate a potential problem with an organization’s culture.

**Brian Christensen** is a member of Protiviti’s executive leadership team and is the current global leader of the firm’s Internal Audit and Financial Advisory Solution. In this role, he is responsible for the development and execution of Protiviti’s internal audit products. Christensen has more than 30 years of experience in helping clients increase the value of their internal audit function. He is a frequent speaker on auditing and risk topics at national conferences.

**Katie Shellabarger** leads the internal audit function that delivers financial, operational, and IT audit and consulting services. In addition, she oversees the company’s service organization controls reporting program. Prior to joining CDK, Shellabarger was a director at Caesars Entertainment Corporation leading business process improvement initiatives and special projects and directing Sarbanes-Oxley program efforts. In addition, she has nearly 15 years of top-tier audit and consulting experience, including Protiviti and Deloitte & Touche LLP where she provided internal audit and Sarbanes-Oxley services. Shellabarger began her career in the Audit and Business Advisory Practice at Arthur Andersen LLP specializing in financial services.

**CS 2-2: Leading With Emotional Intelligence**

Raoul Ménès, CIA, CCSA, CRMA, FCPA, FCMA, FCMC, CFE, CCEP-I, C.Adm
Chief Audit Executive
AV Homes, Inc.

Intelligence quotient (IQ) is useful in academia, but what about in our work environments? Is there something missing that IQ doesn’t address? Emotional Intelligence (EI) allows us to identify, assess, and manage our own emotions and understand those of others. This presentation will help you recognize and understand emotions while guiding your actions.

In this session, participants will:

- Understanding Emotional Intelligence and its usefulness in the workplace.
- Identify ways to improve perception and social skills.
- Learn about Emotional Intelligence for CAEs.

**Raoul Ménès** has been delivering internal audit, risk management services for more than 24 years. His experience includes optimizing internal audit and enterprise-wide risk management programs, and performing risk assessments. Currently, he has established his organization’s internal audit activities and strengthened the ERM and compliance functions to be value-added, risk-based, and strategically aligned throughout the corporation. Ménès has deep expertise in fraud risk assessment, interview and interrogation, fraud detection,
investigation, and employee theft examinations. He is the author of numerous thought papers on IA, ERM, and GRC and a frequent speaker on internal audit, risk management, ethics, compliance, and leadership.

**CS 2-3: Combined Assurance in Today's World of Audit**

Frank Obermeyer, CPA, CISA, CPCU, PMP  
Vice President, Internal Audit  
Cincinnati Financial Corporation

Michael Gowell, CPA  
General Manager, SVP  
Wolters Kluwer

Combined Assurance is a fairly new term to internal auditing, meaning integrating or aligning the various assurance activities in an organization for a more comprehensive or holistic approach to improving the effectiveness of its governance, risk, and control activities. In this session, we will review the results of a survey to gain a greater understanding and establish a baseline of the state of combined assurance and discuss reasons for and against the concept.

In this session, participants will:
- Examine the concept of Combined Assurance in more detail to understand its applicability to your processes.
- Engage in live polling to benchmark practices against their peers.
- Benchmark against the results of our 2017 practitioner survey.
- Identify opportunities to apply the concept of Combined Assurance within your own organizations.

**Mike Gowell** leads all aspects of the global TeamMate operations and is responsible for the overall product strategy. With more than 25 years of audit, audit methodology, and audit management software experience, he is a leading expert on audit technology and audit management systems. As project director at PwC, Gowell founded TeamMate in 1993, and which eventually became part of the Wolters Kluwer family. He has personally implemented TeamMate at over 300 corporations and is a frequent keynote speaker at national and international industry conferences.

**Frank Obermeyer** has led the internal audit department serving Cincinnati Financial Corporation since 2011. He has more than 23 years of professional experience, most notably in the areas of technology project risk consulting, data analytics, Sarbanes-Oxley, and information technology controls auditing. He has presented at numerous training, roundtable, and panel events.

**CS 2-4: Innovative Approach to Auditing Data**

Steve Randall  
Partner  
Vonya Global
Data analytics has multiple facets and approaches, encompassing diverse techniques under a variety of names. The degree to which internal audit departments leverage data analytics within the audit process is equally as varied. This session will provide a benchmark based on the data analytics maturity curve and demonstrate innovative methods to advancing along the curve.

In this session, participants will:
- Learn tips on how to get started
- Understand what types of data is available
- Understand how to get/source the data
- Be provided examples of innovative data analytics

Steve Randall has over 25 years of management and consulting experience with specialized skills in project management, operational efficiency, internal control, and conflict resolution. He provides independent counsel, identifies core issues, develops strategic solutions, and provides leadership through tenuous situations. Randall has published many articles covering topics including leadership, risk management, internal audit, and data analytics.

Raymond Bees began his audit career at a progressive Fortune 500 company and audit department that included control self-assessment, risk-based auditing, integrated IT/finance teams, and data analytics in its governance, risk management, and compliance (GRC) audit “arsenal”. He has continued to expand his use and reliance on data analytics to this day, leading Fortune 100/500 global audit teams and building on career experience across business/process integration, systems implementations, and data governance.

CS 2-5: Model Risk Management (Financial Services Industry-Insurance)

Stacey Schabel, CPA
Vice President & Chief Audit Executive, Jackson
North American Audit Director, Prudential plc

Rich Godfrey, CISA
National Advisory Leader, Insurance
Deloitte & Touche LLP

Effective management of model risk is key to the success of financial services organizations, and, as such, is a focus of regulators across the globe. Are you familiar with model risk management components and concepts? What is internal audit's role in assessing model risk management activities? How can internal audit fulfill its role in a way that aligns with the size of its organization and IIA standards?
In this session, participants will:

- Gain understanding of the business significance and regulatory expectations related to model risk.
- Acquire key model risk management concepts and components.
- Learn internal audit’s role in assessing an organization’s model risk management activities.
- Identify an approach, based on examples, for internal auditors to assess model risk management activities in their organization.

**Stacey Schabel** is responsible for the North American Group-wide Internal Audit team, which examines and evaluates the key activities and processes supporting the North American operations of Prudential plc, which includes Jackson National Life Insurance Company. She assists the Board, Audit and Risk Committee members and executive management in protecting the assets, reputation and sustainability of the organization through assessment and reporting of the overall effectiveness of risk management, control and governance processes. Schabel is a member of the IIA’s Global Financial Services Guidance Committee, the IIA Chief Audit Executive Engagement Committee Chair for the Lansing, Michigan Chapter, as well as a CPA and FINRA Series 6 registrant.

**Rich Godfrey** is the national insurance advisory leader and partner at Deloitte. He has more than 20 years of experience in risk management. Godfrey assists insurance clients with the implementation and improvement of their risk management and compliance functions. He specializes in enterprise risk management (ERM), compliance and regulatory advisory, financial process remediation, business process control and improvement, cyber risk, and data quality and integrity.

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**Monday | March 12, 2018**

**CS 3-1: Communicating Audit Results and Insights in the Age of Disruption and Speed**

Norman Marks, CPA, CRMA
Author

The traditional audit report has a standard format and follows prescribed guidelines for the presentation of audit findings. But the world around us is changing dramatically and rapidly. Is this not a time when internal audit practitioners should challenge traditional methods? Do they meet the needs of our stakeholders? Are we doing enough to influence how management runs the organization by sharing our assurance, advice, and insights?

In this session, Norman Marks will challenge traditional practices and suggest an approach that focuses on understanding what matters to our stakeholders and then delivering that actionable information in a readily-consumable form.
In this session, participants will:

- Learn what our stakeholders need from us: valuable assurance, advice, and insight.
- Focus on what matters to the enterprise, not just to processes or business units.
- Understand why traditional audit reports are poor communication vehicles.
- Commit to tell stakeholders what they need to know, when they need to know it.
- Acquire communication techniques that work.
- See how effective communication involves not just sharing but talking.

Norman Marks is an advocate for “better run business,” focusing on risk management, internal audit, corporate governance, enterprise performance, and the value of information. He is also a mentor to individuals and organizations around the world. Marks was the chief audit executive of major global corporations for 20 years and is a globally recognized thought leader in the professions of internal auditing and risk management. In addition, he has served as chief risk officer, compliance officer, and ethics officer, and managed what would now be called the IT governance function (information security, contingency planning, methodologies, standards, etc.). He ran the Sarbanes-Oxley Section 404 programs and investigation units at several companies. Marks has authored four books: World-Class Risk Management; Management’s Guide to Sarbanes-Oxley Section 404: Maximize Value Within Your Organization; World-Class Internal Audit: Tales from my Journey; and How Good Is Your GRC? Twelve Questions to Guide Executives, Boards, and Practitioners. He is a member of the review boards of several audit and risk management publications (including the magazines of The IIA and ISACA, a frequent speaker, the author of award-winning articles, and a prolific blogger about better run business, consistently rating as one of a top global influencer.

CS 3-2: Agile Internal Auditing: Walmart’s Journey to Elevating Internal Audit’s Performance and Value

Brandi Joplin
Senior Vice President, CAE
Walmart

Shondae LeGrand, CPA
Senior Manager
Walmart

Ranjani Narayanan, CISA, CISSP
Senior Manager
Deloitte & Touche LLP

Sandy Pundmann
Managing Partner
Deloitte and Touche LLP

As internal auditors seek new ways to innovate in their roles, Agile Internal Audit (IA) is being explored. Walmart is on a journey using an Agile IA mindset to drive clearer outcomes, increased engagement, and improved documentation to produce valuable, timely results.
This session will explore drivers of effective change in internal audit, and how organizations like Walmart are using Agile IA today to foster that evolution. Presenters will discuss: how to define desired outcomes at the outset of an agile project; key tenets of successful adoption of Agile IA; and using Agile IA to solve business problems with enhanced planning, empowered teams, accelerated delivery cycles, and delivering valuable insights.

In this session, participants will:

- Develop a baseline understanding of Agile principles and its application to internal audit.
- Develop a refreshed and agile mindset to internal audit.
- Reference use cases of practical applications of Agile to IA projects, and associated benefits and lessons learned.

**Brandi Joplin** assumed the position of senior vice president, chief audit executive (CAE) in October, 2016. Joplin leads the global team that provides assurance on the effectiveness of risk management and the adequacy of the control environment across all of Walmart’s businesses. She reports functionally to the Audit Committee of the Board of Directors. Prior to her current role, she served as vice president international controller. Joplin led the group of international retail market controllers and managed the international segment accounting and reporting. She helped align the markets to the global controllership vision and drive accountability to achieve our global standards. Joplin joined Walmart in March 2009 and served as vice president of Walmart’s Global Internal Audit Services for North America, where she led the team providing audit and advisory services for United States and Canada business operations, as well as Walmart corporate functions.

Joplin is a member of the Women’s Officer Caucus leadership committee, and serves on the Walmart Foundation Board of Directors as well as the President’s Inclusion Council.

Prior to joining Walmart, Joplin worked for Alltel Corporation, the Little Rock, Arkansas-based Fortune 500 telecommunications company. During her 14-year tenure, she served in a variety of management roles within the Alltel finance organization, including vice president of accounting and finance and vice president of internal audit. Prior to Alltel, she worked for Arthur Andersen, LLP.

**Shondae LeGrand** is a senior manager on Walmart’s Global Audit team. Her responsibilities include leading agile internal audit efforts to transform the Global Audit Team to embrace and adopt agile ways of working. She has fifteen years' audit experience with ten years within internal audit.

**Ranjani Narayanan** specializes in the area of enterprisewide risk management and risk consulting services. She serves clients across consumer and industrial products and technology media and telecommunications industries. Narayanan provides information technology risk services to clients of various sizes and risk profiles. She has served in several roles during her tenure including risk management, internal audit, governance, cybersecurity, and finance transformation. Narayanan led large IT internal audit functions, both outsourced and co-sourced, and has extensive experience in Sarbanes-Oxley's requirements of internal controls over financial reporting.
Sandy Pundmann leads the U.S. internal audit practice within Deloitte Risk and Financial Advisory. She works with CEOs, chief risk officers, chief audit executives, and compliance officers to help develop company-specific risk programs, identify risks to add value, and leverage value-creation opportunities. Pundmann helps internal audit departments elevate their organization to provide assurance, advise, and anticipate risks. She is a frequent speaker and author on governance, enterprise risk management, and internal audit.

CS 3-3: Tools and Techniques Swap: Tactics for Cyber Resiliency

Daimon Geopfert, CISSP, CISM, CISA, GCIH, GREM, CEH
National Leader of Security, Privacy and Risk
RSM US LLP

Dan McNamara, CPA
Head of Internal Audit
Domino’s Pizza LLC

For some time it has been expected that internal audit teams would perform reviews of an organization’s cyber security controls, but as security continues to transition from a technical issue to a core enterprise risk, pressure is mounting for these audits to move away from “checkbox” technical reviews to true assessments of security capability and maturity. In this session we will discuss tools and methods that allow IA teams to more accurately determine the effectiveness of an organization’s security program even when the team itself is lacking resources with extensive security experience.

In this session, participants will learn:

- How to properly scope various aspects of a security audit, when technical reviews such as penetration testing are of value and when they can be misleading.
- How to leverage threat modelling and threat intelligence to focus the review for maximum effectiveness.

Daimon Geopfert specializes in penetration testing, vulnerability and risk management, security monitoring, incident response, digital forensics and investigations, and compliance frameworks within heavily regulated industries. He has more than 20 years of experience in a wide array of information security disciplines. Geopfert has served as the manager and lead technician for security assessments performed on some of the largest corporations and government entities in the world.

Dan McNamara has more than 15 years of experience in accounting and auditing. He currently leads the Internal Audit department at Domino’s Pizza, which is the largest pizza restaurant chain in the world with more than 14,800 locations around the globe. Previously he held various financial reporting positions, most recently as the Director of Financial Reporting, and Assistant Corporate Controller. McNamara began his career in the audit practice of PricewaterhouseCoopers LLP.
CS 3-4: Sound Bites Session: Navigating Technology Innovations

Moderator:
Richard Chambers, CIA, QIAL, CAP, CCSA, CRMA
President and Chief Executive Officer
The IIA

Presenters:
Innovative Use of Robotics in Internal Audit
Erin Morrow
Chief Auditor, Consumer
Citigroup

Marc Sabino
Chief Auditor, Innovation
Citigroup

This session will showcase how robotics can be used to drive insight within the internal audit profession, with practical examples from the field. Participants will gain knowledge of opportunities for bots in internal audit, dive into an actual internal audit bot, and explore the insight that it drives. This engaging session will delve into the bot journey, how it can relate to training programs, and what skills are needed for today and the future.

In this session, participants will:
- Have a better understanding of robotics and its application to internal auditing to drive insight.
- Know how to best incorporate robotics into the overall audit strategy.
- Learn the use of robotics in practice through a case study.
- Discuss the following challenges of bots:
  - Fear Factor – Are bots replacing auditors?
  - How do you audit the bot?
  - How do you ensure bots don’t become another form of an EUC to manage?
  - What are the regulatory issues of an external audit of bots?

The Impact of AI on Audit and Assurance
Dan French
Founder & CEO
Consider Solutions

With artificial intelligence and machine learning getting a lot of media attention, how do these techniques affect approaches to data analytics and the very concepts of audit and assurance? An advanced research program informs this talk in both concepts and practice.
In this session, participants will:

- Explore the current best practice in data analytics for risk and control assurance.
- See examples of advanced technology concepts that can be applied to risk and control assurance.
- Discuss the impact of emerging “Machine Learning” data science techniques.
- Analyze the impact of new approaches on risk and control assurance activities.

**Delivering Internal Audit Capabilities in a Cloud Environment**

Eugene Joung  
Senior Director of Internal Audit  
Snap, Inc.

As technology continues to become more dynamic and complex, internal audit is challenged to apply our standards in relevant ways. The cloud computing environment brings great convenience and efficiencies to technology operations, but what does it mean for internal audit? How can we help our partners maintain control of their environments even as they shift core technology infrastructure and capabilities to the cloud?

In this session, participants will:

- Identify the business drivers for moving to the cloud.
- Preparing for the challenges and risks of operating in a cloud environment.
- Learn how to align their audit approach to the cloud computing environment.
- Develop guiding principles for handling audit challenges in a cloud computing environment.

**Richard Chambers** is president and CEO of The Institute of Internal Auditors (IIA). He has more than four decades of internal audit and related experience. Chambers was national practice leader in Internal Audit Advisory Services at PricewaterhouseCoopers; inspector general of the Tennessee Valley Authority; deputy inspector general of the U.S. Postal Service; and director of the U.S. Army Worldwide Internal Review Organization at the Pentagon. He currently serves on the Committee of Sponsoring Organizations of the Treadway Commission (COSO) Board of Directors; the International Integrated Reporting Council (IIRC); and The IIA Board of Directors. Previously, he served on the U.S. President’s Council on Integrity and Efficiency; the Audit Board of the City of Orlando, Fla.; The IIA Internal Audit Standards Board; and The IIA North American Board. Chambers received the Association of Government Accountants (AGA) Frank Greathouse Distinguished Leadership Award and the National Association of Black Accountants (NABA) Legacy Award. Accounting Today named him one of the Top 100 Most Influential People in Accounting in 2012, 2013, 2014, and 2015, as well as one of 10 tweeters worth following. The National Association of Corporate Directors (NACD) named him one of the most influential leaders in corporate governance in 2013, 2014, and 2015. Chambers authored the award-winning book, Lessons Learned on the Audit Trail, which is available in five languages.

**Erin Morrow** oversees audits within cards, retail banking, mortgage, and commercial as well as looking after the consumer holding project. She joined Citi in 2013, having worked with the organization as an internal audit consultant to for ten months prior to joining the firm. Morrow focuses on audit and advisory work, consulting with organizations on process design, control design, process audits, and technology projects. In her consulting work, she supported several global banks in areas such as consumer audit, including retail and mortgage audit, consent order work, information security, vendor management programs, and the establishment of outsourced audit operations. Prior to joining Citi, Morrow was a principal in the financial
services practice of Grant Thornton LLP, leading the governance, risk and compliance practice in the northeast and served as the outsourced chief auditor for two regional banks as well as a global asset manager.

Marc Sabino was appointed chief auditor, head of innovation for audit at Citigroup in August 2017. He is responsible for the internal audit innovation team, which includes the strategic vision of an innovation strategy to support the mission of drive positive change and be a game changer in the industry. Sabino leads a team that identifies and executes innovation, automation opportunities, and performs data analytics to drive insights and operational efficiency.

Dan French has a background of 25 years in general management, consulting, performance improvement, process change, and technology. He participates in steering committees for improvement programs at organizations around the world and is a frequent speaker at conferences on risk and performance topics. French’s clients include Philip Morris International, AstraZeneca, BMW, Bayer, Sony Music, Vattenfall, Unicef, and more. His company provides advice, analytics and insight, best practice implementation, and technology integration to businesses around the world, helping to manage risk, simplify compliance, and optimize financial processes.

Eugene Joung is an internal audit executive with more than 20 years of global experience building and leading multi-functional global audit teams in the finance and technology industries. Getting his start in the profession as IT auditor, over the years Joung has expanded his risk and controls capabilities to cover financial, operational and compliance areas. In his current position, he oversees a broad range of responsibilities including internal audit, Sarbanes-Oxley, user metrics, and ERM.

**CS 3-5: Solving the Key Challenges of the Smaller Audit Group**

Alice Mariano, CIA, CPCU, CPA  
Director, Internal Audit  
North Carolina Farm Bureau Mutual Insurance Co., Inc.

Every internal auditor could use more resources, but the challenge is most acutely faced by the CAE who has only up to about eight auditors. The risks to be addressed keep growing, but there never seems to be enough time or resources to obtain, develop, and deploy the limited resources available. This session will focus on approaches a smaller audit group can use, leveraging strategies that have worked and resources available from The IIA.

In this session, participants will:
- Explore using flexible planning tactics.
- Discuss process disciplines that keep everyone on track.
- Identify tools available to CAEs of smaller groups.
- Join in an interactive session designed to allow for sharing great ideas.

Alice Mariano established the internal audit department at North Carolina Farm Bureau nine years ago. Previously she spent over six years with PricewaterhouseCoopers performing internal audit consulting services.
General Session 3: Big Data and Artificial Intelligence: Overview and Fireside Chat

Facilitator:
Shannon Urban, CIA, CRMA
IIA North American Board Chair

Speaker:
Patrick Schwerdtfeger
Business Futurist and Author

The explosion of big data technologies and the Internet of Things (IoT) have led to dramatic advancements in artificial intelligence (AI) and machine learning. These technologies are fueling innovation in predictive analytics, autonomous vehicles, virtual reality, and countless other fields. Patrick has accumulated dozens of case histories and success stories in a variety of different industries, allowing him to explain the trends in a way that people understand. His technology keynotes don’t get into technical specifications. Instead, they highlight trends and strategies for executive and managerial audiences.

In this session, participants will:
- Understand why artificial intelligence capabilities are accelerating
- Hear case histories where AI technologies are being deployed
- Predict which jobs are most likely to be replaced by automation
- Learn how to anticipate disruptive innovation in this industry

Shannon Urban has over 20 years of experience in internal audit, enterprise risk assessment, and control design and assessment. She specializes in assisting organizations to understand and assess risks within their operations, assessing the design of processes and controls, and providing tailored solutions. Urban currently serves as the internal audit competency leader for the Northeast region, and leads risk advisory and internal audit engagements at several clients in the Northeast area in the government, health care, life sciences, consumer products, and technology industry sectors. Urban is a leadership volunteer with The IIA, serving as senior vice chair of the North American Board and on the Global Board of Directors.

Patrick Schwerdtfeger specializes in technology trends including artificial intelligence, Fintech, blockchain, and social media. He has lectured at numerous academic institutions and is a regular speaker for Bloomberg TV. Schwerdtfeger is the founder of Trend Mastery Inc. and host of the Strategic Business Insights video blog, with over 20,000 subscribers and 4 million views on YouTube. He has spoken about business trends, technology, and digital marketing at hundreds of conferences around the world, and discussed Learned Intuition at the TEDx Sacramento event in 2012. Schwerdtfeger authored the award-winning book *Marketing Shortcuts for the Self-Employed*, and other titles including *Keynote Mastery: The Personal Journey of a Professional Speaker; Websify Your Business: Internet Marketing Secrets for the Self-Employed; and Make Yourself Useful: Marketing in the 21st Century*. Schwerdtfeger has been featured by the popular press including the *New York*
Times, LA Times, Reader’s Digest, CNN Money, NPR, Fortune, Bloomberg Businessweek, the Associated Press, MONEY Magazine, Forbes, and many others.

Tuesday | March 13, 2018 10:15 – 11:30 a.m.

CS 4-1: Leveraging Technology Disrupters as Part of the Future of Internal Auditing

Thomas Sanglier, CIA, CRMA, CPA  
Senior Director, Internal Audit  
Raytheon Company

Internal audit is not immune to the demands of the economic environment. Doing more and more for less and less is the standard operating model for nearly every organization. We can and should look to technology disrupters when looking to increase process efficiency and effectiveness.

In this session, participants will:

- Explore the opportunities that technology will create to transform internal audit, and things to consider for implementing a transformation.
- Learn how to identify and leverage available and evolving technologies to perform the audit of the future.
- Discuss the impact on individual skills necessary to survive in a technology-enabled audit model, and how to obtain and evolve those skills.

**Thomas Sanglier** is responsible for all internal audit risk assessments and the execution of projects. He joined Raytheon in 2010 from EY, where he was a partner in its advisory services practice. Sanglier is a frequent speaker at industry conferences on topics such as governance, risk assessment, anti-fraud and corruption, internal control, and audit leadership. He is Vice-Chair for the IIA’s Guidance Development Committee, a 2018 nominee for the North American Board and has been published in Internal Auditor magazine.

CS 4-2: Building Influence and Presence

Jacquelyn Wieland  
CEO  
Solutions Provided, LLC

Influence, Insight, and Impact are critical leadership skills. We will do a deep dive on the importance of influence and specific shifts you can make to unlock your influence potential. We will focus on three specific areas that will enhance your leadership and management ability as you drive change and transformation in your role.
In this session participants will:

- Understand how to lead and communicate with Influence so that they will be able connect and engage at meaningful levels.
- Expand knowledge on ability to be more insightful and perceptive when interacting with individuals to connect and engage in more meaningful conversations.
- Expand ability to be impactful and agile while working with various stakeholders to maximize results.

Jacquelyn Wieland founded her consulting firm which specializes in executive performance and high potential individual and team coaching with a focus on the development of leadership behaviors that characterize extraordinary leaders. She emphasizes leadership style, effective communication, and relationship building as critical building blocks to driving change, innovation and strategy. Wieland has coached and facilitated for organizations including NewsCorp, Moody’s Investor Services, Moody’s Analytics, AXA Insurance, C&A Financial, Scotia Bank, and Crédit Agricole. She holds certifications in the Birkman Method, Lumina Spark and Sales Personality Profiles, Metaplan Facilitation, and JMT certifications.

CS 4-3: Addressing Risk in a Dynamic World

Larry Baker, CCSA, CRMA
Managing Director, Internal Audit Foundation
The IIA

Paul Sobel, CIA, QIAL, CRMA
Vice President, CAE
Georgia-Pacific, LLC

Rick A. Wright, Jr., CIA
Director, Internal Audit & ERM
YRC Worldwide, Inc.

Is internal audit helping the organization get to the truth about its changing risk exposures? Are the right risks being elevated to the right people at the right time? Come hear three internal audit and risk management executives share decades of experience with risk assessments and enterprise risk management. Learn how internal audit can play a meaningful role facilitating the timely identification and communication of changing and emerging risks that could impact the achievement of company objectives.

In this session, participants will:

- Gain a better understanding of the new COSO ERM Framework.
- Learn how they can be an integral part of helping their organization successfully manage risk in uncertain times.
- Learn practical, real-world ERM approaches and techniques that have resulted in better decision-making.
- Gain insights into practical approaches for conducting risk assessments that support impactful audit plans.
Larry Baker is an accomplished internal audit executive with extensive experience in ERM, financial and operational audits, COSO, Sarbanes-Oxley, control self-assessment, and complex companywide special projects with Fortune 500 companies and Big 4 CPA firms. He has teamed with executive management to identify, measure, and report significant risks and operational issues for many of the world’s largest organizations. Baker leads content strategy and development for the Internal Audit Foundation. He also partners with the executive leadership team of The IIA to develop the global strategic plan and identify key enterprise risks. Prior to joining the Internal Audit Foundation of The IIA, Baker was a senior leader/partner at Devon Energy, MAPCO, Deloitte, EY, and Marsh & McLennan.

Paul Sobel has many years of experience in internal auditing leadership roles as a CAE for four public companies. He has published three books through the Internal Audit Foundation on audit topics and is a frequent speaker at industry conferences. Sobel is a long-time IIA volunteer leader including having served as IIA Global Chairman of the Board. In 2012 he was recognized in Treasury & Risk magazine’s list of the 100 Most Influential People in Finance. He has also served on the Standing Advisory Group of the Public Company Accounting Oversight Board (PCAOB) and as The IIA’s representative on the Pathways Commission, which developed recommendations to enhance the future of accounting education in the United States.

Rick A. Wright, Jr. has over 20 years of experience in internal audit practice and training. His career has included roles with various organizations, including Collective Brands, The IIA, Kansas City Southern Railway, and H&R Block. Additionally, he has served as an adjunct professor teaching accounting, finance, fraud, and strategic management courses. Wright has published several books through The IIA’s Internal Audit Foundation.

CS 4-4: Innovative Approaches to Putting Core Principles Into Practice: Panel Discussion

Facilitator:
Basil Woller, CIA, CRMA
Principal, Owner
Basil Woller and Associates, LLC

Speakers:
Yulia Gurman, CIA, CPA
Director, Internal Audit & Corporate Security
Packaging Corporation of America

Steve Sanders, CRMA
Vice President, Internal Audit
Computer Services, Inc.

Teresa Ward, CPA, CIA, CFSA, CRCM, CRMA
Head of Internal Audit
Great Western Bank
This panel discussion will provide insight into practical and meaningful ways to incorporate the Core Principles into the operating practices of the internal audit activity. Each panellist will describe their experience evaluating effectiveness of the Core Principles using the “Core Principles Effectiveness Framework” and share insights gained from the process. In addition, each panellist will share innovative approaches to embedding the Core Principles into the operating culture of their activity.

In this session, participants will:

- Gain insight into innovative approaches to evaluating the effectiveness of Core Principles in the internal audit activity.
- Gain an understanding of the relationship between the Core Principles and characteristics that define their effectiveness.
- Understand the challenges to evaluating effectiveness of Core Principles.
- Explore the benefits of incorporating Core Principles into the operating culture of the internal audit activity.

**Basil Woller** is one of the leading and most recognized external quality assessment (EQA) specialists in the internal auditing profession, with more than 35 years of experience in internal auditing and risk management, including risk identification, assessment, mitigation, corporate governance, and ethics and compliance. Woller led the global EQA services practice for Protiviti from 2006 to 2009 and played an active role in monitoring and executing EQA services on a firm-wide basis. He was also responsible for Protiviti’s peer review program related to its internal audit practice. Prior to this, Woller was the senior executive at El Paso Corporation, responsible for all aspects of a global internal auditing function, including the ethics and compliance program. He is a recognized thought leader in the internal auditing profession and is a frequent speaker on the topic of internal audit quality. He authored the current version of The IIA’s Quality Assessment Manual and recently published an article in *Internal Auditor* magazine entitled “Integrating the Core Principles Into Your QAIP.” Woller has personally been involved in executing over 250 quality assessments including both full scope reviews and validations of management’s self-assessment. He has served on The IIA’s Board of Directors and as chair of the Global Finance Committee.

**Yulia Gurman** is the director of internal audit and corporate security at Packaging Corporation of America (PCA), where she is responsible for internal audit, internal controls, and corporate security. Prior, Gurman served as vice president, internal audit at Retail Properties of America, Inc. (RPAI); director of internal audit at OfficeMax; and began her career as an external auditor at a public accounting firm. She is on the Board of Governors for the IIA’s Chicago Chapter and the Committee of Research and Education Advisors for the IIA. Gurman has spoken at SuperStrategies conferences, CAE Master’s Program, IIA International Conference, and the American Accounting Association’s Annual Meeting.

**Steve Sanders** oversees the evaluation of risks associated with IT, financial, and operational systems. He has a strong knowledge of cybersecurity and privacy, accompanied by an educational background in computer security and data protection. Sanders regularly speaks at conferences on information security, cybersecurity, and risk management.
**Teresa Ward** leads the internal audit function at Great Western Bank, a regional bank with nearly $12 billion in assets. Prior to joining Great Western Bank, she was an internal audit director at Mutual of Omaha leading the banking subsidiary audits and internal controls over financial reporting. She was previously the internal audit director at Commercial Federal Bank prior to being acquired by Bank of the West. Ward gained ten years of public accounting experience at KPMG. She serves on the local IIA chapter board and the IIA Exam Development Committee.

**CS 4-5: Internal Audit’s Sustainability Challenge: Vetting the Process to Provide Stakeholder Assurance**

**Facilitator:**
Douglas Hileman, CRMA, CPEA
President
Douglas Hileman Consulting

**Speakers:**
Jonathan Blaine
Head, Sustainability & Environmental Affairs
Henkel US Operations Corporation

Marie Hache, CIA
Director, Risk Assurance & Stability
PwC

Henry Shields
Executive Director of Finance and Analysis — Corporate Sustainability Division
MGM Resorts International

Sustainability has moved from a "green extra" to a core business issue, posing risk and offering opportunities. While management is generally supportive, processes, systems, and controls have not evolved to identify and mitigate risks, or to leverage opportunities. This panel will provide three perspectives on current issues, common pitfalls and leading practices.

In this session, participants will:

- Understand applicability of sustainability to any enterprise.
- Recognize risks and opportunities associated with sustainability.
- Learn examples of common gaps and leading practices.

**Douglas Hileman** has 40 years of experience in compliance, operations, risk management, and auditing. He has led his firm for nine years, after six years at PwC, nine years in industry, and over 15 years in management consulting. His firm has clients nationwide and he has led conflict minerals independent private sector audits (IPSAs) for the SEC conflict minerals rule for four consecutive years. His firm has innovative approaches to nonfinancial (or “sustainability”) reporting, and safety program management. Hileman is a frequent speaker for IIA events and other professional meetings nationwide.
Jonathan Blaine oversees sustainability & environmental affairs for a global manufacturer of detergents, cosmetics, adhesives, sealants and specialty materials used in the electronics and transportation sectors in North America and Latin America North. He has been with Henkel since May 2010 with a variety responsibilities including compliance assurance, due diligence, remediation, permitting, and regulatory support. He has 28 years of experience as an environmental professional, including 16 years as an environmental lawyer in private practice. Blaine provides significant expertise to Henkel in support of its commitment to sustainability and pursuit of environmental excellence.

Marie Hache has over 10 years of experience in sustainability and environmental reporting in Canada, Spain, and the U.S. She currently leads the sustainability and conflict minerals practices for the Southern California, Phoenix, and Las Vegas markets. Hache specializes in non-financial reporting, pre-assurance as well as improving sustainability programs and reporting using a long term value creation lens. In her role, she advises companies on the development, implementation and assessment of their sustainability programs, KPIs and carbon management strategies, as well as conducting sustainability and GHG emissions related audits. From the broadest scope to the narrowest focus, Hache works with companies to assess all risks and opportunities related to sustainability.

Henry Shields provides analytical oversight and support for all initiatives of the Corporate Sustainability Division, which was created by MGM for the purpose of elevating environmental responsibility to the level of a core company principal. His oversight includes the evaluation of strategies and tactics to deploy resources and reduce the environmental impact of company operations. Shields also manages elements of the company’s energy procurement, including activities in the regulatory environment.

Tuesday | March 13, 2018

CS 5-1: Is Your Business Continuity Plan Missing This Critical Piece?

Troy Harris, CBCP
Senior Director
RSM US LLP

Steven Hauser, CBCP, CISSP
Manager, Business Continuity
Emergency Management
Leidos, Inc.

In recent years, many organizations have worked to steadily enhance their Crisis Management Plan (CMP) to better prepare for disasters and other critical incidents. Leveraging modern options such as virtualization, replication, and the cloud means IT Disaster Recovery Plans (DRPs) are light-years ahead of where they were just a few years ago. But despite these enhancements, many organizations have overlooked enhancing – or even preparing – formal operational recovery plans.
In this session, participants will:

- Recognize the importance of integrating operational recovery plans into your BCP.
- Understand key factors to be considered when assembling your operational recovery plans.
- Identify audit criteria for assessing operational recovery plans.

**Troy Harris** leads RSM’s business continuity planning (BCP) consulting practice. He has over 15 years of BCP experience and has served as both an internal recovery coordinator and an external BCP consultant. Harris has served organizations in a variety of industries in both the public and private sectors. He and his team help organizations to prepare for disasters by assisting them to develop, test, and enhance their BCP, or by providing an objective assessment of their existing BCP and their overall program. Harris is a frequent speaker on disaster mitigation and recovery planning concepts at both the national and regional levels.

**Steven Hauser** is responsible for advising and guiding self-directed business resilience planning and preparation efforts for Leidos’ business units and corporate support operations. As the emergency manager with over 20 years of experience, Hauser monitors threats to the organization’s operating locations and employees around the world. He also manages its virtual emergency operations center, coordinating the interaction between impacted employees and operating locations, organizing corporate response and recovery resources.

**CS 5-2: Evolving Core Tasks for Improved Internal Audit Performance**

Thomas O’Reilly  
Director and Internal Audit Practice Leader  
AuditBoard

By innovating five traditional internal audit activities, CAEs can improve their chances to expand internal audit’s coverage, maximize the impact of individual audit projects, and help the Audit Committee perform their oversight function.

In this session, participants will:

- Review hot to present the draft audit plan to get approval for non-routine audit areas
- Discuss improving audit projects through the use of specialized knowledge
- Taking internal audit reports from good to great
- Enhance the focus of the CAEs audit committee reports
- Address how to turn auditees into raving Internal Audit fans

**Thomas O’Reilly** is a Director and the Internal Audit Practice Leader at AuditBoard. Formerly the Chief Audit Executive at Analog Devices, Tom spent the last decade helping to connect and share best practices with other audit leaders as the founder of the CAE Leadership Forum.
CS 5-3: Should Internal Audit Disrupt Its Own Business Model?

Lisa Hartkopf, CPA
Partner
EY

Rolf Spjelkavik
Vice President & Head of Group Internal Audit
Sandvik AB

Wayne Terry, CRMA, CFE
VP, Corporate Audit Services
Flowserve

Organizations are faced with an ever-increasing pace of change that requires a quick response and has the potential to alter their risk profile. Incremental changes have helped internal auditing do the same things faster (data analytics) with a better focus on risks (risk-based audit plans); however, the basic approach and methodology of internal auditing have not substantially changed. During this session we will discuss ways that internal auditing can provide more forward-looking strategic business insights and advice while delivering on its core objective of providing assurance over internal controls.

In this session, participants will:

- Discuss the nature and pace of change experienced by businesses around the world and internal auditing’s response.
- Share a number of ways that internal auditing can disrupt its own business model to better fulfill its mandate.
- Hear from panelists on how they have implemented innovation within internal auditing.

Lisa Hartkopf is with EY’s Advisory Practice and also serves as EY’s Americas internal audit leader. She has more than 21 years of public accounting experience working in assurance, transaction, and advisory services. Hartkopf leads the innovation, thought leadership, methodology, client service, and go-to-market growth initiatives around internal audit services in the Americas and works with clients to maximize operational effectiveness and efficiency of process, risks, and controls primarily with automotive, consumer products, and diversified industrial manufacturing companies. She has also assisted clients in their implementations of Sarbanes-Oxley, Japanese Financial Instruments and Exchange Law (J-SOX), and ERM programs.

Rolf Spjelkavik has extensive experience in internal audit, internal control, risk management, and assurance. Most of his recent assignments have been to transform internal audit functions to enhance delivery, efficiency, and quality in coordination with other assurance functions. Spjelkavik achieved his objectives with new and innovative thinking such as enhancing data analytics capabilities and introducing robotics to internal audit. Prior to joining Sandvik AB over four years ago, he was the head of group internal audit at Scania Group, and liaison officer for governance, risk, and compliance with the VW Group. Spjelkavik has worked in industry
sectors including FMCG, telecommunications, management consultancy, automotive industry, and industrial manufacturing around the world.

Wayne Terry joined Flowserve in 2011 and transformed the audit department from primarily a compliance-oriented function to a value-added business advisor function and a hub for future business talent. Previously, he was with Atrium Corporation for about five years and was promoted to vice president and CFO from his previous role as vice president of financial planning and analysis. Before Atrium, Terry held various executive positions including global manufacturing controller of the Composite Materials Group, division controller, and director of internal audit, with Owens Corning where he worked for about 22 years.

CS 5-4: Innovation in Internal Auditing

Greg Grocholski  
CAE, VP, Internal Audit  
SABIC

Stakeholders everywhere are demanding higher performance, higher value, more insights, and greater assurance from their internal audit functions to help them operate in an increasingly complex world. Internal audit, to remain relevant, has no option but to embrace change and apply an innovation mindset to meet current and future demands. This presentation will explore several areas of opportunity where innovation can be applied to enhance internal audit’s value.

In this session attendees will:

- Discuss a case visual on the audit execution methodology.
- Review several methodology steps where innovation can demonstrate enhanced value.
- Explore an innovation mindset for looking at every step within audit's execution methodology.

Greg Grocholski is responsible for leading and managing the internal audit department on a global level, to ensure the implementation of internal audit best practices worldwide, as well as to coach the company’s internal audit employees to maximize their contributions to achieving the company’s objectives. Grocholski is internationally respected in the audit field and is affiliated to ISACA, for which he has served in various leadership roles. Prior to SABIC, Grocholski attained an impressive track record in the global chemicals industry with more than 30 years of service at The Dow Chemical Company. He achieved numerous promotions in the audit and finance functions, most recently holding the posts of CAE and global director of business finance.

CS 5-5: Five Factors of Successful Talent Management (Government/Public Sector)

Russell Robinson  
Director, Organizational Development and Leadership, Federal Occupational Health  
U.S. Department of Health and Human Services
An organization’s talent management philosophy is a critical driver of the engagement experience of its workforce. As a driver of employee engagement, it impacts culture and various individual and organizational outcomes. However, very few public sector agencies and organizations have concrete plans to identify, select, on-board, develop, promote and off-board talent. This presentation will identify the successful factors of developing an organizationwide talent management philosophy, and how an agency dramatically increased its employee engagement score in the process.

In this session, participants will:
- Identify key factors in the development of a talent management process.
- Understand the impact change management has on the development process.
- Bridge the gap between academic employee engagement research and practical implementation.

Russell Robinson is a sought-after international speaker, employee engagement specialist, and author of numerous industry articles on building relationships and delivering results. His expertise is in exploring the relationships between employee engagement, employee voice, and employee silence within the Federal government. Prior to joining HHS, Robinson served as a budget analyst and quality assurance manager for the National Geospatial-Intelligence Agency for over five years, and as an analyst with the U.S. Department of Education’s internal control evaluation service.

Tuesday | March 13, 2018
2:00 – 3:00 p.m.

CS 6-1: In Conversation With...Crisis Management

Facilitator:
Doug Anderson, CIA, CRMA
Managing Director, CAE Solutions
The IIA

Speaker:
Tom McCormick
Senior Advisor
Stone Turn Group

Every organization experiences unexpected disruption from either known or unknown risks. Sometimes these disruptions are easily handled, sometimes they can nearly paralyze the organization as it tries to respond. In this session hear from an expert who has lived through a number of these disruptions and his suggestions on what he has seen is the most successful approach by an organization.

In this session, participants will:
- Understand the nature of potential disruptive events.
- Consider how organizations typically prepare for or respond to such events.
- Explore tactics that have proven to be most useful, or near useless, when disruption occurs.
Doug Anderson joined The IIA in 2016 after serving as an assistant professor at Saginaw Valley State University. Until 2013 Anderson worked with The Dow Chemical Company for 22 years. His roles at Dow included 16 years in internal audit (9 years as CAE), a global finance director in corporate controllers supporting acquisitions, divestitures, and joint ventures, and the finance leader for the global Dow latex business. Previously he spent 10 years with PriceWaterhouseCoopers.

Tom McCormick has more than 30 years of experience in risk, ethics, and compliance issues, helping companies develop and improve controls, risk management processes, and culture to comply with laws and regulations. He has worked with clients across various industries, including chemicals and manufacturing, energy, and financial services. McCormick is the former group ethics and compliance officer of BP, responsible for promoting, overseeing, and building the Group’s capability to ensure compliance with laws and regulations, BP’s code of conduct, and related Group standards. He coordinated with business leaders and functions such as legal and audit to identify and mitigate significant global compliance risks, including bribery and corruption, environmental and safety, and antitrust/competition laws. Previously, McCormick was associate general counsel and director of global ethics and compliance for The Dow Chemical Company, joining the legal department’s litigation section in 1986 after several years of private law practice. McCormick has lectured and taught seminars at professional organizations on ethics and compliance topics, including risk management, developing and maintaining an ethical culture, and conducting internal investigations.

CS 6-2: Preparing for the Future of the Profession

Jenitha John, CIA, QIAL
Chief Audit Executive
FirstRand Ltd.

Organizations have embarked on rapid transformation journeys. This means that internal audit must be equally able to reboot itself to remain relevant. The evolution of artificial intelligence and robotics have impacted organizational risk management and data governance, and accordingly the audit approach and methodology needs refreshing. This session will unravel response plans to the rapid transformation of the profession.

In this session, participants will:

- Acquire response plans that are innovative, agile, and insightful.
- Gain tools to remain astute and proactive with the ever changing risk landscape.
- Explore how internal audit can remain relevant during rapid transformation.
**Jenitha John** oversees an audit team of 300 servicing the organization over the African continent, UK, and India. She spearheaded combined assurance within FirstRand and fosters robust risk management, reinforcing rigorous internal controls, and facilitating effective corporate governance across the group. She parallels her executive role by having served as a nonexecutive director and audit committee chairman of both public and private sector entities. John has served in numerous roles as a volunteer leader for The IIA’s Committee of Research and Education Advisors, Professional Practices Re-look Task Force, and Global Financial Services Guidance Committee. She currently serves as vice chairman of the Professional Practices Committee and on the Global Board of Directors. John has spoken at national and international conferences covering internal audit, governance, and risk management, and has been recognized as South Africa’s Internal Auditor of the Year.

**CS 6-3: PwCs 2018 State of the Internal Audit Profession Study**

Ninette Caruso, CIA, CRMA, CA/CPA, CISA, CRISC  
Sr. Vice President and Chief Audit Executive  
Discover Financial Services

Kamal Dua, CPA  
Vice President, Internal Audit and Risk Management  
Harris Corporation

Alan Gibson, CCEP  
Assistant General Counsel, Office of Legal Compliance  
Microsoft

Mark Kristall, CPA, CISA  
Partner, Internal Audit, Compliance and Risk Management Solutions  
PwC

Lauren Massey, CIA  
Partner  
PwC

Joanne Sebby, CPA, CISM  
Chief Audit Executive  
First Data

For the past 14 years, PwC has conducted an annual State of the Internal Audit Profession study, obtaining significant visibility across the internal audit community. This review will share perspectives around how internal audit departments that are investing in technology are building a foundation for the future — both as a function and to contribute greater value to their organizations. The panel will review what audit functions can do to enhance their effectiveness via investing in technology to better identify and understand risks.
In this session, participants will:

- Learn about leading trends and best practices as identified in PwC’s 2018 State of the Internal Audit Profession Study.
- Hear from PwC leaders and a panel of internal audit stakeholders as they discuss how internal audit departments are leveraging technology to better position themselves to support the organization.
- Understand why internal audit needs to evolve, better identify and understand risks, and how technology can facilitate success.

Ninette Caruso joined Discover Financial Services in July 2015. Under her leadership, the internal audit function has grown significantly in capabilities and in demand for its services. Previously Caruso held internal audit leadership positions at Genworth, Nationwide Insurance, Ahold NV, and Bank One. She has global expertise in strategic risk management, technology implementation, and process improvement.

Kamal Dua is responsible for leading an internal audit team focused on financial, operational, information technology, and government compliance audits. Among his prior roles he has served as an Advisory Services Partner at Mitchell & Titus LLP. Dua has held leadership positions from director level to VP in internal audit, risk management, compliance, and the finance department in Cable & Wireless Communications PLC, Comcast Corporation, Keyspan Corporation, AT&T, and Verizon Corporation.

Alan Gibson focuses on defining data analytics strategy for managing compliance risks. As part of this strategy, he is leading the design and implementation of (1) a High Risk Deal Solution which identifies Microsoft’s riskiest sales transactions for additional compliance oversight; and (2) an analytics solution using internal and external data to help prioritize the Compliance Program's training, communication, and risk management work. During his 15 years at Microsoft, he has served in legal and business roles including supporting sales, marketing, and product teams, business development, and commercial operations. Before joining Microsoft, Gibson was an associate at Orrick, Herrington & Sutcliffe where he focused on corporate finance, securities, and M&A.

Mark Kristall oversees the delivery of internal audit, compliance, and risk management solutions to clients in the products and services sectors. He joined the firm in 2001 as an assurance associate, and during his time with PwC, he has held numerous client service roles in the assurance and advisory practices. In 2010, Kristall became director of operations in the risk assurance delivery center. In 2011, he relocated to take over the growth of internal audit across the firm’s products and services sectors including industrial products, retail and consumer, technology, and energy.

Lauren Massey is focused on delivering internal audit, compliance, and risk management solutions to clients in the technology and manufacturing sectors. She began her career with PwC in their advisory practice focused on data analytics. Massey transferred into risk assurance in 2009 to focus on internal audit services while continuing to push forward integrating data and technology into internal audit strategies. She co-authored a whitepaper, "Internal Audit Analytics Conundrum," and she is frequent speaker at internal audits events related to this topic. Massey co-authored PwC’s 2018 State of the Internal Audit Profession study.
**Joanne Sebby** reports directly to the Board of Directors and oversees a team of approximately 80 individuals to provide independent, risk-based, and objective assurance and consulting activities designed to add value and improve First Data’s operations. She has been an active member of First Data’s Women’s Leadership Council where she is currently the co-chair. During her time with First Data, she has spent significant time in the European and Asia Pacific regions integrating regional practices into global programs.

Prior to First Data, Sebby served as an audit manager at Deloitte. During her time with Deloitte, Sebby was responsible for the planning, execution and timely reporting of the results of multiple audits in the manufacturing, non-profit, and higher education industries. Staff development was crucial to Deloitte’s success; Sebby served as a career counselor to audit staff and seniors and was also selected to facilitate national training multiple times.

**CS 6-4: Data Analytics: A Road Map for Expanding Capabilities**

Mary-Margaret Henke, CPA  
SVP, General Auditor  
Western Union

Meredith Murphy, CFE, CAMS  
Forensic Advisory Director  
Grant Thornton LLP

Brady Rothrock, CPA, CFE  
Data Scientist  
Sprint

Shawn Stewart, CPA, CRP, CISA, PMP  
Partner  
Grant Thornton LLP

Grant Thornton has partnered with The Institute of Internal Auditors, Internal Audit Foundation (formerly “IIAF”) in the publication of its second book “Data Analytics – A Roadmap for Expanding Capabilities” (preliminary title). The book, to be released shortly before the GAM Conference, will provide insight into the topic of analytics and how analytics can be applied for organizational success.

To unleash the potential of such expanding capabilities, leaders must anticipate the needs of their company and their customers, innovate, and deploy resources effectively to generate the highest return on those investments. Analytics and digitization continue to be on the innovation agenda because of their potential to improve profitability, mitigate risk, and ensure a sustainable organization.
In this session, participants will:

- Understand the analytics landscape and current state of peer IA departments.
- Help executives define and prioritize goals that will best support their businesses.
- Outline keys to success which will help IA departments create value, increase insights, reduce costs, mitigate risk and enhance efficiency and effectiveness

Mary-Margaret Henke has over 25 years’ experience in the auditing, accounting, and risk functions for financial services firms. She joined Western Union in 2007 and oversees the global internal audit function providing audit, compliance, and risk management guidance, and led various CFO strategic initiatives including Oracle and Wall Street system implementations, ERM as well as acquisition/integration activities. Prior to joining Western Union, Henke was the general auditor for Janus Capital and the assistant controller at CoBank. In that role, she managed the corporate accounting, investment and derivative accounting, financial reporting, and tax units of the controller division. Henke began her career with PwC and spent 10 years specializing in financial services.

Meredith Murphy is a director within Grant Thornton’s Analytics Center of Excellence. Murphy has spent over 16 years helping clients create value, protect value, and transform. Her primary areas of focus are developing and executing growth strategies, enabling clients with analytic insights, and providing forensic and investigative expertise. Prior to Grant Thornton LLP, Murphy created value for clients within the forensic practice of PricewaterhouseCoopers LLP. In addition to her listed credentials, she has been trained and certified in change management methodologies.

Brady Rothrock joined Sprint in 2012 and works within the Internal Audit Technology Audit Group. He performs and guides data analytic projects in audit areas spanning retail, finance, operational, and enterprise risk management. Rothrock is pursuing a Master of Science in Business Intelligence and Analytics from Rockhurst University, having completed a Certificate of Data Science in 2017. His focus is on the integration of data science technology and techniques into Sprint's Internal Audit function, while discovering innovative approaches to enhance the utilized risk-based auditing model. Prior to joining Sprint, Rothrock worked as an auditor for the Federal Home Loan Bank of Topeka and BKD.

Shawn Stewart is Grant Thornton’s National Managing Partner of the Controls Advisory Practice in the United States. With more than 20 years of relevant experience, he focuses on strategic accounts and business innovation, and delivers a broad spectrum of management consulting, information technology, and business process improvement capabilities to his clients. Previously, he oversaw global compliance responsibilities for The Capital Group Companies/American Funds, and helped establish its SEC compliance program, IT Audit and integrated risk management functions, and global project management office. Stuart’s prior experience includes stints with a “Big 4” firm and an economic development agency. He is an accomplished thought leader and speaker.
CS 6-5: Understanding and Navigating Emerging Environmental Risk (Environmental, Health & Safety)

Stacey Mitchell
Partner
Akin Gump Strauss Hauer & Feld, LLP

Doug Parker
President
Earth and Water Strategies

Today's political and policy conversations surrounding environmental issues are loud and contentious, and the compliance and risk priorities facing organizations have become in many ways less clear as a result. This session will focus on identifying the most significant emerging trends in this area and practical strategies to address this changing landscape. It will be led by two of the leading practitioners in the environmental compliance sector who spent their public service careers shaping and executing national environmental policy and who now work with organizations navigating this high profile space.

In this session, participants will:
- Gain insight into the most relevant changes in environmental compliance policies and approaches as a result of the Trump administration's priorities and actions
- Identify the key groups beyond the federal government that are impacting environmental policy and compliance — a well as strategies to address this element of risk
- Understand how anticipated regulatory change and ongoing compliance risk posture impacts an organization's priorities and decision making

Stacey Mitchell focuses her practice on environmental regulatory, litigation, and transactional matters. She works with clients in response to issues pertaining to incident response, criminal/civil environmental enforcement actions, and more. Mitchell has extensive experience in crisis management, as well as significant experience in the development and implementation of environmental regulations. She advises clients on the potential implications of climate change in the context of complex business decisions, including long-term environmental compliance. Prior to joining Akin Gump Strauss Hauer & Feld, Mitchell spent three years as deputy general counsel at the Environmental Protection Agency.

Doug Parker works with clients who are navigating enforcement and compliance risks and with companies on market opportunities in the natural resource space. Prior to joining E&W, Parker served as a special agent with the EPA's Criminal Investigation Division for 24 years, including the last four years as director where he oversaw a nationwide team of special agents and was responsible for overseeing such investigations as the Deepwater Horizon disaster and the recent Flint water crisis.
CS 7-1: Emerging Technology Trends and the Impact to Audit: Cybersecurity, Machine Learning, and Artificial Intelligence

Brian Foster, CIA, CPA  
Senior Director, Finance/Audit  
Microsoft Corporation

Gerard Morisseau, CISSP, CIPP  
IT Audit Director  
Microsoft Corporation

As companies adopt and integrate artificial intelligence (AI) into their core services and business processes, the internal audit function needs to develop new competencies and a framework for auditing AI initiatives to provide assurance that related risks are adequately managed.

The session will cover key trends in AI technologies, and the opportunities and risks associated with Machine Learning. It will also provide an overview of the recently published AI Audit Framework from the IIA.

In this session, participants will:

- Distinguish between artificial intelligence (AI) and other technology trends such as Machine Learning, Deep Learning, Natural Language Processing (NLP), and Augmented Intelligence.
- Identify various types of intelligent AI machines.
- Understand some of the key opportunities and risks associated with various applied AI initiatives.
- Understand the different components of IIA’s new Artificial Intelligence Auditing Framework.

Brian Foster has been with Microsoft nearly 20 years in a variety of roles. In addition to internal audit, he has served as the controller for several of Microsoft’s business units, including Office, Windows, Cloud & Enterprise, Devices, and Gaming. Within The IIA, Foster previously served on the Board for the Puget Sound Chapter in North America, and has been serving IIA Global since 2009 on the Professional Issues Committee, the Professional Certifications Board, and currently on the IT Guidance Committee.

Prior to joining Microsoft, Foster was a divisional controller and corporate accounting manager at a leading entertainment and educational software company from 1996 to 1998, and spent 1994 to 1996 with Deloitte and Touche, serving clients in a variety of industries, including technology, retail, manufacturing, food and consumer products, and healthcare.
Gerard Morisseau is responsible for overseeing the company’s programs for cybersecurity, Microsoft IT, Office 365, artificial intelligence, and Microsoft retail stores. During his time in internal audit, he has contributed to the security certifications of all major cloud services at Microsoft. Morisseau joined the information security team at Microsoft in 2007 as a program manager. In this role, he was responsible for leading security assessments and for developing the organization’s vendor security maturity assessment program.

CS 7-2: A Repeat Invitation: Getting and Keeping a Seat at the Table

Deon Minnaar, CPA, CIA
Partner
KPMG

Kathy Robinson, CIA, CFSA, CRMA
Chief Audit Executive
ADP

CAEs have much to contribute given their enterprise wide mandate to understand risk and provide assurance. However, too often the C-Suite does not recognize the potential value. This discussion will outline practical considerations, within the mandate of internal audit, to allow the function to be elevated and actively participate in C-Suite discussions.

In this session, participants will:

- Gain practical examples of implemented strategies and outcomes.
- Creating a road map to allow the CAE to “Get a seat at the table.”

Deon Minnaar is the Americas Leader for internal audit, Sarbanes-Oxley services, and ERM, with 25 years’ experience leading complex global engagements in a variety of industries. He is on the Americas Steering Committee for Intelligent Automation Continuous Risk Assessment and was a member of the team that developed KPMG’s Global ERM, internal audit, Sarbanes-Oxley, and GRCm. Minnaar was also an advisory board member for the 2017 revision of COSO’s ERM framework.

Kathy Robinson is responsible for ERM and global integrated assurance. She has over 20 years of audit, risk, and board-related experience with Fortune 500 companies, where she demonstrated the ability for influencing the positive evolution of internal auditing and risk management practices, innovative client service, and enhanced corporate governance. Prior to joining ADP, Robinson was an executive director at Morgan Stanley, where she held various positions within the internal audit department, including the director of audit strategy, responsible for developing and implementing the department's infrastructure, audit methodology, and human resource strategies. She also developed and implemented the corporate functions audit practice and was actively engaged in the firm's efforts to comply with Sarbanes-Oxley requirements.
CS 7-3: Evolving Audit Analytics Into Real-time Risk Intelligence

Mark Perry, CPA
Audit Director
Cornell University

Dan Zitting, CPA, CISA
Chief Product Officer
ACL

The audit profession has evolved substantially from its backward-looking audit analytics into predictive, data-driven audit findings that executives rely on every day to make risk-conscious decisions. This session will demonstrate how you can develop and improve strategies with your own audit analytics, and empower you to create impactful audits that impact real-time risk intelligence.

In this session, participants will:

- Examine the value of data-driven risk profiles in informing internal audit, executive management, and functional business leaders for key decision making.
- Identify the five steps in evolving analysis capabilities available in Excel or audit analytics tools, from backward-looking audit exception identification to forward-looking KRI monitoring.
- Explore the universe of KRIs that have resulted in measurable value for other leading organizations.
- Map a simple path to achieving a real-time, KRI-driven risk profile/heatmap.

Mark Perry serves as audit director for the Cornell University Audit Office. Previously, Perry was a senior manager in the Audit & Enterprise Risk Services practice of Deloitte & Touche LLP, where he also served as lead content developer for Deloitte Learning.

As a dynamic, resulted-oriented assurance, risk management, and governance professional with diverse experience across industries, Perry has presented at the Cornell Dyson School for Business, Cornell Administrative Management Institute, Higher Education Symposium and other venues.

He has developed and/or presented CPE trainings on topics including data analytics, Uniform Guidance, the COSO Internal Control Framework, various technical accounting and auditing standards, fraud, and ethics.

Dan Zitting is responsible for market strategy, product management, product design, user experience, content solutions, strategic relationships, marketing, and sales development for ACL and its industry-leading SaaS software products. He is dedicated to the advancement of cloud and “big data” technologies for helping corporations and governments perform better while operating with integrity.

Prior to ACL, Zitting spent 10 years in professional services with the IT risk advisory services practice at EY and as a partner and co-founder at Linford & Company LLP, a provider of GRC consulting services to clients across North America, Europe, and Asia. While building his firm, he developed a software platform for clients, which led to founding Workpapers.com, the first cloud-based audit and compliance management system in the
market. Under Zitting’s leadership, Workpapers.com was acquired by ACL in late 2011, combining the power of cloud collaboration and “big data” analytics under one brand. He has been quoted and covered in publications including the Wall Street Journal, CFO Magazine, Bloomberg, Reuters, The Street, and CNBC. He has been recognized by CPA Practice Advisor Magazine’s 40 under 40, IIA Emerging Leaders, BCTIA Team of the Year, and GRC 20/20 Technology Innovation awards.

CS 7-4: In Conversation With... Blockchain: Auditing Impacts

Facilitator:
Bill Michalisin
EVP, Chief Operations Officer
The IIA

Speaker:
Scott Moore, CIA, CRISC, CISA
Senior IT Auditor
Devon Energy Corporation

Blockchain technology has gone from a niche topic often associated with shady online transactions to a strategic topic for many companies and industries. It has been called ‘the internet of value’ and has the potential to revolutionize the way parties do business and transactions are stored. But what is it exactly and how does it work? And what are the audit considerations for blockchain applications? This session will cover those topics and also provide an opportunity to talk with other attendees about how their companies or industries have been impacted by this transformational technology.

In this session, participants will:

- Understand the key components of a blockchain application and how these components work together to provide a potentially transformational technology.
- Learn the benefits and risks of employing a blockchain-based solution.
- Discuss with other attendees how their companies and/or industries have or plan to pursue a blockchain-based solution and how they have or plan to audit it.

Bill Michalisin joined The IIA in 2013 as chief marketing officer leading all brand, marketing, communications, sales, and relationship enablement strategies across all global IIA channels. In 2014, his role was expanded to include oversight as the executive director of The IIA’s Research Foundation, and in 2015, he assumed the role of chief officer for IIA operations. In his current role, Michalisin leads all operations and core services offered to IIA members globally, including Membership, Chapter & Institute Relations, Certifications, Conferences, Learning Solutions, Partnerships, and Enterprisewide Sales & Business Development. Prior to joining The IIA, Michalisin was industry marketing leader for consumer and industrial products at Deloitte, which included responsibilities for cross-functional delivery within aerospace and defense, automotive, consumer products, process and industrial products, retail and distribution, and travel, hospitality, and leisure sectors. Earlier in his career, Michalisin was a business process strategy and fraud/forensic investigation consultant at both Deloitte Consulting and Accenture, providing consulting services to clients in media and entertainment, consumer products, manufacturing, and financial services.
Scott Moore has worked for Devon Energy, a Fortune 500 independent E&P company based in Oklahoma City, since 2012 with responsibilities varying from IT audits, financial audits, and most recently specializing in enterprise risk management. Prior to joining Devon, Moore served in public accounting positions. He also volunteers on the IIA’s IT Guidance Committee which is responsible for updating and issuing global IT audit guidance and is also audit committee chair for the Daily Living Centers, a non-profit based in Oklahoma City.

CS 7-5: Building an Audit Team in a Digital World (Financial Services Industry)

Ian Kirton, PIIA, MIIA, MSc, CIA, ACIB
Senior Audit Manager, Methodology & Standards
TSB Bank Plc

The number of organizations shifting from legacy to mobile and cloud-based systems to meet their customer’s growing needs is on the rise. To initiate such a large-scale change, organizations must build an audit department capable of adapting quickly while continuing to look for new risks or unexpected trends that can arise from a cloud environment. This presentation explores the journey of first establishing an audit department to developing a data analytics strategy, all while preparing to move to a state-of-the-art online platform.

In this session, participants will:
- Discuss developing an audit function for cloud-based institutions.
- Explore creating a data analytics strategy to support cloud-based environments.
- Review practical examples to learn how data analytics can be applied to improve audit results.
- Understand how one organization’s approach to analytics can be leveraged in a digital environment.

Ian Kirton has more than 33 years’ experience in financial services and internal audit, and has been with TSB Bank for four years. At TSB he established the audit function of the challenger bank through a dynamic role that includes audit planning, methodology, technology, quality assurance, data analytics, and training. Kirton started his career in international banking at Lloyds Bank where he assumed various roles in trade finance and international payments. He then moved to internal audit where he developed audit methodology and quality assurance approaches while delivering the audit training program and managing their audit tool.

Wednesday | March 14, 2018 8:30 – 9:45 a.m.

General Session 4: Stakeholder Insights: Perspectives From the Executives and Stakeholder

Moderator:
Princy Jain, CIA, CCSA, CRMA
Partner
PwC
Panelists:
Eric N. Allegakoen, CIA, CRMA, CPA
Vice President, Chief Audit Executive
Adobe Systems

Brad Arkin
Vice President, Chief Security Officer
Adobe Systems

Jim Daley, CPA
Lead Director, Board of Directors
Adobe Systems

This panel session of Adobe’s Audit Committee/board member, chief information security officer (CISO) and head of audit (CAE) will share their perspectives about what they expect from internal audit and how internal audit delivers it. They will discuss the relevance of independence and objectivity from the stakeholder’s perspective and how stakeholders derive comfort from internal audit.

In this session, participants will:
- Gain knowledge on how the internal audit function can promote its value in addressing key issues.
- Understand what makes an audit report most effective and impactful.
- Learn successful communication tactics when building a relationship with the key executive stakeholders.
- Address key resources the audit function will need to consider for the future to be most effective.

Princy Jain has more than 20 years of experience serving technology-sector companies and has spent the past 10 years serving public and venture-backed companies by providing his expertise within internal audit, Sarbanes-Oxley compliance, risk management, and related consulting services across a range of industries including semiconductor, electronics, consumer electronics, internet, software, and more. Jain is an active public speaker on topics including internal audit, Sarbanes-Oxley, and more, and has contributed as a co-author on several guidance publications produced by The IIA. He is an active volunteer at The IIA, serving on The IIA’s North American and Global Boards. He also serves on the Northern California’s Board of Ascend, an organization dedicated to leveraging the leadership and global business potential of Pan-Asians.

Eric N. Allegakoen leads the governance, risk, and controls (GRC) organization, with responsibilities over global internal audit and business assurance, technology audit and compliance, global sales and partner audit programs and acts as PMO of the company’s ERM initiatives. He has over two decades of global experience in audit and assurance services. Prior to joining Adobe, he spent over 10 years in public accounting and consulting services, where he managed a variety of clients in technology and financial services sectors with E&Y, Coopers & Lybrand, and Deloitte. Allegakoen currently serves on The IIA’s Global Board of Directors and is chairman of the Audit Committee.
Brad Arkin has responsibility for all security-related decisions and investments across the company. He leads the teams responsible for the security of Adobe’s infrastructure, products, and services, as well as teams dedicated to security incident response and communication, including Adobe secure software engineering team (ASSET), product security information response team (PSIRT), security coordination center (SCC), and engineering infrastructure security team. Prior to joining Adobe, Arkin held management positions at StepNexus, Symantec, @Stake, and Cigital.

Jim Daley has served on Adobe Systems’ board for a number of years and chaired the audit committee for over 10 years, and is a member of the nominating and governance committee. He retired from Electronic Data Systems Corporation where he served as executive vice president and chief financial officer from 1999 to 2003. Daley was a partner of Price Waterhouse LLP from 1974 to 1998 where he served for eight years as co-chairman of operations and vice chairman at the international level. He was a member of the U.S. firm’s policy board and the international firm's world board. Daley graduated Ohio University and later served as a trustee of The Ohio University Foundation and chaired the Foundation's board of trustees for five years. He also served for 17 years as a member of the board of directors of The Guardian Life Insurance Company of America and chaired the board's human resources and compensation committee and the product and distribution committee.

**Wednesday | March 14, 2018**

**General Session 5: Seven(teen) Years of Lean: The Future of the Global Economy**

Peter Zeihan  
Geopolitical Strategist, Global Energy, Demographic, and Security Expert

Conflicts abroad are about to trigger the greatest energy crisis in history. Dozens of countries are slipping into deflationary spirals, and America’s swerve into demagogic populism will unhinge its entire alliance network. Find out how and why it all came to be, how and why it is all falling apart — and how the world’s end heralds the greatest expansion in American power and security in the history of the republic.

In this session, participants will:

- Understand how geopolitical, demographic, and energy trends are bringing the current international order to a rapid, ignoble, and disorderly end.
- See which parts of the world stand to do very well — and very badly — in the years to come.
- Discuss how these changes will overhaul the financial, manufacturing, and transport sectors.

**Peter Zeihan** is a global energy, demographic, and security expert. His worldview marries the realities of geography and populations to a deep understanding of how global politics impacts markets and economic trends, helping industry leaders navigate today’s complex mix of geopolitical risks and opportunities. With an eye toward what will drive tomorrow’s headlines, his irreverent approach transforms topics that are normally dense and heavy into accessible, relevant takeaways for his audiences. In his career, Zeihan has ranged from working for the U.S. State Department in Australia, to the DC think tank community, to helping develop the analytical models for Stratfor, a premier private intelligence company. He founded his own firm — Zeihan on

**Wednesday | March 14, 2018**  
**12:30 – 4:30 p.m.**

**Women in Internal Audit Leadership Forum**

This forum has been designed to provide women leaders in internal auditing the opportunity to network with like-minded professionals, both male and female, and develop new strategies, tools, and resources to be a catalyst in advancing women in the profession. Attendees will discuss, review, and evaluate competencies to be an effective leader in internal auditing. Specific focus will be on strategies for women in the profession to gain and maintain success in their leadership roles.

Online registration available at www.theiia.org. Please call +1-407-937-1111, or email CustomerRelations@theiia.org for assistance.