Monday | September 27, 2021  
9:00 – 10:00 a.m. EDT

Opening Keynote: Ask for Better

Robert Berry, CIA, CPA, CISA, CCEP  
President and Chief Executive Officer  
That Audit Guy

In his 1936 classic *How to Win Friends and Influence People*, Dale Carnegie suggested we should “ask questions the other person will enjoy answering.” Research shows that asking questions helps us learn and increases our likability. Who doesn’t like learning and being liked? We are not born well versed in the art of asking questions. It is a learned behavior. In this session, Robert Berry will share how asking the right question can influence your life in ways you could never anticipate, and how a chance encounter changed his entire life.

Robert Berry is the president of That Audit Guy, a consulting and training company. He helps improve people, who in turn improve processes, which improves profits. An international speaker, corporate trainer, and writer, he specializes in active listening, asking questions, making remote work more efficient, and better business writing. Berry is the author of three books, including *Creating Wonderful Workpapers* and *Ask Better Questions, Get Better Answers, Perform Better Audits*, along with 100+ articles on audit and life.

Monday | September 27, 2021  
10:30 – 11:30 a.m. EDT

CS 1-1: ESG Through The Risk Resiliency Lens – A Panel Discussion

Angela Jhanji  
ESG Strategy Director  
Grant Thornton

With ESG topics and interest gaining momentum over the past year, organizations are increasingly thinking through ESG as a matter of risk resilience. Baking ESG risk into the way organizations plan for the future is quickly becoming the normal operating procedure as markets navigate topics such as climate and diversity. Whether through creating stewardship policies, thinking about it from a third-line and internal audit function’s perspective or from the viewpoint of consumer interaction, reimagining your organization through the lens of ESG is imperative.

In this session, participants will:
- Hear how organizations are reimagining themselves through the lens of ESG.
- Describe an overview of the ESG landscape.
- Evaluate who is responsible for ESG risk.
- Identify trends and discuss best practices.
Angela Jhanji is a Director in Grant Thornton’s Sustainability and ESG practice. As a member of the firm’s Sustainability leadership team, she focuses on ESG strategy and provides performance and sustainability solutions to dynamic organizations ranging from the middle-market to the Fortune 500. Jhanji has served the financial services, private equity, healthcare, and consumer products industries for 15+ years. Passionate about partnering with clients to leverage ESG to drive transformative growth, she has worked to advance the sustainability agendas of numerous organizations, including the World Economic Forum, World Bank, and United Nations. Jhanji is skilled in creating inclusive environments as well as translating data into meaningful transformation plans and insights.

CS 1-2: Adding Value to Strategic Projects through Agile Auditing

Chester Yue, CIA, CISSP, PMP, CISA
Regional Head of Internal Audit, Asia Pacific
Reinsurance Group of America

Strategic projects are important but risky. The success rate is very low. Board and senior management expect internal audit to do more in this area. The ever-changing nature of strategic projects requires us to change the traditional way to audit and innovate. We can help by focusing on the top strategic and project management risks. By adapting an Agile mindset and framework, we can be more adaptable, customer-oriented, and efficient.

In this session, participants will:
- Articulate the top risks associated with strategic projects.
- Describe the principles and benefits of an Agile mindset and framework.
- Develop ideas for applying Agile concepts and framework to provide continuous and customized assurance over strategic projects.

Chester Yue is a transformational and innovative internal audit leader with 17 years of progressive and diverse Fortune 50 and public accounting audit experience across business functions, regions, and cultures. With a proven ability to establish and transform audit and control functions in changing business and regulatory environments globally, Yue has built a consistent track record of delivering strategic and value-added audit and advisory support to senior management through strong partnership, business acumen, and critical thinking. He is steadfastly focused on building high-performance teams through a culture of trust, candor, inclusion, ownership, proactivity, and innovation.

CS 1-3: Agents of Change

Nadir Darrah, CIA, ACCA, ACA
Chief Auditor
Citibank National Association (CBNA)

Marc Sabino
Chief Auditor, Head of Innovation
Citigroup
This session will cover how internal audit can be an agent of change within an organization while still remaining independent by focusing on such considerations as timely issue management, enhanced reporting, forward-looking insights, and a strong culture.

In this session, participants will:

- Understand streamlined reporting and issue management.
- Hear about using technology to bring forward-looking insights.
- Discover the role of toll gates in the assurance process.
- Learn the benefits of a strong risks and controls culture.
- Gain insight into how to best partner with stakeholders.

Nadir Darrah is the Chief Auditor of CBNA, including Data Quality, responsible for overseeing audit coverage for CBNA, leading global assurance over data quality, and centralizing validation efforts related to Citi’s OCC and FRB consent orders. His previous roles with Citi Internal Audit included Regional Chief Auditor for APAC, Chief Auditor for Global Consumer Banking, Chief Auditor for Retail, Mortgages and Holdings, Chief Auditor for Special Projects and Programs, and Chief Auditor for CGMI, ICG Securities Services, Regulatory Reform, and Governance & Conduct. Prior, in senior leadership positions at Barclays, he held responsibility for internal audit coverage of the Barclays Wealth Management business, as well as the Risk, Finance, Treasury, Compliance, and Financial Crime functions in North America.

Marc Sabino, as Chief Auditor - Head of Innovation at Citigroup, leads a team that identifies and executes innovation and automation opportunities and performs data analytics to drive insights and operational efficiency. In a previous role with Citi Productivity, Sabino drove Citi’s analytics strategy, focusing on better use of data and technology solutions to manage revenue, employees, HR processes, banker and branch productivity, recruiting, diversity, and more. His background has emphasized business and process transformation within the financial services industry through the delivery of large projects, process re-engineering, and innovation. The breadth and depth of the areas and projects Sabino has worked on have given him significant knowledge of all financial products, functions, and processes.
Three of our most distinguished chief audit executives will participate in a panel discussion of current and emerging hot topics in financial services internal auditing. Emerging risks, talent management, the regulatory environment, and other current issues facing internal audit will be discussed by Kandace Heck (CAE at U.S. Bank), Stacy Juchno (CAE at PNC), and Paulette Mullings Bradnock (CAE at BNY Mellon). Moderated by Kevin Ryan (CAE at KeyBank), the session will also take questions from the audience.

Kevin T. Ryan is responsible for managing all risk review (internal audit and credit risk review) activities as Chief Risk Review Officer and General Auditor at KeyCorp. He is a member of the company’s Executive Council and Executive Leadership Team. In his long tenure in internal audit at KeyCorp, he oversaw all audit personnel and activities in multiple states; directed all corporate risk management services (internal audit, credit risk review, lending compliance, and consumer asset quality reporting) relating to consumer finance business lines; led all credit review related activities; and managed the Market Risk Review & Model Validation Group. He is a former board member of The IIA’s International Internal Auditing Standards Board and chairs the Financial Services Advisory Board.

Paulette Mullings Bradnock is globally responsible for internal audit as CAE at BNY Mellon. Previously, she was SVP and CAE at AIG. Prior, at Chase Manhattan/JPMorgan Chase, she successively covered global services, investment management, and private banking, and held audit responsibilities for corporate functions, including finance, legal, real estate, and human resources. Earlier, Bradnock worked in both audit and control functions at Chemical Bank. She serves on the Board of Governors for The IIA’s New York Chapter. She has served on the Audit Committee of the Alvin Ailey American Dance Theater; Queens College, City University of New York; and Make-A-Wish Foundation of Metro and Western New York. Bradnock has earned numerous accolades for her achievements and influence in banking and financial services.

Stacy M. Juchno is EVP and General Auditor for The PNC Financial Services Group, responsible for an internal audit function providing assurance on the effectiveness of PNC’s risk management, control, and governance processes to the audit committee and board. Previously, as SVP and Finance Governance and Oversight Director, she oversaw enterprisewide SOX section 302 and 404 activities; led defense activities to support Finance Basel, CCAR, and regulatory reporting processes; and coordinated and monitored compliance of enterprise and operational risk programs impacting finance. Prior, as Director of Regulatory Compliance for a publicly traded telecommunication company, Juchno implemented SOX 302 and 404 requirements and performed the internal audit function. Earlier, as an Audit Manager at Ernst and Young, she planned and performed external audit services of companies with both domestic and international operations.

Kandace Heck joined U.S. Bank in 2017 as CAE and has 30 years of experience in accounting and auditing in the banking and financial services industry. Just prior to joining U.S. Bank, she served as general auditor for Northern Trust Corporation. Previously, Heck spent 18 years with Goldman Sachs in the U.S., Europe, and Australia, in various controllership roles supporting corporate and business line areas, as well as in internal audit. She began her career with Deloitte & Touche, working both in the U.S. and U.K.
Successful ransomware attacks increased in 2019 and 2020, and that trend does not appear likely to end soon. This session will share insights on common ransomware attack patterns, controls, and leading practices that can reduce the likelihood of a successful ransomware attack against your organization. Additionally, this session will analyze the history-making SolarWinds© compromise, as well as discuss lessons learned and crucial supply chain components that are of high risk and could also be compromised using similar intrusion attacks.

In this session, participants will:

- Learn about ransomware attack patterns.
- Discover controls and leading practices to reduce the likelihood of successful ransomware attacks.
- Gain a better understanding of lessons learned from the SolarWinds© compromise and the importance of understanding their own supply chain ecosystem.
- Consider supply chain control practices to reduce the impact of cyber intrusions.

Barb Bergmeier is a seasoned risk management consultant with 25+ years of internal audit and IT audit experience in financial services. She has held the roles of CAE, CCO, and CRO for large bank and financial services organizations and worked directly with insurance and banking regulators. While in a consulting role for EY over the past five years, Bergmeier has led forensic reviews and development of fraud analytics at numerous financial service organizations, including FinTechs and InsurTechs. She has served in governance roles for The IIA at both the national and local chapter levels and has been a speaker at several local and national events.
CS 2-2: Five Critical Elements of Quality Questions

Robert Berry, CIA, CPA, CISA, CCEP
President and Chief Executive Officer
That Audit Guy

Great auditors must be able to ask good questions. Battling difficult clients while trying to overcome our own insecurities often leaves us with unanswered questions and incomplete projects. What if I told you that you can improve your questioning skills with five simple changes?

In this session, participants will:
- Identify and discuss the five elements of effective questions.
- Understand the power of questions.
- Describe and avoid the barriers to asking good questions.
- Utilize a five-step approach to ask better questions, get better answers, and perform better audits.

Robert Berry is the president of That Audit Guy, a consulting and training company. He helps improve people, who in turn improve processes, which improves profits. An international speaker, corporate trainer, and writer, he specializes in active listening, asking questions, making remote work more efficient, and better business writing. Berry is the author of three books, including Creating Wonderful Workpapers and Ask Better Questions, Get Better Answers, Perform Better Audits, along with 100+ articles on audit and life.

CS 2-3: Transformational Leadership - Leading with Vision and Resilience

Angela Mahan
Chief Audit Director
Wells Fargo

Laurie Diman
Audit Director
Wells Fargo

Peter Kenow
Audit Director
Wells Fargo

Jermaine Simmons
Audit Director
Wells Fargo
Leaders from a top financial services organization will host a panel discussion outlining the internal audit function’s transformation, with a focus on people, processes, systems, and culture. The group will provide insights, strategies, and lessons learned on the journey, as well as share how diversity, equity, and inclusion practices played a critical role in advancing the transformation.

In this session, participants will:
- Understand how to set strategy and vision with actions.
- Gain insights into inspiring and motivating their team through confidence and optimism about the strategy.
- Learn how to adapt to change and pivot.
- Examine ways to realize and sustain winning outcomes.

**Angela Mahan** has 25 years of experience in financial services. As Executive Vice President, Chief Audit Director at Wells Fargo, she is responsible for leading a team of 130+ team members providing support for all of audit. Her teams include Strategy and Practices (covering methodology, policy, and plan management), Operations and Team Member Support (covering all front-line operations, including resource management, technology support, and team member engagement), and Innovation (covering data techniques and solutions for automating and innovating audit processes). Previously, she held executive leadership roles in audit functions at Bank of America and Capital One.

**Monday | September 27, 2021**

**CS 3-1: Blockchain Technology: Audit & Risk Considerations**

**Courtney Wilgucki (Stehlin), CIA, CFE, CISA, ITIL, AWS Cloud Practitioner**
Senior Manager
Vanguard

**Vivian Kuo**
Audit Manager
Vanguard

Blockchain is projected to continue its climb into prominence, adoption, and overall usage through 2021 and beyond. No longer solely relegated to conversations surrounding cryptocurrencies like Bitcoin, understanding blockchain’s impact on enterprise risk and control environments as adoption steadily increases is imperative. This presentation breaks down blockchain into more basic concepts and provides guidance and considerations to help better explain this emerging technology, associated risks, and impact on the audit function.

In this session, participants will:
- Understand blockchain technology and how it works.
- Describe the benefits and challenges of blockchain technology.
- Illustrate real-world use cases of blockchain in the financial services industry.
- Communicate key risk and mitigation considerations.
Courtney Wilgucki (Stehlin) started her auditing career in Ernst & Young’s assurance and advisory practice. Moving into internal audit at Sungard Data Systems, she focused on the financial and business operations audit team for domestic and international business units. Upon taking a corporate compliance role with Aramark, Wilgucki assisted in managing enterprisewide compliance initiatives and priorities and liaised with internal audit to implement an enterprisewide SOX program after the organization went public. Then, as consulting manager for Behunin & Associates, P.C., she focused on IT audit and advisory work, including cybersecurity. Currently, as an Internal Audit Senior Manager on Vanguard’s Business Systems and Technology team, Wilgucki manages the IT portion of integrated audits across the department.

CS 3-2: Technology to Advance Internal Audit in a New Risk Environment

Scott Madenburg
Market Advisor
Auditboard

By using new automation tools like AI, machine learning, and robotic process automation (RPA), audit teams will increasingly play a strategic role in identifying and managing new and emerging risks. The adoption of new technologies to reduce time spent on administrative and other routine tasks will free auditors to think more strategically and add more value to the organization.

In this session, participants will:

- Learn to define and differentiate between data analytics, AI, and robotic process automation.
- Discuss best practices for effectively integrating data analytics into an audit program.
- Hear how to leverage data analytics to validate a department’s need for resources to fix an issue.
- Examine the ROI of integrating analytics and automation into an audit program.
- Explore future possibilities for leveraging AI and robotics.

Scott Madenburg has 20+ years of global experience in audit, risk, and compliance. As a Market Advisor at AuditBoard, he supports both large and small organizations in transforming their audit, SOX, and risk management through best-in-class technology solutions. Beginning his career at Arthur Andersen, Madenburg transitioned to internal audit with Fox Entertainment & News Corporation and then spent several years at Rovi Corporation, helping lead operational and IT audits, maintaining SOX compliance, consulting on business process improvements, and participating in ERP implementations and M&A activities. Prior to joining AuditBoard, he was the CAE at Mobilitie, where he built the internal audit function from the ground up to a six-person department.
CS 3-3: Selecting and Developing Internal Audit Talent

Bradley Carroll, CIA, QIAL, CFSA, CRMA, CPA, CFF
Principal
Frazier & Deeter, CPAs & Advisors

Mike Fitzgerald
President
Fitzgerald MSI Talent Management Consulting

This interview-style presentation will look at attributes needed for internal audit and how to recognize and develop that talent. Critical thinking, communication, micro aggressions, unconscious bias, certifications, business acumen, team building, self-assessment, training, and other topics will be discussed. In addition, different personality profile methods will be looked at to determine what a “good” profile may predict as being a fit for internal auditing (Talent Quest, HBDI, Hogan Business Reasoning, Myers-Briggs).

In this session, participants will:
- Establish characteristics/talents for internal audit selection.
- Assess talent profile indicators.
- Understand various traits and how to acknowledge the role they play in talent management.
- Get tips for developing staff individually to gain peak group performance.

Bradley Carroll began his career in internal audit with a $1 billion community bank. He served as AVP in internal audit at $72 billion Wachovia Bank and CAE at $5 billion State Bank, where he started the internal audit department. Carroll was also an internal auditor at Carter’s and spent 15 years in public accounting. He is currently a Principal in the Process, Risk, and Governance Department with Frazier & Deeter, CPAs as their Financial Services Practice Leader. He has served for several years on The IIA’s Financial Services Advisory Board and speaks frequently at local, national, and international IIA events on a wide variety of topics.

Mike Fitzgerald is president of Fitzgerald MSI, a Houston-based talent management consulting company. He started his 38-year banking career at a $19 million community bank in the northeast and moved progressively through other banks as large as $5 billion, serving in such roles as president, chief operating officer, chief treasury officer, and chief talent officer. It is in managing talent that he found his passion to help organizations make better people decisions, build next-generation leadership, and use the quality and commitment of their workforce to be a differentiator in the marketplace.
General Session 3: Shared Success: Coordination and Collaboration Between the Second and Third Lines

David Nason, J.D.
Senior Executive Vice President and Chief Legal, Risk, & Compliance Officer
TIAA

Mike Cowell
Executive Vice President and Chief Auditor, Internal Audit
TIAA

Senior executives at TIAA, a Fortune 100 company, will engage in a fireside chat format discussing the strengths, opportunities, and the future of the Second and Third Lines of Defense across a large insurer (TIAA), large asset manager (Nuveen – a TIAA company), and mid-size bank (TIAA Bank).

In this session, participants will:

- Gain insights from a former CEO and current senior executives on the view of the internal audit profession, including strengths, opportunities, and synergies between the Second and Third Lines of Defense.
- Identify examples of effective coordination/collaboration between the Second and Third Lines of Defense in risk/compliance and legal matters.
- Understand ‘how to do it correctly,’ what to do when things do not go as planned, and how to course correct and execute for shared success.

David Nason has 20+ years of financial services and regulatory experience. He joined TIAA as EVP and Chief Risk and Compliance Officer, and brought ERM and Compliance together as a single, cohesive organization. As SEVP and Chief Legal, Risk and Compliance Officer, he oversees risk management, legal, and compliance functions for the enterprise. Prior, Nason served as President and CEO of GE Energy Financial Services, and as Chief Regulatory and Compliance Officer at GE Capital, where he created a strategy, organization, and operating framework for the $600 billion financial institution. Previously, as the U.S. Senate-confirmed Assistant Secretary for Financial Institutions for the U.S. Treasury, he was instrumental in the government’s response to the 2008 financial crisis and served as lead advisor on banking, securities, and housing-finance regulatory matters.

Mike Cowell has held the role of Chief Auditor since 2008, leading a global team of 155+ professionals in performing objective and independent audit, advisory, and investigative services across all legal entities and businesses of TIAA. In previous corporate audit leadership roles, he supported nearly all major business units across the TIAA organization. Earlier in his career, he served as a Senior Manager with EY and Senior Auditor with PwC. Cowell is an active volunteer with The IIA and a former member of the IIA Global Board of Directors, IIA North American Board, and Board of Governors for the Charlotte Chapter. He has served on multiple IIA Committees and is a member of the IIA Financial Services Advisory Board.
Tuesday | September 28, 2021  
9:00 a.m. – 10:15 a.m. EDT

General Session 4: Session Information Coming Soon!

Session Description Coming Soon!

Speaker Information Coming Soon!

Tuesday | September 28, 2021  
10:30 a.m. – 11:30 a.m. EDT

CS 4-1: Preparing Your Audit Program to Address Enhanced AML Standards

Edwige Sacco  
Principal, Financial Crimes  
KPMG, LLP

The National Defense Authorization Act for Fiscal Year 2021 (NDAA) was passed by Congress on January 1, 2021 to address various defense and national security matters, including what some describe as the most substantial and sweeping legislative reforms to US AML/CFT laws since the USA Patriot Act of 2001. This presentation will discuss provisions of the NDAA and Anti-Money Laundering Act of 2020 (AMLA) impacting internal audit coverage of financial crimes compliance and how internal audit should prepare to address new standards around beneficial ownership and technology testing.

In this session, participants will:
- Understand what internal audit needs to know about the NDAA and AMLA.
- Examine eew beneficial ownership reporting requirements and how they impact audits and FinCEN’s proposed rulemaking.
- Learn simple checks for making sure their audit coverage contemplates enhanced standards for testing FinCrimes technology.

Edwige Sacco is an Advisory Partner in KPMG’s Forensic Practice with 17 years of experience providing financial crimes compliance and internal audit services to global financial institutions. In this role, she works closely with senior management in areas such as financial crimes transformation and optimization, governance, risk and compliance, internal controls, issue remediation, and enterprise risk management across all three lines of defense. Edwige currently serves as the Financial Services Lead for Forensic nationally and leads KPMG’s Forensic network in Boston, MA. Previously, she worked in the Embassy Banking Division of Riggs Bank in Washington, DC.
Can agile auditing be successfully implemented in a small internal audit shop? Absolutely! In this session, you will hear how a credit union’s four-person internal audit team adapted agile, including what worked well and what wasn’t as successful. Understand where they started as a brand-new team and how they successfully built the department into a lean, agile team. Learn about collaboration best practices, innovative reporting, and agile do’s and don’t’s.

In this session, participants will:

- Hear effective strategies for starting the transition to agile audit for a small audit function.
- Understand how to use agile to more effectively manage their audit engagements.
- Learn ways to increase collaboration and trust with key stakeholders in a small organization.
- Assess key agile artifacts for effective audit reporting.

**Elizabeth McDowell** leads the internal audit group at Elevations Credit Union in Broomfield, CO. She has 15+ years of audit experience and has worked in internal audit at Fidelity Investments and Xcel Energy, as well as external audit at Ernst & Young.

**Brittany McKinley** is a Senior Internal Auditor at Elevations Credit Union and has presented on various accounting topics during local office lunch-and-learns, college Beta Alpha Psi organizations, and college recruiting events during her time at CLA. She encourages participation, engaging discussion, and various perspectives.
CS 5-1: COVID, Culture, Compliance

Jude Viator, CIA, CISA, CRISC
Associate Director
P&N

As COVID-19 forced modified plans to provide internal audit services in 2020, technology, communication, and audit tools had to be leveraged. Through effective communication, detailed inspection of system records, and an understanding of compliance and organizational requirements, the observation of a strange field entry in one specific audit uncovered a culture and compliance issue that led to employee terminations and removal of a BOD member.

In this session, participants will:
- Briefly outline the lessons learned and opportunities gained through use of technology and remote auditing.
- Describe the factors and components of the internal audit testing observation and unraveling of culture and compliance issues for a credit union.
- Discuss the value of trusted advisor relationships and effective communication skills.
- Hear an amazing story that evolved into considering international relationships, abuse of position(s), and a number of compliance violations and organizational failures.

Jude Viator has been providing co-sourced and outsourced internal audit services for 14 years as a member of P&N’s Control & Risk team. He has extensive experience conducting and managing internal controls based projects, IT and information systems security assessments, and operational and compliance internal audits, particularly for banks and credit unions in the financial institution industry. In addition, he has extensive experience conducting and managing SOC 1 and SOC 2 examinations. Viator currently serves as a liaison between The IIA and chapters in the South and West regions, as a District Advisor, and as a member of the Chapter Relations Committee.
Critical thinking has been a top auditor skill throughout history, but what does it really mean and how is it developed and used in the digital age? Humans are the only species to be both logical and illogical. Critical thinking is the art of harnessing these contradictory abilities to evaluate the world around us. Cultivating critical thinking is essential to an auditor’s success in an age where the volume and nature of data about our world is exploding.

In this session, participants will:

- Describe what we mean and want when hiring or developing critical thinking skills.
- Explore critical thinking frameworks and concepts upon which to build skills.
- Identify ways to develop and expand critical thinking in internal audit.

**Chris Wiseman** joined TIAA in 2019 as Senior Managing Director, Deputy Chief Auditor to lead the IT Audit team covering cybersecurity, production services and architecture/infrastructure, enterprise systems and applications, enterprise data services and digital experience across all businesses and functions of the TIAA organization. Previously, as Senior Managing Director of IT Audit at SunTrust Banks, Wiseman directed audits of technology, data management, and program and project management. Prior, as a Partner in the Risk Advisory Services practice at EY, he developed and directed IT audit and advisory services across financial services, retail, and manufacturing Fortune 500 clients.

A recent study of 500 organizations found that every 1% increase in gender and racial diversity correlated with a 3–9% increase in sales revenue! So today — more than ever — hiring a diverse workforce is super important! But most people simply don’t know how to do it; it’s not taught in schools or at the workplace. However, anyone can learn how to hire equitably and responsibly to welcome inclusion and diversity in any workplace. Because when we hire creatively, we hire equitably.

In this session, participants will:

- Learn the three keys to hiring a diverse staff: wide net, resource your sourcing, and blind inclusion.
- Discover where to find a great hidden source of qualified diverse candidates.
- Build confidence in hiring equitably.
- Gain insights into how equality and inclusion can bring in more revenue.
- Understand how to implement policies organizationwide to increase diversity and inclusion.

**Nir Bashan**

Author, Speaker, and Consultant

A recent study of 500 organizations found that every 1% increase in gender and racial diversity correlated with a 3–9% increase in sales revenue! So today — more than ever — hiring a diverse workforce is super important! But most people simply don’t know how to do it; it’s not taught in schools or at the workplace. However, anyone can learn how to hire equitably and responsibly to welcome inclusion and diversity in any workplace. Because when we hire creatively, we hire equitably.
Nir Bashan has taught thousands of leaders and individuals worldwide how to harness the power of creativity to improve profitability, increase sales, enhance customer service, and ultimately, create more meaning in their work. His company, The Creator Mindset LLC, conducts workshops, consulting, coaching, and keynote speeches for clients such as AT&T, Microsoft, NFL Network, EA Sports, Suzuki, and jetBlue. Bashan’s formula to codify creativity can be found in The Creator Mindset, which has been translated into two languages. He has taught graduate courses at the Art Center College of Design in Pasadena and undergraduate courses at UCLA. He has worked on numerous albums, movies, and advertisements, earning a Clio Award and Emmy nomination.

Tuesday | September 28, 2021
1:45 p.m. – 2:45 p.m. EDT

CS 6-1: Next Gen Data Strategy and Data Governance

Konstantin Grabovsky, CPA
Managing Director - Financial Service Office (FSO) Consulting
Ernst & Young LLP

Natasha Malik
Senior Manager - Data Transformation Leader - Financial Services
Ernst & Young

Alex Gacheche, CISA, CDPSE, CISSP
Director, Internal Audit Technology and Data Management
Freddie Mac

Next generation data governance is the overall management of the availability, usability, integrity, and security of data employed in an enterprise. This presentation will provide a high-level overview of the regulatory landscape around data governance, the data management control framework, and expectations from internal audit, including data management considerations through the risk-based audit cycle. It will also introduce next generation data governance initiatives that will help create clear, measurable goals linked to business drivers to improve audit efficiency.

In this session, participants will:
- Understand evolving regulatory drivers and data management expectations.
- Learn considerations for the enterprise data governance framework and the role enterprise culture plays.
- Evaluate the leading industry data framework and its adaptation into the data capabilities framework.
- Gain insight into recent developments for internal audit, the data management control framework, and relevant internal audit considerations.
Konstantin Grabovsky is a Managing Director in EY’s Financial Service Office Consulting practice with 21+ years of client service experience. He leads the Greater Washington Enterprise Risk - Internal Audit practice in providing strategic, operational, and compliance services to clients. Grabovsky’s career has focused on the capital markets and housing finance areas, and he has teamed with risk management, data analytics, and technology practices on numerous consulting risk engagements, developing strong expertise in multiple risk fields, including enterprise, market, liquidity, counterparty credit, operational, model, and valuation risk management. Over the last five years, Grabovsky has performed process, controls, and maturity assessments supporting data governance, business resiliency, and end-to-end payment processes.

Natasha Malik has more than 13 years of experience in the financial services industry, specializing in data analytics and data management. She has led data strategy and modernization programs across the banking and secondary mortgage industry. Malik also has an extensive background in leading various data projects at a major GSE, including data program assessments, data strategy, governance, and gap remediation.

Alex Gacheche oversees the audit of data management processes (processes around data confidentiality, integrity, and availability), technology (including emerging technologies, e.g., AI, RPA, cloud, IOT - AR/VR, 5G, etc.), information security, and privacy across Freddie Mac to ensure that processes are implemented per regulatory requirements and industry best practices, and that the firm is leveraging the full potential of data and technology.

CS 6-2: The World Beyond: Leveraging Emerging Technology to Advance Fraud Mitigation

Samantha Corvino, CPA, CISA
Head of Internal Audit
MSRB

Cloud, AI, blockchain, biometrics, and augmented/virtual reality have quickly become part of our everyday vernacular. Integrating these technologies as part of our risk and control portfolio is one thing, but how can we look to leverage the power and insights they bring to stop fraud not only in its tracks, but maybe even before it happens? Discover how to consider implementing these technologies in the world beyond operations to support organizational efforts in fraud mitigation.

In this session, participants will:

- Identify and differentiate the top emerging technologies relevant to fraud mitigation.
- Understand the pros/cons of emerging technology adoption across different industry sectors.
- Effectively compare emerging technologies for differing fraud perspectives.
- Grasp a high-level roadmap to adopting these types of technologies and identifying key stakeholder parties for each key milestone.
Samantha Corvino has 11+ years of experience in the commercial and government sectors, refining her skills in internal controls compliance. She is well-versed in guidance requirements from the AICPA, ISACA, and IIA, as well as seasoned in applying various compliance frameworks (NIST, COBIT, ISO, SOC 2, GDPR, Reg SCI, etc.) to build and/or refine an organization's control environment. As head of internal audit at the Municipal Securities Rulemaking Board (MSRB), Corvino is responsible for oversight and execution of the MSRB’s internal audit department, including executing a comprehensive IT audit associated with the U.S. SEC’s Regulation Systems Compliance and Integrity.

CS 6-3: Auditing With Emotional Intelligence

Carrie Pokrefke
Audit Manager
BECU

As auditors, we need a variety of technical skills and competencies to be successful in our job; however, research indicates that emotional competence is also important for success. This presentation will highlight some ways you can increase your emotional intelligence to improve your skills as an auditor, especially during our ongoing pandemic.

In this session, participants will:

- Learn the definition of emotional intelligence.
- Gain tips for improving their emotional intelligence.
- Discover how to use emotional intelligence during the ongoing pandemic.

Carrie Pokrefke has 20+ years of experience in financial services as both an internal auditor and as a state and federal regulator. An Audit Manager for BECU, the nation’s largest community credit union, she was recently selected to BECU’s 2021 Building Inclusion and Leveraging Differences Council. Pokrefke serves on the National Association of Federally-Insured Credit Unions’ Compliance/BSA/Risk Network Steering Committee and the Northwest Credit Union Association’s Awards Committee. In addition to public speaking, she enjoys building inclusive, high-performing teams through developing and mentoring employees, forging relationships, and connecting people.

Tuesday | September 28, 2021

CS 7-1: Audit and Compliance: Two Sides of the Same Coin

Andrew Topa
Compliance Audit Manager
TF Holdings, Inc.

Audit has traditionally been a standalone function that supports other business areas. Yet, the partial integration of audit with compliance and legal functions provides more holistic and complete risk management. Practitioners of both disciplines can benefit from viewing them as two sides of the same coin, with separate skillsets supporting the same mission. This integration is especially important in smaller organizations where resources are scarce. This presentation
will provide best practices for leveraging the complementary functions of audit and compliance to best serve the organization.

In this session, participants will:

• Understand the proper integration of the audit and compliance disciplines in risk management.
• Review and apply overlapping tools and skills for efficiently mitigating organizational risk.
• Define and scope roles and responsibilities between the audit and compliance departments.
• Identify best practices for integrated risk management in resource-scarce organizations.

Andrew Topa serves as Compliance Audit Manager for TF Holdings, Inc., a leading fintech specializing in bringing technology to the forefront of consumer lending. He oversees the enterprise and compliance risk management teams, focusing primarily on technology, compliance, and financial risk. Previously, Topa worked in public accounting as part of the Risk Advisory Services team at Weaver. He also serves as an Intelligence Officer in the U.S. Navy Reserves.

CS 7-2: Digital Program Assurance: Creating Safe Scale in Advanced Technology Environments

Neil White
Principal
Deloitte & Touche LLP

Mike Koppelmann
Senior Manager, Digital Internal Audit
Deloitte & Touche LLP

As advances in intelligent automation technologies continue to progress, organizations are increasingly exploring the automation of controls and controls testing. This presentation will discuss the evolving technology landscape and how intelligent automation is being applied to transform the controls landscape, significantly reducing testing efforts within internal audit and providing insights and value across the Three Lines Model.

In this session, participants will:

• Explore the landscape of advanced technologies and see how intelligent automation is being used to automate controls and controls testing in multiple scenarios.
• Understand how automation can be used across the Three Lines Model to optimize performance, productivity, profitability, and risk management while lowering cost of compliance.
• Learn practical approaches to getting started with intelligent automation within controls environments.

Neil White is the Global Leader for Internal Audit Analytics and a Principal in the Internal Audit practice of Deloitte & Touche LLP, leveraging his 25+ years of experience to run the Deloitte Global Center of Excellence for Digital Internal Audit and assist the firm’s largest national and multinational clients in transforming internal audit through data analytics, implementing analytics programs, and evaluating risk through a data-enabled approach. In addition to developing position papers on analytics in internal audit and predictive analytics applied to capital projects, White has
authored articles for the Wall Street Journal, Compliance Magazine, and others, and he regularly speaks on internal audit, innovation, digital, and analytics.

CS 7-3: Our New Normal: Virtual Communications

Jessica Mazza, CIA, CISA, CFE, Series 6, 7, and 24 licenses
Senior Managing Director, Deputy Chief Auditor
TIAA

Janine Pappas, CPA, CIA, CISA
Senior Managing Director, Deputy Chief Auditor
TIAA

Given the new normal we have been operating in and the future hybrid model most firms will adopt, we need to establish norms and expectations specific to our internal audit teams. This session will explain the physiological reasons why virtual communication is challenging; offer tips on productivity, communication norms, and communication channel and video reminders; and explore specific considerations for new hires and why it matters for internal audit in particular.

In this session, participants will:

- Understand why virtual communications are challenging (physiologically).
- Establish virtual communication norms and expectations.
- Provide tips and suggestions for effective virtual communication.
- Explain why good virtual communication is important for future success.

Jessica Mazza joined TIAA in October 2015. In her current role, she leads a global team responsible for audit coverage of Nuveen and its subsidiaries. Mazza was previously with Calamos Investments, first as Head of Internal Audit, then as Chief Compliance Officer for two registered investment advisers, a broker-dealer, and a London-based investment manager. Prior, she worked for two different Morgan Stanley firms. Her early career roles included IT Internal Audit Manager for Van Kampen Investments, Financial/Operational Internal Audit Manager for Discover Financial Services, and Consultant in the Information Risk Management practice at KPMG, LLP.
Closing Keynote: Opportunity in Adversity: Making the most out of COVID-19

Nir Bashan
Author, Speaker, and Consultant

Throughout history, from adversity and mistakes comes the potential for new innovation. And that has never been more important than it is today in our COVID-19 world. What mistakes are all around you today in your business and what are they telling you? What adversity can you leverage to build creative solutions? Learn how three tools of creativity such as ‘Stopping, Rethinking the Outcome, and Learning to Love Imperfection’ can be revolutionary in making the most out of your mistakes by turning them into innovation.

In this session, participants will:

- Learn how to use adversity to benefit their business.
- Understand the “how” of mistakes and gain a successful implementation plan for innovation in a COVID-19 world.
- Discover how to let go of perfection and embrace adversity/mistakes to stay relevant today.

Nir Bashan has taught thousands of leaders and individuals worldwide how to harness the power of creativity to improve profitability, increase sales, enhance customer service, and ultimately, create more meaning in their work. His company, The Creator Mindset LLC, conducts workshops, consulting, coaching, and keynote speeches for clients such as AT&T, Microsoft, NFL Network, EA Sports, Suzuki, and jetBlue. Bashan’s formula to codify creativity can be found in The Creator Mindset, which has been translated into two languages. He has taught graduate courses at the Art Center College of Design in Pasadena and undergraduate courses at UCLA. He has worked on numerous albums, movies, and advertisements, earning a Clio Award and Emmy nomination.