### Monday, March 15

<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
<th>Speaker(s)</th>
<th>Knowledge Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>8:00 a.m. – 12:00 p.m. ET</td>
<td>Pre-conference Workshop: Ready and Relevant</td>
<td>Tim Berichon, Director, Insights &amp; Intelligence, The Institute of Internal Auditors, Author of “Ready and Relevant: Prepare to Audit What Matters Most”</td>
<td>4.2 CPE</td>
</tr>
<tr>
<td>1:00 – 5:30 p.m. ET</td>
<td>CAE Forum Pulse of Internal Audit (Audit Executive Center CAEs Only)</td>
<td></td>
<td>3.9 CPE</td>
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<tr>
<td>1:00 – 1:15 p.m. ET</td>
<td>Welcome</td>
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<tr>
<td>1:15 – 1:45 p.m. ET</td>
<td>In Conversation With Anthony Pugliese</td>
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<tr>
<td>1:45 – 2:45 p.m. ET</td>
<td>Getting Real With Diversity, Equity &amp; Inclusion, Sponsored by Crowe</td>
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<tr>
<td>3:00 – 4:00 p.m. ET</td>
<td>Board Perspectives on ESG</td>
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<tr>
<td>4:15 – 5:30 p.m. ET</td>
<td>2021 Pulse of Internal Audit Discussion, Sponsored by Auditboard</td>
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### Tuesday, March 16

<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
<th>Speaker(s)</th>
<th>Knowledge Level</th>
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</thead>
<tbody>
<tr>
<td>10:00 – 11:15 a.m. ET</td>
<td>Opening Comments and the American Hall of Distinguished Audit Practitioners Awards</td>
<td>Nancy Haig, CIA, CRMA, CCSA, CFSA, North American Board Chair, The Institute of Internal Auditors, Principal, PIAC LLC</td>
<td>1.5 CPE</td>
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<tr>
<td></td>
<td>Opening Keynote</td>
<td>John Carreyrou, Pulitzer Prize Winner, Best-selling Author, and Investigative Journalist</td>
<td>Behavioral Ethics</td>
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<td></td>
<td>Bad Blood — The Rise and Fall of Theranos: A Conversation With John Carreyrou</td>
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<td>Intermediate</td>
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<td>William Michalisin, CIA, Executive Vice President and Chief Operating Officer, The Institute of Internal Auditors</td>
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<tr>
<td>11:15 – 11:30 a.m. ET</td>
<td>BREAK</td>
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</table>
### Tuesday, March 16

<table>
<thead>
<tr>
<th>TRACKS</th>
<th>2020s Re-envisioned: Plan, Respond, Recover</th>
<th>Managing Data and Leveraging Technology</th>
<th>Keeping Pace With the Velocity of Risk</th>
<th>Rising From a Crisis and Fostering Resilient Teams</th>
</tr>
</thead>
<tbody>
<tr>
<td>11:30 a.m. – 12:30 p.m. ET</td>
<td>CS 1-1 There Are No Precedented Times: Change, Adaptation, and Resilience in Internal Audit</td>
<td>CS 2-1 Using Real-time Data to Mine Better Insights</td>
<td>CS 3-1 The Snakes and Ladders of External Quality Assurance Reviews</td>
<td>CS 4-1 Internal Audit Competencies: Are You in the Know?</td>
</tr>
<tr>
<td>1.2 CPE</td>
<td>Mike Jacka, CIA Chief Creative Pilot FPACTS</td>
<td>Lisa Hartkopf Partner, Americas Risk Markets Leader EY</td>
<td>Sue Ulrey, QIAL, CIA, CRMA, CFE, FCA, FBP Vice President, Global Communications and Information</td>
<td>Carrie Summerlin, CCSA Vice President, Internal Audit Foundation The Institute of Internal Auditors</td>
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<td>Fernando Garcia Bueno, CIA, CCSA Vice President, Global Internal Audit The Kraft Heinz Company</td>
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<td>Michael Schor, CIA, CPA, CISA Partner, Risk &amp; Financial Advisory Practice Deloitte &amp; Touche, LLP</td>
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<td></td>
<td>Milene S. Carvalho, CIA Partner, Americas Enterprise Risk Leader EY</td>
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<td>Neil White Partner, Global Internal Audit Analytics Leader Deloitte &amp; Touche, LLP</td>
</tr>
</tbody>
</table>

**NASBA Field of Study**
- Personnel/Human Resources
- Information Technology
- Auditing
- Personal Development

**Knowledge Level**
- Intermediate

**LUNCH**
- 12:30 - 12:50 p.m. ET
- Innovation Session: Take a Load Off! Let Automation Do the Heavy Lifting in Remote Issue Management, presented by Galvanize
- 12:55 - 1:15 p.m. ET
- Innovation Session: Next-Gen Internal Audit Powered by Data & Technology, presented by Protiviti

The following sessions are sponsored by EY.
## Tuesday, March 16

### 1:15 – 2:30 p.m. ET

**1.5 CPE**

<table>
<thead>
<tr>
<th>TRACKS</th>
<th>2020s Re-envisioned: Plan, Respond, Recover</th>
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</tr>
</thead>
<tbody>
<tr>
<td>CS 2-1</td>
<td>A Conversation With the Author... Agile Auditing: Transforming the Internal Audit Process</td>
<td>CS 2-2 Digital Disruption and Cyber Risk</td>
<td>CS 2-3 Small Audit Functions: Conforming With the Standards</td>
<td>CS 2-4 Ethical Leadership: It's Harder Than You Think</td>
</tr>
<tr>
<td>Debi Roth, CIA, CPA</td>
<td>Annemarie Bardwell</td>
<td>Monica Moyer Kessel, CIA, CRMA, CFE, CCEP, CICA</td>
<td>Michael “Bret” Hood, CFE</td>
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<tr>
<td>Managing Director, Curriculum Strategy</td>
<td>Chief Auditor for Global Consumer Banking – Technology</td>
<td>Director, Internal Audit at St. Leo University</td>
<td>Director, 21st Century Learning and Consulting, LLC</td>
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<td>The Institute of Internal Auditors</td>
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<td>Rick A. Wright Jr., CIA</td>
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<td>Director, Internal Audit and Enterprise Risk Management</td>
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<td>YRC Worldwide</td>
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<tr>
<td>Author of <a href="#">Agile Auditing</a></td>
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### 2:30 – 3:00 p.m. ET

**BREAK**

### 2:30 - 2:50 p.m. ET

Innovation Session: ERM and Internal Audit: Anticipating and Addressing Risks in 2021, presented by AuditBoard

### 3:00 – 4:15 p.m. ET

**1.5 CPE**

<table>
<thead>
<tr>
<th>TRACKS</th>
<th>2020s Re-envisioned: Plan, Respond, Recover</th>
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</thead>
<tbody>
<tr>
<td>General Session 2</td>
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<td>Being an Agent of Change in an Era of Disruption</td>
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<td>Richard F. Chambers, CIA, QIAL, CGAP, CCSA, CRMA</td>
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<tr>
<td>President and Chief Executive Officer</td>
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<td>The Institute of Internal Auditors</td>
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<tr>
<td>Q&amp;A Moderator:</td>
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<td>Nancy Haig, CIA, CRMA, CCSA, CFSA</td>
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<td>North American Board Chair, The Institute of Internal Auditors</td>
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<td>Principal, PIAC LLC</td>
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### 5:00 – 5:45 p.m. ET

Virtual Book Release Party

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
<th>Tracks</th>
<th>Speakers</th>
</tr>
</thead>
</table>
| 10:00 – 11:15 a.m. ET | General Session 3                                                       | 1.5 CPE                                     | Shirley Davis, Ph.D.  
President and Chief Executive Officer  
SDS Global Enterprises, Inc.                |
| 11:15 – 11:30 a.m. ET | TRACKS                                                                 |                                             | **2020s Re-envisioned: Plan, Respond, Recover**                                                |
|               | 2020s Re-envisioned: Plan, Respond, Recover                            |                                             | Harold Silverman, CIA, CISA, CPA, CMA, CRMA, CISA, CISA  
Managing Director, Professional Practices  
The Institute of Internal Auditors          |
|               | Managing Data and Leveraging Technology                                 |                                             | Lucas Morris  
Senior Manager, Digital Security  
Crowe LLP                                                                                   |
|               | Keeping Pace With the Velocity of Risk                                  |                                             | Anand Bhakta  
Director, Risk Solutions  
AuditBoard                                                                            |
|               | Rising From a Crisis and Fostering Resilient Teams                      |                                             | Sarah Adams, CISA, CRISC, ICAgile  
Managing Director  
Goldman Sachs                                                                 |
| 11:30 a.m. – 12:30 p.m. ET | CS 3-1 OnRisk 2021: A Guide to Understanding, Aligning and Optimizing Risk | 1.2 CPE                                     | Harold Silverman, CIA, QIAL, CRMA, CPA, CISA  
Managing Director, Professional Practices  
The Institute of Internal Auditors          |
|               | CS 3-2 Aligning Your IT Audits With Leadership’s Cybersecurity Questions |                                             | Lucas Morris  
Senior Manager, Digital Security  
Crowe LLP                                                                                   |
|               | CS 3-3 Combined Assurance and the Three Lines: Enhancing Alignment and Collaboration |                                             | Anand Bhakta  
Director, Risk Solutions  
AuditBoard                                                                            |
|               | CS 3-4 Better, Faster, Happier... Kicking and Screaming                 |                                             | Stefanie D’Elia  
Managing Director  
Goldman Sachs                                                                 |
| 12:30 – 1:15 p.m. ET | LUNCH                                                                   |                                             | Shirley Davis, Ph.D.  
President and Chief Executive Officer  
SDS Global Enterprises, Inc.                |
| 12:30 - 12:50 p.m. ET | Innovation Session: PowerAudit – An Introduction to RGP’s RPA Control Assurance Framework, presented by RGP |                                             |                                                             |
| 12:55 - 1:15 p.m. ET | Innovation Session: Simplify Audit Processes to Drive Business Growth, presented by ServiceNow |                                             |                                                             |
## Wednesday, March 17

<table>
<thead>
<tr>
<th>TRACKS</th>
<th>2020s Re-envisioned: Plan, Respond, Recover</th>
<th>Managing Data and Leveraging Technology</th>
<th>Keeping Pace With the Velocity of Risk</th>
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</tr>
</thead>
<tbody>
<tr>
<td>1:15 – 2:30 p.m. ET</td>
<td>CS 4-1 Non-GAAP, Non-financial, ESG, and Operational Measures: Role of Internal Audit</td>
<td>CS 4-2 Bring in the Robots: Automating IT and Cyber Audit Strategy</td>
<td>CS 4-3 Assurance by Design: Three Lines Model During Major System Implementations</td>
<td>CS 4-4 Internal Audit’s Greater Impact and Influence</td>
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<tr>
<td>1.5 CPE</td>
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<tr>
<td>Moderator:</td>
<td>Nonie Dalton</td>
<td>Sandy Pundmann, CIA, CRMA, CPA</td>
<td>Marc Sabino, Chief Auditor, Innovation Citigroup</td>
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<tr>
<td>Princy Jain, CIA</td>
<td>Director, Product Management</td>
<td>Senior Partner, Global Internal Audit Deloitte &amp; Touche LLP</td>
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<td>Partner</td>
<td>Galvanize</td>
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<td>PwC</td>
<td>Curtis Josey Jr., ACDA, CISA, MCP</td>
<td>Anastasia &quot;Stasi&quot; Brown</td>
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<tr>
<td>Julia Wyckoff, CIA</td>
<td>Data Analytics Manager</td>
<td>Director, Alphabet Internal Controls, SOX &amp; Compliance Google</td>
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<td>Chief Audit Executive</td>
<td>Cornell University</td>
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<td>Google</td>
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<td>Intuit, Inc.</td>
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<td>Sean Eirich, Director of Internal Audit Google</td>
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<td>Scott Schulze</td>
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<td>Melissa Kandel, SVP Internal Audit &amp; Risk Peloton</td>
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<td>Head of Internal Audit Autodesk</td>
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<td>Charmaine Wilson, CIA Principal Deloitte &amp; Touche LLP</td>
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<td>Laurie A. Hanover, CIA</td>
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<td>VP, Internal Audit (Chief Audit Executive) Sunrun Inc.</td>
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<tr>
<td>NASBA Field of Study</td>
<td>Auditing</td>
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<tr>
<td>Knowledge Level</td>
<td>Intermediate</td>
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The following sessions are sponsored EY.

Wednesday, March 17

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Updated 3/11/2021
### Wednesday, March 17

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<tr>
<th>Time</th>
<th>Track</th>
<th>Session Title</th>
<th>Speakers</th>
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</thead>
<tbody>
<tr>
<td>2:30 - 3:00 p.m. ET</td>
<td><strong>BREAK</strong></td>
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<tr>
<td>2:30 - 2:50 p.m. ET</td>
<td><strong>TRACKS</strong></td>
<td><strong>2020s Re-envisioned: Plan, Respond, Recover</strong></td>
<td><strong>Managing Data and Leveraging Technology</strong></td>
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<tr>
<td>3:00 - 4:00 p.m. ET</td>
<td><strong>CS 5-1</strong></td>
<td><strong>Making Remote Auditing Work</strong></td>
<td><strong>CS 5-2</strong></td>
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<td></td>
<td><strong>Robert Berry, CIA, CPA, CISA, CCEP</strong></td>
<td><strong>Ernest Anunciacion, CIA</strong></td>
<td><strong>Brian Tremblay</strong></td>
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<td></td>
<td><strong>President and Chief Executive Officer</strong></td>
<td><strong>Director, Product Marketing Workiva</strong></td>
<td><strong>Compliance Practice Leader Onapsis</strong></td>
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<tr>
<td>1.2 CPE</td>
<td><strong>ThatAuditGuy.com</strong></td>
<td><strong>Gary Bradbury, CIA, CCSA, CFSA, CRMA, CPA Vice President, Internal Audit and ERM National Rural Utilities Cooperative Finance (NRUCFC)</strong></td>
<td><strong>George Finney</strong></td>
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<td><strong>Bill Hatcher</strong></td>
<td><strong>Chief Security Officer (CISO) Southern Methodist University</strong></td>
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<td><strong>Gary Bradbury</strong></td>
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<td><strong>Brian Tremblay</strong></td>
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<td><strong>John Ritchie</strong></td>
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<td><strong>Jonathan Pizarro</strong></td>
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<td><strong>Alexander Barr</strong></td>
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<td><strong>ThatAuditGuy.com</strong></td>
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<td><strong>Robert Berry, CIA, CPA, CISA, CCEP</strong></td>
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<td><strong>Ernest Anunciacion, CIA</strong></td>
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<td><strong>Brian Tremblay</strong></td>
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<tr>
<td>4:30 - 5:30 p.m. ET</td>
<td><strong>Night of Networking</strong></td>
<td><strong>The Escape Game: The Heist</strong></td>
<td><strong>You’re a secret agent, fresh out of training, who’s been assigned to the case of Vincent Hahn - an internationally infamous art thief. With the help of your Intelligence agent, you must use your wits to uncover Hahn’s true identity, dig up his dirt, and pin him down before another priceless piece goes missing!</strong></td>
</tr>
</tbody>
</table>
### Thursday, March 18

#### 10:00 – 11:15 a.m. ET

**General Session 4**

**1.5 CPE**

Economic Forecast, Emerging Risks, and Survival Strategies

John Manzella  

**Q&A Moderator:**  
Nancy Haig, CIA, CRMA, CCSA, CFSA  
North American Board Chair, The Institute of Internal Auditors  
Principal, PIAC LLC

#### 11:15 – 11:30 a.m. ET

**BREAK**

#### 11:30 a.m. – 12:30 p.m. ET

**2020s Re-envisioned: Plan, Respond, Recover**

**CS 6-1**  
American Corporate Governance Index: Key Findings and Opportunities for Internal Audit  
Jim Pelletier, CIA, CGAP  
Vice President, Standards & Professional Guidance  
The Institute of Internal Auditors

**CS 6-2**  
Increasing the Value of Analytics Using Technology and Continuous Monitoring  
Meredith Murphy, CFE, CAMS  
Leader, National Risk Data Analytics Practice  
Grant Thornton

Brian Scherbaum  
Senior Vice President, Internal Audit  
Synchrony Financial

Katherine Parcels, CISA  
Vice President, Audit Strategy, Analysis, and Practices  
Discover Financial Services

**CS 6-3**  
Compliance Risk Management: Applying the COSO ERM Framework  
Paul Sobel, CIA, QIAL, CRMA  
Chairman  
Committee of Sponsoring Organizations of the Treadway Commission (COSO)

Patty Miller, CIA, QIAL, CRMA, CPA, CISA  
Owner  
PKMiller Risk Consulting, LLC

Sarah Fedele  
Principal, Risk & Financial Advisory  
Deloitte & Touche LLP

Stacy Juchno, CPA  
General Auditor  
PNC Financial Services

Rhonda Bethea  
Senior Vice President, General Auditor  
Bank of America

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**NASBA Field of Study**  
Ethics  
Intermediate

**Knowledge Level**  
Management Services  
Advanced  
Business Management and Organization  
Intermediate  
Personnel/Human Resources  
Intermediate

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**The following session is sponsored by AuditBoard.**

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**The following session is sponsored by OneTrust.**
### Thursday, March 18

#### 12:30 – 1:15 p.m. ET

**LUNCH**

#### 12:30 - 12:50 p.m. ET

**Innovation Session: Control Test Automation: Changing the Nature of Controls and Audit, presented by Grant Thornton**

#### 12:55 - 1:15 p.m. ET

**Innovation Session: Data Driven Sox, presented by KPMG**

#### TRACKS

<table>
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<tbody>
<tr>
<td>1:15 – 2:15 p.m. ET</td>
<td>CS 7-1 Aftermath Adjusting for the New Normal: Workplace Return Considerations</td>
<td>CS 7-2 Surviving the Data Breach</td>
<td>CS 7-3 Seeing COSO Through a Social Media World</td>
<td>CS 7-4 Wow the Board: Lead With the 2021 Audit Committee Agenda</td>
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</tr>
<tr>
<td>1.2 CPE</td>
<td>Kimberly Dickerson, Managing Director, Protiviti</td>
<td>Bradley Carroll, CIA, QIAL, CFSA, CRMA, CPA, CFF, Principal, Frazier &amp; Deeter, CPAs &amp; Advisors</td>
<td>Michael J. Fucilli, CIA, QIAL, CRMA, CGAP, CFE, Principal, MAS Audit Services</td>
<td>Stephen Brown, Senior Advisor Board Leadership Center, KPMG, LLP</td>
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<td>Lorraine Peoples, CISA, Experienced CAE</td>
<td>Tripp Stedham, Director, Process Risks and Governance, Frazier &amp; Detter, CPAs &amp; Advisors</td>
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<td>Debbie Messemer, Board Member, PayPal</td>
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</table>

#### Knowledge Level

- **Personnel/Human Resources**: Intermediate
- **Auditing**: Intermediate
- **Communication and Marketing**: Intermediate

#### NASBA Field of Study

- **Personnel/Human Resources**
- **Auditing**
- **Communication and Marketing**

#### TOTAL CPE: 16.5

---

#### 2:15 – 2:45 p.m. ET

**BREAK**

#### 2:15 - 2:35 p.m. ET

**Innovation Session: Empower Your Audit Department With Analytics, presented by Workiva**

#### 2:45 – 4:00 p.m. ET

**Closing Keynote**

**Hacking the Pandemic: How Cybercrime Responded to COVID-19**

Geoff White

Investigative Journalist and Technology Specialist

#### Q&A Moderator:

Nancy Haig, CIA, CRMA, CCSA, CFSA

North American Board Chair, The Institute of Internal Auditors

Principal, PIAC LLC

**Specialty Knowledge**

**Advanced**

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The following sessions are sponsored by Protiviti.

The following session is sponsored by AuditBoard.

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<tr>
<th>10:00 – 11:00 a.m. ET</th>
<th>Post-conference Town Hall</th>
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<tr>
<td>GAM registrants are invited to join an Exclusive Virtual Town Hall to meet incoming IIA CEO, Anthony Pugliese. Gain insight on his vision for the organization and the future of the internal audit profession.</td>
<td></td>
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</tbody>
</table>

Anthony Pugliese, CGMA, CITP, CPA  
Incoming President and Chief Executive Officer  
The Institute of Internal Auditors  

**Q&A Moderator:**  
Nancy Haig, CIA, CRMA, CCSA, CFSA  
North American Board Chair, The Institute of Internal Auditors  
Principal, PIAC LLC
Monday | March 15, 2021

Pre-conference Workshop: Ready and Relevant
4.2 CPE *Additional Fee to Attend | NASBA Field of Study: Auditing | Learning Level: Intermediate

Tim Berichon, CISA, CGMA
Director, Insights & Intelligence
The Institute of Internal Auditors

This workshop will focus on getting internal auditors to the point where they have the confidence to say yes and not lose great opportunities to be strategically relevant. Ready & Relevant is for internal audit leaders, department heads, and managers who are looking to transform their teams to a more risk-based approach.

In this session, participants will:
- Delve into internal audit as a rotational department.
- Know what matters most — enterprise risk management (ERM).
- Understand how to build a more diverse resource plan.
- Learn the importance of focusing on competencies more than skills.
- Gain insights into proactive relationship management.
- Explore strategies for revisiting and overcoming challenges.

Tim Berichon is a finance leader and speaker whose diverse, in-depth experience in financial, operational, and compliance activities has spanned multiple divisions, processes, technologies, and international geographies. Adept at improving processes, controls, employee engagement, and customer service, he possesses a 30-year background in finance and operational management and leadership that includes internal audit, operational finance, public accounting, and strategic alliances. Berichon has provided internal audit leadership for multibillion-dollar global public companies, and operational finance leadership in both small and larger business units, including a $250m complex, international assignment.

Monday | March 15, 2021

CAE Forum: CAE Forum Pulse of Internal Audit (Audit Executive Center CAEs Only)
3.9 CPE | NASBA Field of Study: Auditing | Learning Level: Intermediate

This session is designated for Chief Audit Executives only. To learn more about the Audit Executive Center visit www.theiia.org/AEC or contact AEC@theiia.org

In Conversation with Anthony Pugliese – (1:00 – 1:45 p.m. ET) In this session, exclusive to AEC members, chief audit executives will have the opportunity to meet The IIA’s incoming president and chief executive officer, Anthony Pugliese.
Getting Real With Diversity, Equity & Inclusion, Sponsored by Crowe – (1.2 CPE/ 1:45 – 2:45 p.m. ET) Come join your executive colleagues for a continued panel discussion and virtual roundtable on how to create and integrate a vibrant diversity, equity, and inclusion (DE&I) strategy that positively advances your company culture. With all that is going on in our workplaces and our world, new leadership in Washington D.C., and other key cultural events that have occurred, we’ll examine how these variables will shape internal audit’s role in DE&I going forward.

Board Perspectives on ESG – (1.2 CPE/ 3:00 – 4:00 p.m. ET) The NACD will present board member discussion on environmental, social, and governance (ESG) topics. Organizations are increasingly being challenged to address ESG issues. Boards of directors are giving consideration to priorities and where they can and should look for assurance. Opportunities abound for internal audit functions in all industries and sectors. However, for many chief audit executives, there is great uncertainty as to how resources should be allocated and efforts prioritized.

2021 Pulse of Internal Audit Discussion – (1.5 CPE/ 4:15 – 5:30 p.m. ET) The IIA’s Audit Executive Center has gathered insight from leaders in the profession through the annual Pulse of Internal Audit survey since 2010. The survey collects information about internal audit leadership, including valuable benchmarking information such as staff level changes and audit plan allocations. This year’s Pulse of Internal Audit provides particularly valuable insight into how well internal audit weathered the storm caused by COVID-19.

Tuesday | March 16, 2021 10:00 a.m. – 11:15 a.m. ET
Opening Comments and the American Hall of Distinguished Audit Practitioners Awards

Nancy Haig, CIA, CRMA, CCSA, CFSA
North American Board Chair, The Institute of Internal Auditors
Principal, PIAC LLC

Nancy Haig is 2020–21 Chairman of The Institute of Internal Auditors (IIA) NA Board of Directors. In this role, Haig provides direction for The IIA’s strategic plan in North America and oversees its implementation. A member of The IIA since 1994, Haig has been an active IIA volunteer, including serving on the Publications Advisory Committee (PAC), the Editorial Board, and the Audit Committee. She also served as a member of the New York City Chapter’s Advisory Committee, as well as on the North American and Global boards of directors. She is Director, Stakeholder Relations, on The IIA Global Board.

Opening Keynote: Bad Blood — The Rise and Fall of Theranos: A Conversation With John Carreyrou
1.5 CPE | NASBA Field of Study: Behavioral Ethics | Learning Level: Intermediate

John Carreyrou
Pulitzer Prize Winner and Best-selling Author and Investigate Journalist
Moderator:  
William Michalisin, CIA  
Executive Vice President and Chief Operating Officer  
The Institute of Internal Auditors

John Carreyrou authored the New York Times bestseller, Bad Blood: Secrets and Lies in a Silicon Valley Startup. He was the first to break the scandal surrounding the failed biomedical startup Theranos in his reporting for The Wall Street Journal. In this talk, Carreyrou will discuss the ethical lapses, credulous media coverage, and lax oversight that allowed Theranos to achieve a “unicorn” valuation of $9 billion. He will also share lessons companies, journalists, and future business leaders can learn from its fall.

John Carreyrou is a two-time Pulitzer Prize-winning investigative reporter at The Wall Street Journal and the New York Times bestselling author of Bad Blood: Secrets and Lies in a Silicon Valley Startup. For his extensive coverage of Theranos, Carreyrou was awarded the George Polk Award for Financial Reporting, the Gerald Loeb Award for Distinguished Business and Financial Journalism in the category of beat reporting, and the Barlett & Steele Silver Award for Investigative Business Journalism.

William Michalisin is the Executive Vice President & Chief Operating Officer for The Institute of Internal Auditors (IIA), the global professional association and standard-setting body for internal auditors. The IIA serves more than 200,000 members in over 200 countries and territories and acts as the internal audit profession’s recognized advocate, educator, and provider of standards, guidance, and certifications globally.

In his current role, Michalisin leads operations and core services offered to IIA members globally, including, Membership, Certifications, Training & Conferences, Standards & Guidance and Professional Knowledge, Advocacy & Government Relations, Chapter and Institute Relations, Partnerships, Sales and Business Development.

Prior to joining The IIA, Michalisin was Industry Marketing Leader for Consumer & 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 consultant delivering business process strategy, risk management and fraud/forensic investigation services at both Deloitte Consulting and Accenture, to clients in multiple industry sectors.

Michalisin graduated magna cum laude from Columbia University with a master’s in Strategic Communications and has a bachelor’s degree in International Relations and Economics from Bucknell University. He also has his CIA designation and is a member of the Institute of Internal Auditors.
CS 1-1: There Are No Precedented Times: Change, Adaptation, and Resilience in Internal Audit

1.2 CPE | NASBA Field of Study: Personnel/Human Resources | Learning Level: Intermediate.

Mike Jacka, CIA
Chief Creative Pilot
FPACTS

One of the greatest challenges in internal audit over the last year has been the test of departmental resilience. Some departments have foundered, some have managed to just keep up, and others have successfully recovered, adapted, and evolved. This session will discuss the concepts and underlying considerations of operational resilience, what this means for internal audit, and how each department can improve.

In this session, participants will:

- Learn how resilience applies to the current and future operations of internal audit.
- Analyze the current state of internal audit department resilience.
- Gain insights into where and how to make improvements in each department.

**Mike Jacka** is chief creative pilot for FPACTS, a group dedicated to advancing internal audit skills. During a 30+-year internal audit career, he has been responsible for developing fraud investigation procedures for a 100-person audit shop, overseeing Farmers’ western regional auditing operations, and designing auditor training programs for a global organization of 200+ staff members. Jacka is a top-rated presenter, award-winning columnist, and contributor to *Internal Auditor* magazine, as well as co-author of two books published through the Internal Audit Foundation: *Auditing Social Media: A Governance and Risk Guide*, and *Message, Brand, and Dollars – Auditing Marketing Operations*, both in their second editions.

CS 1-2: Using Real-time Data to Mine Better Insights

1.2 CPE | NASBA Field of Study: Information Technology | Learning Level: Intermediate

Lisa Hartkopf
Partner, Americas Risk Markets Leader
EY

Fernando Garcia Bueno, CIA, CCSA
Vice President, Global Internal Audit
The Kraft Heinz Company
In a world of constant disruption and increasing pace of change, internal audit functions are striving to leverage technology to drive efficiency. This presentation will discuss one company’s journey to create a more efficient and risk-based internal audit process by enabling internal audit with real-time risk analytics and discovering ways to leverage risk analytics to better mitigate risk and enhance standardization of business processes.

In this session, participants will:

- Gain insights into the company’s data environment and business case for building analytics.
- Describe the tool and implementation journey.
- Understand the impacts on internal audit and the business.

Lisa Hartkopf serves as the Americas risk markets leader for EY’s consulting practice. She has more than 24 years of public accounting experience, working in assurance, transaction, and advisory services. Hartkopf leads innovation, thought leadership, strategy, and market activities for internal audit, internal controls, enterprise risk management, third-party risk management, compliance, and risk convergence. Previously, as Americas internal audit leader, she managed EY’s approach to internal audit and internal controls from Canada to Chile.

Fernando Garcia is an economist from the University of Zaragoza in Spain. He has a 25+ year background in audit, internal controls, risk management, and finance, gained in public accounting (Arthur Andersen both in Spain and USA) and Fortune 500 companies. Garcia presently leads the global internal audit function at Kraft Heinz. He previously served as chief audit executive at Sara Lee Corporation and Mondelez International. Originally from Zaragoza, Garcia has extensive international experience living and working in the US, Chile, UK, Spain, and Switzerland.

Milen S. Carvalho is EY’s US-West and Americas enterprise risk leader, responsible for creating an environment where people achieve their full potential in delivering risk management and compliance solutions that drive strategic value. She is passionate about creative thinking and bringing the best in people’s technical, personal, and managerial skills. During her 20-year tenure at EY, Carvalho worked extensively around the globe as a service partner on multiple consulting engagements. She has worked in the Miami and Dallas offices and was instrumental in developing EY’s risk consulting services in several countries in Latin America. She previously worked for Johnson Controls in Milwaukee and for Arthur Andersen in Brazil.

CS 1-3: The Snakes and Ladders of External Quality Assurance Reviews
1.2 CPE | NASBA Field of Study: Auditing | Learning Level: Intermediate
Sue Ulrey, CIA, QIAL, CRMA, CFE, FCA, FBP
Vice President, National Practice Leader, Advisory Services
Global Commerce & Information Inc.

There is a requirement to conduct a quality assessment review (QAR) every five years, but many internal audit activities do not. This session will use the game of Snakes and Ladders (Chutes and Ladders or Moksha Patam) to review the common barriers and identify successful strategies for performing a QAR. In navigating one’s game piece, to climb ladders represents successes and to slide down snakes represents the challenges and pitfalls of performing a QAR.

In this session, participants will:

- Discover the types of external quality reviews available and determine which one best suits their organization.
- Explore ways to prepare and plan for a successful QAR.
- Understand the top 10 observations found in QARs and how to address them.
- Identify ways to get value out of a compliance exercise.
- Use the checklists provided to enhance their successes and minimize the stumbling blocks.

Sue Ulrey is a well credentialed, active member of The IIA with 25+ years of internal audit leadership experience in finance, insurance, and healthcare. She speaks frequently at industry and international conferences on topics such as succession planning, internal controls, and risk management. Ulrey is known for delivering internal audit risk management and internal audit planning, data mining and analytics projects, and CAE services. With a passion for quality and leadership, she has performed 100+ external quality assurance reviews. Ulrey currently serves on The IIA’s Global Nominating Committee and Professional Certification Board, and chairs the Exam Development Committee.

CS 1-4: Internal Audit Competencies: Are You in the Know?
1.2 CPE | NASBA Field of Study: Personal Development | Learning Level: Intermediate

Carrie Summerlin, CCSA
Vice President, Internal Audit Foundation
The Institute of Internal Auditors

Michael Schor, CIA, CPA, CISA
Partner, Risk & Financial Advisory Practice
Deloitte & Touche, LLP
Neil White
Principal, Global Internal Audit Analytics Leader
Deloitte & Touche LLP (US)

The global market for internal audit functions demands the development of competency levels that keep pace with changes in technology, operating models, and a dynamic risk environment. This session will examine the results of a global study on internal audit competency conducted by the Internal Audit Foundation and research partner Deloitte. Presenters will highlight opportunities related to The IIA’s Internal Audit Competency Framework as well as emerging knowledge areas where practitioners can elevate their professional skillsets and enhance the value they provide their organizations.

In this session, participants will:

- Break down the current state of competencies related to The IIA’s Competency Framework by a multitude of factors, including industry, geographic region, practitioner role, and certifications.
- Get an overview of the Internal Audit Foundation’s premier global research on assessing internal audit competency in partnership with Deloitte.
- Gain an understanding of how the profession fairs globally in the four knowledge areas of the competency framework: Professionalism, Performance, Environment, and Leadership and Communication.
- Identify opportunities for new skill development to advance competency that could apply to their internal audit function.

Carrie Summerlin is vice president of the Internal Audit Foundation, the research and grant-making arm of The Institute of Internal Auditors, which serves more than 200,000 members globally. She provides oversight for the Foundation’s focus areas, including research and content development, academic grant programs, fundraising, strategic relationship management, and retail operations. During her 17-year tenure with The IIA, Summerlin has led various departments, including conferences, membership and chapter relations, and marketing. Before her appointment to the Foundation, she served as the managing director of conference and event operations.

Michael Schor is a partner in Deloitte’s risk and financial advisory practice, where he has almost 20 years of internal audit experience. He advises domestic and international clients on all matters of internal controls, including information technology, regulatory matters, risk management issues, and control and compliance management processes. Schor also leads Deloitte’s efforts around the modernization of key second and third line of defense functions, including the people, process, and technology considerations required to keep pace with rapidly evolving organizations and the emerging risks associated with these changes.
Neil White runs Deloitte’s Center of Excellence and is globally responsible for internal audit analytics, addressing analytics for risk dash-boarding, continuous controls monitoring, fraud, and forensics analytics. As a principal in Deloitte & Touche LLP’s risk and financial advisory practice, and a national leader in the Deloitte analytics practice, he provides risk and analytic services across a full range of clients and industries.

**Tuesday | March 16, 2021**

**12:30 p.m. – 1:15 p.m. ET**

**12:30 – 12:50 p.m. | Innovation Session: Take a Load Off! Let Automation Do the Heavy Lifting in Remote Issue Management, presented by Galvanize**

Viktor Culjak, CA (SA), CISA, CRISC, CSX-P
Director, Advisory & Consulting Services
Galvanize

Are manual, time-intensive audit processes causing you to lose your work-life balance? Discover how automation can make remote issue management and audit reporting more efficient and consistent.

In this session, participants will:

- Learn how they can reduce the time spent on manual issue remediation and reconciliation.
- Gain insights into bringing a little more audit-life balance back into their day.

**Viktor Culjak** is a seasoned GRC professional and leader of the advisory and consulting services practice at Galvanize. He directs the delivery of customer engagements to realize their GRC vision, goals, and objectives while leveraging the firm’s gear to drive adoption and enablement. Culjak has 10+ years of Big Four public practice experience in audit and risk advisory as well as experience leading a risk and controls function at a Canadian publicly listed company. His professional passion is pragmatically leveraging data and automation to realize efficiencies and to pivot risk assessment, monitoring, and control assurance activities towards being more data-driven

**12:55 – 1:15 p.m. | Innovation Session: Next-Gen Internal Audit Powered by Data & Technology, presented by Protiviti**

Andrew Struthers-Kennedy
Managing Director
Protiviti

Stan Oparanov
Associate Director
Protiviti
Do you know how process mining helps to identify not just “what” went wrong but “to what extent” and “why”? This session will provide the answers to these and other key questions.

In this session, participants will:

- Understand the value of delivering data-driven improvements to the control assessment process.
- Describe how analytic tests are not only applicable to limited control compliance assessment, but can also be designed to focus on process efficiency.
- Gain an appreciation for what is possible when it comes to analytics and continuous monitoring.

Andrew Struthers-Kennedy is a managing director, leading Protiviti’s global IT audit practice. He works with clients across industries to deliver outsourced and co-sourced internal audit services, as well as technology and risk management consulting services. He also works with organizations to establish delivery of next-generation internal audit and risk management services through the use of analytics, automation, and other emerging tools. Struthers-Kennedy serves on the board of his local IIA chapter and is a frequent speaker at IIA and other professional association events.

Stan Oparanov is an ACA chartered accountant and the Protiviti UK process mining lead, driving the use of enabling technologies and focusing on equipping clients’ three lines of defense to begin or accelerate their digital transformation journey. He served as project lead for the Protiviti Controls Assurance App.

Tuesday | March 16, 2021 1:15 p.m. – 2:30 p.m. ET

CS 2-1: A Conversation With the Author... Agile Auditing: Transforming the Internal Audit Process
1.5 CPE | NASBA Field of Study: Auditing | Learning Level: Intermediate

Debi Roth, CIA, CPA
Managing Director, Curriculum Strategy
The Institute of Internal Auditors

Rick A. Wright Jr., CIA
Director, Internal Audit and Enterprise Risk Management
YRC Worldwide
Author of Agile Auditing

Doing more with less has been the mantra for many internal audit organizations over the last decade. To accomplish this goal, internal audit leaders have sought creative methods for introducing agility into complex auditing activities that align to Agile Auditing: Transforming the Internal Audit Process. This session will provide insight into one company’s journey to create a more efficient and risk-based internal audit process by introducing agile auditing and scrum.
In this session, participants will:

- Gain insights into what agile auditing means and the value of incorporating agile auditing techniques into existing internal audit activities.
- Discuss how agile auditing conforms to the current IIA Standards.
- Describe recommendations of internal audit competencies that would prepare an internal audit department before starting their agile auditing journey.
- Understand the tool and agile auditing implementation journey.
- Learn about the impacts of agile auditing on internal audit and the business.

**Debi Roth** is responsible for developing curriculum to support the internal audit profession as The IIA’s managing director of curriculum strategy. Previously, as The IIA’s director of quality services, she was responsible for managing staff, developing and maintaining client relationships, and executing external quality assessments for domestic and international clients. Roth has been directly involved in 200+ external quality assessments as a team member or administrator. She has held leadership positions with two IIA chapters and served as staff liaison to the Global Professional Development Committee (GPDC) and as a member of the Learning Solutions Committee. Prior, Roth was enterprise risk manager for WellCare Health Plans and manager of internal audit for AirTran Airways.

**Rick A. Wright Jr.** is director of internal audit and ERM for YRC Worldwide. He has 25+ years of experience in internal audit practice and training. His career has included roles with organizations such as The IIA, Kansas City Southern Railway, H&R Block, and Resources Global Professionals. As an adjunct professor, he has taught accounting, finance, fraud, and strategic management courses. He also founded Resonate Training and Assurance Services, LLC, where he continues to pursue his passion for adult learning as an author, speaker, and training facilitator. Wright is an active member of The IIA–Kansas City Chapter.

**CS 2-2: Digital Disruption and Cyber Risk**

1.5 CPE | NASBA Field of Study: Information Technology | Learning Level: Intermediate

Annemarie Bardwell, CIA, QIAL, CMIIA, SCM
Chief Auditor, Global Consumer Banking Technology
Citi

Digital disruption marks changes in consumer needs, opening up new opportunities in your brand. As our businesses respond and adapt to the digital disruption, what are the current and emerging risks that auditors should consider? How do we audit cyber risk holistically, and is audit as a function also being disrupted digitally?

In this session, participants will:
• Understand the importance of technology and program management auditors in supporting digital disruption.
• Describe the current and emerging risks impacted by digital disruption.
• Identify the benefits of a holistic approach to auditing cyber risk and the relevance of key frameworks.
• Gain insight into digital disruption within internal audit and key considerations.

Annemarie Bardwell is chief auditor for global consumer banking technology at Citi, responsible for internal audit’s delivery of assurance on governance, risk management, and control globally. Since joining Citi, she has worked in Asia, Europe, and North America as Asia head of institutional client group technology audit, global head of treasury trade services technology audit, global head of private bank technology audit, chief audit executive of Citibank Europe plc, and chief auditor of program management. Previously, Bardwell worked in internal audit for Barclays, London and for Ernst & Young as an information security consultant, providing advisory services on risk, security, and IT governance across the financial services industry.

CS 2-3: Small Audit Functions: Conforming With the Standards
1.5 CPE | NASBA Field of Study: Auditing | Learning Level: Intermediate

Monica Moyer Kessel, CIA, CRMA, CFE, CCEP, CICA
Director, Internal Audit
St. Leo University

According to The IIA Practice Guide “Assisting Small Internal Audit Activities in Implementing the International Standards for the Professional Practice of Internal Auditing,” the top five most challenging areas for small audit functions tend to be independence and objectivity, quality assurance/improvement programs, managing the internal audit activity, engagement planning, and performing the engagement. This presentation will address ways for small audit functions to implement the Standards with limited staff and financial resources.

In the session, participants will:
• Understand the five major challenges to conforming to the Standards for small audit functions.
• Learn how to evaluate their organization’s current level of conformance with the Standards and identify specific gaps and barriers.
• Discover specific examples and leading practices to help meet the challenges of conformance.

Monica Moyer-Kessel is the director of internal audit for Saint Leo University. She has 25+ years of internal audit and accounting/finance experience in the higher education, health care, insurance, and logistics industries. She has performed and/or led external quality assurance review (QAR) validations for many organizations. Moyer-Kessel has also performed QAR self-assessments and received “generally conforms” opinions regarding her small audit function's QAR independent validations. She has been involved with The
IIA–Florida West Coast Chapter as treasurer and vice president of programming. She has presented and spoken for several associations, including The IIA, ACUA, URMIA, and FICPA.

CS 2-4: Ethical Leadership: It's Harder Than You Think
1.5 CPE | NASBA Field of Study: Behavioral Ethics | Learning Level: Advanced

Michael “Bret” Hood, CFE
Director
21st Century Learning and Consulting, LLC

As soon as you ascend to a position of power, there are changes in the way your brain processes information and makes decisions. In this presentation, you will learn how these changes occur as well as how to create methods to positively engage your followers, increase intrinsic motivation, and maintain your ability to empathize with others.

In this session, participants will:
- Create a working definition of leadership.
- Discuss the importance of followership.
- Define illusory superiority.
- Explain the effects of power on the brain.
- Develop methods to mitigate the effects of power on leadership.

Michael “Bret” Hood is a retired 25-year FBI Special Agent who worked many complex financial crime, money laundering, corruption, and major cases including the 9/11 terrorist attacks, HealthSouth, and Maricopa Investments. He is an ACFE faculty member, forensic accounting professor for the University of Virginia and Mt. St. Mary’s University, and the author of two critically acclaimed leadership books, Eat More Ice Cream: A Succinct Leadership Lesson for Each Week of the Year and Get Off Your Horse! 52 Succinct Leadership Lessons from U.S. Presidents.

Tuesday | March 16, 2021
2:30 p.m. – 2:50 p.m. ET
Innovation Session: ERM and Internal Audit: Anticipating and Addressing Risks in 2021, presented by AuditBoard

Anand Bhakta
Director, Risk Solutions
AuditBoard
What are the top risks for 2021, and how can internal audit and risk management functions get ahead to be change agents in the organization? Audit needs to innovate and think creatively to become more relevant — and that means embracing digital transformation, developing and using KRI, and aligning activities with company objectives.

In this session, participants will:

- Gain an overview of top risks and challenges for 2021.
- Break down actionable steps to level up ERM maturity to identify and address their organization’s key risks.
- Look ahead by examining real examples of how risk can become a performance enabler.

**Anand Bhakta** is the senior director of risk solutions at AuditBoard, a leading cloud-based platform transforming how enterprises manage risk. He has 15+ years of IT audit and consulting experience. Specializing in risks and controls related to the implementation of ERP systems, Bhakta has helped various multinational companies evaluate and/or implement application controls in ERP systems, including Oracle Financials, SAP, and PeopleSoft. In addition to being recognized for his ability to develop and implement agile auditing programs and data analysis tools, he has assisted clients in complying with Sarbanes-Oxley from both an advisory and attestation perspective.

**Tuesday | March 16, 2021**

**General Session 2: Being an Agent of Change in an Era of Disruption**

1.5 CPE | NASBA Field of Study: Auditing | Learning Level: Advanced

Richard F. Chambers, CIA, QIAL, CGAP, CCSA, CRMA
President and Chief Executive Officer
The Institute of Internal Auditors

Q&A Moderator:
Nancy Haig, CIA, CRMA, CCSA, CFSA
North American Board Chair, The Institute of Internal Auditors
Principal, PIAC LLC

The world today is fraught with risks. Change and turmoil seemingly arise overnight, leaving existing business and operational strategies and tactics increasingly and sometimes immediately obsolete. To remain relevant, internal auditors must become better informed and tech-savvy to redefine themselves as nothing less than indispensable. In this session, based on IIA President and CEO Richard F. Chambers’ latest book, practitioners are challenged to become powerful change agents through agility, an innovative mindset, effective communications, and business acumen.
In this session, participants will:

- Gain insights into transforming one’s mindset to thrive in an era of unrelenting change.
- Acknowledge shortcomings and commit to improvement.
- Discover how to let go of what’s comfortable and accept a radical way of thinking.
- Embrace technology as a critical element of internal audit’s mission.
- View independence and objectivity as tools for change — not barriers.

Richard F. Chambers, CIA, QIAL, CGAP, CCSA, CRMA, is president and CEO of The Institute of Internal Auditors (IIA), the global professional association and standard-setting body for internal auditors. Chambers has more than four decades of internal audit and association management experience, mostly in leadership positions. Prior to taking the helm of The IIA in 2009, he 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, as well as the Georgia State University School of Accountancy Advisory Council and the University of Alabama Culverhouse School of Accountancy’s Professional Advisory Board. Chambers also has served on the U.S. President’s Council on Integrity and Efficiency. Accounting Today ranks Chambers as one of the Top 100 Most Influential People shaping the accounting profession, and he is recognized by the National Association of Corporate Directors (NACD) as one of the most influential leaders in corporate governance. In 2016, Chambers was honored by American City Business Journals’ Orlando Business Journal as a top CEO of the Year. Chambers has authored two award-winning books: Trusted Advisors: Key Attributes of Outstanding Internal Auditors, which was released in early 2017; and Lessons Learned on the Audit Trail, which is currently available in five languages.

Nancy Haig is 2020–21 Chairman of The Institute of Internal Auditors (IIA) NA Board of Directors. In this role, Haig provides direction for The IIA’s strategic plan in North America and oversees its implementation. A member of The IIA since 1994, Haig has been an active IIA volunteer, including serving on the Publications Advisory Committee (PAC), the Editorial Board, and the Audit Committee. She also served as a member of the New York City Chapter’s Advisory Committee, as well as on the North American and Global boards of directors. She is Director, Stakeholder Relations, on The IIA Global Board.

Wednesday | March 17, 2021
10:00 a.m. – 11:15 a.m. ET
General Session 3: Cultivating Cultures of Inclusion and High Performance
1.5 CPE | NASBA Field of Study: Behavioral Ethics | Learning Level: Intermediate

Shirley Davis, Ph.D.
President and Chief Executive Officer
What does it take to create a welcoming, inclusive workplace culture that attracts and retains top talent, increases performance and engagement, and fosters collaboration and trust? Dr. Shirley Davis will detail the latest research and future trends on changing global demographics and how workers and work will be impacted. She’ll outline innovative strategies for creating winning cultures and great places to work, as well as identify the new leadership skills and competencies needed to achieve high performance, innovation, and inclusiveness.

In this session, participants will:

- Discuss the demographic disruptions that will define the workplace, workers, and work in the next decade and how that will necessitate more welcoming workplace cultures.
- Define company culture, how it is created, and how it is reinforced.
- Explain the business case and benefits for creating a winning culture in their organization.
- Identify best practices used by some of the world’s most admired companies and learn how they can contribute to building a welcoming, winning, and inclusive workplace.

**Dr. Shirley Davis** is an accomplished corporate executive, global workforce management expert, certified leadership coach, and master of reinvention. She has worked with leaders at all levels in 30+ countries on five continents and delivered 80+ speeches annually, bringing a high-energy, high-content, and high-value message to audiences worldwide. Her 20+ years of business experience in senior and executive leadership roles with Fortune 100 companies includes having served as vice president of global diversity and inclusion and workplace strategies for the Society for Human Resource Management. Dr. Davis has been a featured expert on numerous television shows and magazines, and she is the author of two LinkedIn Learning courses and two books.

**Wednesday | March 17, 2021**

**CS 3-1: OnRisk 2021: A Guide to Understanding, Aligning and Optimizing Risk**

1.2 CPE | NASBA Field of Study: Auditing | Learning Level: Advanced

Harold Silverman, CIA, CRMA, QIAL, CPA, CISA
Managing Director, Professional Practices
The Institute of Internal Auditors

Harold Silverman, managing director of professional practices at The Institute of Internal Auditors, will lead a discussion around key findings from The IIA’s second annual OnRisk 2021 report.
In this session, participants will:
- Study key risks for 2021 and beyond.
- Examine how management perceptions of risk relevance differs from those of boards and CAEs.
- Understand how perceptions of capability to manage key risks has changed.
- Identify COVID-19’s impact on perceptions of key risks.

Harold Silverman is the managing director of professional practices at The IIA. He serves as the liaison to the International Internal Audit Standards Board, oversees the development and maintenance of all aspects of the International Professional Practices Framework, and leads The IIA’s CAE services offerings, including thought leadership on emerging trends and leading practices. Silverman previously served as vice president of internal audit at The Wendy’s Company and at Houghton Mifflin Harcourt Publishing Co. He also held internal audit positions at Raytheon Co. and PwC, and he gained external audit experience at Arthur Andersen.

CS 3-2: Aligning Your IT Audits With Leadership's Cybersecurity Questions
1.2 CPE | NASBA Field of Study: Information Technology | Learning Level: Advanced

Lucas Morris
Senior Manager, Cybersecurity and Digital Risk Practices
Crowe LLP

Nathan Anderson, CISA, CRISC
Senior Director, Internal Audit
McDonald’s Corporation

Titus Weijma, CISSP, CISA, CDPSE
Global Technology & Digital Audit Lead
McDonald’s Corporation

Testing cybersecurity controls has long been the domain of penetration testers hired by IT audit teams. However, with the tools for testing cybersecurity controls more accessible than ever, the time has come for IT audit to cross the chasm and begin testing the effectiveness of these technical controls. This session will cover basic tools and techniques for testing cybersecurity controls that your IT audit team can adopt.

In this session, participants will:
- Understand leadership’s cybersecurity questions and audit’s potential for answering them.
- Gain insight into the skillset, mindset, approach, and specific tools required to test cybersecurity controls.
- Explore methods that will help their team become an effective, independent cybersecurity testing function.
Lucas Morris has more than 15 years of information security experience. As a senior manager and leader within the cybersecurity and digital risk practices at Crowe, he focuses on helping clients develop more secure environments by conducting penetration testing, implementing data privacy protections, and supporting executive management as a virtual information security officer. In his free time, he serves as a professor of cybersecurity, develops new tools and methodology, and leads and supports collegiate security competitions.

Nathan Anderson has 20 years of technology risk, software consulting, and IT audit experience. As technology and digital audit team leader for McDonald’s, he oversees a global team performing audits over privacy, cloud security, fraud data analytics, cybersecurity, data quality and integrity, and third-party governance. The team is working to enable technical testing of cybersecurity controls and increase the use of data analytics to identify fraud and inappropriate spend within back-office financial processes. Anderson also manages the IT aspect of Sarbanes-Oxley compliance across six countries. His primary area of focus is cybersecurity and privacy. Prior to McDonald’s, he led the IT audit function at Sears Holdings.

Titus Weijma is a manager in McDonald’s global IT audit team, which performs audits over cybersecurity, privacy, cloud security, data quality and integrity, compliance, and third-party governance. His primary area of focus is cybersecurity and privacy. Weijma joined the global internal audit function within McDonald’s in 2015 and has since led numerous technical and security audits, the IT testing of Sarbanes-Oxley compliance, and the privacy compliance program. In addition, he builds and maintains cybersecurity computer platforms from which cross-country penetration assessments are executed, and he actively seeks methods to automate test steps.
Internal audit departments that are not leading their organization's combined assurance initiatives risk being marginalized. The IIA’s 2020 update on governance and risk management, the Three Lines Model, squarely emphasizes the need for enhanced collaboration between assurance providers in the second line and internal audit. This session will explore the underpinnings and key benefits of combined assurance, as well as how to navigate common challenges with best practices to successfully implement combined assurance.

In this session, participants will:

- Learn why compliance with IIA Standard 2050 is foundational, not aspirational.
- Discuss the top benefits and challenges facing internal audit in the quest for combined assurance.
- Analyze the key success factors for gaining management support for combined assurance.

**Anand Bhakta** is the senior director of risk solutions at AuditBoard, a leading cloud-based platform transforming how enterprises manage risk. He has 15+ years of IT audit and consulting experience. Specializing in risks and controls related to the implementation of ERP systems, Bhakta has helped various multinational companies evaluate and/or implement application controls in ERP systems, including Oracle Financials, SAP, and PeopleSoft. In addition to being recognized for his ability to develop and implement agile auditing programs and data analysis tools, he has assisted clients in complying with Sarbanes-Oxley from both an advisory and attestation perspective.

**Serhat Khan** is vice president of internal audit at McDermott, responsible for overseeing internal audit and internal controls efforts globally. His significant record of success within the energy and EPC industry includes 20 years delivering internal audit services, facilitating SOX compliance, and conducting risk assessments at both public and private companies. Khan previously served as chief audit executive at National Petroleum Construction Company and held senior accounting and audit roles at Kohler Company. In addition to his professional duties, he routinely serves as a speaker and panelist for numerous national and international professional organizations and conferences.

**CS 3-4: Better, Faster, Happier… Kicking and Screaming**
1.2 CPE | NASBA Field of Study: Auditing | Learning Level: Intermediate

Sarah Adams, CISA, CRISC, ICAgile Professional
Managing Director
Deloitte & Touche LLP

Stefanie D’Elia, CPA
Managing Director
Goldman Sachs
Anthony Reid, Chartered Accountant (C.A.)  
Vice President Internal Audit  
Goldman Sachs

Ranjani Narayanan  
Senior Manager  
Deloitte Risk and Financial Advisory

Yes it is true! Agile will create better, faster, happier teams and stakeholders. But the journey is not a straight line. There are many challenges and pitfalls, and as a large, diverse, global internal audit function, we have experienced them all! We persevered and discovered there is pot of gold at the end of the rainbow. Join us as we discuss the good, bad, and ugly of agile internal audit transformation, and why it’s worth it.

In this session, participants will:

- Unharness the power of their teams, even at the most junior level, to make a meaningful impact on the value of their audits.
- Build internal coaching capabilities to develop and sustain the mindset shift necessary for better, faster, happier.
- Develop new leadership capabilities designed to create the function our new and ever-changing world requires.

**Sarah Adams** is a managing director at Deloitte & Touche LLP with more than 30 years of audit, technology, operations, and IT risk and controls experience. She served as U.S. and then global IT internal audit leader. Currently, Adams is the global agile internal audit leader, developing firm methodology and working with clients to transform their internal audit practices by applying agile techniques. She is actively working with multiple companies across industries to implement agile internal audit. Additionally, she has presented at conferences and delivered trainings for The IIA and ISACA on a variety of audit topics.

**Stefanie D’Elia** is global head of Goldman Sachs’ professional practices group, which focuses on quality assurance reviews, maintenance of internal audit’s policies and procedures, and confirmation of internal audit’s adherence to regulatory expectations. She is also global head of the Center of Excellence for agile practices, chair of the Internal Audit Training Committee, and a member of Internal Audit’s Risk Assessment Steering Group and Agile Steering Group. D’Elia previously served as a senior manager in process and controls at Ernst & Young (EY), focusing on internal audit work with financial services institutions. She also worked in internal audit at Royal Bank of Scotland.

**Anthony Reid** is a qualified Chartered Accountant who joined internal audit at Goldman Sachs in November 2016. He is currently a Center of Excellence Lead for the firm’s internal audit agile transformation, coaching internal audit teams and coordinating the design and implementation of agile practices for the department.
globally. Reid began his career as an investigator with Australian law enforcement before joining the Deloitte forensics team in 2011 and transferring to the New York practice in November 2013. He has worked on numerous international internal audits, investigations, and financial advisory engagements in Asia, Europe, Africa, the Americas, and Australia.

Ranjani Narayanan is a leader in the risk and financial advisory practice and the co-leader of the Deloitte Agile internal audit initiative, leading the charge on developing the Agile internal audit framework, rolling out strategy, and building eminence in the marketplace. She is passionate about taking clients through their Agile transformation, including conceptualizing ideas, facilitating mindset shift, and coaching them from pilots to transformation through their steady state. Narayanan currently leads one of the largest internal audit global retail organizations, helping with strategy and compliance activities. Her experience spans internal audit, internal controls (business process and information technology), and security and controls implementation. She speaks frequently at IIA events.

Wednesday | March 17, 2021

12:30 – 12:50 p.m. | Innovation Session: PowerAudit – An Introduction to RGP’s RPA Control Assurance Framework, presented by RGP

Ian Burnett
Vice President, Internal Audit & Compliance, Advisory & Project Services
RGP

Learn how RGP PowerAudit gives audit teams superhuman capabilities by harnessing the power of bots, the cloud, and a standardized framework to decrease costs, eliminate errors and reduce risk.

Ian Burnett is an experienced executive in the delivery of governance, risk, and compliance services. Since joining RGP in 2019, he has been leading the company’s efforts to develop and enhance capabilities to deliver value to clients regarding internal audit and compliance related solutions.

12:55 – 1:15 p.m. | Innovation Session: Simplify Audit Processes to Drive Business Growth, presented by ServiceNow

Anushree Randad
Product Manager for Risk
ServiceNow

Audits traditionally have been complex workflows, driven by manual processes with hundreds of spreadsheets, requiring substantial attention to detail and time to complete. Whether you are performing an internal audit or working with external auditors, you are spending too much time and money managing audits. Compliance teams struggle as well, burdened by testing, evidence collection, and reporting tasks. ServiceNow
will offer practical advice on ways you can simplify and modernize your audit processes to not only speed them up, but drive business growth.

In this session, participants will:

- Receive three recommendations for improving audit efficiencies.
- Discover the quantifiable value they could achieve.
- Understand what is required to realize the value.

Anushree Randad is a principal product manager for ServiceNow, focusing on policy/compliance management and audit management products. She has more than 11 years of experience in compliance and audit, working with ServiceNow’s GRC product — the first six years were as a ServiceNow customer in various capacities; for the last five, she has driven product enhancements and worked with customers to continue expanding the value of compliance and audit products.

Wednesday | March 17, 2021  
CS 4-1: Non-GAAP, Non-Financial, ESG and Operational Measures: Role of Internal Audit  
1.5 CPE | NASBA Field of Study: Auditing | Learning Level: Intermediate

Moderator:
Princy Jain, CIA  
Partner  
PwC

Julia Wyckoff, CIA  
Chief Audit Executive  
Intuit, Inc.

Scott Schulze  
Vice President, Audit & Advisory Services  
Autodesk

Laurie A. Hanover, CIA  
Vice President, Internal Audit (Chief Audit Executive)  
Sunrun Inc.

Most of these measures are reported without any independent audits; therefore, there is a risk that reporting of these measures may not follow adequate procedures and may be prone to undetected errors. Over the last few years, companies have been implementing formal processes and controls around these measures to
enable appropriate reporting to their stakeholders. In many cases, internal audit plays a critical role in auditing these measures.

In this session, participants will:

- Understand different measures that are reported and challenges in reporting such measures that are not part of independent external audits.
- Discuss various approaches and skills needed to audit these reportings.
- Learn about board and audit committee expectations for internal audit to support auditing of such measures.
- Gain insights into different approaches and projects internal audit can execute to support the organization with auditing measures and managing stakeholder and regulator expectations.

**Princy Jain** is an experienced consulting professional with over twenty eight years experience serving multinational clients in a variety of sectors including the last seventeen years in Silicon Valley. Accomplished in the challenges facing global companies, including business and technology transformation, merger integration, finance and process improvement, and global expansion. Princy’s expertise also spans across multiple business functions including risk management, internal audit and controls. He is an active volunteer, served on the North American and Global Board of the IIA and on the Northern California’s Board of Ascend. Princy is a Chartered Accountant from India and a CIA.

**Julia Wyckoff** is a Silicon Valley executive with extensive auditing and finance experience across the technology, interactive entertainment, retail, and payments industries. She joined Intuit Inc. in 2019 as chief audit executive. Prior to Intuit, she served for three years as head of Google audit at Alphabet, where she started up a Google audit team and managed the transition of ownership for Alphabet’s SOX program from internal audit to the controllership function. Before Alphabet, Wyckoff held leadership roles in accounting, FP&A, finance transformation, and internal audit at KPMG, Hewlett-Packard Co., Electronic Arts, Gap Inc., and Visa.

**Scott Schulze** is an audit executive with 20 years of experience in helping companies develop and enforce strategies to mitigate financial, operational, and compliance-oriented risks. At Autodesk, he is responsible for the audit and advisory services team, which serves as a key business partner in helping the company assess current critical risks, as well as those that will become relevant in the future as part of regulatory changes and ongoing company transformation.

**Laurie A. Hanover** is the chief audit executive at Sunrun Inc., the nation’s largest residential solar provider. She leads a team focused on internal audit, SOX compliance, and enterprise risk management. Previously, Hanover founded and led the global internal audit teams at Twitter and Zynga. She also held internal audit leadership positions at Cisco, EA, and Levi Strauss. She started her career designing and building Oracle systems before
becoming a Big Four risk assurance senior manager, first at Andersen and then at PwC. Hanover is a board member of The IIA–San Francisco and chair of the Sunrun Pride+ Employee Resource Group.

CS 4-2: Bring in the Robots: Automating IT and Cyber Audit Strategy
1.5 CPE | NASBA Field of Study: Auditing | Learning Level: Intermediate

Nonie Dalton
Director, Product Management
Galvanize

Curtis Josey Jr., ACDA, CISA, MCP
Data Analytics Manager
Cornell University

The global pandemic has forced organizations to adapt to the new realities of remote work, social distancing, and alternative working arrangements. The uncertainties of the global economic landscape have increased exposure to existing and new IT and cyber risks. This session explores real-life examples of how audit shops used robotic process automation (RPA) to extend their assurance coverage to face these uncertainties and deliver more in the areas of IT risk and cybersecurity.

In this session, participants will:
- Apply automated control testing and methods to evaluate and enhance audit success with Robotics Automation.
- Establish an approach to a data driven IT risk assessment and identify potential data sources for IT control testing.
- Describe common identity access management control tests.
- Explain some RPA approaches to provide cybersecurity assurance and the value it can bring to your organization.

Nonie Dalton is the director of product management at Galvanize, where she focuses on defining and managing go-to-market strategy, and working cross-functionally to define product strategy. An experienced product leader, she is passionate about connecting people with innovative technologies that help drive their success.

Curtis Josey Jr. is a proven risk assurance professional who co-created an award-winning continuous assurance service for Cornell University by harnessing the power of data analytics, robotic process automation, human computer interaction, and agile project management concepts. He acquired 15+ years of experience in administration operations and information technology prior to joining internal audit. Josey has developed and presented CPE trainings at national conferences, webinars, and regional user groups.
CS 4-3: Assurance by Design: Three Lines Model During Major System Implementations
1.5 CPE | NASBA Field of Study: Auditing | Learning Level: Intermediate

Sandy Pundmann, CIA, CRMA, CPA
Senior Partner, Global Internal Audit
Deloitte & Touche LLP

Sean Eirich
Director of Internal Audit
Google

Melissa Kandel
SVP Internal Audit & Risk
Peloton

Stasi Brown, CPA
Finance Director, Internal Controls and SOX Compliance
Alphabet

Charmaine Wilson, CIA
Principal
Deloitte & Touche LLP

A moderated panel will share real experiences and lessons learned to facilitate an “assurance by design” risk management approach before, during, and after an ERP transformation. Panelists will consider assurance by design principles to ensure risk and controls considerations upfront and business, process, and controls readiness before go live; dynamic involvement of internal audit (when and how?); optimization of collaboration across the three lines; and management of politics, implementers, operations, and business perspectives to build the right capabilities and controls.

In this session, participants will:
- Understand the full landscape of risk and controls during a major system implementation, and how to evaluate roles and responsibilities for managing this risk.
- Explore leading practices across the three lines to demonstrate added value back to the program.
- Describe risk management capabilities that are often missed during transformation.

Sandy Pundmann has 39+ years of business experience in internal audit, enterprise risk management, accounting, finance, and information technology. She has served a variety of large multinational clients across
a broad range of industry sectors, including technology, media, telecommunications, retail, and consumer products. As senior partner with Deloitte & Touche, she leads the Chief Audit Executive Program, and as a member of the global internal audit executive team, she has led innovation in agile, digital, and cyber IT internal audit; client experience labs; and the future of internal audit. Pundmann previously served as U.S. managing partner and leader of the firm’s internal audit offering.

Sean Eirich is a director in internal audit with more than 19 years of professional experience covering mergers and acquisitions, divestitures, external audit, technical accounting, financial restatements, IPOs, and fresh start accounting. In his current role, he audits Alphabet stewardship functions, corporate functions and systems, other bets, regulatory compliance, and health initiatives.

Melissa Kandel has 20+ years of experience providing internal audit readiness and compliance services for multinational companies. She serves as head of internal audit at Peloton, establishing the control environment, creating a SOX 404 readiness program, and building the global internal audit function. Previously, Kandel led the internal audit function at Shake Shack, where she spearheaded ERP system implementation, ERM, and governance initiatives. Her background includes establishing and rationalizing SOX and internal controls programs for global public companies, as well as companies that have gone through an IPO. Collaborating with the business, she brings a risk and controls lens to key strategic initiatives to foster a culture of risk awareness and forward-looking insights.

Stasi Brown leads Alphabet’s global SOX compliance. She is a seasoned financial executive specializing in risk management, financial processes and controls, and business process improvement in the technology and manufacturing sectors. Prior to Alphabet, Brown was the global lead for General Motors SOX compliance post-bankruptcy and also served as chief accounting officer for GM’s Canadian operations. Prior to GM, she spent 11 years with PwC in external audit and advisory risk assurance.

Charmaine Wilson is a principal in the risk and financial advisory internal audit practice at Deloitte & Touche LLP. She has more than 16 years of experience helping companies evaluate risk and enhance their controls across the organization. This includes assisting management in identifying and implementing the right controls, working with compliance functions to support management in improving the overall risk posture, and working as internal audit to evaluate, advise, and help management anticipate risk.

**CS 4-4: Internal Audit's Greater Impact and Influence**

1.5 CPE | NASBA Field of Study: Auditing | Learning Level: Intermediate

Marc Sabino
Chief Auditor, Innovation
Citigroup
Organizations must keep pace with disruptive changes in the market. This means internal audit functions must also remain at the forefront of innovation and use other key competencies to continue driving a safe, sound control environment for their organizations. How can internal audit forge a path to greater impact and influence?

In this session, participants will:

- Identify the strategic importance of having greater impact and influence.
- Understand how internal audit teams are working toward greater impact and influence in their organizations.
- Share ideas on how to embrace developments that will impact and transform internal audit functions.

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.

Wednesday | March 17, 2021 2:30 p.m. – 2:50 p.m. ET

Innovation Session: Touchstone Insights: Agile Audit, Dynamic Risk Assessment, Data-driven Analytics, presented by Wolters Kluwer

Jonathan Pizarro
Head of Product, Americas
Wolters Kluwer, TeamMate

Internal audit practices have been evolving over the last several years. The need for change has only increased as a result of the pandemic’s disruption at the individual, team, organizational, and market levels. “The Touchstone Insights for Internal Audit” uncovered insights into three key areas audit professionals see as critical today and going forward: dynamic risk assessments, agile audit (or at least an agile mindset), and integration of data analytics across the audit workflow.

In this session, participants will:

- Gain an understanding of dynamic risk, agile audit, and digital analytics.
- Learn what their peers across regions, industries, and audit-team size are saying about these key evolving practices.
- Understand why these are growing in importance for the future of internal audit.
• Get insights into first steps to move toward incorporating dynamic risk, agile audit, and data analytics into their workflow.

Jonathan Pizarro brings more than 10 years of enterprise product management experience and is part of TeamMate’s global product management team. He is responsible for ensuring that TeamMate’s clients in the Americas are well represented within the TeamMate product portfolio. Pizarro is heavily focused on providing innovative solutions to real market problems, with an emphasis on voice of customer and contextual design.

Wednesday | March 17, 2021
CS 5-1: Making Remote Auditing Work
1.2 CPE | NASBA Field of Study: Auditing | Learning Level: Intermediate

Robert Berry, CIA, CPA, CISA, CCEP
President and Chief Executive Officer
ThatAuditGuy.com

We’ve been thrust into the world of remote work. Which means it is a perfect opportunity to take advantage of operational efficiencies when you use technology effectively to win at remote auditing. First, there is a general description of the various tools. Then, we explore the audit process. And finally, we describe tools and techniques for specific parts of the audit process. Topics will include the case for remote auditing and audit execution.

In this session, participants will:
• Identify tools to make their life easier while remote auditing.
• Set up their workspace with minimal cost but maximum benefit.
• Get tips for planning better remote audits and saving time on fieldwork documentation.
• Collaborate with audit colleagues and clients.

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 5-2: HGTV for Internal Audit: A Case Study for Renovating SOX Testing
1.2 CPE | NASBA Field of Study: Information Technology | Learning Level: Intermediate
Ernest Anunciacion, CIA, SSBB
Director, Product Marketing
Workiva
Information technology and data management aren't what they were last year, let alone last decade. By managing unstructured and structured data in a single spot, internal audit teams can collect, aggregate, and manage work in just a few clicks. Hear how teams can tear SOX processes down to the studs, creating a showroom-worthy function that can minimize risk, maximize control, and boost insight and collaboration across the three lines of defense.

In this session, participants will:
- Identify universal challenges and areas of waste within a manual SOX testing process.
- Assess best practices for implementing innovative technology to support SOX and internal audit methodologies.
- Highlight the ways in which partnerships provide value to SOX and internal audit initiatives.

Ernest Anunciacion brings more than 15 years of experience in internal audit, risk management, and business advisory consulting to his role as a director of product marketing focused on Workiva’s internal audit solution. A former chief audit executive, he has an extensive background in complex risk and control analysis and process improvement within the financial services, manufacturing, media, technology, healthcare, and agriculture industries. His expertise also includes ERM and risk advisory consulting.

Gary Bradbury has 25+ years of auditing experience. He is vice president of internal audit and enterprise risk management (ERM) (chief audit executive) for the National Rural Utilities Cooperative Finance Corporation. During his 19-year tenure, he reestablished the in-house internal audit function and developed the organization’s SOX 404 and ERM programs. Bradbury served as The IIA’s District Representative for the Baltimore; Washington, DC; and Northern Virginia chapters for four years. He has been a member of the NOVA chapter for the past 15 years and currently serves on the chapter’s board of governors.

Bill Hatcher is a senior manager with Clearview Group and has 12+ years of experience in risk advisory and internal audit solutions. He focuses on helping companies with risk advisory solutions, including implementation and optimization of Sarbanes-Oxley compliance, the delivery of outsourced and co-sourced internal audit projects, public company transformation activities, IT governance, and data privacy programs. Based in the Washington, D.C., metropolitan market, Hatcher serves as president of IIA–Northern Virginia.
ERPs are incredibly complex, business-critical applications; outages or breaches can irreparably damage your organization and brand. The global pandemic has exacerbated the risks to your ERP, and the threat landscape that surrounds them continues to evolve and become more significant. What happens if you ‘ace’ ITGCs and do all the right things for your network and perimeter, yet are still completely exposed to risks you’re unaware of?

In this session, participants will:

- Understand the complexity of an ERP system, why they are of high interest to threat actors, and how the pandemic has only increased their interest.
- Hear about the hidden risks that exist in their ERP that can create the same risks ITGCs seek to address in different ways.
- Learn the shortcomings of traditional ERP auditing approaches (specifically ITGCs).
- Discover what internal auditors can do to proactively help their organizations identify and mitigate these risks.

**Brian Tremblay** leads the compliance practice at Onapsis, helping customers understand and navigate the increasing overlap of compliance, cybersecurity, and business continuity related to IT general controls and regulatory and compliance matters such as SOX and the GDPR. Previously, as CAE for Acacia Communications, he founded and led the internal audit function, helped prepare the organization to go public, and facilitated its
implementation of ERM. Prior, as director of internal audit at Iron Mountain, Tremblay oversaw all audits and projects within North America and liaised with global quality managers. Prior, as a senior manager at Houghton Mifflin Harcourt, he built out an internal audit department and implemented SOX. Earlier in his career, he worked at Raytheon and Deloitte.

**John Ritchie** has extensive experience optimizing financial outcomes for companies at various stages of growth, including several he led to IPO and through M&A transactions. Over the last 20+ years, he’s served as CFO at Splash Technology, Electronics for Imaging, Ubiquiti Networks, Telerik, and Aerohive Networks. In late 2020, Ritchie joined A Cloud Guru as CFO to help guide the growth of the award-winning platform for cloud-based tech skills development. His focus is scaling the company as it becomes recognized as the leader in its space. He also serves on Acacia Communications’ board of directors, chaired Acacia’s audit committee from 2015 through its 2021 sale to Cisco Systems, and served on the transaction committee during the Acacia sale process.

**George Finney** is a chief information security officer who believes that people are the key to solving our cybersecurity challenges. He is the author of several cybersecurity books, including *Well Aware*, recognized as Book of the Year by Business Class News. Finney has worked in cybersecurity for nearly 20 years, helping startups, global telecommunications firms, and nonprofits improve their security posture. He has been recognized by Security Magazine as a top cybersecurity leader. Finney is part of the Texas CISO Council, a board member for the Palo Alto Networks FUEL User Group, a master mentor for the Cyber Future Foundation, and an advisory board member for SecureWorld.

**David Martin** is director of compliance at Kingswood Group U.S., and CCO of Benchmark Investments, Inc. and Benchmark Advisory Services, LLC. He was formerly CEO of American Global Wealth Management Inc. Prior to that, Martin served as CCO of Keystone Capital Corp. (now Coinbase Capital) for 10 years. He has worked in the financial industry for 12+ years and served on the FINRA District 2 committee as a small firm representative for the 2016–2018 term. Martin holds the Regulatory Compliance Professional certification as well as FINRA licenses 7, 24, and 66, and he is insurance licensed.

**CS 5-4: Future-proof Your Team by Accessing Digital Skills**

1.2 CPE  | NASBA Field of Study: Auditing  | Learning Level: Intermediate

Jonathan Pizarro  
Head of Product, Americas  
Wolters Kluwer, TeamMate

Alexander Barr  
Senior Finance Manager, Digital Innovation & Analytics, Global Audit & Assurance  
Johnson & Johnson
Now more than ever, as organizations continue to evolve their technology platforms, internal auditors need to acquire digital skills. This session will walk you through how to assess your team’s current digital skills and create a plan for the future.

In this session, participants will:
- Understand why it is critical for internal audit departments to assess their team’s current digital skill set.
- Learn of the implications organizations could face if they don’t properly assess their IT risks.
- Hear about methods and tools organizations can leverage to get their teams up to speed.

Jonathan Pizarro brings more than 10 years of enterprise product management experience and is part of TeamMate’s global product management team. He is responsible for ensuring that TeamMate’s clients in the Americas are well represented within the TeamMate product portfolio. Pizarro is heavily focused on providing innovative solutions to real market problems, with an emphasis on voice of customer and contextual design.

Alex Barr brings 12+ years in accounting, audit, consulting, and digital transformation to his role as digital transformation leader for Johnson & Johnson’s global audit and assurance department. He oversees 10 systems experts and data scientists providing support for TeamMate, analytics, automation, robotics, and other special projects with a digital focus. He also leads the digital audit risk assessment process, which leverages enterprise data to drive audit plan decision making. Notably, Barr rolled out “Data Boot Camp” and other digital tool training initiatives to all 5,000+ J&J finance professionals. He previously held staff and management positions with various companies, including PwC, and also ran his own consulting firm.

Thursday | March 18, 2021 10:00 a.m. – 11:15 a.m. ET


John Manzella

Q&A Moderator:
Nancy Haig, CIA, CRMA, CCSA, CFSA
North American Board Chair, The Institute of Internal Auditors
Principal, PIAC LLC
COVID-19, economic trends, and emerging risks are impacting U.S. and global growth. Plus, the skills deficit, automation advances, immigration concerns, and the need for lifelong learning are presenting new challenges. Additionally, supply chain disruptions, USMCA and Europe issues, and tensions with China are adding complexity while shaping our future. What does this mean for the U.S. and your business? This invaluable program delves into the details, reveals global dangers, and provides essential survival strategies to compete in the years ahead.

In this session, participants will:
- Learn what’s ahead for the economy, and for domestic and international business.
- Understand how to more accurately assess and reduce risk.
- Obtain survival strategies to navigate the rough waters ahead.
- Gain insights into improving competitiveness and making better-informed decisions.

**John Manzella** has provided insight, analysis, and strategic direction on global business, trade policy, labor, and the latest economic trends to many world-leading corporations and associations. He has authored several books and founded both the ManzellaReport.com and Manzella Trade Communications, Inc. His views have appeared in The Wall Street Journal, New York Times, Bloomberg, NPR, and other major publications worldwide. Manzella was appointed chair of the Upstate New York District Export Council by the U.S. Secretary of Commerce and is chief strategy officer of Ignition Life Solutions, former executive director of goTRADE New York, and former president and CEO of World Trade Center BN.

**Nancy Haig** is 2020–21 Chairman of The Institute of Internal Auditors (IIA) NA Board of Directors. In this role, Haig provides direction for The IIA’s strategic plan in North America and oversees its implementation. A member of The IIA since 1994, Haig has been an active IIA volunteer, including serving on the Publications Advisory Committee (PAC), the Editorial Board, and the Audit Committee. She also served as a member of the New York City Chapter’s Advisory Committee, as well as on the North American and Global boards of directors. She is Director, Stakeholder Relations, on The IIA Global Board.

**Thursday | March 18, 2021**                            **11:30 a.m. – 12:30 p.m. ET**

**CS 6-1: American Corporate Governance Index: Key Findings and Opportunities for Internal Audit**  
1.2 CPE | NASBA Field of Study: Ethics | Learning Level: Intermediate

Jim Pelletier, CIA, CGAP  
Vice President, Standards & Professional Guidance  
The Institute of Internal Auditors
Corporate governance encompasses the unique system of rules, practices, processes, and controls by which an organization operates. The IIA and the University of Tennessee’s Neel Corporate Governance Center recently released the American Corporate Governance Index, providing insight into how companies perform in key areas based on Guiding Principles of Corporate Governance. In addition to discussing ACGI findings, this session will introduce participants to a new tool from The IIA for auditing corporate governance.

In this session, participants will:

- Understand the core actions and responsibilities that promote successful, ethical, and sustainable corporate governance.
- Recognize the important roles necessary for effective corporate governance.
- Identify opportunities for internal audit to take an active role in improving governance in their organizations.

Jim Pelletier has more than 15 years of public and private sector internal auditing experience. Currently, as vice president of professional and stakeholder relations, he provides direction for The IIA’s Audit Executive Center; Financial Services Audit Center; American Center for Government Auditing; Environmental, Health and Safety Audit Center; and Global and North American Advocacy. Previously, Pelletier served as city auditor for the City of Palo Alto, CA and as chief of audits for the County of San Diego. His diverse auditing background includes roles at the California State University System, PETCO, State Street, and General Electric. Pelletier received The IIA’s John B. Thurston Award for outstanding paper in the field of internal auditing for his article, “Adding Risk Back into the Audit Process.” His book, “Collaborative Auditing,” is available through the Internal Audit Foundation.

CS 6-2: Increasing the Value of Analytics Using Technology and Continuous Monitoring
1.2 CPE | NASBA Field of Study: Management Services | Learning Level: Advanced

Meredith Murphy, CFE, CAMS
Principal, Risk Advisory
Grant Thornton, LLP

Brian Scherbaum
Senior Vice President, Internal Audit
Synchrony Financial

Katherine Parcels, CISA
Vice President, Audit Strategy, Analysis, and Practices
Discover Financial Services
Many internal audit departments are looking for ways to use technology and continuous monitoring to create value and efficiencies within their teams. Please join us for this session focused on using data and analytics to better understand your risk profile; identify and respond to changes in your risk profile; enable continuous monitoring across audits; and rapidly deploy continuous monitoring.

In this session, participants will:
* Identify technologies being used by internal audit teams to deploy and accelerate analytics.
* Explain approaches to enable continuous monitoring.
* Determine ways to apply data analytic approaches to risk monitoring and audits.

**Meredith Murphy** leads Grant Thornton’s national risk data analytics practice and is a partner with internal audit teams across various industries. Throughout her 19+ years in professional services, she has helped clients with data, risk, technology, and strategy challenges, driving risk focus and innovation within internal audit teams using data, analytics, and technology. Murphy leads Grant Thornton’s internal audit analytic team and has built out both the firm and her clients’ analytic capabilities, focusing on people, process, and technology. She authored Grant Thornton’s book, *Data Analytics: A Roadmap for Expanding Capabilities*, published in partnership with the Internal Audit Foundation. She previously worked at PwC on big data, analytic, internal audit, and forensic projects.

**Brian Scherbaum** is a career internal audit professional with more than 20 years of experience in consumer finance, banking, operations, credit, and risk management. In addition to overseeing audits, he is responsible for Synchrony’s internal audit data analytics program.

**Katie Parcels** is vice president of audit strategy, analysis, and practices at Discover Financial Services. She is responsible for using data to revolutionize the audit process into a near-real-time, continuous auditing and proactive risk management function while enhancing the use of data analytics within the traditional audit methodology. Parcels has 18+ years of experience in internal audit, audit analytics, and professional practices, including information technology and corporate services and related audits such as operating systems, security, systems development processes, operational processes, pre-implementation reviews, and model development and process reviews.

**CS 6-3: Compliance Risk Management: Applying the COSO ERM Framework**
1.2 CPE | NASBA Field of Study: Business Management and Organization | Learning Level: Intermediate

Paul Sobel, CIA, QIAL, CRMA  
Chairman  
Committee of Sponsoring Organizations of the Treadway Commission (COSO)

Patty Miller, CIA, QIAL, CRMA, CPA, CISA
In a rapidly changing and unpredictable world, compliance risks continue to be prominent in any organization’s risk profile. In late 2020, the Committee of Sponsoring Organizations of the Treadway Commission (COSO) issued guidance to help organizations better understand, evaluate, and manage their compliance risks. Partnering with the Society of Corporate Compliance and Ethics (SCCE) and Health Care Compliance Association (HCCA), this guidance is designed to enhance the application of the COSO ERM framework when managing compliance risks.

In this session, participants will:

- Learn how COSO’s ERM framework provides principles that can be applied to managing compliance and ethics risks.
- Identify ways compliance professionals and internal auditors can leverage this guidance to better understand and evaluate compliance risks.
- Build on the chief audit executive’s role as trusted risk advisor, helping enhance management of compliance risks.

Paul Sobel is the chairman of COSO. He recently retired from Georgia-Pacific, where he served as vice president/chief risk officer and CAE. He has authored or co-authored four books: Managing Risk in Uncertain Times; Auditor’s Risk Management Guide: Integrating Auditing and ERM; Internal Auditing: Assurance and Advisory Services; and Enterprise Risk Management: Achieving and Sustaining Success. Sobel was The IIA’s Chairman of the Board for 2013–14, and has served in other IIA leadership roles. He has been named to Treasury & Risk Magazine’s 100 Most Influential People in Finance and The IIA’s American Hall of Distinguished Audit Practitioners. He has also received The IIA’s Bradford Cadmus Memorial Award and Victor Z. Brink Award.

Patty Miller is the owner of PKMiller Risk Consulting, LLC and has significant management and consulting experience. In her 14 years with Deloitte, she served as the lead risk services partner on significant technology and consumer clients. Her many IIA volunteer roles have included Chairman from 2008–09, executive committee member, and Chair of the Standards Board. She is a frequent speaker and trainer, and has led and co-authored research projects for The IIA. Miller is the recipient of the William G. Bishop III Lifetime Achievement, Victor Z. Brink, and American Hall of Distinguished Audit Practitioners Awards.

CS 6-4: Internal Audit's Role in Furthering Diversity and Inclusion
1.2 CPE  |  NASBA Field of Study: Personnel/Human Resources | Learning Level: Intermediate

Sarah Fedele
Principal, Risk & Financial Advisory
Internal auditors are in a unique position to act as catalysts for change as organizations look for improvements in diversity and inclusion (D&I) initiatives. With their broad perspective over the enterprise and focus on risk and controls, internal auditors can offer significant actionable insights to help boards and management address issues and improve programs. We’ll discuss how leading internal auditors foster D&I within their functions and play a direct role in driving broad organizational D&I.

In this session, participants will:

- Achieve a baseline understanding of the current environment, focusing on the last seven months of social unrest and work-from-home environment.
- Describe the roles internal audit can play in in providing assurance over enterprise initiatives.
- Establish how internal audit can further organizational objectives and play a leadership role.

Sarah Fedele Bio being finalized

Stacy Juchno is executive vice president and general auditor for PNC Financial Services. She is responsible for all aspects of the internal audit function, including providing assurance on the effectiveness of PNC’s risk management, control, and governance processes to the audit committee and board of directors. Juchno is executive leader of the PNC Military Employee Business Resource Group and a member of the PNC Foundation board of directors. She also serves on the board of directors of the United Way of SWPA and the board of trustees at Gannon University, and is co-chair of the UW Women’s Leadership Council.

Rhonda Bethea serves as Bank of America’s general auditor for global human resources, ESG, public policy, and key components of the chief administrative officer function, including global procurement, global corporate strategy, global real estate, corporate communications, and marketing. She also manages division-wide audit efforts for third-party and incentive compensation. Bethea previously led the global compensation and benefits team in BOA’s legal department, advising the bank and its board committees on executive compensation, employee benefits, SEC disclosures and related regulatory compliance, and corporate aviation. She is an enterprise executive sponsor for BOA’s Black Professional Group and serves on the Black Executive Advisory Council.
Thursday | March 18, 2021
12:30 p.m. – 1:15 p.m. ET

12:30 – 12:50 p.m. | Innovation Session: Control Test Automation: Changing the Nature of Controls and Audit, presented by Grant Thornton

Ethan Rojhani
Partner, Business Risk Services
Grant Thornton

Gregory Haberer
Senior Manager
Grant Thornton

Wes Luckock
Manager, Data Analytics & Compliance Automation
Grant Thornton

Traditional compliance activities are ill-suited for the current compliance function, relying on episodic data sampling and manual data review. In addition to being time consuming and costly, this approach demands high levels of attention while delivering low levels of assurance. Grant Thornton’s new control and test automation solution, cta.x, changes that by taking risk mitigation and efficiency to higher levels. Our proprietary cta.x solution transforms risk management and compliance activities by making them more data-driven, integrated, and automated.

In this session, participants will:
- Be introduced to cta.x.
- Receive a demonstration on how this solution drives greater assurance while reducing implementation and maintenance costs.
- Understand how the solution goes beyond the traditional RPA process orchestration approach.

Ethan Rojhani is a partner at Grant Thornton with experience leading the full lifecycle of risk management and consulting engagements. He recently served as national leader for automation of controls, control tests, and risk management using RPA and machine learning tools. He currently leads a team of 60+ risk management individuals nationally. Prior to joining Grant Thornton, he served public, private, and governmental clients and was one of the primary authors for the firmwide ERM methodology at PwC. Rojhani is a member of the University of Denver’s Daniels College of Business advisory board to the accounting program. He also teaches analytic and data mining techniques as a University of Denver adjunct professor.
Gregory Haberer is an innovative problem solver and thoughtful, decisive leader who helps clients achieve impactful solutions and recommendations. He has proven experience taking a benefits-focused approach to optimizing risk and compliance activities through technology enablement using analytics and automation cloud-based emerging technologies. Haberer has delivered impactful solutions enabling automated operational control activities, automated control testing, and automated orchestration of risk assessment data gathering to allow risk and compliance executives to improve assurance and reduce risk. His project management and solution delivery background has encompassed process automation, data analytics, systems integration, and core business application replacement initiatives.

Wes Luckock is a manager in risk advisory and one of Grant Thornton’s global leaders in compliance automation. He has led development of the firm’s control and control test automation solution architecture and methodologies, multiple control and control test automation engagements, and traditional projects such as SOC reports, information technology and business process SOX compliance, process improvement, and COGS analysis. Luckock’s background in IT controls and financial statement audit allows him to bridge the gap between technology, compliance standards, and methodologies. He recently developed and delivered a control test automation solution for a Fortune 10 company.

12:55 – 1:15 p.m. | Innovation Session: Data Driven Sox, presented by KPMG

Sue King
SOX Solutions Lead, Advisory
KPMG

Joe Manusakis
Principal, IT SOX Solutions Lead, Advisory
KPMG

With the increased availability and capabilities of data analytics, process mining, and visualization tools, there is now the ability to enhance ICFR programs and use the tools to drive both the efficiency and effectiveness of ICFR programs. We’ll discuss the changing control landscape; the business imperative driving the use of analytics in ICFR programs; the application of analytics, process mining, and automation across the various phases of an ICFR program; and the testing of bot capabilities.

Sue King is KPMG’s national SOX advisory solutions lead, overseeing the development of thought leadership and best practices to be delivered to clients. She is a partner in KPMG’s advisory, risk assurance practice with more than 25 years of experience, and leads KPMG’s Pacific Southwest internal audit and SOX practice. King has a strong background across the full spectrum of internal audit services, including SOX 404 implementations, enhancement and delivery, risk-based internal audit project delivery, and enterprise risk
management (ERM). Her experience spans many industries, including retail, manufacturing, technology, and healthcare.

Joe Manusakis is the KPMG national IT SOX solution lead and a partner in KPMG’s risk assurance practice. He has 16 years of technology risk consulting, technology internal audit, and risk management experience in the industrial manufacturing and consumer and retail industries. He has served as project manager with responsibility for delivering technology internal audit projects; technology risk assessments; finance and technology transformation engagements; finance and technology current and future state evaluations; technology integration and project management and rollout activities; Sarbanes-Oxley 404 testing of business and technology systems; and controls risk assessments and recommendations.

Thursday | March 18, 2021 | 1:15 p.m. – 2:15 p.m. ET
CS 7-1: Aftermath Adjusting for the New Normal: Workplace Return Considerations
1.2 CPE | NASBA Field of Study: Personal/Human Resources | Learning Level: Intermediate

Kimberly Dickerson
Managing Director
Protiviti

Lorraine Peoples, CISA
Experienced CAE

As organizations plan for re-entering their offices, there are a number of logistical and practical matters to consider, and some theoretical ones as well. There needs to be a re-imagining of how many people will come to work, where they will sit, and with whom they will interact. Next, as with any disruptive change, it is important for leaders to identify process improvements.

In this session, participants will:
- Understand the importance of assessing the risk of returning to the workplace.
- Outline key considerations for developing a return-to-work plan.
- Discuss the importance of monitoring the return-to-work process and against evolving standards or events that may have occurred as an unintended consequence of pandemic response.

Kimberly Dickerson leads the Northeast region for Protiviti and is a managing director in the risk and compliance solution. Her work concentrates on consulting assignments, including evaluation of risks and controls, operational process efficiency, organizational design, and operational cost reduction. Prior to joining Protiviti, Dickerson spent time at a top 5 US bank and in private equity. She consults with senior and executive
Managers to identify opportunities to minimize risk and create corporate value. Over the past several years, she has assisted some of the world’s largest financial institutions execute on a variety of initiatives.

**Lorraine Peoples** is a pragmatic, highly creative leader of global audit teams with a record of overcoming obstacles, exceeding targets, and achieving top-quality results. Possessing a background of more than 20 years in both external and internal audit, she is an innovative and versatile problem solver who applies a broad array of skills and experiences to exceed objectives in challenging environments. Her audit career began with Deloitte, and she spent many years at Estee Lauder before becoming head of the global internal audit team for Hilton Worldwide. Most recently, Peoples was vice president of internal audit and SOX for MSG Entertainment.

**CS 7-2: Surviving the Data Breach**

1.2 CPE | NASBA Field of Study: Auditing | Learning Level: Intermediate

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

Tripp Stedham
Director, Process Risks and Governance
Frazier & Detter, CPAs & Advisors

We will start with a typical presentation of data breach stats and information. A phone call will interrupt with a “reporter” informing the presenter they received information of a data breach asking for comment. We turn the presentation to a “read team” tabletop exercise asking participants to sketch out how they would respond. Every few minutes, we change the slide with a relevant consideration.

In this session, participants will:

- Learn about types of data leakage, data breach stats, and responses.
- Discuss notifying the BOD and legal, verifying a breach with IT, and checking their cyber coverage.
- Be provided with a breach response checklist and response plan takeaways.

**Bradley Carroll** created and led the internal audit department as the CAE of a $5B bank in Atlanta. He previously served in internal audit at a $1B community bank, was a senior internal auditor at Wachovia Bank, and started and merged a CPA firm. At Frazier & Deeter, Carroll provides internal audit and consulting services to bank boards, CAEs, CROs, CFOs, and CEOs. His CAE experience gives him insights that make him a better service provider, as he understands of both views. He has worked with banks from $200M up to $72B in asset size. A longtime IIA member, he presently serves on the Financial Services Advisory Board and has held
chapter leadership roles. He has presented on risk management at IIA and bank industry conferences, receiving ratings of more than 4.5 from attendees.

**Tripp Stedham** is a director in Frazier & Deeter’s process, risk, and governance practice and specializes in IT risks/controls and data analytics. He brings more than 15 years of consulting and advisory experience, including Big Four and corporate IT audit and IT security operations roles. He has worked with a wide range of clients, including cybersecurity, financial services, payment processors, manufacturing, and distribution.

**CS 7-3: Seeing COSO Through a Social Media World**
1.2 CPE | NASBA Field of Study: Auditing | Learning Level: Intermediate

Michael J. Fucilli, CIA, QIAL, CRMA, CGAP, CFE
Principal
MAS Audit Services

Yes, auditors have heard of COSO, but do they really know how to apply it in their audits? Through interactive social media examples and current events in business and even in our social lives, this practical and entertaining session will demonstrate how to “See the World Through a COSO Lens.” You can apply this new view in your risk assessments at an ERM and individual audit level.

In this session, participants will:

- Discover how to transcend to a strategic advisor role to their company using the COSO model.
- Understand what COSO really means to internal audit departments.
- Discuss how to practically apply COSO concepts to their enterprise risk assessment and individual audits.
- Get tips for having better discussions with management on the impact of their work by tying their results to the corporate strategy.

**Michael J. Fucilli** has 40 years of internal auditing experience that includes financial services, public sector, defense contracting, inventory management, technology, COSO, and SOX reporting. His background includes 20+ years as a chief audit executive. Fucilli recently was the auditor general at the Metropolitan Transportation Authority, the largest public sector transit authority in North America, with operating revenues in excess of $15 billion and a capital program of $5 billion. He currently has his own audit and advisory company and is also an instructor for St. John’s University, teaching The IIA’s CIA Learning System for the Certified Internal Auditor exam.

**CS 7-4: Wow the Board: Lead With the 2021 Audit Committee Agenda**
1.2 CPE | NASBA Field of Study: Communication and Marketing | Learning Level: Intermediate
This presentation will help attendees learn how to effectively convey the impacts of COVID-19 and other critical risks in the current year.

In this session, participants will:

- Focus on the scope and quality of their company’s ESG/sustainability reports and disclosures.
- Delve into how to assist their board in understanding how technology is impacting their finance organization’s talent, efficiency, and value-add.
- Focus on sharpening company ethics, compliance, and whistleblower programs, recognizing the increased pressure on employees.

**Stephen L. Brown** is a globally recognized governance professional, thought leader, and trusted advisor to corporate boards and C-suites. Currently, he is a senior advisor at KPMG Board Leadership Center. Formerly, he was CEO of the Society of Corporate Governance and led the corporate governance group at TIAA/Nuveen. Prior to TIAA, Brown practiced securities law at WilmerHale and Skadden and was an associate with Goldman Sachs. He serves on several advisory and nonprofit boards.

**Debbie Messemer** serves on the boards of PayPal, Allogene Therapeutics, and Carbon 3D. Prior to her 2018 retirement, she was managing partner of KPMG’s Bay Area and Northwest region. In addition to holding leadership responsibilities, she served public and private company clients in various industries as an audit engagement partner. Messemer is a member of the NACD, an individual founding member of the Boardlist, and co-founder of the San Francisco Chapter of Women Corporate Directors. She has served on the boards of numerous Bay Area organizations. Messemer was named “Financial Woman of the Year” by the Financial Women of San Francisco in 2016 and as one of the Bay Area’s Most Influential Women in Business by the San Francisco Business Times.

**Mike Smith** has worked extensively with internal audit and SOX departments constantly challenged to do more with less. His passion for using emerging technologies to drive real business results led him to become
KPMG’s intelligent automation leader for internal audit, serving clients that use robotic process automation, cognitive automation, and artificial intelligence to improve risk, assurance, and cost outcomes. Smith’s innovative work to help auditors through every phase of the intelligent automation journey has resulted in time saved, improved assurance, and increased insights. As a frequent presenter and author on the subject of intelligent automation, he enjoys separating fact from fiction using real stories and practical examples.

**Thursday | March 18, 2021 | 2:15 p.m. – 2:35 p.m. ET**

**Innovation Session: Empower Your Audit Department With Analytics, presented by Workiva**

Ernest Anunciacion, CIA, SSBB  
Director, Product Marketing  
Workiva

David Ahonen  
Solution Engineer, Integrated Risk  
Workiva

Have you ever thought audit analytics sound nice, but you don’t have enough staff? Or time? Or don’t know where to begin without taking on too much? You’re not alone, and the good news is you can start now — without adding any headcount. Start small and gain powerful, fast insight you can build on for years to come. By embedding analytics in every phase of the audit process, internal audit teams can help navigate a remote state of business that’s become more complex, resulting in insights-driven auditing. This is exactly where Workiva can help teams like yours.

In this session, participants will:

- Understand how internal audit can increase investment in audit analytics to facilitate monitoring of key trends and to support continuous auditing.
- Discover how embarking on the analytics journey can help internal audit generate valuable new insights, provide greater assurance, and improve on traditional auditing techniques.
- Get an exclusive product overview and demonstration of Workiva for Audit Analytics.
- Learn how to use Workiva to start on their analytics journey.

**Ernest Anunciacion** brings more than 15 years of experience in internal audit, risk management, and business advisory consulting to his role as a director of product marketing focused on Workiva’s internal audit solution. A former chief audit executive, he has an extensive background in complex risk and control analysis and process improvement within the financial services, manufacturing, media, technology, healthcare, and agriculture industries. His expertise also includes ERM and risk advisory consulting.
David Ahonen is a solution engineer at Workiva with a focus on audit, risk, and compliance. He has spent the last five-plus years working with customers in assessing their current state and developing strategic solutions for Sarbanes-Oxley (SOX), audit, enterprise risk management (ERM), and policy management. Prior to Workiva, Ahonen spent five years in public accounting with PwC, working in assurance services.

Thursday | March 18, 2021 | 2:45 p.m. – 4:00 p.m. ET

Closing Keynote: Hacking the Pandemic: How Cybercrime Responded to COVID-19
1.5 CPE | NASBA Field of Study: Specialty Knowledge | Learning Level: Advanced

Geoff White
Investigative Journalist and Technology Specialist

Q&A Moderator:
Nancy Haig, CIA, CRMA, CCSA, CFSA
North American Board Chair, The Institute of Internal Auditors
Principal, PIAC LLC

As coronavirus swept the world, cybercriminals did what they do best – adapted to survive. However, in contrast to the overwhelming online crimewave predicted by some, the picture was more nuanced. Investigative journalist Geoff White explores how the digital underworld reacted to the pandemic, and the valuable lessons it teaches us about where cybercrime goes next.

In this session, participants will:

- The dynamics underpinning the cybercrime economy
- How cybercrime responds & adapts to global events
- The limits of and headwinds faced by the cybercrime industry

Geoff White has covered it all as an investigative journalist — including election hacking, the dark web, and multibillion-dollar cyber heists. His work has been featured by BBC News, Channel 4 News, The Sunday Times, and more. His book, Crime Dot Com, takes you inside the murky world of the digital underground, uncovering cybercrime’s emergence as today’s global threat. It’s now being turned into a 10-part BBC podcast series. The twists and turns of White’s investigations into hacking have informed and entertained audiences from music festivals to political party conferences, and his live phone-hacking stage show was a sellout hit at the Edinburgh Fringe Festival.

Nancy Haig is 2020–21 Chairman of The Institute of Internal Auditors (IIA) NA Board of Directors. In this role, Haig provides direction for The IIA’s strategic plan in North America and oversees its implementation. A member of The IIA since 1994, Haig has been an active IIA volunteer, including serving on the Publications
Advisory Committee (PAC), the Editorial Board, and the Audit Committee. She also served as a member of the New York City Chapter’s Advisory Committee, as well as on the North American and Global boards of directors. She is Director, Stakeholder Relations, on The IIA Global Board.