Maximizing Audit's Contribution
April 7, 2014
**Welcome**

April 7, 2014

Dear Colleagues and Friends,

On behalf of the Philadelphia Chapter of the Institute of Internal Auditors, we welcome you to the Annual Spring Conference – “Maximizing Audit’s Contribution.”

As internal auditors, we have the opportunity to make an immediate and lasting impact upon our organizations’ success. We are in a great position to make a real, tangible difference provided we have the training, tools, skills, and focus. The scope of our services appears to be evolving from a compliance and control-based assurance activity to a trusted advisor that offers insight and guidance to senior management and the board.

The Spring Conference brings together leading audit, risk, and compliance professionals to provide you with the training, tools, and strategies that can help you maximize your contribution and value to your organization. As you will learn from reviewing our program this conference has tracks in Internal Audit/Soft Skills, IT/Technology Controls, Fraud/Ethics, Governance/Risk/Compliance and Specialized Knowledge. In addition, we have a track specifically designed for the Chief Audit Executive.

The Spring Conference is the result of the hard work and dedication of the board, other volunteers, and sponsors. Thank you for sharing this day with the Philadelphia Chapter of the Institute of Internal Auditors. It is our sincere desire that you gain insight and knowledge from today and apply it to your organization.

Johnathan Marks  
Chapter President

Samuel A. Monastra  
Conference Co-Chair

Warren Hersh  
Conference Co-Chair

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### Sessions at a Glance

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
</tr>
</thead>
<tbody>
<tr>
<td>7:15-8:00</td>
<td>Registration and Expo</td>
</tr>
<tr>
<td>8:00-8:15</td>
<td>Opening Remarks and Announcements</td>
</tr>
<tr>
<td>8:15-9:30</td>
<td>Opening General Session Keynote (Bob Kueppers, Deloitte): The Relationship Between Internal and External Audit</td>
</tr>
<tr>
<td>9:30-10:00</td>
<td>Expo, Networking and Continental Breakfast</td>
</tr>
<tr>
<td>10:00-11:15</td>
<td>SESSIONS</td>
</tr>
<tr>
<td></td>
<td>Internal Audit/ Soft Skills</td>
</tr>
<tr>
<td></td>
<td>IT/Technology Controls</td>
</tr>
<tr>
<td></td>
<td>Fraud/Ethics</td>
</tr>
<tr>
<td></td>
<td>Governance/ Risk/ Compliance</td>
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<tr>
<td></td>
<td>Specialized Knowledge</td>
</tr>
<tr>
<td></td>
<td>CAE (Invitation only)</td>
</tr>
<tr>
<td>10:00-11:15</td>
<td>Transforming Your Audit Department Through Technology</td>
</tr>
<tr>
<td></td>
<td>Jennifer Esterheld, Director of Market Development, TeamMate at Wolters Kluwer</td>
</tr>
<tr>
<td>10:50-11:20</td>
<td>Panel Discussion: Cyber Risk</td>
</tr>
<tr>
<td></td>
<td>Moderator: John Federa, Partner, EisnerAmper</td>
</tr>
<tr>
<td></td>
<td>Andrew Obuchowski, Director, McGladrey</td>
</tr>
<tr>
<td>11:20-12:35</td>
<td>The Vital Personal - Organizational Development and Governance Link</td>
</tr>
<tr>
<td></td>
<td>James D. Hallinan</td>
</tr>
<tr>
<td>11:20-12:35</td>
<td>Developing Your Sponsored Research Audit Plan - Keeping Pace with Federal Regulations and Activity</td>
</tr>
<tr>
<td></td>
<td>Julie Buster, Senior Auditor, Princeton University, David Clark, Manager, Baker Tilly Virchow Krause</td>
</tr>
<tr>
<td>11:20-12:35</td>
<td>Ethics and Culture Andrea Bonime-Blanc, CEO and Founder, GEC Risk Advisory</td>
</tr>
<tr>
<td>11:50-12:05</td>
<td>Enterprise Risk Management: Risk Factors Leading to Catastrophe and Instituting an Effective Program</td>
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<td></td>
<td>John McLaughlin, Partner, BDO</td>
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<tr>
<td>12:35-1:30</td>
<td>Lunch Keynote (Gary Pines, Harding &amp; Company): Rainmaking: Developing Your Network</td>
</tr>
<tr>
<td>1:30-2:30</td>
<td>Lunch</td>
</tr>
<tr>
<td>1:30-2:30</td>
<td>Move to Next Session</td>
</tr>
<tr>
<td>2:35-3:50</td>
<td>Data Analytics Bil Freitag, CEO and Managing Partner, Agile Technologies</td>
</tr>
<tr>
<td>2:35-3:50</td>
<td>Cloud Adoption and Virtual Desktop Integration (VDI) - Where Do We Go From Here? From Governance to an Effective Infrastructure</td>
</tr>
<tr>
<td></td>
<td>Jay Gagne, CTO, Razor Technology</td>
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<tr>
<td>2:35-3:50</td>
<td>Fraud in Construction Projects Robert S. Bright, President and Founder, Talison Solutions</td>
</tr>
<tr>
<td>3:50-4:10</td>
<td>COSO Model Updates Scott Higgins, Director, Grant Thornton</td>
</tr>
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</tr>
<tr>
<td>4:10-5:00</td>
<td>BSA/AML - A Financial Institution’s Perspective Nicolas Khouri, Senior Audit Director, Ally Financial Corporation</td>
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<tr>
<td></td>
<td>Joseph Levy, Senior Manager, Ernst &amp; Young</td>
</tr>
<tr>
<td>4:10-5:00</td>
<td>Key Considerations for Your Internal Audit Plan Dan Tompkins, Partner, Ernst &amp; Young</td>
</tr>
<tr>
<td>5:00-5:15</td>
<td>Exit Scan - CPE Certificates Will Be Emailed</td>
</tr>
</tbody>
</table>
Robert J. Kueppers

Robert J. Kueppers is Managing Partner for Deloitte LLP’s Center for Corporate Governance. Mr. Kueppers leads the Center’s efforts to support boards of directors and audit committees on a variety of governance and risk matters.

Since 2008, he has developed and hosted the Deloitte Directors’ Series, a live broadcast to thousands of directors across the United States discussing the latest issues and trends in corporate governance. In 2009 and 2012, Mr. Kueppers was recognized by NACD Directorship magazine as one of the top 100 influential professionals in corporate governance and in the boardroom. Mr. Kueppers is a frequent speaker and writer on issues impacting corporate governance and the audit profession.

Mr. Kueppers also serves as Senior Partner, Global Regulatory and Public Policy for Deloitte LLP. In this role, Mr. Kueppers represents the U.S. member firm of Deloitte Touche Tohmatsu Limited on global regulatory, public policy and accounting profession matters. He also serves major clients of the firm in an advisory capacity and has 36 years of professional experience. Mr. Kueppers previously served as Deputy CEO of Deloitte LLP and was responsible for regulatory and professional matters in the United States.

Mr. Kueppers is chairman of the board of directors of United Way of New York City; chair of the University of Minnesota’s Carlson School of Management Board of Overseers; a board member of American Corporate Partners, a nationwide mentoring organization for United States veterans; a founding trustee and president of the SEC Historical Society; and a trustee of the Committee for Economic Development. He also helped create the Center for Audit Quality and since its inception in 2002 has chaired many committees and task forces with his peers and professional practice leaders from other national accounting firms.
Session 1: Transforming Your Audit Department Through Technology:
10:00 am - 11:15 am

Successfully leveraging technology is key for leading audit and compliance departments. To help audit leaders successfully deploy and manage technology over the long term, Jen will review the results of the latest technology surveys, interviews with leaders and lessons learned from over 2,000 technology implementations. Jen will share trends, best practices, critical success factors and tips for getting the most from technology.

Learning Objectives
• Learn the foundational themes that can help audit and compliance departments implement technology more effectively
• Learn how to successfully move up the audit technology maturity curve
• Learn the critical elements for creating a successful strategic technology plan
• Learn about the latest trends and priorities in audit technology

Speaker Biography
Jennifer Esterheld, Director of Market Development for TeamMate, works with audit departments to analyze their business requirements and provide Audit Software Solutions. Her focus is communication of functionality, identification of enhancement opportunities to improve the current process and ensure the solution meets the client’s internal audit methodology. Jen has developed success criteria around these activities and is responsible for monitoring general industry trends and advising audit professionals on best practice. Prior to joining TeamMate, Jen worked as a Manager in PwC’s internal audit practice and as an auditor at Sherwin Williams. Jen has a BS in Accountancy from Miami University.

Session 2: Enterprise Risk Management: Risk Factors Leading to Catastrophe and Instituting an Effective Program:
11:20 am - 12:35 pm

Risk oversight continues to develop at the board level where it is becoming deeper, yet broader in scope, and influenced by real-life scenarios. Every year there seems to be a catastrophe, grabbed by the global headlines, that brings a large organization to its knees. Why do these events happen? What are the common factors that led to such mammoth errors?

John will address factors that are common to many risk management lapses, current trends in ERM, several case studies of risk management failures, and ERM program methodologies.

At the end of this session, you will be able to identify common factors that contribute to risks that have significant consequences to organizations, describe how such factors are applied to an overall ERM program, and initiate an ERM program.

Speaker Biographies
John McLaughlin is a Partner of BDO USA, LLP leading the Risk Advisory Services practice. Previously, John served as Senior Managing Director with LECG/SMART, Internal Audit Services Director with PwC and Audit Director for ARAMARK Corporation. He began his career with the “Big 8”.

John serves on the IIA International Board of Research and Education Advisors. He served as President of the IIA Philadelphia Chapter and as a board member of the Philadelphia Chapter of ISACA. John has written articles and has been quoted as an expert on the topics of ERM, internal auditing and control and Sarbanes-Oxley.
Session 3: Data Analytics:
2:35 pm – 3:50 pm

This session will explore Big Data and the convergence of emerging technologies including cloud, mobile and social media. These big four technologies are inter-related and are having a substantial disruptive effect upon markets, distribution, communications and our lives. Questions to be answered are: What is Big Data? Where is it going? What will be the impact of the convergence of the big four technologies? What does it mean to me?

This session will also explore the role data analysis plays within an organization, realizing the benefits of implementing analytics and continuous monitoring techniques, and the risks associated with ignoring big data. The session will provide tools for understanding the maturity of its business analytics capabilities, state of technology, emerging analytics trends, and best practices.

Bill Freitag is CEO and managing partner of Agile Technologies, which provides business and IT strategy, process innovation, project management, development, quality assurance and support services. Prior to founding Agile, Bill played a key role in divesting Crum & Foster from Xerox Corporation, while increasing corporate earnings, as well as customer and employee satisfaction. His experience spans multiple industries, including insurance, financial services, pharmaceuticals and the public sector. He started as a systems engineer for RCA. Bill has a B.S. in Mathematics and attended the Executive Education program at Harvard Business School.

Session 1: Panel Discussion: Cyber Risk:
10:00 am – 11:15 am

This panel discussion will include topics such as identifying and managing the new and rapidly evolving threats and vulnerabilities, cost-effective cybersecurity solutions, and effective methods to address security breaches.

Speaker Biographies

John Fodera is a Partner in the Consulting Services Group at EisnerAmper focusing on delivering consulting and audit services. John has over 20 years of audit, accounting and business management experience, including extensive experience in internal controls, privacy compliance, strategic planning, Written Information Security Program (WISP) and process reengineering. He is a frequent speaker on “hot button” internal audit and risk management issues and has been quoted in financial publications as an industry expert. He is a member of the New York State Society of Certified Public Accountants (NYSSCPA) and serves as Director of the Institute of Management Accountants (IMA).

Rob Kleeger is the Managing Director of Digital4nx Group, facilitating complex litigation and investigative matters involving electronically stored information (ESI). He was a Senior Partner in a leading Digital Forensics firm where he lead the growth from startup in early 2002 through an acquisition by a Fortune 500 subsidiary in 2006. Rob has been featured on WNBC/NBC 4 News Channel New York, is an author and co-author of several published articles relating to ESI and e-discovery practices, and participates in many conferences and seminars in the New York Metro area and nationally.

Khizar Sheikh is a Partner at Mandelbaum Salsburg and Chairperson of the Privacy, Cybersecurity & Information Management Group. Khizar provides counsel in the areas of cybersecurity, fraud, eDiscovery, corporate governance, and complex business litigation and helps his clients comply with the legal requirements for the protection of personal data.
Khizar has been selected as a fellow of Lead NJ and Leadership Morris, published articles and lectured in the areas of privacy, cybersecurity, records retention, confidentiality, and has taught at Seton Hall Law School. He received his J.D. from Rutgers University School of Law – Newark and his B.A. from Hamilton College.

Kevin O’Sullivan is a Principal at Crowe Horwath and leads the IT Audit and IT Security Practice on the east coast. Kevin has over 24 years of experience in General Management, IT Audit and consulting for several middle to large companies in his career. Kevin is a Qualified Security Assessor and runs engagements to assess clients in their compliance with PCI-DSS requirements. He has extensive experience assisting clients with technology risk in the financial institutions industry. Kevin’s IT Audit and IT Security experience spans retail, financial services and manufacturing industries.

Session 2: Crisis Management / Disaster Recovery: 11:20 am – 12:35 pm

This session will describe the importance of an effective crisis management plan which can improve an organization’s ability to respond to an adverse business scenario, reduce damage to a company’s brand image and reputation, minimize regulatory sanctions, and allow an organization to capitalize on what would normally be considered a negative event.

Speaker Biography
Ralph Petti, MBCI, CBCP is the President of Continuity Dynamics, Inc., an international firm focused on the areas of risk management, business continuity and disaster recovery planning. A certified practitioner, Ralph has over 25 years of experience and expertise in Business Continuity Management and Continuity of Operations.

Ralph has been featured on FOX Business News, ABC News, Comcast Cable and other media outlets and has had articles published in The Washington Post, The Times Picayune News, Gannett Publishing and other regional papers. He also served as the Kickoff Speaker at local Hurricane Preparedness Seminars in Louisiana.

Session 3: Cloud Adoption and Virtual Desktop Integration (VDI) – Where Do We Go From Here? From Governance to an Effective Infrastructure: 2:35 pm – 3:50 pm

This session will identify and consider the key risks of leveraging cloud computing technology including: defining a cloud strategy, evaluating vendors, implementing a cloud computing model and monitoring vendors. This session will also include the effective use of Virtual Desktop Integration (VDI) within an organization’s infrastructure.

Speaker Biography
Jay Gagne, CTO of Razor Technology, LLC, has over 16 years of networking, voice, and storage experience. In the early 1990s, he founded MondaNet Corporation, a New Hampshire-based Internet Service Provider, then joined the Hartford Insurance Group (HIG) as senior engineer of Voice and Data Networking and went on to be Managing Director of Global Storage and Servers. Jay next served as Global Director of Solutions and System Engineering at Copan Systems. A graduate of Keene State College, Jay serves as a member of the Board of Trustees for the New Hampshire IT Fund and the Society for Information Management.
Fraud / Ethics Track

▶ Session 1: Information Security and Privacy: Data Breach Investigations - Digital Forensics and Incident Response:
10:00 am – 11:15 am

Andrew Obuchowski, McGladrey’s Director of Security and Privacy Consulting, will provide an introduction to the current state of cyber-attacks and strategies your firm can implement to help mitigate the risks and costs of an incident before it occurs. He will discuss the distinction between data privacy incidents and data breaches, and their varying ramifications in the legal world. This session will also provide:

- An overview of information security risk assessments
- Best practices and common pitfalls of incident response management

Speaker Biography
Andrew Obuchowski is a Director with McGladrey’s Security & Privacy Consulting group. As an expert in his field, he provides services and solutions for clients in preparation of and response to matters involving data breach investigations, cyber security and incident response, digital forensic analysis, collection of electronically stored information (ESI), and intellectual property theft. With this wide range of experience, Andrew delivers industry-leading technical and consultative expertise to law firms, corporations and government agencies.

Andrew possesses more than 18 years of experience which includes 12 years of law enforcement investigative knowledge and an instructor at numerous police academies.

▶ Session 2: FCPA Enforcement Trends Along With Common Compliance Challenges:
11:20 am – 12:35 pm

This presentation will summarize the DOJ’s and SEC’s 2013 FCPA enforcement activity highlighting the growing cost of corporate resolutions, the industries affected and the continued focus on individual prosecutions. In addition, we will cover the anti-corruption developments occurring in foreign countries including the United Kingdom, Brazil, Russia, India and China amongst others. The final section will detail topical and common anti-corruption compliance challenges including risk assessment, third party risk mitigation, on-going monitoring efforts, and use of data analytics.

Speaker Biographies
Drew Costello is a Director in the Mid-Atlantic Forensic Practice specializing in accounting and general fraud investigations with over 13 years work experience in public accounting. Drew provides advisory and investigative services for attorneys, corporate management and governmental agencies pertaining to a variety of matters, including foreign corruption and bribery in the international markets (e.g. FCPA), stock options backdating, improper dealings in the sub-prime market, earnings management, as well as other types of general fraud schemes and management misconduct. Drew is experienced in the following industries: pharmaceutical, financial services, energy, food and beverage and state, local and federal government.

Brian McCann is a Certified Public Accountant in the State of Pennsylvania and a Managing Director in the Philadelphia Forensic practice of KPMG LLP. He currently provides consulting and investigative services for attorneys and corporate management on a variety of matters involving earnings management, regulatory compliance, business disputes, corporate compliance and other related issues. Brian has obtained significant experience in earnings management and bribery & corruption investigations.
**Session 3: Fraud in Construction Projects:**
2:35 pm - 3:50 pm

The impact and cost of fraud in the construction industry is often discussed as project owners take on new and expensive capital projects. The owner often feels their controls system are adequate and do not modify their actions or policies and procedures until after discovering they have been defrauded. In this session you will learn the complexity, magnitude and impact of construction fraud, the most common types of construction fraud, and the key steps in mitigating and monitoring projects to avoid this problem.

**Speaker Biography**

Robert S. Bright is a construction auditor and capital project consultant with more than 30 years of auditing, engineering, litigation support, project management, risk assessment, and consulting experience. He has directed contract audits and special investigations of contractors and design firms in the commercial real estate, education, infrastructure, healthcare, mining, petroleum, retail, and transportation industries. Since 2008, Robert has supported the Office of Inspector General, Panama Canal Authority, for the $5.2 billion Panama Canal Expansion Program. Robert holds an MBA in Finance from The Wharton School, University of Pennsylvania, and a B.S. in Mechanical Engineering from Rensselaer Polytechnic Institute.

**Governance / Risk / Compliance Track**

**Session 1: The Vital Personal - Organizational Development and Governance Link:**
10:00 am - 11:15 am

A sound governance framework is foundational for organizational and personal development, growth and success! Without a steadfast commitment to personal and organizational development, no governance framework or organization can thrive let alone survive over time. Too often, individuals and organizations alike, miss (or dismiss) the vital personal – organizational development and governance link. Without personal development there can be no organizational development. Auditors can play a critical role in assessing an organization’s governance framework, including (but not limited to) its commitment to ongoing development at all levels throughout the organization, and providing value added recommendations for enhancements where beneficial. This program provides a foundational platform for introducing an array of innovative and empowering personal and organizational development and governance concepts and strategies.

**Speaker Biography**

Jim Hallinan is a growth opportunity oriented (GO2) consultant and inspirational writer/ speaker. Jim has over 25 years of corporate and independent consulting experience and has worked with the IIA on a number of quality assessment related projects, including being a contributing author to the IIA’s Quality Assessment Manual (4th edition). Jim is an approved Continuing Education Program Sponsor of the PA State Board of Accountancy and has been a speaker at various in-house, professional/ organization and client conferences and training events. Jim has managed relationships and assignments across the U.S. as well as internationally.

**Session 2: Panel Discussion: Board Risk Oversight and Enterprise Risk Management Best Practices:**
11:20 am - 12:35 am

This interactive panel discussion features a group of industry experts that will provide their perspectives on board risk oversight concerns and enterprise risk management (ERM) best practices. In addition, they will address audience questions to help you understand how your department can effectively support the board and the ERM process in your organization.
Learning Objectives:
• Understanding board risk oversight perspectives
• Identifying ERM best practices
• Helping you develop a strategy for supporting the board risk oversight responsibilities and your organization’s ERM process

Speaker Biographies

MODERATOR:
Angela Hoon is a Principal in the Risk Consulting practice focused on Governance, Risk and Compliance (GRC) and Enterprise Risk Management (ERM) services. Angela is the National Lead for Healthcare ERM and Internal Audit services and has more than 20 years of ERM, GRC, and internal audit experience in a variety of industries, focusing on healthcare insurance, provider and pharmaceutical. She has provided ERM implementation assistance for companies, identifying both current and leading practices and providing practical recommendations to enhance their ERM programs. Angela holds a bachelor’s degree in commerce and accounting from the University of the Witwatersrand (South Africa). She is a Charter Accountant (SA) and holds a Certified Internal Auditor (CIA) designation.

PANELISTS
Shaun Flynn, a consultant with Hanover Stone Partner, LLC has over 30 years of extensive analytic, risk management, operational, business development and supervisory experience in the insurance industry. Most recently he was Chief Risk Officer for QBE the Americas where Shaun spearheaded the development and implementation of an Enterprise Risk Management Framework. This Framework integrated business planning with risk, capital & performance management. Shaun holds a Master of Science degree from Pace University in New York City and a Bachelor of Science in Business Administration degree from Shippensburg University in Pennsylvania.

Gerald D. Quill is a Senior Vice President of East River Bank and Deputy Chair of the Audit Committee for Children’s Hospital of Philadelphia. Jerry has been in the financial industry in the Delaware Valley for over 52 years. As a commercial banker at Philadelphia National Bank (PNB) he served in a number of positions, including senior vice president/division manager of all of Private Banking. He has served as a Trustee of the Children’s Hospital of Philadelphia for more than 20 years. Jerry has an MBA from Drexel University and an undergraduate degree from Colgate University, serving as a University Trustee for many years.

Mark Lastner is a Director of insurance practices for Grant Thornton’s National Insurance practice. Mark is focused on evaluating ERM frameworks to both ensure ORSA compliance and bring value to the business. Mark was previously the Chief Risk Officer and General Auditor for CIGNA Corporation for seven years in Philadelphia. His responsibilities focused on increasing shareholder value through implementation of a global risk management framework. He chaired CIGNA’s Senior Risk Committee and Risk Convergence Group and a member of the Healthcare Reform Leadership Group and Statutory Audit Committee for model audit rule governance. Mark has an accounting degree from Loyola University Maryland.
**Session 3: COSO Model Updates: 2:35 pm - 3:50 pm**

In May of last year the Committee of Sponsoring Organizations of the Treadway Commission (COSO) issued its updated Internal Control — Integrated Framework (2013). The learning objectives of this session include:

- Gaining an understanding of the new COSO framework and the drivers for the new guidance
- Understanding what needs to be done to adopt the new framework
- Evaluating if the 17 principles are currently being applied within your environment
- Discussing at a high level the changes in each of the five COSO components
- Identifying the 17 principles and where they fit in each component
- Preparing for implementation of change
- Identifying the resources available through COSO’s and The IIA’s COSO Resource Center

**Speaker Biography**

**Scott Higgins**, MBA, CISA, CRISC, CISM is a Director in the Philadelphia Business Advisory Services group of Grant Thornton, LLP. Scott has over 30 years of industry and consulting services experiences providing a combination of compliance (internal audit, Sarbanes-Oxley, NAIC Model Audit Rule), operations (business process transformation, operational effectiveness), technical (information technology), and managerial (budgeting, forecasting, human capital development) qualifications. Prior to joining Grant Thornton, Scott led internal audit organizations in healthcare and high-tech industries, responsible for the planning/directing of operational, compliance, information technology and system development life cycle audits. Scott holds a BS-Computer Science from DeSales University, an MBA from Moravian College, and a Masters Certificate in Project Management from Stevens Institute of Technology.

**Specialized Knowledge Track**

**Session 1: Developing Your Sponsored Research Audit Plan - Keeping Pace with Federal Regulations and Activity: 10:00 am - 11:15 am**

History has shown institutions in the news or on the wrong end of a government audit for concerns that often would not appear as a top institutional risk. Given the risks an organization may face, it is challenging for Internal Audit to know how to best deploy resources as it develops its audit plan.

This session will focus on utilizing external resources and best practices to inform a sponsored research audit plan for universities or non-profit grant recipients to shift away from relying on a standard risk assessment process. After attending, participants will be able to:

- Identify external resources to keep abreast of trends in regulatory enforcement and Inspector General focus
- Describe recent examples of unexpected audit results
- Discuss techniques to prioritize resources as needed based on the continually shifting compliance risk profile
**Speaker Biographies**

**Julie Luster** is a Senior Auditor with Princeton University. She performs audits focusing on Sponsored Research projects and serves as the liaison to the Princeton Plasma Physics Laboratory. Prior to joining Princeton, she was a grants accountant at Rutgers University focusing on financial reports and financial management of sponsored research awards. Additionally, Julie worked for KPMG in their Public Sector Practice. Julie graduated from the University of Richmond majoring in both Journalism and Speech Communication. She completed her Masters of Accountancy at Rider University, and is currently pursuing the CIA designation. Julie is a member of ACUA, IIA, and NCURA.

**David Clark** is a Manager with Baker Tilly, a national accounting and advisory firm. David serves in the firm’s Higher Education and Research Institutions practice, providing internal audit, risk advisory, and consulting services to colleges, universities, research hospitals, and non-profit research organizations. He specializes in assisting clients on projects related to financial and operational risk management, regulatory compliance, research operations, fraud investigation, and organizational governance. A graduate of the University of Virginia, David is a Certified Internal Auditor and Certified Fraud Examiner and holds a Certification in Risk Management Assurance from the IIA.

**Session 2: Internal Audit: Managing Tax Risk:**
11:20 am – 12:35 pm

Tax risk extends well beyond the financial statement impact. In today’s complex business environment, organizations must take a closer look at their tax risks to ensure there’s a solid framework in place to identify, measure and control risk and opportunities consistently and cost effectively.

Learning objectives for this presentation include:

- Explaining how to identify and assess potential tax risks faced by many corporations
- Discussing strategies to ensure effective risk oversight
- Outlining solutions internal audit departments can employ to better manage tax risk

**Speaker Biographies**

**Michael Baron** is a Director of Experis’ Northeast Financial Institutions practice. He is an accomplished Financial Services Executive with extensive experience across domestic and international organizations. Mike has assisted various financial institutions clients and companies with a focus on Regulatory Compliance, Sarbanes-Oxley compliance, Quality Assessment Reviews (QAR), Risk Assessments, and Execution Services. He has established and revamped the audit function for various organizations and is familiar with financial, operational and technical assessments. Prior to joining Experis Mike worked for internal audit departments at NASDAQ, American Express and the Bank of New York. He is also a Certified Internal Auditor and Anti-Money Laundering Professional.

**Matthew George**, E.A. MST, Northeast Tax Director, has nearly 30 years of experience with Federal, International, State and Local tax matters. He serves as Experis’ national lead in all matters regarding Fixed Assets, Cost Segregation, and Repairs & Maintenance. Matt’s background includes finance and tax accounting, and reporting in finance, real estate, service and manufacturing sectors. He has managed cost segregation studies on office buildings, restaurants, and manufacturing facilities, to include the filing of Form 3115 Change in Method of Accounting, as well as the successful defense of these studies with the IRS.

**Session 3: BSA/AML - A Financial Institution’s Perspective:**
2:35 pm – 3:50 pm

With online banking rivaling traditional banking, online products and services pose a different set of compliance challenges for financial institutions in their fight against money laundering and terrorist financing. This session will explore the challenges of online banking and its effect on other areas of a financial institution, including AML operations, investigations and audit.
Speaker Biographies

Nicolas Khouri is currently a Senior Audit Director at Ally Financial overseeing Compliance and Legal. Nicolas has over 14 years of financial institutions and investment banking auditing experience focusing mainly on AML and International Operations. Prior to joining Ally, Nicolas spent 7 years as an AML auditor at Wachovia/Wells Fargo Bank. Over the years, Nicolas has developed in depth knowledge in international AML regulations, including Chinese, Japanese, German, Canadian, Mexican and UK laws. Nicolas holds an MBA in Finance and International Business from the George Washington University and is a certified anti-money laundering specialist (CAMS) since 2006.

Joseph Leva is a Philadelphia based Senior Manager in Ernst & Young’s Advisory Services practice. Joseph is an experienced compliance executive with twelve years of experience providing investigative, advisory, and litigation support services to financial institutions. Joseph specializes in the areas of Anti Money Laundering (“AML”), USA PATRIOT Act, Bank Secrecy Act (“BSA”), Office of Foreign Assets Control (“OFAC”) investigations and compliance matters. Joseph’s AML experience is concentrated in the United States; however, he has provided services for institutions headquartered internationally in countries such as Canada, Germany, Guatemala, Japan and Pakistan.

CAE Track

Session 1: IA’s Relationship with External Audit and Audit Committee:
10:00 am – 11:15 am
This session is continuation of the Opening General Session extending the discussion into external audit’s relation with the Audit Committee.

Speaker Biography
Robert J. Kueppers (see Bob’s bio – Keynote Speaker on page 4 of this program.)

Session 2: Ethics and Culture:
11:20 am – 12:35 pm
Using a case study, Dr. Bonime-Blanc will delve deeper into the role of Ethics and Culture in Internal Audit.

Speaker Biography
Dr. Bonime-Blanc is CEO and founder of a global governance, risk, ethics, compliance and corporate responsibility management consulting and board advisory firm. She serves as the Program Director for Global Risk & Reputation Management for The Conference Board and has two decades of executive leadership roles heading up governance, legal, ethics, compliance, risk, internal audit and corporate responsibility in private, public, established and start-up companies. In January 2014, Dr. Bonime-Blanc was named one of the Top 100 Thought Leaders in Trustworthy Business. She holds a Joint J.D. in Law and PhD in Political Science from Columbia University and lives with her family in New York City.

Session 3: Key Considerations for Your Internal Audit Plan:
2:35 pm – 3:50 pm
The internal audit risk assessment is the center-piece to delivering a world class internal audit experience. Without the right techniques, resources and eyes towards emerging risks, the resulting annual internal audit plan may “miss the boat”. During this session, we will discuss leading practice risk assessment techniques, how to practically refresh the data, and what current year internal audit areas may be most relevant to your organization.
**Speaker Biographies**

**Dan Tompkins** is a Partner in EY’s Advisory Services (Risk) practice and has over 15 years of financial, operational and strategic auditing and process improvement experience serving companies in various industries. Dan has extensive experience serving as an engagement executive on large projects including internal audit co-sourcing and/or transformational projects, acquisition integration planning, account reconciliation redesign, accounting policy and procedure development and continuous monitoring assessments.

**Marcelo Bartholo** is a Principal in EY’s Advisory practice and has responsibility for the EY Risk practice in Philadelphia. Marcelo has extensive experience leading engagements in internal audit, controls transformation, IPO readiness, Sarbanes-Oxley, process improvement and information technology. Marcelo has worked in more than 15 countries and has spent approximately 50% of his career working on international assignments. Marcelo is a Certified Internal Auditor.
Keynote Speaker: 1:30 pm - 2:30 pm

Gary Pines

Gary Pines is a sales/business development trainer/coach specializing in professional services working mainly with the “doers” of the work who also will have to be “sellers” of the work. He has worked with many different types of professionals including management consultants, accountants, lawyers, actuaries, wealth management professionals, executive search recruiters, engineers, chemists, communication consultants, architects, psychologists.

His main goal is to help these professionals “turn relationships into economic value” so that they can provide increased revenues for their firms.


Gary’s background includes actuarial, benefits and human resource consulting with an emphasis on business development and marketing roles for national consulting firms. Gary spent almost twenty years with Towers Perrin (now Towers Watson) a global human resource consulting firm. He successfully developed business with major corporations that included Baxter International, Sears, Kraft Foods, McDonald’s, The Northern Trust Bank, Ameritech, Brunswick Corporation, The Chicago Mercantile Exchange, CBOE and others.

Gary is involved in numerous civic, trade and charitable activities including The Economic Club of Chicago, The Executives’ Club of Chicago, The Board of the AJC, was President of his local United Way and Menttium (a mentoring group for professional women).

Gary recently interacted with a Northwestern Kellogg MBA leadership class and has led three years of Rain Making sessions with the alumni group of The University of Chicago Booth School of Business, as well as being brought in to work with the 2nd year MBA students on the subject of “Rain Making and Relationships.” He has also spoken to alumni groups of The University of Michigan and Northwestern’s Kellogg.


Gary is an actuary and a Fellow of the Society of Actuaries. He has an undergraduate degree from Lawrence University and a masters degree from the University of Michigan business school.

Gary lives in the Chicago area.

gpines@hardingco.com     www.hardingco.com
Keynote Speaker: 4:10 pm - 5:00 pm

Thomas Fox

Thomas Fox has practiced law in Houston for 30 years. He is now an Independent Consultant, assisting companies with anti-corruption and anti-bribery compliance. He was most recently the General Counsel at Drilling Controls, Inc., a worldwide oilfield manufacturing and service company. He was previously division counsel with Halliburton Energy Services, Inc. where he supported Halliburton’s software division and its downhole division.

Tom is the author of the award winning FCPA Compliance and Ethics Blog and the international best-selling book “Lessons Learned on Compliance and Ethics”. His second book, “Best Practices Under the FCPA and Bribery Act” was released in April, 2013. His latest work is an eBook entitled, “GSK in China: A Game Changer for Compliance”. He writes and lectures across the globe on anti-corruption and anti-bribery compliance programs.
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