Annual Holiday Luncheon

Join your colleagues on December 5, 2019 to enjoy a delicious lunch, hear an interesting speaker, and exchange holiday greetings. The annual Holiday Luncheon is jointly sponsored by the New York Capital Chapter of the Association of Government Accountants, the Albany Chapter of the Institute of Internal Auditors, the Albany Chapter of the Association of Certified Fraud Examiners, and the Hudson Valley Chapter of ISACA.

This year Albany County Sheriff, Craig Apple, will present on accountability/transparency in police work and success stories over the years. Craig Apple became Sheriff of Albany County in 2011. He has served in the Albany County Sheriff’s Office since 1987. Beginning as a Correction Officer, he became a Deputy Sheriff in 1989, an Investigator in 1991, a Sergeant in 1993, and a Lieutenant in 1995 when he supervised the Criminal Investigations Unit. In 1997, he was promoted to Patrol Commander and had oversight of a Patrol Division that covered approximately 375 square miles. In 1999 he was promoted to Chief Deputy Field Commander. In that role he was Commanding Officer in charge of the Law Enforcement Division and had oversight of the County Correctional Facility. In 2009, he became Undersheriff, the commanding officer in charge of all Sheriff’s operations with oversight of 720 employees and an $80 million operating budget.

Please join us for this enjoyable get-together.

CELEBRATE THE HOLIDAY SEASON!

Date: Thursday, December 5, 2019
Times: 11:30 am - 12:00 pm - Registration
       12:00 pm - 2:00 pm - Lunch & Speaker Presentation

Speaker: Craig Apple
Albany County Sheriff

Location: Wolferts Roost
120 Van Rensselaer Blvd
Albany, NY 12204

Lunch Choices:
* Stuffed Chicken Breast
* Pesto Grilled Salmon
* Grilled NY Steak
* Vegetable Lasagna

Cost: $10 for AGA/ACFE/IIA/ISACA Members
     $20 for Others

Registration: Online at www.aganycap.org
*Registration will close on December 3rd.

Raffle: There will be an opportunity to purchase raffle tickets to benefit: Homeless and Traveler’s Aid Society (http://hatas.org)
This premier instructor-led Part II CIA exam preparation course gives candidates a comprehensive review of the topics covered on Part II of the CIA exam. Our experienced instructor will provide in-depth analysis, reinforce CIA knowledge, clarify topics, and build exam-day confidence in a structured and interactive classroom environment. The course is based on the IIA's CIA Learning System®, which gives you the flexibility to create a customized plan to address your individual needs. It delivers the global CIA exam syllabus in a blended learning format of customized workbooks and web based learning software.

Prepare to pass the CIA Exam and arm yourself with critical tools and knowledge to excel in your internal audit career. Provided IIA Learning System materials include:

⇒ Complete preparation for the updated English language CIA exam testing January 1, 2019 and beyond
⇒ A fully online and mobile learning experience allowing you to study whenever you have a few spare minutes
⇒ Comprehensive online reading materials and downloadable e-reader files
⇒ Interactive online study tools including tests (i.e., pre-test, post-test), quizzes, flashcards, and more
⇒ Easy-to-understand print modules that correspond to the three-part CIA exam
⇒ 500 new practice questions

**Dates:** December 12-13, 2019

**Times:**
- 8:00 - 8:30 am - Registration
- 8:30 - 4:30 pm - Training
- 12:00 - 1:00 pm - Lunch

**Location:** The NYS Forum  
24 Aviation Rd, Suite 206  
Albany, NY 12205

**Number of CPEs:** 8/day

**Registration:** [https://www.eiseverywhere.com/ciapart2](https://www.eiseverywhere.com/ciapart2)

**Event Fee**

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<thead>
<tr>
<th></th>
<th>Early Bird Fee: By 11/30/19</th>
<th>Regular Fee: After 12/1/19</th>
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<tbody>
<tr>
<td>IIA Member – Course &amp; CIA Learning Materials</td>
<td>$300</td>
<td>$400</td>
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<tr>
<td>Non-Member – Course &amp; CIA Learning Materials</td>
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<td>$500</td>
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**NOTE:** The CIA Learning System V6.0 is a required material for the course and is included with course registration. If you have already purchased version 6.0, please contact Katherine Hogan at Katherine.Hogan@nystrs.org prior to registration with a purchase receipt for a reduction in your registration fee.
President’s Message
By Adam Roberts

Season’s Greetings!
I hope you had a wonderful Thanksgiving.

I would like to recognize the outstanding program the Chapter provided to its members in November. On November 14-15, 2019, we have successfully hosted the CIA Part I Review Course at NYS Forum. We had 14 people in attendance who learned on the Essentials of Internal Auditing.

On November 25-26, 2019, the Chapter co-sponsored the 2019 Fraud Conference with the Albany Chapter of the ACFE, and the NY Capital Chapter of the AGA, and Hudson Valley Chapter of ISACA. Thanks to our generous attendees, our Chapters were able to present a check for $1,500 to the Regional Food Bank of Northeastern New York.

And now we are in December… Although it is a very busy month, please make sure to take time to connect with your fellow IIA, ISACA, ACFE, and AGA members at the Annual Holiday Luncheon on December 5th. You will enjoy a delicious lunch, exchange holiday greetings, and hear an interesting speaker, Craig Apple, Albany County Sheriff. He will present on accountability and transparency in police work and success stories over the years, which will earn you one CPE. You will also have an opportunity to purchase raffle tickets to benefit Homeless and Traveler’s Aid Society. Registration closes on December 3rd, so don’t delay and register today!

As we prepare for the colder days and Holiday season, don’t forget to mark your calendars for some upcoming Part II of the Certified Internal Auditor exam on December 12-13, 2019

As always, we welcome any suggestions you may have that will help us better serve the audit community.

Thank you all for taking the time to help the Albany IIA Chapter, and profession grow, in an environment where internal auditors are needed more than ever.

Wishing you Happy Holidays and a Joyful New Year!
Adam Roberts
President

IIA Webinars
The IIA offers free informational programs to its members on a variety of topics. Click here to obtain additional information and to register.

EHSAC Webinar: Regulatory Rollbacks at the EPA
December 9, 2019
2:00 – 3:00 PM

Join Gary Guzy, Senior Of Counsel with The IIA’s federal legislative and regulatory representative Covington & Burling LLP, where he heads the firm’s Energy Industry Group, as he discusses recent regulatory rollbacks at the Environmental Protection Agency (EPA) and the forecast for 2020.

Learning Objectives
In this webinar, you will learn:

⇒ The impact regulatory rollbacks might have on the environmental, health and services sector.
IIA Webinars (Cont.)

⇒ Insights and updates regarding recent regulatory rollbacks at the Environmental Protection Agency (EPA) into 2020 and beyond.

⇒ Some of the considerations that may influence decision-making on current and emerging environmental issues.

December 17, 2019
1:00 – 2:00 PM
OnRisk 2020 brings together perspective of the board, executive management, and chief audit executives on the risks that are top of mind for 2020 and beyond. Based on quantitative and qualitative surveys, the report lays out how each respondent group views key risks. Respondents shared their perspectives on their personal knowledge of the risks and their views on their organizations’ capability to address the risks.

Learning Objectives
In this webinar, participants will:


⇒ Understand the key risks for 2020 and beyond that are top of mind for Internal Auditors and their stakeholders.

⇒ Learn about key findings from surveys and interviews of Board Members, Executive Management and Internal Audit Leaders.

⇒ Realize the value of alignment on organizational capabilities around key risks.

Certification News
By Katherine Hogan, CPA, CIA, CFE, CRMA, CCSA

It’s December already and you all know what that means – CPE reporting time! Visit the CPE Requirements page for more information or to report your CPEs for the year and don’t forget, members can report their CPE for free! If you haven’t already gotten your mandatory two hours of ethics CPEs for the year, the IIA has on-demand ethics courses available on their website.

I would like to recognize and congratulate Karen Ellis on becoming a Certified Internal Auditor in October! Well done, Karen!

If you are still working on becoming a Certified Internal Auditor, don’t forget we have a CIA Review class coming up in December for Part 2 of the exam. Registration closes on December 6, so be sure to sign up today @ https://www.eiseverywhere.com/ehome/index.php?eventid=492700&

As always, if you have any questions about information in this article, or about IIA certifications in general, please feel free to contact me at Katherine.Hogan@nystrs.org.

Best regards,
Katherine

Don’t Forget to Earn & Report Your CPEs.
Membership Corner
By Christopher Herald, CIA, CGAP

Please join me in welcoming the following individuals to the IIA Albany Chapter:

Jessica Behn
Benjamin Norfleet
Joshua Rosenmann

The IIA is a great resource for your career, and I urge everyone to take advantage of the resources the IIA provides to its members. Whether you decide to attend a local training the Albany Chapter provides at a discounted rate to its members, browse through articles in the IIA Bookstore (https://na.theiia.org/periodicals/Pages/Periodicals.aspx), or capitalize on any of the other numerous resources offered, the choice is entirely yours!

As always, if anyone has questions about their membership, or has a co-worker that would like more information about how to join the IIA Albany Chapter, please contact me and I will be happy to assist.

Chris Herald
Membership Chair
cherald@osc.ny.gov

CAP Corner
By Layli Nazirova, CIA, CGAP

The Chapter Achievement Program (CAP) is an achievement and recognition program for chapters that uses points to recognize chapter activities that align with the North American Strategic Plan. The program helps to set minimum standards of performance for service to members and to the profession. It also provides a means to evaluate chapter success.

A chapter must earn the minimum CAP points annually in each of the 3 service categories to participate in the CAP program. The 3 service categories are:
1) Service to Members,
2) Professionalism, and
3) Chapter Health

Once the Chapter has met or exceeded the minimum CAP requirements in the 3 categories, the Chapter will have reached the BRONZE performance level. A chapter can advance to SILVER or GOLD levels by accumulating the points noted below made up of any combination of CAP points from the 3 service levels (while also meeting the minimums below).

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<tr>
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<tbody>
<tr>
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<td>Silver</td>
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<tr>
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<tr>
<td>Professionalism</td>
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<tr>
<td>Chapter Health</td>
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<td>Total CAP Points Earned</td>
<td>799</td>
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## SCHEDULE OF EVENTS
### 2019 — 2020

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<tr>
<th></th>
<th>SEPTEMBER</th>
<th>OCTOBER</th>
<th>NOVEMBER</th>
<th>DECEMBER</th>
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<tr>
<td></td>
<td>October 18, 2019</td>
<td>Fall CAE Roundtable</td>
<td>November 14–15, 2019</td>
<td>December 12-13, 2019</td>
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<td></td>
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<td>NOVEMBER</td>
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<td>7 to 14 CPEs</td>
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It’s your turn to speak

Don’t forget to report your speaking hours to

Cristina Shord

Email: cshord@osc.ny.gov

Phone: (518) 402-2511