The IIA Albany Chapter will be holding CIA Part I & II Review Courses

This premier instructor-led Part I & II CIA exam preparation course gives candidates a comprehensive review of the topics covered on Part I & 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 Part III of 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

https://www.learncia.com/course-materials/

Dates: Part I - November 14-15, 2019
Part II - 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: 16 for Part I & 16 for Part II

Registration:
Part I: https://www.eiseverywhere.com/ciapart1
Part II: https://www.eiseverywhere.com/ciapart2

<table>
<thead>
<tr>
<th>Event Fee</th>
<th>Early Bird Fee: Part 1, by 11/7/19</th>
<th>Part 2, by 11/30/19</th>
<th>Regular Fee: Part 1, after 11/7/19</th>
<th>Part 2, after 11/30/19</th>
</tr>
</thead>
<tbody>
<tr>
<td>IIA Member – Course &amp; CIA Learning Materials</td>
<td>$300 One Part*</td>
<td></td>
<td>$400 One Part*</td>
<td></td>
</tr>
<tr>
<td>Non-Member – Course &amp; CIA Learning Materials</td>
<td>$400 One Part*</td>
<td></td>
<td>$500 One Part*</td>
<td></td>
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*$75 discount code will be sent with the completed registration e-mail for Part 1 to get the discount on Part 2
Join us for this information packed annual two-day fraud seminar. You can choose to attend one or both days, and we offer a $25 discount if you register early.

- **On Day One**, Chuck Cohen will present for a full day on two separate topics: “Strengths and Weaknesses of Data Analytics” and “Indirect Methods of Proof”
- **On Day Two**, Len Vona will provide a half-day session on *Where Professional Skepticism is Required and Data Analytics: How to Locate Complex Vendor Overbilling Schemes*. Then in the afternoon, Michael Dudley will cover *Perception and Memory in Fraud Investigations*.

You won’t want to miss this year’s fraud seminar. Earn 7 or 14 continuing professional education (CPE) credit hours by attending the seminar for one or two days, respectively. Please note the following information about CPE:

- **Pricing**
  - **AGA, ACFE, IIA Member**: $175 (One Day) / $250 (Two Days)
  - **Fully Retired AGA, ACFE, IIA Member**: $100 (One Day) / $150 (Two Days)
  - **Full-time Student**: $100 (One Day) / $150 (Two Days)
  - **Non-Member**: $250 (One Day) / $325 (Two Days)

  * * * $25 DISCOUNT if you register by 11/15 * * *

In addition, we will be raffling many prizes with all proceeds benefiting the Regional Food Bank of Northeastern New York.

**Dates**: November 25 – 26, 2019

**Registration & Networking Breakfast**: 7:30 – 8:30 am
**Seminar**: 8:30 am – 4:30 pm
**Lunch (provided)**: 12:00 – 1:00 pm

**Location**: Red Lion Hotel
205 Wolf Rd
Albany, NY 12205

**Speakers**:
- **Chuck Cohen** - Managing Member, Cohen Training & Consulting, LLC
- **Leonard W Vona, CPA, CFE** - CEO of Fraud Auditing, Inc
- **Michael Dudley**, JD, LLM
  Principal Deputy Director, United Nations Investigations Division of New York

**Number of CPEs**: 7/day
Greetings,

As we prepare for the colder days and Holiday season, don’t forget to mark your calendars for some upcoming IIA events! We are hosting review classes for Part I and Part II of the Certified Internal Auditor exam. Part I will be from 11/14/19-11/15/19 and Part II will be from 12/12/19-12/13/19. Additionally, registration for our 2019 Fraud Conference is open! This will be from 11/25/19-11/26/19 and is always filled with some exceptional speakers. Head on over to our Chapter website for more details.

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.

Best regards,

Adam Roberts - President

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Fall CAE Roundtable Recap

By Joan Casazza, CIA, CFE, CRMA, CCSA, CGAP

The biannual 2019 Chief Audit Executive (CAE) Roundtable was another success as we engaged nine Albany-based CAEs in topics including: robotic process automation in risk assessments, audit plans, and the audit testing process; staff training; continuous monitoring; objectivity and independence standards; recruitment; discovery reform and much more!

We invite you to join us for breakfast in the Spring of 2020 for another lively and informative discussion. Stay tuned for additional details on the Spring session coming to you in April 2020!

Please contact Joe Morrissey (jmorrissey@osc.ny.gov) or Joan Casazza (JCasazza@nycourts.gov) for details and to sign up for the next CAE Roundtable.

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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.

PSAC Virtual Symposium: Preparing Public Sector Auditors for Today’s Terrain

November 5, 2019 & November 7, 2019
1:00 – 3:00 PM

The Public Sector Audit Center is hosting its Fall Virtual Symposium, Preparing Public Sector Auditors for Today’s Terrain, on Tuesday, November 5 and Thursday, November 7 from 1:00–3:00 p.m. each day.

This premier online training opportunity provides government auditors a chance to learn and engage through a convenient and flexible web-based console. Join us for a dynamic three-part symposium specifically designed for the public sector auditor. Attendees will
IIA Webinars (Cont.)

learn how to audit at the speed of risk, respond to disruption, recruit and manage talent, support innovation and intelligent risk-taking, and learn the major barriers to sound ethical thinking.

Date: Tuesday, November 5, 2019
Time: 1:00–2:00 p.m.
Topic 1: Do You Have Vision For 2020?
Field of Study: Auditing (Governmental)
Presented by: Richard Chambers
• Learn techniques to assist in auditing at the speed of risk.
• Enhance your skill sets to respond to disruption in your organization.

Date: Tuesday, November 5, 2019
Time: 2:00–3:00 p.m.
Topic 2: Upping Our Game: Our Journey Towards Renewed Value for Internal Audit in the Canadian Federal Context
Presented by: Mike Milito
• Discover ways to re-brand internal audit.
• Learn recruitment and talent management techniques.
• Understand how data strategy is being implemented in the Federal Government.
• Hear about experimentation with a broad suite of services.
• Identify tangible approaches that support innovation and intelligent risk taking.

Date: Thursday, November 7, 2019
Time: 1:00–3:00 p.m. ET
Topic 3: Acting Ethically—Not as Easy as it Sounds
Field of Study: Behavioral Ethics
Presented by: David Cotton
• Understand the IIA Code of Ethics and where to find related guidance.
• Examine several ethical frameworks.
• Study several ethical dilemmas that illustrate the difficulties of remaining ethical.

Certification News

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

Registration is live for the CIA Exam Review Courses for Parts I and II! Part I will be held in just a couple of weeks with Part II following in mid-December. Please visit the registration page for more information or to register today!

My apologies, readers: I have been lax in congratulating newly certified members of our chapter. I would like to recognize and congratulate the following people for having become Certified Internal Auditors since the beginning of the chapter year:

Carim Cervantes
Susan Arpei
Maryellen Dunkle
Antonio Oliveira

Newly certified CIAs have CPE reporting requirements waived for the first two years. For the rest of us, please note that the CPE reporting window is now open. Visit the CPE Requirements page for more information or to report your CPEs for the year.

If you are certified but have let your certification and membership lapse – the IIA is offering a limited-time bundle deal allowing you to reinstate your certification and a full-year membership at a discounted rate. This offer expires November 30, 2019 so be sure to act quickly if you are at all interested! See Certification/Membership Bundle to get started.

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
Membership Corner
By Christopher Herald, CIA, CGAP

Please join me in welcoming the following individuals to the IIA Albany Chapter:
Kayla Marrone
Bridget Shoop

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 coworker 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).

<table>
<thead>
<tr>
<th>Chapter Targets</th>
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<tbody>
<tr>
<td>Bronze</td>
</tr>
<tr>
<td>Silver</td>
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<tr>
<td>Gold</td>
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</table>

<table>
<thead>
<tr>
<th>Category</th>
<th>Chapter Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Service to Members</td>
<td>300</td>
</tr>
<tr>
<td>Professionalism</td>
<td>0</td>
</tr>
<tr>
<td>Chapter Health</td>
<td>0</td>
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Total CAP Points Earned 300

Chapter Achievements
As of 11/1/2019

<table>
<thead>
<tr>
<th>Category</th>
<th>Points</th>
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<tbody>
<tr>
<td>Balance to Minimum (Bronze)</td>
<td>385</td>
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<tr>
<td>Percent of Minimum Achieved</td>
<td>44%</td>
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## SCHEDULE OF EVENTS
### 2019 — 2020

**Albany Chapter – Institute of Internal Auditors**

<table>
<thead>
<tr>
<th>SEPTEMBER</th>
<th>OCTOBER</th>
<th>NOVEMBER</th>
<th>DECEMBER</th>
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</table>
|           | October 18, 2019  
Fall CAE Roundtable  
No CPEs | November 14–15, 2019  
CIA Part I Review  
8 CPEs  
November 25–26, 2019  
Annual Fraud  
Conference  
7 to 14 CPEs | December 12-13, 2019  
CIA Part II Review  
8 CPEs  
December 5, 2019  
Annual Holiday  
Luncheon  
No CPEs |

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<thead>
<tr>
<th>JANUARY</th>
<th>FEBRUARY</th>
<th>MARCH</th>
<th>APRIL</th>
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</table>
| TBD  
Technology Conference  
7 CPEs | TBD  
Certification Breakfast  
No CPEs | March 16-18, 2020  
TCTC  
7 to 21 CPEs | TBD  
Spring CAE Roundtable  
No CPEs |

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<thead>
<tr>
<th>MAY</th>
<th>JUNE</th>
<th>JULY</th>
<th>AUGUST</th>
</tr>
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</table>
| TBD | TBD  
Awards Ceremony  
No CPEs |       |        |

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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