Mystery Fraud Training Event

Please join us for an exciting training event facilitated by Tim Hungerford.

Attendees will sit down to a meal to find they have been hired by a fictitious auditing and fraud examining firm. They will participate in evaluating evidence, interviewing suspects, and working on a live case to resolution. Training objectives include interviewing skills, data analysis, planning and scoping, team building, and general fraud examination skills.

Date: Tuesday, April 25, 2017
Times: 8:30 - 9:00 am — Registration & Full Breakfast
       9:00 am - 12:00 pm — Program
Location: Wolferts Roost Country Club
          120 Van Rensselaer Blvd
          Albany, NY 12204

Number of CPEs: 3

See Course Summary: http://www.cvent.com/d/p5qkhr

Category | Cost
----------|-----
IIA, AGA, ACFE & ISACA Members | $45
Non-members | $55

Registration: http://www.cvent.com/d/p5qkhr/4W

Tim Hungerford, CPA, CFE, CIA, CMA, CISA, CGAP, CGMA

Tim is Managing Partner and President of Hungerford Vinton, LLC, a specialized auditing firm located in Rochester, NY. The organization is a NYS peer-reviewed CPA firm that has been in existence since 1997. He is very active in the Rochester Chapters of the Institute of Internal Auditors and Institute of Management Accountants. Tim serves on several accounting advisory boards, and serves as an adjunct professor of the SUNY Brockport master’s in forensic accounting program. He received his BBA in Accounting from Niagara University and his MBA in finance from the Rochester Institute of Technology.
President’s Message

By Elizabeth Bogdanowicz, CGAP

Happy spring! After the epic TCTC snow storm, it was hard to imagine spring was near. I would like to start by thanking our fearless volunteers and conference attendees for literally braving the storm to make it happen. As usual, conference go-ers were treated to three days of excellent speakers, fabulous giveaways, and a delicious menu.

Back by popular demand, the Chapter is excited to offer the Mystery Fraud Breakfast on April 25th at Wolferts Roost. Tim Hungerford is coming back to facilitate the program, and he is bringing along fun, new material. Registration closes on April 21st, so please reserve your spot today!

In May, the Chapter is pleased to offer a self-management training given by Richard Branton from Advanced Strategies, Inc. Many of our Chapter volunteers have attended leadership training with Richard, and agree he is a top-notch presenter with a wealth of experience and fantastic stories. I hope you will consider attending.

Best Regards,
Elizabeth

EBogdanowicz@osc.state.ny.us
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.

Auditing Security Monitoring (aka Watching the Watchers)

April 18, 2017
1:00 – 2:00 PM

The pace and damage of cyber breaches continues to escalate with no sign of slowing down. As a consequence, regulators and lawmakers have finally started to move toward prescriptive, detailed security regulations that go beyond ITGC and best practice guidance. A specific discipline now being highlighted within these new compliance requirements is enterprise-wide security monitoring, which consists of far more than simple anti-virus and intrusion detection.

Organizations are expected to have the capability to identify and respond to complex cyberattacks as well as actions of malicious internal employees. This session will cover many concepts internal auditors must understand to perform a successful review of their organization’s true monitoring capabilities. The goal is to allow internal audit to perform “consultative” style audits that bring value to the process rather than producing an academic scorecard documenting gaps.

Learning Objectives

- You will learn the risks associated with improper reviews of security monitoring where the program becomes more of a placebo than a panacea.
- You will learn how to assess monitoring programs for effectiveness rather than functionality. This includes an overview of common use cases for technologies that should be used to guide an assessment.
- You will see examples of how organizations have damaged themselves from a regulatory, liability, and/or technology standpoint.

Certification News

By Sandy Meadows, CIA, CGAP

Hello everyone and Happy April!

I’m assuming that you listened to me when I told you to register for a certification program. Good job! Also, thank you - no one ever listens to me. I know, right? Poor Sandy. But I digress...what was I talking about again? Right, certifications. It is possible that at this point it has come to your notice that pursuing a certification is not necessarily an inexpensive endeavor (although as Ken Kasper likes to point out – you’ve already spent tens of thousands on your education just to get a job, so spending a few more dollars to distinguish yourself from everyone else with the same degree is just a good investment). But what can you do about those costs? Well, let me tell you.

First, check with your employer to see if they will defray some or all of your costs. Demonstrate the benefits to them, and they may be willing to subsidize study materials and/or exam fees. Next, if you are a PEF-represented state employee, you can apply for reimbursement for the fees for each section of the exam(s) once you’ve passed them. The new contract increases the amount available during CY2017 to $1,100 (apply through GOER). And finally, once you have received your certification, our IIA chapter offers a scholarship of $150 for obtaining the CIA, and $75 for obtaining a specialty certification.

The IIA is now offering an online, on-demand CGAP prep course (https://ondemand.theiia.org/lms/index.php?r=coursepath/details&id_path=22), which both helps you get ready to pass the CGAP and offers CPE credit. And if you are a PEF-represented employee, this course will likely qualify for reimbursement under the current contract. The maximum amount of reimbursement is $1,600 for CY2017 (up from $600 under the last contract), https://goer.ny.gov/Training_Development/PEF/index.cfm

As we plan events for the next chapter year, we will be considering certification prep course options.
Certification News (Cont.)

By Sandy Meadows, CIA, CGAP

If you would be interested in a course, whether for CIA Part 3 or for CGAP, let someone from the IIA Board know. We will take your interest into account as we are deciding what training opportunities to offer during the upcoming year.

Finally, if you are already a CIA (and you’ve stuck with me through this whole article – again, thank you), there is a CIA Job Analysis Survey that will be open through April 19. Weigh in on what you think is important for CIA exams to test going forward. Here’s the link: https://na.theiia.org/certification/CIA-Certification/Pages/CIA-Certification.aspx

Feel free to contact me if you have any questions @ Sandra.Meadows@gaming.ny.gov.

Membership Corner

By Christopher Herald, CGAP

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

Cindy Tice
Nicole Pierce

Spring is almost here, and as everything enters a new season, do you find yourself with some newfound energy you’re looking to exert? If so, we always welcome additional assistance from our members. If you have thought about helping out our Chapter but have been hesitant to do so, send me an email. Let me know what you are interested in doing, and we can work to see if it is something that will fit into your schedule.

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.state.ny.us

Job Postings

By Jeremy Dudley

Dormitory Autonomy State of New York (DASNY) is looking for a Senior Internal Auditor for Albany, NY area. Qualified candidates should send a resume and letter of interest to:

Nicholas Ouellette by April 13, 2017
515 Broadway, Albany, NY 12207
518.257.3550 (fax)
NOuellette@DASNY.org

Central Hudson has two job openings for Poughkeepsie, NY: Internal Auditor and IT Auditor. See the following links for more information on each position and how to apply:


The Chapter Achievement Program is designed to recognize activities that promote the strategic objectives of The IIA. This program provides minimum standards of performance for providing service to our Chapter members, providing service to the internal auditing profession and for administering the activities of the Chapter. The Program emphasizes the basic mission of the Chapter, encourages Chapters to perform that mission, and provides Chapters with a means to evaluate their success in accomplishing that mission.

<table>
<thead>
<tr>
<th>Category</th>
<th>Minimum for Bronze</th>
<th>Chapter Points</th>
<th>% Achieved</th>
<th>Balance to Minimum</th>
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<tr>
<td>I. Service to Members</td>
<td>325</td>
<td>1,277</td>
<td>393%</td>
<td>Achieved!</td>
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<td>II. Service to Profession</td>
<td>200</td>
<td>1076</td>
<td>538%</td>
<td>Achieved!</td>
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<td>III. Chapter Administration</td>
<td>160</td>
<td>183</td>
<td>114%</td>
<td>Achieved!</td>
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<td>Totals</td>
<td>685</td>
<td>2,536</td>
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As of: 3/31/2017

It’s your turn to speak

Don’t forget to report your speaking hours

Cristina Hourigan

Email: CHourigan@osc.state.ny.us
Phone: (518) 402-2511
## SCHEDULE OF EVENTS
### 2016 — 2017

### Albany Chapter – Institute of Internal Auditors

<table>
<thead>
<tr>
<th>Month</th>
<th>Date</th>
<th>Event</th>
<th>Description</th>
<th>CPEs</th>
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<tbody>
<tr>
<td>SEPTEMBER</td>
<td>September 30, 2016</td>
<td>Fall CAE Roundtable</td>
<td>No CPEs</td>
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<tr>
<td>OCTOBER</td>
<td>October 17-20, 2016</td>
<td>Internal Audit Academy</td>
<td>29 CPEs</td>
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<td>NOVEMBER</td>
<td>November 16, 2016</td>
<td>Auditing for Impact &amp; How Auditing Can Advance Your Career</td>
<td>3 CPEs</td>
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<td></td>
<td>November 21-22, 2016</td>
<td>Fraud Conference</td>
<td>7 or 14 CPEs</td>
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<td>DECEMBER</td>
<td>December 13, 2016</td>
<td>Holiday Luncheon</td>
<td>No CPEs</td>
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<tr>
<td>JANUARY</td>
<td>February 10, 2017</td>
<td>Technology Conference</td>
<td>8 CPEs</td>
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<td></td>
<td>February 15, 2017</td>
<td>Certification Breakfast</td>
<td>No CPEs</td>
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<td>FEBRUARY</td>
<td>March 13–15, 2017</td>
<td>TCTC</td>
<td>Up to 21 CPEs</td>
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<td>MARCH</td>
<td>April 25, 2017</td>
<td>Fraud Mystery Event</td>
<td>3 CPEs</td>
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<td>APRIL</td>
<td>May 18, 2017</td>
<td>Self-Management</td>
<td>8 CPEs</td>
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<td>JUNE</td>
<td>TBD</td>
<td>Awards Ceremony/Planning Session</td>
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<td>JULY</td>
<td>AUGUST</td>
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