The Conference That Counts (TCTC) 2016
21st Century Training

This event is co-sponsored by the local chapters of:

AGA
The Institute of Internal Auditors Albany Chapter
ISACA
Hudson Valley Chapter

Mark your calendars and join us for the 21st annual "Conference That Counts". As in the past, this year's event has been developed to ensure that TCTC 2016 delivers challenging, informative and exciting sessions designed to help participants keep pace with changes in information technology, auditing, fraud and leadership skills. TCTC 2016 promises to be an excellent learning and networking opportunity for financial managers, auditors, and accountability professionals.

We’ve planned an outstanding conference program that will give you the chance to:

• Customize your registration to fit your schedule and interests. Choose one, two, or three days.
• Earn up to 21 CPE hours at outstanding educational sessions.
• Discover innovative solutions and gain the tools you need to be more effective.
• Learn leadership secrets from nationally recognized industry leaders.
• Network with colleagues from across the region.
• Explore the latest technological advances in financial management.
• Stay up to date on issues that affect your career.
• Improve your knowledge, skills and abilities, and increase your promotional potential.

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When:
Monday, March 14, 2016 - Wednesday, March 16, 2016
7:30 am - 8:30 am - Registration, Continental Breakfast
8:30 am - 4:30 pm - Information Sessions

Where:
The Radisson
205 Wolf Road
Albany, NY 12205
518-458-7250

CPEs: 7 to 21
President's Message
By David Robertson, CIA, CFE, CGFM, CGAP

I want to start this month’s message with a joke. What’s an internal auditor? Someone who shows up after the battle to bayonet the wounded. Now, I hope everyone thought that was funny, but I want to make a point with it. As a profession, we want to move away from the stigma that we only come in after the fact to assign blame for something that went wrong and move towards becoming valuable, respected resources for our organizations. We want to add value with what we do as a profession, not cause people to groan when we come to do an audit. I know many in our chapter have achieved this in their organizations and have raised the profile of internal audit, thus giving them a “seat at the table.” I ask that everyone in the chapter think of a way they can add value to their organization, whether it’s by being on a committee implementing a change in the organization, conducting more consulting engagements, or simply acquiring new skills.

I also want to take the time to recognize our chapter volunteers. This month the spotlight is on Steve Hillerman. Steve is currently on the Chapter Board of Governors and is a past president. Steve has gotten involved in many of the large Chapter events, being involved in planning the fraud conference for a number of years and being the IIA representative for planning this year’s Tech Conference. Let’s get to know Steve a little better.

Tell us about yourself.

I grew up in western New York, graduated from SUNY Geneseo, and moved to the Albany area in 1986 to work for the State Comptroller’s management audit group, now known as State Government Accountability. It’s hard for me to believe, but I’ve been with the Comptroller’s Office for almost 30 years. After spending several years in field audit, I transferred to Internal Audit and have been there since. I became a CIA in 1993 and was appointed as the Chief Audit Executive for OSC in 2004. Since then, I have been leading an outstanding group of internal auditors working to continually improve the operations of the Agency. The Comptroller’s Office has so many varied functions and so many complexities that after 30 years I’ve never become bored or felt like I’ve stopped learning. Every day is a challenge. I feel like we’ve accomplished a lot but still have a lot of work to do.

I’ve been married to my wife Catherine for 28 years. We have a son, Robert, who just graduated from the College of Saint Rose, and a daughter, Amanda, who will graduate from high school in June. We do a lot of family things together, and I still spend a lot of time with both kids, mostly going to concerts and sporting events whenever possible. In my spare time I’ve done a lot of home improvement projects, and I also enjoy playing guitar.

How long have you been a member and how long have you been a chapter volunteer?

I have been a member of the IIA since 1991, around the time that I first moved from OSC’s field audit group to our Office of Internal Audit. I have served on the Albany Chapter’s Board of Governors since 2003 and also served as an officer from 2006 to 2009, serving as the Chapter President for the 2008-2009 Chapter year.
President's Message Cont.

What motivates you to volunteer your time for the Albany Chapter?

I must admit that in my early years as an auditor, I didn’t have any particular motivation to become involved in the Chapter, or an adequate appreciation for what the Chapter does. When I became the Chief Audit Executive for OSC in 2003, I also had an opportunity to serve on the Chapter’s Board of Governors. At that time, I thought it was important as the head of Internal Audit to become involved in the chapter as a way to collaborate with our peers in the profession and to influence the type of training that we bring to the area to ensure that we are getting appropriate and meaningful continuing education. What I have found is that it is a great way to network with other internal auditors in both the private and public sectors to collaborate and to share ideas about how to further the profession. Through my involvement on the Board, I have worked with some of the most hard working, dedicated and talented individuals that I’ve met in my career. I found it to be extremely rewarding. While I came into it somewhat reluctantly, I’ve found it to be very valuable to me as well as to our Office of Internal Audit at OSC. As long as I am in the Audit profession, I intend to continue to be involved in the IIA, and I would encourage others to do so as well.

We always have great chapter events planned specifically with our members in mind, so please keep an eye on the website and the email notifications from Jeremy Dudley. All members are also invited to attend our monthly Board meetings held the second Wednesday of the month at 7:45AM at the office of the New York State Teachers’ Retirement System, 10 Corporate Woods Drive, Albany, NY 12211. It’s a great way to understand how the chapter works and how you can get involved. I hope to see you there.

Kind Regards,

Dave

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.

NEW COURSE!
Logging In: Auditing Cybersecurity in an Unsecure World

Auditing Cybersecurity in an Unsecure World
March 15, 2016
1:00–2:00 pm

$5.4 million is the average cost of a data breach to a U.S. based company. Unfortunately, this threat continues to evolve as breach activity becomes more sophisticated and damaging, presenting immense challenges for all industries and companies despite their size.

Cybersecurity is as much of a business risk as it is a security one, making it critical for internal auditors to understand the latest threats, potential business and reputational impacts and how to implement proper controls to protect their organization. Obtain insight on cybersecurity concepts that can be used to facilitate integrated audit efforts within your organization.

Register today for this event on March 15, 2016. This webcast will provide a preview of the IIA’s newest training session – Auditing Cybersecurity.

Topics will include:
• Defining cybersecurity from an auditor’s perspective.
• The latest threats and how to assess vulnerabilities from an attacker’s perspective using threat modeling concepts.
• The importance of implementing multiple security controls including: preventive, detective and corrective.
• Cyber risks associated with data transmission and storage systems (mobile, cloud, etc.) as well as third-party vendors.
From its accounting systems to its mission, the public sector functions differently from the private one. Because of those differences, the auditing requirements and methodologies vary as well. If you are looking to both improve your skill level in public sector auditing, and to prove your knowledge of governmental auditing, the Certified Government Auditing Professional (CGAP) is the best way to accomplish that.

There are two main requirements to qualify for the CGAP exam. One is an educational requirement: applicants must have a four-year degree, a two-year degree and five years of verified internal audit experience, or seven years of verified internal audit experience. In addition to passing the exam, applicants must have two years of governmental audit experience and a character reference to obtain certification.

The exam is split into four domains that test the applicant on the environment and techniques for auditing in the public sector.

The first domain tests the applicant’s knowledge of internal audit standards, including IIA Standards and government auditing standards (GAGAS, or The Yellow Book); governance; and risk assessment and controls, including risk frameworks (such as COSO).

The second domain focuses on the management and practice of internal audit for the public sector, including areas such as the types of audits performed (e.g., compliance, financial statement, and integrity or fraud/waste/abuse), and the audit methodology (planning, execution, and reporting).

The third domain covers the skills and techniques unique to the public sector, such as performance measurement, program evaluation, the qualitative and quantitative techniques a public sector auditor uses, and how to identify and investigate fraud, waste and abuse.

The fourth domain is concerned with the environment within which the public sector auditor functions, and tests the applicant on areas such as government budgeting and accounting, service delivery methods (such as grants, contracts, and quasi-governmental agencies), the unique characteristics of human resource management and purchasing and procurement requirements unique to the public sector environment.

Whether you are looking to enhance your knowledge of public sector auditing, or want to demonstrate your unique public sector audit knowledge and skills, the CGAP is the way to achieve those goals.

For more information, see the CGAP page on the IIA website (https://na.theiia.org/certification/CGAP-Certification/Pages/CGAP-Certification.aspx) or contact me at Sandra.Meadows@gaming.ny.gov.

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**Membership Corner**

By Christopher Herald, CGAP

Spring will be here before you know it! If you are looking for some extra things to do, we 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 letting me know what you are interested in doing, and we can see if it is something that will fit into your schedule.

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
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.

Congratulations to Albany Chapter for earning a Ruby status!

<table>
<thead>
<tr>
<th>Category</th>
<th>Minimum for Bronze</th>
<th>Chapter Points</th>
<th>% Achieved</th>
<th>Balance to Minimum</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Service to Members</td>
<td>325</td>
<td>645</td>
<td>198%</td>
<td>Achieved!</td>
</tr>
<tr>
<td>II. Service to Profession</td>
<td>200</td>
<td>1,000</td>
<td>500%</td>
<td>Achieved!</td>
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<tr>
<td>III. Chapter Administration</td>
<td>160</td>
<td>227</td>
<td>142%</td>
<td>Achieved!</td>
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<tr>
<td>Totals</td>
<td>685</td>
<td>1,872</td>
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Chapters earn Platinum status by achieving Gold for 10 consecutive years.
Chapters earn Ruby status by achieving Platinum for 10 consecutive years.
Chapters earn Sapphire status by achieving Platinum for 15 consecutive years.
Chapters earn Diamond status by achieving Platinum for 25 consecutive years.
## Schedule of Events

### 2015 - 2016

<table>
<thead>
<tr>
<th>Month</th>
<th>Date</th>
<th>Event Details</th>
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</thead>
<tbody>
<tr>
<td><strong>September</strong></td>
<td>September 22, 2015</td>
<td><strong>Mystery Fraud Training</strong> 3 CPEs</td>
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<tr>
<td><strong>October</strong></td>
<td>October 6, 2015</td>
<td><strong>FBI Stories of White Collar Fraud</strong> 3 CPEs</td>
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<tr>
<td><strong>November</strong></td>
<td>November 23–24, 2015</td>
<td><strong>Fraud Conference</strong> 7 to 14 CPEs</td>
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<tr>
<td><strong>December</strong></td>
<td>December 8, 2015</td>
<td><strong>Holiday Luncheon</strong> No CPEs</td>
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<tr>
<td><strong>January</strong></td>
<td>January 25, 2016</td>
<td><strong>Technology Conference</strong> 8 CPEs</td>
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<tr>
<td><strong>February</strong></td>
<td>February 11, 2016</td>
<td><strong>Certification Breakfast</strong> No CPEs</td>
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<tr>
<td><strong>March</strong></td>
<td>March 14–16, 2016</td>
<td><strong>TCTC</strong> 7 to 21 CPEs</td>
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<td><strong>April</strong></td>
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<td><strong>Planning Session</strong></td>
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<td><strong>May</strong></td>
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<tr>
<td><strong>June</strong></td>
<td>June 6 –10, 2016</td>
<td><strong>Internal Audit Academy</strong> 31 CPEs</td>
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<td></td>
<td></td>
<td><strong>Awards Ceremony</strong></td>
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