The Chapter is pleased to celebrate its 50th Anniversary and Internal Audit Awareness Month with a very special educational event. Joining us to honor our 50th Anniversary and speak about current audit and risk topics are two special guests: J. Michael Joyce, Chairman of the IIA North American Board of Directors, and Steve Hamilton, NYS OSC’s Inspector General (IG).

Auditors for years have learned to identify fraud and design tests to detect theft, misappropriation, and abuse and give organizations advice on preventing and detecting fraud. What are the current high-risk areas and what should you do once you identify them? IG Hamilton will discuss how he works with Internal Audit and Internal Control to prevent, detect, and investigate potential fraud. He will also discuss his Integrity First campaign and how OSC is focused on the effort to create an environment free of corruption, fraud, and abuse.

This is a not-to-be-missed event. Attendance is limited to 40 attendees, so reserve your spot now!

J. Michael Joyce, Jr., CIA, CPA, CRMA, FAHM, CLU, FLMI has served as the Chief Auditor & Compliance Officer for the BlueCross BlueShield Association (BCBSA) since June 1999. Mike has been an active member of the Institute of Internal Auditors (IIA) since 1989. He served on the Board of Governors for the Chicago Chapter of the IIA from 1995 - 2015, and served as the Chapter’s President during the 2001 - 2002 Chapter year. He is the current Chairman of the IIA North American Board of Directors, member of the IIA Global Board of Directors, and member of the Global Compensation Committee. In addition, he previously held a number of officer positions with the IIA’s Dallas, Texas Chapter. Mike also serves on the Advisory Board for DePaul University’s Endorsed Internal Audit Program (EIAP).

Steve Hamilton has been Inspector General for the Office of the New York State Comptroller (OSC) since December 2010. He is responsible for investigating, detecting, and eliminating fraud, corruption, and conflicts of interest at the New York State Pension Fund, the New York State Retirement System, the New York State Financial Services System, and the New York State Contracts and Payroll System. In that capacity, he is responsible for the administration of the OSC Internal Control and Internal Audit programs. Prior to joining the New York State workforce, Steve served as a Special Agent for the Federal Bureau of Investigation (FBI) in Mississippi, Louisiana, North Carolina, and New York. He was Counsel for Law Enforcement and Environmental Compliance at the New York State Department of Environmental Conservation, and was Legal Counsel to the New York State Ethics Commission prior to becoming Inspector General at OSC.

Inside This Issue:
- Albany IIA’s 50th Anniversary Event
- President’s Message
- IIA Webinars
- Updates to Specialty Certifications
- Membership Corner
- CAP Corner
- Schedule of Events

Date: May 25, 2016
Times: 7:30 am - 8:00 am - Registration
8:00 am - 9:00 am - Continental Breakfast
9:00 am - 11:30 am - Seminar

Location:
Wolferts Roost Country Club
120 Van Rensselaer Ave
Albany, NY 12204

Number of CPEs: 3

Chapter Members $20
Guests $30

Click Here to Register

Or follow the link below:
http://www.cvent.com/events/audit-risk-and-integrity/event-summary-c55ad4649e45456f9f9becc9a4e8887a9.aspx
The chapter year is ending, which means this will be my last President’s message. It has really been a great honor to serve as President of the Albany Chapter of the IIA and seeing all the hard work that goes into providing the great training events the chapter offers. When I was approached to step in as President this year on short notice, I was apprehensive; but another volunteer told me “everyone just does their job and things get done.” He was right, even in spite of me not always doing what I was supposed to! The success of this Chapter over the past 50 years is really a testament to our hard-working chapter volunteers and our supportive members. I want to thank our members for always supporting the events and giving us ideas for topics and speakers – I encourage you to keep doing that so the Chapter can have another successful 50 years of meeting your needs as internal audit professionals.

Speaking of 50 years…We will be celebrating the Chapter’s 50th anniversary in May with a special CPE event at Wolferts Roost. We have two very special guest speakers: Michael Joyce, the Chair of the North American Board of the IIA and Chief Audit Executive of BlueCross BlueShield Association, and Steve Hamilton, Inspector General at the NYS State Comptroller. This will be a chance to celebrate the Chapter’s 50 years of success, as well as listen to some interesting speakers. I hope to see you there.

I also want to take the time to recognize our Chapter volunteers. This month the spotlight is on Walt Evans. Walt currently serves on the Chapter Board of Governors and is the Chair of the Finance Committee. Walt has served many roles in the chapter over the years, including all officer spots and Chapter President twice (non-consecutive, so he is essentially the Grover Cleveland of the Chapter). Let’s get to know Walt a little better:

Tell us about yourself.

I joined NYSTRS in 1999 as Assistant Manager of Internal Audit following a 30 year career as an internal audit executive at KeyCorp, Albany, NY and Deputy Comptroller for Internal Audit at the City of Albany. In September 2013, I joined NYSTRS newly created Risk Management Department.

I have a BS in Psychology from St. Lawrence University, Canton, NY, and completed 24 hours of post graduate accounting credits at Sage College. Along the way, I also completed The School for Bank Administration audit major sponsored by the Bank Administration Institute at the University of Wisconsin, Madison, and the Certified Trust Auditor program at the Trust Audit & Compliance School sponsored by the Cannon Financial Institute at the University of North Carolina, Charlotte. In addition to holding certifications as a CIA, CCSA, CGAP, CRMA, CFE and CISA, I also hold the Claritas Investment Certificate sponsored by the CFA Institute.

In my non-work life, I have always loved the outdoors. We started family camping on Lake George when the kids were young and we couldn’t afford much in the way of vacations. Renting a campsite in New York was only $2.50 per night, and DEC picked up your garbage! We still make time to camp with our kids and their kids at our favorite campsites on the lake. I am also an Adirondack 46er, having climbed all 46 of the High Peaks of the Adirondacks, a number of peaks in the Presidential range of the White Mountains of New Hampshire and the mountains around Lake George and elsewhere in the Adirondacks. I have also enjoyed rock climbing in the “Gunks” and ice climbing in the ADKs, whitewater rafting and kayaking, including the Salmon River in Idaho and several rivers in Alaska.
President's Message Cont.

I have been a life-long skier. One of my most rewarding experiences was to give back to my favorite sport as a member of the ski patrol at Okemo Mountain Resort in Vermont, and a member of the National Ski Patrol, where I was a patroller, outdoor emergency care and toboggan transport instructor, and instructor trainer for 15 seasons. Unfortunately, age is catching up with me. I'm not hiking or climbing anymore and I have traded in my snow skis for a jet ski. Stay thirsty, my friends!

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

I have been active in the Albany Chapter of The Institute of Internal Auditors for over 30 years, as evidenced by my 5-digit membership number. I got involved as a Chapter volunteer in the early 90's when Chapter Nominating Committee member Charles Brown asked if I would be willing to become a member of the Board of Governors. Since then, I served as Secretary, 1st and 2nd VP and President twice, and am currently serving as a member of the Board of Governors and chairman of its Finance Committee.

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

There are several things of note:

- Very simply, somebody has to do it. Things do not get done by themselves.
- When I first became involved as a chapter volunteer, I was immediately impressed by quality of Chapter leadership. This is evidenced by the fact that the Albany Chapter is consistently one of The IIA's top performing Chapters. The Chapter has achieved silver status only once in the history of The IIA's Chapter Achievement program, and that silver pin is still passed on to each incoming President as a reminder that anything less than gold status is not an acceptable outcome. But, what makes that happen is the commitment of all the Chapter volunteers in the diligent pursuit of their chapter duties.
- Networking opportunities are also important. I can't emphasize enough how important networking with Chapter leaders was when I suddenly found myself out of a job after a company downsizing.
- Low cost, quality CPE. Training costs continue to grow, and as many others with certifications that need to be maintained annually, I think it is important that the Chapter brings meaningful programs to the membership at a reasonable cost. The Albany Chapter was one of the founding partners in developing The Conference That Counts over 21 years ago. Being the seat of state government, there are many auditors in the area that need CPE, but are constrained by tight governmental budgets and out-of-state travel restrictions. The Chapter strives to provide CPE at its own cost.

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.

Preparing for a Successful External Quality Assessment

May 17, 2016
1:00–2:00 pm

Whether you are considering a full scope external quality assessment (EQA) or a self-assessment with an independent validation, this webinar will provide guidance on how to prepare, as well as helpful hints to navigate through the process.
Updates to Specialty Certifications
By Sandy Meadows, CIA, CGAP

Certified Government Auditing Professional (CGAP)
The CGAP exam syllabus has undergone review, and changes are coming! The IIA is anticipating rolling out the new exam syllabus in the 3rd or 4th quarter of this year. The requirement to pass CIA Part 1 to obtain certification will go into effect in 2017. If you are considering the CGAP certification, there’s no better time than now.

Additionally, the education requirements have been changed for the CGAP. Applicants need to have any combination of the following: 4-year degree OR 2-year degree and 5 years internal audit experience OR 7 years of internal audit experience.

Click the link for more details about the CGAP: https://na.theiia.org/certification/CGAP-Certification/Pages/CGAP-Certification.aspx

Certified Financial Services Auditor (CFSA)
The CFSA exam syllabus has also undergone a review, and there are changes coming here as well. The precursor to the syllabus update, the job analysis survey, was completed in March 2016. The IIA anticipates the new syllabus arriving in the first quarter of 2017.

As with the CGAP, the education requirements have been similarly modified: Applicants need a 4-year degree OR 2-year degree and 5 years internal audit experience OR 7 years of internal audit experience. No word yet as to requirements to pass Part 1 of the CIA exam.

Click the link for more details about the CFSA: https://na.theiia.org/certification/CFSA-Certification/Pages/CFSA-Certification.aspx

Feel free to contact me with any further 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:

Adam Gersowitz
Dai Ingalls
Gabriela Mullen

Spring is finally here! 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
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!

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<th>Category</th>
<th>Minimum for Bronze</th>
<th>Chapter Points</th>
<th>% Achieved</th>
<th>Balance to Minimum</th>
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<td>I. Service to Members</td>
<td>325</td>
<td>2,403</td>
<td>739%</td>
<td>Achieved!</td>
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<td>II. Service to Profession</td>
<td>200</td>
<td>1,889</td>
<td>944%</td>
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<td>III. Chapter Administration</td>
<td>160</td>
<td>247</td>
<td>154%</td>
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<td><strong>Totals</strong></td>
<td><strong>685</strong></td>
<td><strong>4,539</strong></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.

Don’t forget to report your speaking hours to

Joel Biederman

JBiederman@OSC.state.ny.us
Phone: (518) 402-2487
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<tr>
<th>Month</th>
<th>Date</th>
<th>Event</th>
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<tr>
<td>September</td>
<td>September 22, 2015</td>
<td>Mystery Fraud Training</td>
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<td>October</td>
<td>October 6, 2015</td>
<td>FBI Stories of White Collar Fraud</td>
<td>3 CPEs</td>
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<td>November</td>
<td>November 23–24, 2015</td>
<td>Fraud Conference</td>
<td>7 to 14 CPEs</td>
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<td>December</td>
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<td>Holiday Luncheon</td>
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<td>Technology Conference</td>
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<td>Certification Breakfast</td>
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<td>TCTC</td>
<td>7 to 21 CPEs</td>
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<td>Spring CAE Roundtable</td>
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<td>May</td>
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<td>Planning Session</td>
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<td>Albany IIA Audit Risk &amp; Integrity</td>
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<td>June</td>
<td>June 6 –10, 2016</td>
<td>Internal Audit Academy</td>
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<td>Awards Ceremony</td>
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