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, Beth Pendergrass will provide a half-day session on Data Analytics - A Key Resource to Fraud Prevention and Detection. Vincent Greene will provide a half-day session on Detecting and Deterring Corruption.

On Day Two, Bret Hood will present for a full day on four separate topics entitled The 21st Century Fraudster, Implicit Bias In Investigations, Social Psychological Behaviors: An Underutilized Tool for Interviewers, and Fraudulent Documents.

You won’t want to miss this year’s fraud seminar!

Earn 7 or 14 continuing education credit hours by attending the seminar for one or two days, respectively.

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

CPE Field: Accounting/Auditing  
NYS License Number: 000329

<table>
<thead>
<tr>
<th>Pricing</th>
<th>One Day</th>
<th>Two Days</th>
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<td>Fully Retired AGA, ACFE, IIA Member</td>
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<tr>
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* * * $25 DISCOUNT IF PAYMENT RECEIVED BEFORE NOVEMBER 11, 2016 * * *
Auditing for Impact &
How Auditing Can Advance Your Career

Please join us for an exciting presentation given by Michael Fucilli, CIA, QIAL, CRMA, CGAP, CFE, Auditor General at Metropolitan Transportation Authority.

You will get first-hand insight into how we can make a positive impact on an organization, and how auditing skills can further advance your career.

Date: Wednesday, November 16, 2016
Speaker: Michael Fucilli
Registration & Networking Breakfast: 8:30 – 9:00 am
Program: 9:00 am – 12:00 pm
Location: Siena College
Sarazen Student Union
Maloney Great Room – Rooms 241-243
515 Loudon Rd, Loudonville, NY

Number of CPEs: 3

Pricing:

<table>
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<td>Non-Members</td>
<td>$40</td>
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<tr>
<td>College Students with valid ID</td>
<td>FREE</td>
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Registration:
Professional: http://www.cvent.com/d/gvqs24/4W
Students: Contact Lori Lasch @ llasch@siena.edu

President’s Message
By Elizabeth Bogdanowicz, CGAP

Welcome to the start of the holiday season!

The Chapter hosted the second class of the Internal Audit Academy from October 17 – 20th. It would not be possible to deliver such a high quality program at such a reasonable cost without the time, talent, and dedication of our fabulous volunteers! Based on the positive feedback and high demand, we will consider offering this program again in the future.

On September 30th, we hosted a roundtable for Chief Audit Executives. Participants discussed the new cyber security requirement promulgated by regulation 23 NYCRR 500, which promotes the protection of customer information and the information technology systems of regulated entities.

November is shaping up to be equally as exciting!
President’s Message Cont.

On November 16th, Michael Fucilli (CIA, QIAL, CRMA, CGAP, CFE) is speaking to a mixture of college students and industry professionals at Siena College. Michael is the Auditor General of the Metropolitan Transportation Authority, and he is also on the IIA Research Foundation's Board of Directors. I had the opportunity to hear Michael speak at the IIA’s Leadership Conference this past April. I am confident his energy, humor, and wealth of experience will inspire college students to join the ranks of internal auditing.

On November 21 – 22nd, we will co-sponsor the annual Fraud Conference. As always, this year’s conference features prominent speakers presenting on the many aspects of fraud. We will also raffle off many prizes with all proceeds to be donated to the Regional Food Bank of Northeastern New York. The early bird deadline is fast approaching; please consider registering today!

If you have considered getting involved, now is the time to jump in! Volunteering with the Chapter is not only a fabulous resume booster, but it provides valuable opportunities to network with your peers in the Capital Region Internal audit community. Please contact me anytime at (EBogdanowicz@osc.state.ny.us), and I guarantee we can identify a volunteer opportunity that suits your interests and availability.

In addition, please consider joining us for coffee, bagels, and lively discussion at our monthly Board meetings. Meetings are held on the second Wednesday of the month, at 7:45 am at the New York State Teachers’ Retirement System (10 Corporate Woods Drive, Albany, NY 12211).

Kind regards,
Elizabeth

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 at the Speed of Risk
November 15, 2016
1:00 – 2:00 PM

NASCAR, Formula One, and internal auditing. Not three terms you often see together. But there are lessons to be learned from the two former that can apply to the latter.

Just as in profession racing, we can’t rest on our laurels of previous victories and expect to continue crossing the finish line every time. We have to step back from the usual processes, look at our purpose holistically – even from different perspectives – and in short, stop looking at the same things and doing them the same way. What won the prize 10, 20, or 30 years ago in racing doesn’t even clear the finish line today. Why should it be any different for internal auditing?

In this webinar, we will explore how to read the pulse of our organization by recognizing that external factors, enterprise initiatives, strategic objectives, and business changes are becoming more frequent, rapid, and significant. It is necessary for internal audit to drive into the midst and engage with these emerging risks.

Using the racing world as an entertaining backdrop and analogy, we will share how internal audit functions are identifying and monitoring changes in the business, and explore concepts used by some leading functions to address the following imperatives:

- Credible leaders and experienced leadership team.
- Real-time views of changes and risks to organization.
- Understanding risk profiles and drivers.
- Presenting a very different type of audit plan.
- Being the adviser to help support strategic initiatives, organizational objectives, and risk management/mitigation programs.
- A new approach and model for enterprise risk and a strategically aligned internal audit function.
Increase Your Chances of Passing the CIA Exam

November 16, 2016
1:00 – 2:00 PM

Are you thinking of becoming a Certified Internal Auditor® (CIA®)? Join us for this very popular free online session led by certification experts to get all the answers to your CIA questions. We will review the benefits of certification, eligibility requirements, application steps and exam details. An experienced CIA instructor will provide study tips, exam tips, and an overview of The IIA’s CIA Learning System®. At the end of the webinar, one attendee will win an IIA CIA eSeminar valued at up to US $1,695. If CIA certification is in your future, you can’t miss this webinar!

This webinar is designed to help CIA candidates:

- Understand the CIA program, eligibility requirements, and exam.
- Determine how much time you’ll need to prepare for the exam.
- Prepare to pass using The IIA’s CIA Learning System.
- Utilize simple study and testing tips to increase your chances of success on the CIA exam.

2015–2016 Chapter Year Awards

By David Robertson, CIA, CFE, CGFM, CGAP

At the end of my presidency in June, I had the privilege to honor a number of the Chapter’s volunteers and members. Awards and thanks were given to chapter leaders, board and committee members, certification recipients, those with certification and membership milestones, event planners/helpers, and others. Two awards that I want to highlight are the Martin H. Ives Chapter Service Award, named after our founding president, and the Mary E. Peck Award, named after Mary Peck whose tireless dedication to the Chapter inspires all of us. This year’s recipients are below.

Martin H. Ives Award

Nicole Kedzior: Nicole has been the Chapter Treasurer for two years and has done an outstanding job of managing the Chapter’s finances. The Treasurer job is the most time consuming in the Chapter and is often a thankless job. Nicole has transitioned out of the treasurer role into managing the Chapter’s social media presence, and we are looking forward to her hard work in that area too.

Dani Bridger: Dani is the Chapter Secretary. She manages the board meeting coordination, keeps minutes, tracks action items, and keeps track of resolutions and polices. Dani also volunteers to coordinate and co-coordinate Chapter training events – including the Technology Conference and the COSO Certification. Dani’s energy and enthusiasm is contagious, and we appreciate her efforts.
2015–2016 Chapter Year Awards Cont.

Mary E. Peck Award

Steve Hillerman: Steve has been involved in the Chapter for more than two decades and has filled various roles, including Chapter President.

Steve currently serves as a Board member and is part our Chief Audit Executive presence on the Board. Steve is a very active Chapter volunteer, often volunteering to run Chapter events; he also recently taught a large portion of the two separate offerings of the Albany Internal Audit Academy. All of Steve’s hard work over many years exemplifies what the Mary E. Peck Award is all about.

I want to again thank the award recipients mentioned above for their dedication and to the rest of the Chapter volunteers and members for their hard work and support of the chapter. I was honored to serve as Chapter President, but more honored to be part of a great Chapter and work with such dedicated volunteers.

Continuing Professional Education

By Sandy Meadows, CIA, CGAP

Hello folks! For all of you certification holders, it is that time again when you are looking at your CPEs for the year to assess whether you have the necessary hours to maintain your certification. In case you have forgotten, that is 40 hours for the CIA, and 20 hours for the specialty designations (don’t forget that 25% of the hours for the specialty designations must be related to the specialty). Hours must be reported through CCMS by December 31. If you fail to report, you will be moved to an inactive status with a 6-month grace period to complete your CPE requirements. After failure to report for more than 12 months, you will be moved to an inactive status.

So if you are now looking at your CPEs for the year and realizing that you are in danger of falling short, what can you do? You have options! The two-day fraud conference this month (November 21 and 22 at the Radisson on Wolf Road) will get you 14 CPEs for a very low cost of $225 for members ($200 if you register before the 11th); or attend one day for $150 and earn 7 CPEs. There are also the magazine quizzes (3 CPEs for each quiz up to 18 CPEs for the year), and of course, the free IIA webinars. You can also apply college course work, write for applicable publications, or earn credits for pertinent presentations. For more information on the allowable CPE options, see Administrative Directive 4 (https://na.theiia.org/certification/Public%20Documents/Administrative-Directive-No-4.pdf).

“But, Sandy,” I can hear you saying, “who will know if I don’t report my CPE on time?” Well, in answer to that I will refer you to the story of a local CIA who has been audited TWO times in the past THREE years. Yes, it’s true. So don’t forget to get your hours completed and reported by December 31.

Feel free to contact me if you have any other questions related to certification or to CPE at Sandra.Meadows@gaming.ny.gov.
Membership Corner

By Christopher Herald, CGAP

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

Yochanan Bertos
Bridget Britton
Richard Burkhammer
Rema Cavanaugh
Bridget Conover
Bruno Degen
Marla Figueroa Rodriguez
Tas Matawala
Ann Przybyla
Michael Schollar
Caren Sullivan
Aleta Symon

Do you have some free time you’re looking to fill? 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 letting me know what you are interested in doing and we can 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

By David Robertson, CIA, CFE, CGFM, CGAP

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.

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<th>Category</th>
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<th>Chapter Points</th>
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<td>II. Service to Profession</td>
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<td>III. Chapter Administration</td>
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Targets

Bronze 685
Silver 1,060
Gold 1,560

As of: 10/31/2016
### SCHEDULE OF EVENTS

**Albany Chapter – Institute of Internal Auditors**

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<th>OCTOBER</th>
<th>NOVEMBER</th>
<th>DECEMBER</th>
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<td>Fall CAE Roundtable</td>
<td>Internal Audit Academy</td>
<td>Auditing for Impact &amp; How Auditing Can Advance Your Career</td>
<td>Holiday Luncheon</td>
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<td>TCTC</td>
<td>Fraud Mystery Event</td>
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<td>Technology Conference</td>
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<tr>
<td>Training CAEs</td>
<td>Awards Ceremony/Planning Session</td>
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Don’t forget to report your speaking hours to Kristina Massaconi!

[KMassaconi@osc.state.ny.us](mailto:KMassaconi@osc.state.ny.us)
Phone: (518) 486-6494

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