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, Steven Patterson, an accomplished investigator, and analyst with 16 years of investigative, internal audit and managerial experience will provide a full-day session on Anatomy of Fraud Investigations from Allegation to Prosecution with real world case studies covering vendor fraud, executive fraud and pay to play schemes.

On day two, KPMG representatives will provide a half-day session on using data for detecting and analyzing fraud, NYS Inspector General Catherine Leahy Scott will discuss the IG fraud investigation process and correlate to an actual case investigation, and Professors Richard Hurley and William Kresse will provide a 90-minute expose of recent fraud cases.

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.

⇒ Click here to see Agenda
⇒ Click here to see Speakers

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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<tbody>
<tr>
<td>AGA, ACFE, IIA Member</td>
<td>$150</td>
<td>$225</td>
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<tr>
<td>Fully Retired AGA, ACFE, IIA Member</td>
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<tr>
<td>Non-Member</td>
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* * * $25 DISCOUNT if you register by 11/13 * * *

Dates: November 20 – 21, 2017
Registration & Networking Breakfast: 7:30 – 8:30 am
Seminar: 8:30 am – 4:30 pm
Lunch (provided): 12:00 – 1:00 pm
Location: Radisson Hotel
205 Wolf Rd
Albany, NY 12205

Speakers: Dr. Richard Hurley Ph.D., JD, MS, CPA, CFE
William J. Kresse JD, CPA, CFE
Catherine Leahy Scott
Steven Patterson, CFE

Number of CPEs: 7/day
Early Bird Registration ends: November 13, 2017
President’s Message

By Cristina Hourigan

Years ago, when I was a new auditor, I was encouraged to join professional organizations. Being new to the field, I checked out the websites and talked to some people who were actively involved in our local Albany IIA Chapter. First, I volunteered to help at the registration table of an event, which was a great opportunity to meet many new people. Next, I volunteered at another event, helping with set up and whatever else needed to be done. Before long, I was attending Board meetings and volunteering in many other ways.

I believe there are at least three great benefits to belonging to a professional organization and volunteering:

1. **Networking.** Being part of an organization and volunteering brings you together with people in your profession who are not part of your normal work group. Building these connections and being able to call on them to help solve problems is a benefit to your career.

2. **Continuing Education.** Our Albany IIA Chapter offers high quality Continuing Education programs throughout the year. The programs we offer are based on feedback from our members about what you want to see in offerings. The Fraud Conference we are co-sponsoring this month (November 20-21st) is a great example of the high caliber programing we provide to our members and non-members.

3. **Certifications.** Earning a certification from the IIA shows your commitment to the profession and to developing your knowledge and skills. The CIA, CGAP, CCSA, and CRMA are just a few of the many certifications offered by the IIA. Consider investing in yourself and find out more about the certifications that are right for you.

Talk to your friends and colleagues who are not members to let them know about the benefits of joining our Chapter and consider the benefits of volunteering your time. Please contact me or any other Board members if you are interested in finding out about opportunities that match your interests and availability. Or stop by our monthly Board meeting, held the second Wednesday of the month at 7:45am at the Office of the State Comptroller, Rensselaer Technology Park, 200 Jordan Road, Troy NY 12180. We hope to see you there!

Best Regards,
Cristina

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.

**Technology: Auditing Data**

November 21, 2017
1:00 – 2:00 PM

The technology landscape is changing fast; social media, cloud computing, mobility, big data analytics, and cybersecurity are all increasing the complexity and risks of doing business, as well as the opportunities. Boards, shareholders, and regulators now have higher expectations of internal audit to not only manage these risks associated with the digital revolution, but also in advising and preparing organizations to take advantage of the opportunities presented. Internal audit functions will need to move beyond providing assurance to becoming trusted advisors that offer value-added services. However, many internal audit functions are not positioned to take on these complex topics internally due to skill set and capability gaps, and a lack of
IIA Webinars (Cont.)

understanding and awareness of key risk areas.

Join PwC for a discussion on how organizations can elevate their internal technology audit functions to the high levels demanded of all key stakeholders and increase their ability to meet the increasing challenges of emerging technology risks as well as how to drive greater integration through the use of advanced analytical tools.

Learning Objectives
⇒ Find out how internal audit teams can take their analytics function to the next level.
⇒ Explore reasons internal audit analytics initiatives do not gain traction, and receive practical approaches to successfully begin, redirect, or advance an internal audit analytics program.
⇒ Hear about emerging technology trends affecting technology audit in the internal audit space and how departments will have to adapt to deal with them.
⇒ Topics addressed will include Blockchain, Robotics, Artificial Intelligence, and Continuous Auditing.

Fall CAE Roundtable Recap
By Joseph Morrissey, CGAP, CRMA

The 2017 Fall Chief Audit Executive (CAE) Roundtable was a success as we engaged five Albany-based CAEs in topics including: controls over confidential/protected data, internal auditors’ role in Enterprise Risk Management, training, peer reviews, and CAE reporting lines.

Please join your peers in the Spring of 2018 for another lively and informative discussion! Stay tuned for additional information on the Spring 2018 session.

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

Certification News
By Sandy Meadows, CIA, CGAP

Continuing Professional Education (CPE)

It’s that time of year again: CPE reporting. Do you have enough training hours for the year (40 for CIA, 20 for specialty certifications, including 25% related to the specialty)? Go check; we’ll wait. Uh-oh? Not enough hours? You have options! The two-day fraud conference this month (November 20 and 21 at the Radisson on Wolf Road) will get you 14 CPEs for the low, low cost of $225 for members ($200 if you register before the 13th) – 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 credit 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).

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. One quick note: this year the reporting function has added a disclaimer about the cost of reporting CPEs. If you are a member in good standing (dues paid up to date), then there is no charge and when you click to report, you will not be charged.

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

Best of luck!
Sandy

Membership Corner
By Christopher Herald, CGAP

Please join me in welcoming the following individuals to the

IIA Albany Chapter:
Beauregard Barrows
Matt Horton
Jennifer Keevern
Jessica Kozma

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.

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.

### Targets

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<tr>
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<tr>
<td>Bronze</td>
<td>685</td>
<td>1,060</td>
<td>685</td>
<td>Achieved!</td>
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<tr>
<td>Silver</td>
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<td>1,056</td>
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<tr>
<td>Gold</td>
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As of: 10/27/2017

### Category

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<tr>
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<tr>
<td>I. Service to Members</td>
<td>325</td>
<td>674</td>
<td>207%</td>
<td>Achieved!</td>
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<tr>
<td>II. Service to Profession</td>
<td>200</td>
<td>290</td>
<td>145%</td>
<td>Achieved!</td>
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<td>III. Chapter Administration</td>
<td>160</td>
<td>92</td>
<td>58%</td>
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<td>Totals</td>
<td>685</td>
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Don’t forget to report your speaking hours to

**Danielle Bridger**

Email: DBridger@osc.state.ny.us

Phone: (518) 408-4865
## SCHEDULE OF EVENTS
### 2017 — 2018

### 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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<tr>
<td>September 19, 2017</td>
<td>October 18, 2017</td>
<td>November 20–21, 2017</td>
<td>December 6, 2017</td>
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<tr>
<td><strong>Interviewing Skills</strong>&lt;br&gt;6 CPEs</td>
<td><strong>Fraud in the World Today</strong>&lt;br&gt;3 CPEs</td>
<td><strong>Annual Fraud Conference</strong>&lt;br&gt;7 to 14 CPEs</td>
<td><strong>Annual Holiday Luncheon</strong>&lt;br&gt;No CPEs</td>
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<td>September 25, 2017</td>
<td>October 23-25, 2017</td>
<td><strong>COSO Certificate Course</strong></td>
<td><strong>No CPEs</strong></td>
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<td><strong>TCTC Fall Event</strong>&lt;br&gt;7 CPEs</td>
<td><strong>Fall CAE Roundtable</strong>&lt;br&gt;No CPEs</td>
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<th>FEBRUARY</th>
<th>MARCH</th>
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<td>February, 2018</td>
<td>March 19-21, 2018</td>
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<td><strong>Technology Conference</strong>&lt;br&gt;8 CPEs</td>
<td><strong>Certification Breakfast</strong>&lt;br&gt;No CPEs</td>
<td><strong>TCTC</strong>&lt;br&gt;7 to 21 CPEs</td>
<td><strong>GAGAS</strong>&lt;br&gt;Spring CAE Roundtable&lt;br&gt;No CPEs</td>
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<th>JUNE</th>
<th>JULY</th>
<th>AUGUST</th>
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<td>May, 2018</td>
<td>June, 2018</td>
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<tr>
<td><strong>Internal Audit Academy</strong>&lt;br&gt;29 CPEs</td>
<td><strong>Awards Ceremony</strong>&lt;br&gt;No CPEs</td>
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**Become an IIA Volunteer**

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