MONEY LAUNDERING 101

Speaker: Senior Investigator William F. Mosher Jr. (New York State Police – Financial Crimes Unit)

Location: Siena College
Date: April 18, 2013
Registration and continental breakfast: 8:30 – 9:00 AM
Program: 9:00 AM – 12:00 PM
Number of CPEs: 3

If registered by April 4, 2013:
· $15 for IIA, ISACA, AGA, ACFE, NYS Forum, ISSA, OWASP, and InfraGard members
· $20 for non-members
FREE for Siena College students

If registered after April 4, 2013:
· $20 for IIA, ISACA, AGA, ACFE, NYS Forum, ISSA, OWASP, and InfraGard members
· $25 for non-members
FREE for Siena College students

To register: http://www.cvent.com/d/ccqrqv

Senior Investigator William Mosher is the member in charge of the New York State Police Financial Crimes Unit. Mr. Mosher has supervised the unit since its inception in February of 2001. The unit is responsible for assisting law enforcement with the financial aspects of criminal investigations. These investigations include money laundering and asset seizures as well as identity thefts, embezzlements and mortgage fraud. The unit is also responsible for providing the Treasury Department’s Financial Crimes Enforcement Network data to all state and local law enforcement in New York. Mr. Mosher has been a member of the New York State Police since 1986. He is an adjunct instructor for the National White Collar Crime Center, and instructs new State Police investigators in financial crimes and money laundering investigations at the Bureau of Criminal Investigation Basic School. In 2007, Sr. Inv. Mosher was named the Law Enforcement Officer of the Year by the Capital District Bank Security Officers’ Association.
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.

Developing the Internal Audit Strategic Plan
April 10, 2013
1:00–2:00 p.m.

For internal audit to remain relevant, it must adapt to changing expectations and maintain alignment with organizational objectives. The internal audit strategy is fundamental to remaining relevant — playing an important role in achieving a balance between cost and value, while making meaningful contributions to the organization’s overall governance, risk management, and internal controls. A systematic and structured process can be used to develop the internal audit strategic plan, helping to enable the internal audit activity to achieve its vision and mission.

Emerging Fraud Risks
April 16, 2013
1:00–2:00 p.m.

In today’s digital business environment and with the global nature of today’s supply chains, new and creative fraud schemes are emerging each day. Internal auditors as advocates of strong internal controls play an important role as consultants to their organizations. During this event, we will explore:

- the latest fraud scams;
- detection and deterrent measures every company should employ; and
- the role of internal audit in helping the organization adapt to new fraud risks.

President’s Message
By Linda C. Giovannone, CIA, CGAP

As winter comes to an end, and the flowers begin to bloom, it is time for us to bring this Chapter year to a close and start planning for next year.

In June, we will be holding our annual planning session to discuss new programs we’ll be offering over the upcoming year. This is the perfect time to let us know your ideas for future programs. Details on this event will be coming soon. If you are unable to attend, and you have an idea that you would like to share, please contact Elizabeth Bogdanowicz, our Program Coordinator, at any time (EBogdanowicz@osc.state.ny.us).

Now is also the perfect time to join our energetic and hardworking group. We have a number of opportunities for you to help out with our various programs and committees. Participating in the Albany Chapter will give you a great opportunity to advance your leadership skills and to network with a wide range of auditing professionals from various backgrounds. Please contact any Board member at https://chapters.theiia.org/albany/Documents/Org%20Chart%202012-2013%203-29-12.pdf or join us at our next Board meeting on Wednesday, April 10th at 7:45 a.m. at the Teachers Retirement System in Corporate Woods.
President’s Message Continued...

Upcoming Programs

It’s not too late to sign up for our Money Laundering event on April 18th with William F. Mosher, Jr. from the New York State Police.

On May 8th, Dave Hancox will be updating us on the IIA’s Internal Auditing Standards. This will be our final event for the year, and we hope you are able to attend. Thank you to Bob Wright and Fran Gardner for coordinating this event.

Program Recap

In February, in conjunction with the local Chapters of the AGA, ISACA, ACFE and NYSSCPA, we hosted over 50 professionals at the Certification Breakfast. It’s great to know that so many are interested in pursuing a professional certification. If you could not make the breakfast but have questions about pursuing any of the IIA’s many certifications, Dave Robertson or Mary Peck would be more than happy to help you out. Thank you to Mary and Dave along with our AGA, ISACA, ACFE and NYSSCPA partners for bringing us this successful event!

We also hosted a Chief Audit Executive Roundtable in February. Thank you to Joan Casazza and Fran Gardner for chairing this discussion with nine audit executives (see the article below).

Please reach out to Elizabeth, Bob, Fran, Dave, Mary, Joan, me, or any other Chapter volunteers if you are interested in joining our dedicated group. We welcome you to contact us directly if you have any ideas on how we can better serve you throughout the year.

All the best,
Linda

“CAE Roundtable” Recap

By Joan M. Casazza, CIA, CGAP, CCSA

As Chief Audit Executive (CAE) jobs continually get more demanding and challenging, audit committees are looking for CAEs to be at the forefront, to anticipate potential critical issues, and be prepared to respond to emerging risks. With this in mind, IIA Albany Chapter members Joan Casazza and Fran Gardner hosted a CAE Roundtable on February 21, 2013. The format was a peer-to-peer discussion forum to share ideas and solutions to everyday CAE challenges. Seven CAEs attended representing all profit sectors. Some of the subject areas that were discussed included, but were not limited to: auditing information systems and IT staffing, risk assessment successes, audit software, enterprise risk management, adding value to the organization, and quality assessment reviews.
“CAE Roundtable” Recap Continued...

Overall, CAEs believed that internal audit is evolving along the value creation dimension beyond compliance. The majority of CAEs felt that they provided value to the audit committee through their risk-monitoring activities, evaluating emerging risks, and incorporating technology into the internal audit process.

We would like to thank all the CAEs who participated to make this event successful. We look forward to sharing ideas with you again in the fall!

Certification in Risk Management Assurance (CRMA) Exam Syllabus is Available!

By David Robertson, CIA, CFE, CGFM, CGAP

For those of you who were unable to qualify for professional experience recognition (PER) to obtain the CRMA credential, or are simply choosing to take the exam, the CRMA exam syllabus has been released by the IIA.

Here is what we know about the exam so far:

- You must pass (or have already passed) Part I of the Certified Internal Auditor (CIA) exam, which is 125 questions and 2.5 hours long.
- Take a separate 100 multiple-choice question CRMA exam covering the following four domains:
  - Domain I: Organizational governance related to risk management
  - Domain II: Principles of risk management processes
  - Domain III: Assurance role of the Internal Auditor
  - Domain IV: Consulting role of the Internal Auditor

- Detailed information on the domains can be found at this link.

At the moment, we do not know how much the exam costs or the minimum experience requirements for certification. However, if you are a risk management professional, or are interested in risk management, you can start getting prepared for the CRMA exam now so you can take it when it is offered this summer. The IIA has released a list of reference resources that you can use to help you prepare for the CRMA exam (CRMA Reference Resources).

I hope you make obtaining the CRMA one of your goals for this year. If you have questions or need assistance with the certification process, please feel free to contact me at david.robertson@ocfs.ny.gov.

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 for achieving our target of Gold and maintaining our Platinum status!!!
CAP Corner Continued...

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Targets

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Schedule of Events

Save the Date!

**SCHEDULE OF EVENTS 2012-2013**

Albany Chapter – Institute of Internal Auditors

<table>
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<th>SEPTEMBER</th>
<th>OCTOBER</th>
<th>NOVEMBER</th>
<th>DECEMBER</th>
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<td>September 19, 2012 Integrated Auditing</td>
<td>October 24, 2012 <strong>Difficult People? Not Anymore! Transform Conflict into Collaboration like Magic!</strong> 4 CPEs</td>
<td>November 19-20, 2012 <strong>Fraud Conference</strong> 7 or 14 CPEs</td>
<td>December 4, 2012 <strong>Holiday Luncheon</strong> No CPEs</td>
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<td>JANUARY March 31, 2013 <strong>Technology Conference</strong></td>
<td>FEBRUARY February 14, 2013 <strong>Certification Roundtable</strong></td>
<td>MARCH March 18-20, 2013 <strong>TCTC-2013</strong></td>
<td>APRIL April 18, 2013 <strong>Money Laundering 101</strong></td>
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**May 8, 2013 Overview and Update on IIA Standards** 3 CPEs

**JUNE June 2013**

**JULY July 2013**

**AUGUST August 2013**