May Virtual Seminar

**Agile Auditing**

Raven Caitlin, CIA, CPA, CFSA, CRMA  
CEO, Lead Trainer, Keynote Speaker

<table>
<thead>
<tr>
<th>Date</th>
<th>Tuesday, May 4, 2021 &amp; Wednesday, May 5, 2021</th>
</tr>
</thead>
<tbody>
<tr>
<td>Time</td>
<td>12:30 PM – 4:30 PM</td>
</tr>
<tr>
<td>Location</td>
<td>Virtual Zoom Meeting</td>
</tr>
<tr>
<td>Cost</td>
<td></td>
</tr>
<tr>
<td>Members</td>
<td>$100</td>
</tr>
<tr>
<td>Non-members</td>
<td>$135</td>
</tr>
</tbody>
</table>

Register for the event online at [https://na.eventscloud.com/agileauditing2021](https://na.eventscloud.com/agileauditing2021)

Cancellation after April 26, 2021 incurs the cost

8 CPE (CIA and CPA). Category: Audit. The CNY IIA sponsor ID number for NYS is 002212. CPE requirements vary from state to state. Contact your state’s board for information concerning your state’s specific requirements.

R.S.V.P. Registration deadline is Monday, April 26, 2021 at 5:00 PM

Raven Catlin’s new book on Agile Auditing will be published in July 2021. All seminar attendees will have the opportunity to purchase this book at a reduced price of $20 each (Amazon is $55 each) plus shipping.
Agile Auditing
May Seminar

Course Overview:
The buzz-word in Internal Audit today is Agile Auditing. Agile Auditing is more than a mindset. Internal Audit processes today aren’t much different than they were 20 years ago. Internal Auditing of the future requires various tools and alternative methods of approach. Agile Auditing is a tool for auditors to complete audits on time that leverages risk-based Auditing and a participative audit approach. Agile is quickly becoming the go-to method/approach to build efficient audit teams, create collaborative relationships with audit clients, and deliver results timely. Agile Auditing will improve audit delivery time, give better customer service, solve audit process problems, and reduce delays, rework, and waste.

Who should attend:
• All individuals interested in learning a new approach to audit project management
• Staff auditors participating in pilot agile audits
• Auditors seeking to apply better techniques in every audit
• Supervising auditors responsible for managing audit projects

Learning Objectives:
At the end of this program, attendees will be able to:
• Explain Agile Auditing
• Implement Agile Auditing techniques to overcome typical obstacles encountered during the traditional audit life cycle
• Implement Agile Audit Methodology and tools within your audit

Course Outline
1. Introduction & Learning Objectives & The Agile Mindset
2. Project Approaches and Basics
   a. Introduction to Agile Project Management
   b. Benefits of Agile Auditing
   c. Agile Principles applied to Internal Audit
   d. Agile Audit terminology, roles, and responsibilities
   e. Traditional audit project management contrast with agile audit project management
   f. Behaviors and skills for effective agile Audits
   g. Understanding agile project constraints & risks
3. Agile Auditing Lite
   a. What can Agile Auditing do for me?
   b. Using Agile techniques without implementing Agile Auditing

Skills Practice: Agile Essentials

4. Implementing Agile Auditing
   a. The Agile Audit Process
   b. Getting started with Agile Auditing
   c. Understanding the sprint
   d. Building relationships through Agile Auditing

Skills Practice: Creating Your Agile Workflow
Agile Auditing
May Seminar Continued

5. Agile Audit Case Study
   a. Starting the Sprint
   b. Right-sizing audit scope
   c. Project tracking tools and monitoring through the daily scrum
   d. Daily scrum activities
   e. Meeting quality standards in workpapers
   f. Reporting options in Agile Auditing
   g. Identifying and communicating improvements in the Agile Audit process

Skills Practice: Conducting a Mock Agile Lite Audit

6. Wrap Up
   a. Why you need Agile Auditing™ in your audit toolbelt

Speaker Biography:
Raven Catlin, CIA, CPA, CFSA, CRMA
CEO / Lead Trainer / Keynote Speaker

Raven is a globally recognized speaker and instructor in risk management and internal audit. She possesses over 19 years of diverse internal audit experience, and 15 years of instructing and facilitating a variety of courses. With this diverse experience she “helps professionals add dimensions to help them grow for a successful future.”

Raven is a VCU graduate. She served in audit positions including Interim CAE as a Consultant at Experis and Senior Manager at Protiviti. She held audit positions with Freddie Mac, Bank of America, and Philip Morris. Raven is active in the IIA and contributing author to the CIA Learning System.

She developed and redesigned the auditing infrastructure for internal audit functions, including developing internal audit policies and procedures, implementing audit software, designing reporting and time management templates, designing audit committee packages, and implementing databases to report and track progress of audit concerns. Raven embraces the definition of internal auditing as a value-added service and operations owners have welcomed the “fresh approach” to internal auditing.

For a complete bio, go to https://www.ravenglobaltraining.com/ravencatlin
May Is International Internal Audit Awareness Month!

As an internal audit professional, you play an important role in raising awareness and elevating the profession. Whether you are an active IIA member or new to internal auditing, there’s something you can do to raise awareness.

For example, you can customize your email signature and social media accounts with the International Internal Audit Awareness Month digital icon, as seen below. You can hold a lunch-and-learn in your workplace to dispel myths about internal auditing and explain the value that a well-resourced, independent internal audit function can provide. You can also distribute sweet treats or tokens to coworkers with an educational flier about the profession.

Don’t let the opportunity pass to advocate the importance of internal auditing to your coworkers and other stakeholders. For additional ideas, sample programs, tips, and templates, download the free Building Awareness Toolkit from The IIA’s website.
Job Posting – Internal Auditor II, Five Star Bank

Five Star Bank and affiliate companies are committed to Equal Employment Opportunity and Affirmative Action. We recruit, hire, train and promote persons in all job titles and ensure that all other personnel actions are administered without regard to race, religion, color, national origin, citizenship, sex, sexual orientation, gender identity, age, veteran status, disability, genetic information, or any other protected characteristic. Five Star Bank and affiliate companies are committed to providing reasonable accommodations to employees and applicants with disabilities to the full extent required by the Americans with Disabilities Act (ADA). If you feel you need a reasonable accommodation pursuant to the ADA, you are encouraged to contact us at (585) 786-4344, (585) 498 - 7565 or (585) 786-1417.

Position Title: Internal Auditor II
Location/Affiliate: FSB Plaza – Chestnut Street
Reports To (Title): Audit Manager
Department: Audit FLSA Status: Exempt

Purpose: The Internal Auditor II is responsible for conducting and reporting on scheduled financial and operational audits, Sarbanes – Oxley Section (SOX) 404 key control testing, and departmental projects. The Internal Auditor II may mentor junior staff members within audit areas of proficiency.

Essential Functions: The major duties of the job that constitute the fundamental tasks and or responsibilities of the position. Employees must be able to perform the essential functions of the position with or without reasonable accommodations.

Scope and Direction
Area of Responsibility: Internal Audit
Degree of Supervision Received (Minimal, Moderate or Extensive): Moderate
From (Title): Audit Manager
Degree of Supervision Given (None, Minimal, Moderate or Extensive): None
To (Title(s)): N/A

1. By developing system queries of data, utilizing and interpreting various audit, accounting and regulatory compliance reference materials and resources, and reviewing prior audit issues, develops the scope of assigned internal audits and SOX 404 testing, selects and develops appropriate audit procedures for the work programs to achieve audit objectives within hours budgeted. Discusses and reviews work programs with department supervisory staff and/or others assigned to the audit prior to commencing test work in order to maintain consistent, effective audit coverage. Recommends changes and improvements to established work programs and audit testing approaches as appropriate.

2. Evaluates the design and operating effectiveness of the system of internal controls, adherence to established policies and procedures, and regulatory guidance and conducts test work as outlined in the audit work program. Utilizes judgment as to expansion of scope, further test work needed based on trends or exceptions identified. Prepares work paper documentation to support test work performed and conclusions reached. Explains, clarifies or corrects documentation to clear any review notes generated by the department supervisory staff or audit lead personnel’s review of the work papers, conclusions and recommendations. Communicates audit objectives to appropriate members of Management and promotes dialogue and input from auditees with respect to the audit area, associated risks and areas of focus.

3. Provides information and supporting documentation for all issues uncovered as a result of the audit to prepare the preliminary exit sheets, which detail the level of risk, and proposed solutions to correct the existing issue and to prevent future occurrences. Attends exit meetings with management and other Internal Audit department supervisory staff to discuss proposed recommendations to come to agreeable solutions. Prepares written audit reports to summarize the audit scope, control findings, recommendations and management commitments.
4. Develops and performs audits as assigned. Performs research and interprets the area’s regulatory or operational requirements. Maintains an awareness of requirements and changes within those assigned areas. Trains Audit staff to complete audits of mentioned areas.
5. Assists in mentoring and training audit staff.
6. Is a contributing member of project teams as assigned. Provides consulting services to management in developing appropriate internal controls for new products and/or processes as well as enhancements to existing products and/or processes.
7. This position will may require to work from home or from the office under manager discretion.
8. This job description is not exhaustive. The Internal Auditor may be required to perform other duties as assigned.

Job-Related Qualifications

Education:
Required: Bachelor’s Degree in Accounting, Finance, or related field
-OR-
Required: Associate’s Degree in Accounting, Finance, or related field
Preferred: Bachelor’s Degree in Accounting, Finance, or related field

Prior Experience:
Years: 3+ Type: Internal audit or public accounting experience
Years: 4+ Type: Internal audit or public accounting experience
Years: 4+ Type: Audit experience in the Financial Services industry

Licenses or Accreditation:
Required:
Preferred: One or more of the following:
• Certified Public Accountant (CPA)
• Certified Internal Auditor (CIA)
• Certified Bank Auditor (CBA)
• Certified Financial Services Auditor (CFSA)
• Certified Information Systems Auditor (CISA)
• Certified Community Bank Internal Auditor (CCBIA)

Competencies:
1. Self-starter and able to work independently
2. Excellent verbal and written communication skills
3. Ability to positively interface and work well with all levels of staff and management (auditees and own department)
4. Possess a high level of understanding of audit theory with the ability to develop strong industry knowledge of bank and fee based products, services, policies and procedures
5. Intermediate level with Microsoft Office applications and the ability to learn and utilize new and existing banking software
6. Able to handle bank and client information and sensitive matters professionally and confidentially
7. Excellent organizational skills with the ability to manage multiple priorities and meet established deadlines

Physical Requirements:
1. Able to regularly sit for prolonged periods of time
2. Extensive computer usage is required
3. Occasional travel within Company footprint
Note: At a later stage in the application process, applicants may be required to provide information about their criminal conviction history, if any, and to authorize the procurement of a consumer report that will contain, among other things, information about criminal conviction history. Except as required by applicable law, past criminal convictions will not automatically disqualify an applicant from employment, and Five Star Bank will only consider such history in accordance with applicable law. Please be advised, however, that federal law prohibits Five Star Bank from employing “any person who has been convicted of any criminal offense involving dishonesty or a breach of trust or money laundering, or has agreed to enter into a pretrial diversion or similar program in connection with a prosecution for such offense” unless the FDIC has provided prior written consent.
Volunteer Opportunities

The CNY Chapter of the IIA is always looking for dedicated volunteers to assist our Board. It’s through the efforts of our volunteers that we can consistently offer quality events and seminars to provide CPE to our members. Volunteering with our Board is not only a great experience, but it provides plenty of networking opportunity with internal auditors throughout our region. If you have any interest, we encourage you to join us for a Board meeting, which we typically hold immediately before or after our events. All are welcome to attend. Please contact Suzanne Isgro, Nominating Committee Chair, if you are interested in volunteering or have any questions.

Current opportunities for the Board include:

**Newsletter** – This committee is primarily responsible for producing our newsletter, *The Dispatch*. This opportunity would be perfect for someone with a creative streak.

**Program & Seminar** – This committee is primarily responsible for scheduling our Fall and Spring Seminars. This opportunity would be great for someone who likes event planning.

**Officer Roles (future)** – Remember that the CNY Chapter Officers progress through the four roles from Secretary, to Treasurer, then VP, and finally President. Thus, we are always looking for our next Board Secretary.

For interest or questions regarding any of these opportunities, please contact Suzanne Isgro at sisgro@srcinc.com.

Please add [Chapter58@iiachapters.org](mailto:Chapter58@iiachapters.org) to your contacts to ensure you receive future emails from the Central NY IIA!

Like “CNY Institute of Internal Auditors” on Facebook. Check back regularly for exciting IIA sponsored events and Chapter news!
The Central New York Chapter is on the Web at [http://chapters.theiia.org/central-new-york](http://chapters.theiia.org/central-new-york)

### 2020 - 2021 Officers

**President**
Heather Weaver  
HLWeaver@nbtbank.com 607.337.6496

**Vice President**
Chris Gomulka  
cgomulka@bonadio.com 315.214.7842

**Treasurer**
Celeste Uvanni  
celesteu@americu.org 315.356.3318

**Secretary**
Kristin Seiler  
KSeiler@nbtbank.com 607.337.6818

### Governors (terms)

- Suzanne Isgro (Past President)
- Zack Singer (Past President)
- Karen Altman, CIA (2022)
- Darrell Cook, CIA (2022)
- Gloria Gibbon, CIA, CFSA, CRMA (2022)
- James P. Gorman, CIA (Life)

- Val McDaniel CIA, CFSA, CRP, CFE (Life)
- Sarah Pickering (2023)
- Terri Suchewski CIA, CPA, CISA, CBM (2023)
- Lynne Wadsworth, CIA, CFSA, CRMA (2022)
- Lynn K. Wilber, CIA, CISA, FMLI (2021)
- Robert J. Wilson, CIA, CFE (Life)
- Daniel Zeppetello, CBA, CPA, CGMA, CRMA (2021)

### Committee Chairs

- **Academic Relations (Le Moyne)**
  Lynn Frye, CIA, CPA  
  lfrye@fmschools.org 315.692.1230
  Brittany Law  
  Brittnay.Law@ey.com 315.423.2268

- **Academic Relations (Utica College)**
  John Sheaffer  
  John.sheaffer@nbtbank.com 607.337.6553

- **Audit**
  John Sheaffer  
  John.sheaffer@nbtbank.com 607.337.6553

- **Budget**
  Mary Rand, AMLP, CIA, CFSA, CBM  
  Mary.Rand@dcaa.mil 571.448.3947

- **CAP Reporting**
  Daniel Zeppetello, CBA, CPA, CGMA, CRMA  
  daniel.zeppetello@nationalgrid.com 315.428.6302
  Suzanne Isgro  
  sisgro@srcinc.com 315.883.4352

- **Certification Program**
  Darrell Cook, CIA  
  darrell.cook@uticanational.com 315.734.2637

- **Directory**
  Sarah Pickering  
  sarah.pickering@mygenbank.com 315.568.1156
  Celeste Uvanni  
  celesteu@americu.org 315.356.3318

- **Historian**
  Lynn Frye, CIA, CPA  
  lfrye@fmschools.org 315.692.1230

- **Hospitality, Meeting, and Attendance**
  Sarah Pickering  
  sarah.pickering@mygenbank.com 315.568.1156

- **Membership & Admissions**
  Karen Altman, CIA  
  karen.altman@axa-equitable.com

- **Newsletter**
  Suzanne Isgro  
  sisgro@srcinc.com 315.883.4352
  Lynn K. Wilber, CIA, CISA, FMLI  
  lwilber@cfglife.com 315.471.5656 x7498

- **Nominating**
  Suzanne Isgro  
  sisgro@srcinc.com 315.883.4352

- **Program and Seminar**
  John Sheaffer  
  John.sheaffer@nbtbank.com 607.337.6553

- **Publicity and Public Relations**
  Darrell Cook, CIA  
  darrell.cook@uticanational.com 315.734.2637

- **Research Foundation**
  Daniel Zeppetello, CBA, CPA, CGMA, CRMA  
  daniel.zeppetello@nationalgrid.com 315.428.6302

- **Strategic Planning**
  Gloria Gibbon, CIA, CFSA, CRMA  
  ggibbon@roadrunner.com

- **Website**
  Terri L. Suchewski, CIA, CPA, CISA, CBM  
  suchewt@lemoyne.edu