Beyond Software: Implementing Data-Driven Continuous Assurance

In this presentation you will learn how to:

- Develop a high-level plan for implementing a data-driven continuous assurance program
- Engage with management and the board to ensure success of your data analytics program
- Develop a user friendly, client-oriented program of continuous assurance while maintaining objectivity and independence

You will also learn leading practices and key pitfalls to implementing a continuous assurance program.

December Speaker Bios

Curtis V. Josey, Jr., Data Analytics Manager at Cornell University, is a skilled Administrative Operations and Information Technology (IT) professional with proven experience in Continuous Assurance, Data Analytics, Human Computer Interaction, Software Development, and Project Management. He joined the University Audit Office in October 2015 after nearly 20 years working in IT. He holds a Master of Engineering in Computer Science from Cornell University and is an ACL Certified Data Analyst, a Certified Information Systems Auditor, and a Microsoft Certified Professional. Curtis is a 2018 ACL Impact Award winner and co-leader of the ACL Central New York (CNY) User Group and a member of the CNY Tableau User Group. He has developed and presented CPE trainings on Continuous Assurance, Data Analytics, Data Visualization, and IT Risk Assurance.

Mark A. Perry, is a seasoned governance, risk assurance, and compliance professional who currently serves as the Audit Director for Cornell University’s Ithaca, NY campus, covering 14 colleges and schools with over $2 billion in total revenue. Mark worked for more than 10 years at Deloitte, including as Senior Manager in the financial statement and internal control audit practice and Lead Content Developer in DeloitteLearning. He is a CPA and CFE with a joint MBA-MSA degree from Northeastern University’s Graduate School of Professional Accounting. Mark regularly presents to diverse audiences including the IIA’s GAM conference, the EACUBO-Cornell Administrative Management Institute, and the Cornell SC Johnson College of Business. He has developed and presented CPE trainings on many topics including data analytics and continuous assurance, the COSO Framework, Enterprise Risk Management, Uniform Guidance, new accounting and auditing standards, fraud, and ethics.
Student Awards Presented at the 8th Annual Economic Crime and Cybersecurity Seminar

The 8th Annual Economic Crime and Cybersecurity Seminar took place on October 30, 2019 at Utica College. Student awards were presented to recognize outstanding achievement in Accounting, Fraud and Financial Crime Investigation, Cybersecurity, and Criminal Justice. Each of the students received a $100 award, Academic Certificate of Achievement, and Sally Cutler's book on audit report writing.

Katherine Thompson receives the Student Award in Fraud and Financial Crime Investigation from Dr. Donald Rebovich.

Kyle Engelhart receives the Student Award in Accounting from Dr. Glen Hansen.

Kyle Hainsworth receives the Student Award in Cybersecurity from Prof. Leslie Corbo.

Ranjeet Kaur receives the Student Award in Criminal Justice from Dr. Donald Rebovich.

Katherine Thompson receives the Student Award in Fraud and Financial Crime Investigation from Dr. Donald Rebovich.
Kudos for CAP

The Chapter Achievement Program (CAP) is The IIA’s way of recognizing excellence at the chapter level. Help our Chapter to maintain the RUBY status we achieved in the 2018 – 2019 Chapter Year.

New Ways to Become a CAP Superstar

With the new CAP 2.0 categories of Professionalism, Volunteerism, and Leadership Development, we will remind you on a regular basis of the ways you, as a member of our Chapter, can become a CAP Superstar this Chapter Year:

- **Existing**
  - Conduct a non-fee based, internal audit related presentation or training session inside or outside North America
  - View/completed Chapter Leadership Training Videos

- **New**
  - Publish IIA events or proclamations in a company newsletter or website
  - Be nominated (Chapter Board approved) to be on an IIA Committee
  - Be appointed to an IIA Committee
  - Host an internal audit awareness event (i.e., Lunch & Learn) at work
  - Meet with a legislator or local politician to discuss The IIA, legislation, etc.
  - Participate in a Junior Achievement Program
  - Attend a seminar and use a designated source code when registering
  - Participate (unpaid) on an IIA or non-IIA-sponsored Quality Review team
  - Recruit a Chief Audit Executive to join the Audit Executive Center (AEC)
  - Submit thought leadership to the AEC Knowledge Library
  - As a team of Chapter members:
    - Hold a group exam writing strategy meeting
    - Write exam questions for IIA Certifications (CIA/CFSA/CRMA/CGAP/CCSA)
  - Have an article published in the Internal Auditor magazine or other professional journal

- Volunteer to assist in Chapter events, on Chapter Committees, or otherwise lend your time to the internal audit profession
- Attend a District Workshop
- Attend Leadership Academy

As we identify more opportunities to be a CAP superstar, we will note them in The Dispatch.

If you have done any of the above, send the details to Dan Zeppetello, CAP Committee Chair, at daniel.zeppetello@nationalgrid.com.

Taking the CIA Exam? The IIA Can Help You Prepare to Pass

Planning to take the CIA exam? The following exam review materials and methods recommended by IIA Learning arm you with critical tools and knowledge to earn advanced certifications and broaden your auditing acumen.

Take advantage of live, instructor-led comprehensive study options, either in-person or online, to discuss challenging topics related to the CIA exam with subject matter experts and peers through the CIA Learning System.

The IIA is offering the following upcoming sessions:

- **Part 1:**
  - In-person: February 18 – 19, 2020
  - Online: January 6 - 17, 2020

- **Part 2:**
  - In-person: February 20 – 21, 2020
  - Online: December 2 - 13, 2019

- **Part 3:**
  - In-person: February 25 – 26, 2020
  - Online: March 30 – April 10, 2020

Space is limited! Enroll now:

[https://na.theiia.org/training/Pages/Exam-Review.aspx](https://na.theiia.org/training/Pages/Exam-Review.aspx)
Qualification in Internal Audit Leadership (QIAL)

Today, growth and change in the internal auditing field is demanding a new type of leader — one who drives a high-performing audit team while delivering value by consistently addressing stakeholder needs, top-down risks, and expectations of an evolving marketplace. The IIA has developed the Qualification in Internal Audit Leadership (QIAL) to support members who undertake this journey.

The QIAL program focuses on internal audit leadership skills, organizational abilities, ethics, and innovation and change. QIAL-qualification skills are evaluated in a challenging three-step process:

- Candidates must critically analyze complex information in three separate case studies and produce written responses for each providing insight for a senior-level audience.
- They must prepare and present to a senior-level panel, followed by a rigorous question-and-answer session.
- The final step is a 90-minute interview that focuses on personal and professional experience.

For more information, visit here.

IIA Upcoming Webinars

Visit The IIA's main Website (theiia.org) for information on these webinars.

- 12-November-2019
  Members-only Webinar: Blockchain Technology: What Internal Auditors Should Know

- 09-December-2019
  EHSAC Webinar: Regulatory Roll-backs at the EPA

- 17-December-2019

On-demand 24/7 webinar playback is also available for members only, with access to The IIA’s extensive library of archived webinars. Note that on-demand webinar playback does not qualify for NASBA CPEs.

Student Memberships Offered at a New Lower Rate

In an effort to further support the future of internal audit, the IIA has lowered the student membership rate to just $40 from the original $70.

Spread the word. Some students may not have considered a career in internal auditing, or even know what it is. But if you or a friend is looking for a real opportunity, consider this:

- Risk, fraud, and organizational effectiveness are just a few of the areas internal auditors get involved in.
- Employers are actively seeking out students with exposure to internal auditing.
- Advancement opportunities are truly limitless in this growing profession.
- Work-life balance, higher starting salaries, and travel opportunities are just a few of the possible perks.

Joining The IIA helps you access this world of opportunity as you start building a network of relationships and a base of knowledge that can help you build a solid future. For less money than you might spend on a night out, you can connect with an organization full of future employers and an arsenal of unparalleled career information.

Click on this link for more information: https://na.theiia.org/membership/Pages/Individual-Membership.aspx.

Like “CNY Institute of Internal Auditors” on Facebook. Check back regularly for exciting IIA sponsored events and Chapter news!
Directions: December 3 Chapter Meeting – Dig Safely New York, Inc.

From the North
- From Route 81 South, take exit 29S to merge onto I-481 S toward Dewitt.
- Proceed for 4.9 miles.
- Take exit 7 for NY-298 toward Bridgeport.
- Turn right onto NY-298 W/Bridgeport Rd.
- Dig Safely New York will be on the left.

From the West
- From the New York State Thruway I-90 E take exit 35 toward NY-298/E Syracuse/Syracuse.
- At the traffic circle, take the 4th exit onto NY-298 E.
- Proceed on NY-298 E for 2.7 miles.
- Dig Safely New York will be on the right.

From the South
- From Route 81 North, take exit 16A for I-481 N toward Dewitt.
- Proceed on I-481 N for 10.1 miles.
- Take exit 7 toward NY-298 W.
- Turn right onto NY-298 W.
- Dig Safely New York will be on the left.

From the East
- From the New York State Thruway I-90 W take exit 34A to merge onto I-481 N toward Oswego.
- Proceed on I-481 N for 1.4 miles.
- Take exit 7 toward NY-298 W.
- Turn right onto NY-298 W.
- Dig Safely New York will be on the left.
Job Postings (Published for Chapter members at no charge. Posting is as supplied by the member.)

**Columbian Financial Group: Second Vice President, Internal Audit**

**Position Summary:**
Develops, designs, and administers internal audit policy. Partners with business units to review, analyze, develop, and implement process improvement changes. Oversees and conducts audits to assess the effectiveness of controls, accuracy of financial records, and efficiency of company operations.

**Essential Duties & Responsibilities:**
1. Develops a vision for the internal audit function that includes risk analysis and identification of the key roles of the Internal Audit Department while building partnerships within the various departments to improve process effectiveness and efficiencies.
2. Reviews controls and procedures to identify potential weaknesses. Analyzes data to identify deficiencies, duplication, or lack of compliance and makes recommendations to improve and streamline efforts.
3. Recommends internal audit policy. Priorities are set by the Audit Committee of the Board of Directors (Audit Committee) and presents reports documenting the procedures and findings to this committee. Build rapport with members of Audit Committee and provide answers to audit report questions from the Audit Committee.
4. Provides information and educates senior management on industry best practices with regard to procedures, controls, system security, cash management, fraud prevention, etc. Forms alliances with the business units and serves as an advisor within the company to the business units to implement and optimize change.
5. Examines and assesses department activities for compliance with policies and procedures, privacy safeguards, security for all data systems, and regulatory compliance. Reviews controls at multiple locations.
6. Supports due diligence initiatives and integration of new lines of business/companies in merger activities.
7. Reduces outside audit fees by identifying and supporting tasks currently being completed by outside auditors.

**Critical Qualifications:**
- Bachelor’s degree in Accounting or Finance.
- CPA highly preferred. Or, CPA in progress with anticipated completion within two (2) years.
- Minimum of five (5) years combined audit/life insurance industry experience, preferably some experience in internal audit.
- Excellent verbal and written communication skills.
- Strong interpersonal skills.
- Well networked within the life insurance/financial services industry.

**How to Apply:**
If interested, please contact Mary Lynn Brown at marylynn.brown@cfglife.com.

EOE/Drug Free Workplace

Please add Chapter58@iiachapters.org to your contacts to ensure you receive future emails from the Central NY IIA!
# The Central New York Chapter is on the Web at [http://chapters.theiia.org/central-new-york](http://chapters.theiia.org/central-new-york)

## 2019 - 2020 Officers

<table>
<thead>
<tr>
<th>Position</th>
<th>Name</th>
<th>Email</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
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</tr>
</tbody>
</table>

## Governors (terms)

- Val McDaniel CIA, CFSA, CRP, CFE (Life)
- Mary Rand, AMLP, CIA, CFSA, CBM (2020)
- John Sheaffer (2019)
- Lynne Wadsworth, CIA, CFSA, CRMA (2019)
- Lynn K. Wilber, CIA, CISA, FMLI (2019)
- Robert J. Wilson, CIA, CFE (Life)
- Daniel Zeppetello, CBA, CPA, CGMA, CRMA (2021)

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