Annual Conference
Friday, April 19, 2019 – Melville Marriott
8:30 a.m. – 5:00 p.m.
(8 CPE/CPD Credits)

Event Summary

Prior to the start of our annual conference, we will hold our election promptly at 8:30 for the 2019-2020 Officers and Board of Governors for the 2019-2020 Chapter Year. The slate of officers and Chapter By-laws were sent out in early April.

Our annual conference will include a variety of topics sure to interest all of our attendees. We will kick it off with an update of the Long Island economy. We will then cover a hot topic of in our industry of auditing culture and end the morning with a session on Operational Auditing. Our afternoon will include a session on keeping compliant and best practices pertaining to Harassment in the Workplace which is relevant to all Organizations. We will then have a session on Anti-Money Laundering which has been a highly requested topic from our members. Our conference will end with an inspirational presentation from Justin Jones-Fosu who is a highly sought-after business speaker and author of “Your WHY Matters NOW”.

Please note that we will be holding a social cocktail hour immediately following the conference downstairs in the Library of the Great Room. We will be doing a raffle for an Apple Watch so we hope you can make it!
8:45 AM – 9:45 AM: Update on the Long Island Economy: John Rizzo, Chief Economist, Long Island Association

John will be presenting the current economic conditions on Long Island and the outlook for the future.

John Rizzo Professor Rizzo is a Professor of Health Economics and Chief Economist at the Long Island Association. His research interests include applied economic studies of health care markets and the application of appropriate statistical methods to clinical outcomes research. As Chief Economist at the LIA, he also monitors the Long Island economy, preparing monthly economic reports and conducting additional research studies on various aspects of Long Island’s economy.

9:45 AM – 10:00 AM: Break

10:00 AM – 11:00 AM: Auditing Culture, Scott Mortiz, Protiviti

Ethical culture and efforts to measure it are at the top of many board and audit committee agendas of late, and rightly so. A number of corporate scandals have played out on the front pages in the past year that have raised the discourse around ethical culture to new heights.

Measuring ethical culture may be a confusing concept since culture isn’t an object one can easily quantify. That said, there are characteristics, behaviors and impressions that can be examined to determine whether a company is on the right path or whether it has institutionalized bad behavior that, left unchecked, can lead to ethical failures down the road.

By delving into areas such as employee awareness of an ethics and compliance program, how those programs are perceived, prior examples of what has happened when someone observed problematic behavior and reported it, and whether incentive compensation and other pressures affect how often ethical missteps are committed or reported, companies can gain useful data for examination and help surface problem areas before they result in major issues for the company.

Other aspects of ethical culture that can also be measured and examined include whether management promotes ethical behavior by communicating and reinforcing ethical behaviors and whether management applies consistent forms of discipline to breaches of the code of conduct. Some commercially available ethical culture surveys include in the results not only how well respondents scored, but how they compare to employees at other companies.

This presentation will explore ethical culture and efforts to measure and audit it.
Scott Moritz is the Global Leader of Protiviti Forensic overseeing all event-driven white-collar crime, misconduct and bribery investigations across Protiviti’s 27 country footprint; anti-corruption (FCPA, UKBA etc.) advisory, auditing and program remediation and fraud risk management advisory services. As the global leader of Protiviti Forensic, Mr. Moritz assists clients in managing their response to "bet the company" event-driven financial crime, misconduct and bribery investigations which entail working with company leadership, the audit committee, outside auditors, legal counsel and the law enforcement and regulatory agencies with whom the results of the investigation will eventually be shared. He also has extensive experience in assisting companies to pursue avenues of recovery through asset searches and the preparation of D&O and Fidelity insurance claims. Prior to his having joined the private sector 23 years ago, he served as a FBI Special Agent in Memphis, TN and New York City for nearly 10 years investigating white collar crime, corruption, organized crime and money laundering.

11:00 PM – 12:00 PM: Data Governance and How Does it Apply to BSA/AML and Sanctions, Sweta Acharya and Manish Kumar, ACA Telavance

There is increased focus to effective data management in recent years due to the growing reliance on data to manage and optimize operations, mitigate risk and support development of new products and services. This requires robust data governance framework which involves policy and procedures, system and technology and people. Compliance departments, particularly BSA/AML and Sanctions are the end users of the data and due to evolving regulatory expectations and requirements they need to ensure a good definition, ownership and monitoring of key data assets. Our presentation will cover the definition of data governance and the different elements involved. We will also cover in detail the data validation process and briefly discuss about data lineage.

Sweta Acharya is a Director at ACA Telavance and has 13 years of experience in regulatory compliance. Sweta has experience working with the leading AML products. Along with strong implementation experience of compliance systems, she has also led large scale engagements in Model validation and System Testing including project planning and management, creation of Business Requirements Documents for AML transaction monitoring and customer risk models. Sweta is a recognized expert on the Actimize financial crimes software platform, in addition to other industry leading compliance software.

Manish Kumar is an Actimize Product Expert at ACA Telavance. Manish has experience in implementing Actimize SAM, CDD and WLF solutions across multiple clients. Manish has written SIT and UAT test cases, done the Model Validation, configurations and performed Systems Integration testing (SIT) for CDD, RCM and SAM modules. Apart from Actimize, Manish has also done model validation for other products (FCRM and Oceans Systems).
12:00 AM – 1:00 PM: Lunch

1:00 PM – 2:00 PM: #TimesUp on Harassment in the Workplace: A Risk Manager’s Guide to Prevention and Resolution of Sexual Harassment Claims, Anna Shields, Principal, Jackson Lewis

A detailed discussion of New York State’s legislative efforts to eliminate workplace harassment and the obligations of employers from a compliance and best practices perspective. This program will provide an overview of policy and training requirements, the proper processing and investigation of complaints, related record keeping requirements, the impact of potential settlement on employers, and other important topics relevant to your role as risk manager.

Anna Shields is a Principal in the Long Island office of Jackson Lewis P.C. and is the co-chair of SHRM-LI’s Professional Development Committee. Ana has been recognized by Best Lawyers and Super Lawyers as a Top Rated Employment Litigation Attorney. She was named as a New York Metro Area “Rising Star” in Employment Litigation: Defense. She also was named to Long Island Business News Top 40 Under 40.

Ana is a graduate of Harvard University (A.B., cum laude, 2000), and St. John’s University School of Law (J.D. 2003), where she was a published member of the New York International Law Review. Ana was the recipient of the 2003 American Bar Association/Bureau of National Affairs Award for Excellence in Labor and Employment Law and received CALI Awards for Excellence in Employment Law, Advanced Labor Law, and Jurisprudence. Ana is admitted to practice in New York, the United States Court of Appeals for the Second Circuit, and the United States District Courts for the Southern and Eastern Districts of New York.

2:00 PM – 2:15 PM: Break

2:15 AM – 3:15 PM: Operational Audits, Robert McNair, Brookhaven National Lab

“Together we will discover what operational audits encompass; from the simple to the complex; related topics on: safety & health; environment; infrastructure and nuclear operations. Some are compliance oriented while others are tied to effectiveness, efficiency and economy of operation. We will discuss the Integrated audit process; required training, use of subject matter experts, and protective personal equipment to ensure auditors are safe.”

Robert McNair is the Manager of Operational Audits at Brookhaven National Laboratory, where he performs integrated audits (finance, safety & health, operations, environment), and was responsible for leading the multi-year Operational Readiness Review of the newly
constructed National Synchrotron Light Source in 2013. He originally joined BNL in 1989 as a Reactor Supervisor and was promoted to Program Development & Evaluation Group Leader as well as Project Manager for Environmental Restoration as part of the organization’s nuclear reactor program. Prior to that, he held Nuclear Engineering roles at both the Shoreham and Oyster Creek Nuclear Power Stations.

Robert received his B.S. in Nuclear Science from SUNY Maritime College, an MBA from Monmouth College, and M.S. degrees in Environmental Technology and Education from the New York Institute of Technology. He has an EMS 14000 Lead Auditor Certificate.

His professional affiliations include: The Institute of Internal Auditors, Long Island Chapter (served as President 2014-2015) the American Nuclear Society and the Long Island American Nuclear Society (served as President 1993-1994). In 1994 he served as the General Chair for the International Conference on Reactor Operations.

**3:15 PM – 4:45 PM: Your Why Matters Now, Justin Jones-Fosu**

Did you know that BOTH the why of what you do AND the now of what you do matter to achieve meaningful success? What would it look like for you to be more focused, motivated, and committed at home, work, and in your community? Justin is ready to inspire you toward that reachable reality, and to keep you effectively engaged at the same time!

In this inspiring and personal keynote, Justin will challenge you to identify or reconnect with your why (purpose) and to live it out now (passion) in order to achieve meaningful success. Too much focus on the “why” can lead to being stymied by indecision leading to little or no action. Too much focus on the “now” can lead to increasing impulsivity and bad decisions. Learn how a clarifying blend of both the “why” and the “now” can help you to become a more engaged employee, impactful leader, and ultimately a thoughtful global citizen.

**Justin Jones-Fosu, MBA, CSP** is a full-time husband and daddy who also happens to be a highly sought after business speaker, award-winning entrepreneur, and business consultant. He speaks 70-80 times per year to companies, organizations, and associations in the US and Internationally. He is passionate about helping organizations and individuals take action to achieve amazing results. His latest book “Your WHY Matters NOW: How Some Achieve More and Others Don’t” launched in early 2019. If you only remember a few things about Justin, it’s that he is madly in love with his wife and loves being a daddy! He believes that these are more important than any accomplishments, recognition, or accolades.
Full-Day Program

Check-in and breakfast begin at 8:00 a.m. Program begins at 8:30 a.m. Lunch will be served at approximately 12:15 PM. Dress is business casual.

How to Register:
Please use the following online registration link: [http://www.cvent.com/d/t6qc99/4W](http://www.cvent.com/d/t6qc99/4W)

If you are having trouble with the link, notify Carolyn Leahy at Carolyn.Leahy@nationalgrid.com. Cancellations must be made at least 24 hours prior to the event by contacting Lauren Agunzo at LIIIA@nsllpcpa.com or by phone @ (631)756-9500.

For Making Payments Offline:
You should register online (see above) and in the payment section, select “check” or other. If not registering online, please contact us at LIIIA@nsllpcpa.com or call Lauren Agunzo at 631.756.9500 x 229 at least 24 hours before to reserve your seat. Then complete and enclose this registration form, along with your check made payable to the IIA Long Island Chapter, and mail to: Institute of Internal Auditors LI, P.O. Box 442, Smithtown, New York 11787 or bring it the day of the seminar.

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Company Name: ________________________________

Address: ______________________________________

Phone Number: ________________________________

E-Mail Address: ________________________________
Directions to the Melville Marriott:

From New York City: Take the Long Island Expressway (Route 495) to Exit 49 South. Take the ramp (right) onto the South Service Road. Turn left (North) onto Old Walt Whitman Road (Walt Whitman Road).

From Eastern LI: Take the Long Island Expressway (Route 495) to Exit 49 North. Take the ramp (right) onto the North Service Road. Turn right (North) onto Old Walt Whitman Road (Walt Whitman Road).

In case of weather emergency, the Melville Marriott phone number is (631) 423-1600.