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NEXT CONFERENCE

March 13th 2020
2 Track Conference
Hosted in separate conference rooms running in parallel – 8 CPE’s each Track!
Register here!!! : https://www.eiseverywhere.com/529974

IT Track - 8 CPE’s
Tom Salzman - MISTI

TOPICS to COVER
- Best Practices
- Database Technology
- Network Security
- Application Controls
- Patch Management
- Wireless Security
- Encryption
- Cloud
- SSAE-18, SOC1, SOC2, SOC3
- Relationship monitoring
- Etc...

BANKING Track - 8 CPE’s
Various Speakers

TOPICS to COVER
- Model Risk Management
- Conduct & Culture
- Cyber Resiliency
- Top 10 Areas of Focus
- Data Governance
- Compliance Agility
- Retail Payment Management
- Business Continuity Planning
- Regulatory Update
- FFIEC Guidelines
- Panel discussion
- Elder Financial Exploitation
- Marijuana vs. Hemp Banking,
- Community Reinvestment Act
- Hear from the OCC!
- Etc...

UPCOMING CONFERENCES – Annual Conference April 17th 2020
We kicked off the New Year with our **Annual Fraud Conference**. The International Professional Practices Framework outlines specific standards that address fraud and the internal auditor’s role in detecting, preventing, and monitoring fraud risks and addressing those risks in audits and investigations. One such standard requires internal auditors to have sufficient knowledge to evaluate the risk of fraud and the manner in which it is managed by the organization. This conference was meant as a way to increase our proficiency in our understanding of fraud risks. My hope is that you take this knowledge and apply it practically to your audit plans, risk assessments, and engagements. I would like to thank all of our speakers for sharing your insights and to our attendees for their active participation.

In the past, the March conference has traditionally been our Annual IT Conference. However, we want to make sure we are always tailoring the learning experience to bring our members what is most relevant to them. We listened to your feedback and this year we will be rolling out an all new **Two Track Conference**! Keep an eye out for the conference registration e-mail (and see the link located below) and when registering make sure to choose which track you would like to attend.

A-TEN-HUT! The first track will be our **IT Audit Boot Camp**. Tom Salzman from MISTI will be our sergeant to guide us through a wide variety of topics. This course is designed to sharpen your IT audit skills in the areas of planning, governance, internal controls, audit documentation, and the creation of audit programs. This course is great for the experienced IT Auditor and the Non-IT Auditor – so you can demystify, understand, and speak the language of IT Audit!

The second track will be a targeted training for our members that work in the banking industry. Our first ever **Banking Boot Camp** will drill down on some key topics impacting the industry. You’ll hear from various speakers covering industry specific topics in the area of regulation, model risk management, FFIEC topics, top 10 areas of focus, panel discussions, conduct & culture, and much more! I am very excited for this conference - - there really should be something for everyone!

After the March Two Track Conference, we will move to our final conference of the chapter year – The Annual Conference. The conference is starting to come together and I am sure that we will end the chapter year on a strong note. Our keynote speaker, Jay Gubrud is sure to inspire and motivate, you won’t want to miss it. We will have more information and an agenda in next month’s newsletter.

All of our programs are held on Fridays at the Marriott located in Melville, New York. We look forward to seeing you all at these upcoming conferences. Should you have any questions, please do not hesitate to reach me at our Chapter email address; [Chapter241@IIAchapters.org](mailto:Chapter241@IIAchapters.org).

Kind regards,

**J. Speed**

Jeffrey A. Speed, CPA, CISA  
IIA President, Long Island Chapter 2019/2020
Our February conference was all about fraud. We had a great turnout at the conference which shows our members understand the importance of this area. As internal auditors, understanding the risk of fraud is a topic that is central to our planning and risk assessment process and should be embedded in everything we do.

Our keynote speaker was Suffolk County Executive, Steve Bellone. Steve Bellone has been the Suffolk Country Executive for over eight years, but has been in some form of local politics for nearly two decades. Steve spoke in depth about his time as both the Town of Babylon Supervisor and the Suffolk County Executive. A key message throughout Steve’s presentation was the utilization of data analytics to identify more efficient and cost effective ways to operate government. He explained how data analytics can be a very powerful tool to identify potential fraud, waste, and abuse to help improve operations in the county government.

The next speaker was one of our very own, Board of Governor member, Ernie Smith. Ernie walked us through a history of some of the most prominent fraud cases in our nation’s history. Cases such as Enron, Worldcom, Crazy Eddie, and Madoff Investment Securities. Ernie explained how these frauds were perpetrated, the impact they had, and current updates on the fraudsters involved.

The final speaker of the day was William Nealon, a senior consultant for the MIS Training Institute. William’s presentation was all about integrating fraud detection into your audit program. William stressed the importance of identification of fraud risks being one of the first steps in effectively embedding a fraud-risk mindset into the audit planning process. He took a deep dive into understanding the four step fraud risk structure – scenario (offender and victim), primary category, secondary classification, and inherent scheme. He also covered a wide range of potential fraud risks categories like asset misappropriation, corruption/extortion, financial reporting, and expense avoidance, just to name a few. William only scratched the surface on the potential scenarios that could arise. It’s on us as internal auditors to be professionally skeptical and use these tools to understand where the specific fraud risks are.
**Agenda:** (subject to change)

### IT TRACK AGENDA (8 CPE’s):

- **8:00am** – light breakfast served
- **8:30am** – (10min) Opening Remarks (Jeff Speed – Chapter President)
- **8:40am** – (1hr) MISTI | Planning IT Audits, Risk Assessments, Frameworks, Best Practices
- **9:40am** – (30min) MISTI | IT Governance General Controls  
  - (change, logical/access mgmt., ops controls, etc. – risks and controls)
- **10:10am** – (30 min) MISTI | Business Application Controls
- **10:40am** – Break
- **11:00am** – (45min) MISTI | Database (Technology & Controls & Concepts)  
  - (version controls, patch mgmt., wireless, encryption)
- **11:45am** – (45min) MISTI | Network (Risk, Controls, Security, Technologies, & Concepts)
- **12:30** (60min) – Lunch
- **1:30pm** – (45min) MISTI | Cloud  
  - (what is cloud, providers, why use, concerns, attacks, public/private/hybrid, securely, hacking, non-security cloud issues, future of cloud, etc...)
- **2:15pm** – (45 min) MISTI | More Cloud!  
  - (Now what? Outsourcing risks, contractual agreements, right to audit, SSAE-18, SOC 1,2,3, relationship monitoring, etc...)
- **3:00pm** – (30 min) MISTI | BCP – Business Continuity Planning
- **3:30pm** (15 min) – Break
- **3:45pm** – (30 min) MISTI | Documentation, Policies, Procedures
- **4:15pm** – (45min) MISTI | IT Audit Programs (discussion of some example audit programs provided)
- **5:00** – End

### BANKING TRACK AGENDA (8 CPE’s):

- **8:00am** – light breakfast served
- **8:30am** – 5 min - Opening Remarks (Jeff Speed – Chapter President)
- **8:35am** – 45min - NYCB & Ernst & Young | Model Risk Management
- **9:20am** – 40min - Dime Bank & Ernst & Young | Conduct & Culture
- **10:00pm** – 40 min - Ernst & Young | Cyber Resiliency (banking industry related)
- **10:40am** (20 min) – Break
- **11:00am** – 30 min - KPMG | Top 10 Areas of Focus with focus on Data Governance & Compliance Applications
- **11:30am** – 20min – KPMG | FFIEC – Retail Payment Management
- **11:50am** – 20min – KPMG | FFIEC – BCP – Business Continuity Planning
- **12:10am** – 20min – KPMG | FFIEC – Supervision of Technology Service Providers (TSP)
- **12:30** (60min) – Lunch
- **1:30pm** – 1 hr-1:15hr – First Bank of LI & Buckram Consulting & Others | Panel discussion
- **2:30pm** – 45min-1hr – First Bank of LI | Regulatory Update  
  - Elder Financial Exploitation Trends, Marijuana vs. Hemp Banking, Community Reinvestment Act (CRA) Updates, Data Security
- **3:30pm** (15 min) – Break
- **3:45pm** – 1 hr - Jason Almonte | Hear from an OCC Regulator! (Office of the Comptroller of Currency)
- **5:00** – End
**BANKING TRACK: SPEAKERS**

### Biography

**Jessica Rogers, Partner Ernst & Young**

Jessica is a Partner in the Process and Controls Advisory Services practice of Ernst & Young LLP Financial Services Office and is part of the Controls and Testing Transformation leadership team. Most recently she has been focusing on serving Payments, Fintech and Banking and Capital Markets Institutions from a risk and control perspective.

Prior to her Partner role, she was in a leadership role as VP and Portfolio General Auditor of the Internal Audit Risk, Compliance, and Banking teams for American Express. She was responsible for all aspects of leading and managing the teams, including planning, oversight of the respective plans and integrated audit execution, managing relationships with key stakeholders, including various regulatory agencies, presenting to executive committees, and providing subject matter expertise across the global Internal Audit department.

Prior to American Express, she was at Ernst & Young in a Sr. Manager Role. Jessica also held an AVP role at Delta Financial Corporation where she established and managed the entire Internal Audit department, including Information Technology Audit in accordance with the Institute of Internal Auditors’ standards, created an in-depth risk-based audit framework and methodology.

Jessica holds her Bachelors of Business Administration in Accounting from Hofstra University, is a Certified Anti-Money Laundering Specialist, Certified Internal Auditor (CIA), and a NY Certified Public Accountant (CPA).

**Chris M Imperatrice, Senior Manager, Ernst & Young**

Chris has been with Ernst & Young for 15 years and is currently in the Process and Controls Advisory Services practice of Ernst & Young LLP Financial Services Office. Currently, Chris is serving Fintech and Banking and Capital Markets Institutions, and Community banks from a risk and control perspective.

Prior to Ernst & Young, Chris was a senior accountant at Deutsche Bank Securities. Chris graduated from Montclair State University with a BS in Accounting. Chris is a Certified Fraud Examiner (CFE).

**Michael Birjah, Manager, Ernst & Young – FSO Cyber Risk Team**

Michael Birjah is a manager in the technology risk practice of EY, focusing specifically on cyber and cloud risk. He has been at Ernst & Young for over 5 years, servicing major clients in the Financial Services Industry, including banking and capital markets, broker dealers, wealth and asset management, and insurance sectors. Michael has managed multiple cyber and cloud security assessments, and internal audits for some of the largest public and private financial institutions globally.

He performed risk, control and maturity assessments, and designed control testing strategies across critical security and cloud domains. Michael has also managed multiple control and maturity assessments, and audit alignment based on industry and regulatory frameworks. Michael has also managed multiple end-to-end cybersecurity and cloud program assessments using EY’s proprietary assessment tools for some of the largest global financial institutions.

Michael graduated from New York University in 2014 with MS/BS in Accounting and BS in Information Systems.
Janet Shand, Senior VP, Model Risk Management Manager, NYCB

Janet Shand serves as Senior Vice President and Head of Model Risk Management at New York Community Bank (NYCB), having total assets of $53 billion, where she has worked for over twenty years in increasingly responsible positions in Model Risk and Enterprise Risk Management, Sarbanes-Oxley compliance, and regulatory reporting. Currently, Ms. Shand manages the day-to-day implementation of the MRM Policy and Framework, including oversight of Model Governance and Model Validation. She chairs the Model Risk Committee and is the point person for regulatory exams and internal and external audits.

Prior to heading MRM, Ms. Shand managed ERM Governance wherein she developed processes for risk identification, including business owner Risk and Control Self Assessments (RCSAs); key risk indicators (KRIs) and a related ERM Dashboard for risk monitoring; and a process for escalation and reporting.

Over time, Ms. Shand evolved NYCB’s ERM Program to include a common risk language for use throughout the organization; alignment of the Strategic Plan, Risk Appetite Statement, budget, and stress testing processes; a quantitative and qualitative approach to risk aggregation; and integration of risk with performance management to enable an integrative and holistic approach to risk management.

Prior to joining NYCB, Ms. Shand served in the assurance practice at KPMG, LLP for financial services clients. She is also a C.P.A. and Certified Basel iii professional. She holds a Bachelor of Science in Accounting from St. John’s University.

Robert (Bob) Mensing, SVP, Chief Audit Executive

Bob Mensing has several years of broad based internal and external auditing experience, currently as the SVP – Chief Audit Executive for Dime Community Bank in Brooklyn, New York. Prior to joining Dime, Bob was a New York-based Senior Manager in BDO USA, LLP’s Risk Advisory Financial Services practice. In this role Bob served as the NYC metro-area practice leader specializing in internal audit advisory services.

During his career, Bob has gained significant experience in building out internal audit departments (BNB) developing and implementing internal audit methodology and internal audit quality assurance programs (MUFG Union Bank, N.A. and North Fork Bank/Capital One Bank); performing quality assessments and benchmarking internal audit practices; developing risk management systems; and, developing and implementing internal control processes and procedures. Much of this experience was obtained during his tenure as a New York based Manager within Ernst and Young (EY) LLP’s Advisory Services practice, where he consulted with the internal audit departments for many of the most significant U.S. based financial services institutions.

Having started his career with KPMG’s Long Island office assurance practice as an external auditor with multiple specialties, Bob would move on to roles of corporate controller for two Long Island hospitals prior to establishing his career in financial services.

Bob graduated Cum Laude from Long Island University – C.W. Post College with a Bachelor of Science degree in Accounting. Bob is credentialed through The Institute of Internal Auditors (IIA) as a Certified Internal Auditor (CIA) with a Certification in Risk Management Assurance (CRMA); and, through the American Bankers Association (ABA) as a Certified Regulatory Compliance Manager (CRCM).
Michael J. Scarpa, Director KPMG

Michael is a Director in KPMG’s Regulatory Risk practice. During his tenure at KPMG, Michael has provided legal and regulatory information and analysis to clients and more senior staff at the firm while also working on Basel III/market risk gap testing, Federal Reserve Exam Readiness, Regulation W, and Corporate / Regulatory / Commercial Bank obligation drafting/policy mapping engagements. Michael has also worked extensively with the Project Management Office (PMO) for a global regulatory obligations drafting and policy mapping engagement with a Large US Bank. While working within the PMO, Michael served as a subject matter professional and workstream lead for the commercial banking and corporate and regulatory divisions. In his role as workstream lead, Michael assisted with the successful implementation of a large bank rules management process.

Prior to joining the firm, he was both regulatory and associate general counsel to an institutional broker-dealer and a regulatory analyst/consultant for financial institutions. He has a strong background in financial institution legal and regulatory concerns, specifically in regulatory obligation drafting and mapping to policies, asset liability management, interest rate risk management, liquidity risk management, examination and supervision, Regulation W, and Basel III.

During his tenure with the broker-dealer, Michael worked closely with a former national bank examiner from the Office of the Comptroller of the Currency (OCC) in assessing regulatory risk as well as the firm’s general counsel with regard to contractual drafting/interpretation issues that the firm faced in its loan sale/participation transactions.

Michale holds his JD from Hofstra University School of Law, BS, Cornell University, Economic Policy Analysis and Management, and is an Admitted Attorney in NY state and federal court (Eastern District)

William G. Canellis, Director KPMG

Bill is a Director in KPMG’s Financial Services Regulatory Advisory practice with over 27 years of management consulting and business experience, including seven years as a bank examiner with the Office of the Comptroller of the Currency (OCC). The primary focus of his work centers on assisting banking clients with issues or concerns related to regulatory-related matters or recommendations. Emphasis has been placed on providing added-value, advisory services for several high-profile clients to strengthen and improve the quality of their risk management practices, internal controls and/or safety and soundness profile.

Bill has broad experience in bank regulatory supervision including specialization in funds management, capital management, regulatory reporting, transactions with affiliates, asset quality for loan and investment portfolios, fiduciary activities, mutual funds, privacy and compliance.

Bill holds a MBA from Seton Hall University, a BA from Rutgers College / Rutgers University, is a Certified Information Privacy Professional, and a Certified Financial Services Auditor.

Janet Verneuille, EVP & Chief Risk Officer - First of Long Island Bank

Ms. Verneuille is a Certified Public Accountant currently serving as the Executive Vice President and Chief Risk Officer of The First National Bank of Long Island (Nasdaq: FLIC). Based in Glen Head NY, she joined the Bank in June 2019. In 2012, Janet has served as EVP & CFO of Empire National Bank

Janet devoted her most valuable banking years to being a senior financial executive and CFO. Her leadership roles include financial and tax reporting, budgeting, capital management, strategic and tactical planning, treasury, investment portfolio management, investor relations, human resources, loan administration, asset-liability, interest rate risk and liquidity management, municipal banking relationship manager, internal auditing and risk management.

Through her career, she worked in a branch operations role at European American Bank, public accounting, and worked in education & government roles. At a certain point of her career, she served as the Director of Business Operations and Treasurer of the Sag Harbor Union Free School District. She also served as the Comptroller of the Town of East Hampton assuming responsibility for the Town’s fiscal affairs. Janet has served as the EVP and CFO of Bridge Bancorp, Inc., a holding company for The Bridgehampton National Bank, in addition to a role as Director of Internal Audit, VP and Comptroller and promoted to SVP & SFO.
Ms. Verneuille completed postgraduate requirements for her New York State School District Business Leader administrative certificate, a Masters Degree in Social Policy at Empire State College as part of the State University of New York. In addition, Janet graduated from Hofstra University with a BBA- Public Accounting Degree. She also holds an Associate Degree in Applied Science Accounting from Suffolk Community College. Janet is a member of the AICPA. Janet was appointed to the Executive Board of the Suffolk Chapter of the Association of New York State Certified Public Accountants. She has also served as the Chapter’s Chairperson for the Members in Industry committee since June 2013.

Jane M. DeBuona

Jane has been the President of Buckram Consulting LLC since 2007. Buckram is an independent consulting firm specializing in providing consulting & internal audit services to community banks in the New York metropolitan area.

Prior to Buckram, Jane was the former Chief Audit Executive for North Fork Bank (15 years). In this capacity, she restructured the internal audit function and ultimately managed a staff of forty persons in five states. Implemented a scalable internal audit approach tailored to meet the Bank’s changing risk profile. Developed risk-based, comprehensive corporate audit plan for Financial, Information Technology, Compliance audit segments. She has extensive background in working with various regulatory agencies, including the Office of the Comptroller of the Currency, Federal Deposit Insurance Corporation, New York State Department of Financial Services and, Federal Reserve Bank of New York. Prior to North Fork, she was a former audit senior manager with KPMG LLP (10 years), specializing in financial services clients. Jane is a CPA and member of the AICPA and the Institute of Internal Auditors.

Tanweer S. Ansari, Esq., CAMS, CRCM, CFCS

Tan is Senior Vice President and Chief Compliance/BSA/CRA Officer of First National Bank of Long Island. He brings to his current position a broad base of experience in banking operations, compliance and the law.

Tan maintains many leadership roles that involve both banking issues as well as community issues:

- Chairman of the New York State Bar Association Banking Law Committee (2016-2019)
- Member of the Business Law Section Executive Committee
- American Bankers Association Regulatory Compliance Conference Advisory Board
- Adelphi University Robert B. Willumstad School of Business Advisory Board
- Vice President of the Long Island Banks Compliance Association.
- NYC Community Education District Council 26 Councilmember.

He regularly speaks and writes about banking regulatory issues and financial literacy at both local and national conference events.

Tan is also a 2018 Honoree for the Executive Circle Award sponsored by the Long Island Business News. The Executive Circle Awards celebrates C-suites, directors and other senior level executives who consistently demonstrate remarkable leadership skills, integrity, values, vision, commitment to excellence, company performance, community service and diversity.

Prior to joining First National Bank of Long Island, Tan served as Associate General Counsel at Bethpage FCU, one of the largest credit unions in the country. At Bethpage, he led a team of internal and external professionals to address the full spectrum of corporate compliance and legal matters and projects. This included serving as Chair of the organization’s Compliance Oversight Committee which managed the compliance infrastructure at Bethpage’s correspondent services operations centers in Maryland and Colorado.

Before Joining Bethpage, Tan held positions at Commerce Bank (now TD Bank) and the Office of the Attorney General of New York.

SPECIALTIES

- In-House Legal Banking Operations including but not limited to Employment, Real Estate, and Lending SME
- Regulatory Compliance/Compliance Operations
- Bank Secrecy Act and OFAC Management
- Anti-Money Laundering Detection
- Risk Management, Policy & Control Frameworks
- Community Reinvestment Act/Fair Lending
- Information Security/Cybersecurity
- Global Regulations Impacting Data Governance
- Legislative Advocacy

CREDENTIALS / EDUCATION
- Union College: BA, Law & Public Policy/English
- Robert B. Willumstad School of Business of Adelphi University: MBA, Management, Concentration: Human Resources, MS, Finance
- Maurice A. Deane School of Law at Hofstra University: Juris Doctor, Concentration: International Law
- Admitted to United States Supreme Court Bar and New York State
- Certified Anti-Money Laundering Specialist (ACAMS)
- Certified Regulatory Compliance Manager (CRCM)
- Certified Financial Crime Specialist (CFCS)

CONTACT
Tanweer S. Ansari, Esq.
New York, NY
917.805.5131

Drew Bach, VP and BSA Manager First National Bank of Long Island

As a Vice President and BSA Manager for The First National Bank of Long Island, Drew plans, organizes, and controls the Banks day-to-day administrative and operational BSA compliance activities. He participates in various audits, reviews, and examinations, and collaborates with the Bank Secrecy Act/OFAC Officer, Privacy Officer, and Chief Compliance Officer. Other responsibilities include oversight of the AML Program as well as training different business areas to foster understanding of regulatory compliance requirements. He conducts internal/external BSA and Fraud related investigations and reports to Management on appropriate corrective actions needed. Drew has been an active and certified member of ACAMS since 2010, as well as a member of the executive board of the New York Chapter of the Association of Certified Anti-Money Laundering Specialist. His credentials also include the American Bankers Association’s designation of CRCM, Certified Regulatory Compliance Manager, and a Juris

Doctorate Candidate.

Jason Almonte, Special Counsel,
Office of the Comptroller of the Currency, US Treasury Department

Learn about the intersection between legal and enforcement issues on various matters encountered from the OCC and audit-related matters. Hear about some of the current regulatory hot topics, operational risk (from emerging technologies and persistent cybersecurity risks), credit risk (and the effects of a potential cyclical downturn), interest rate risk (which is increasing due to, in part, volatility in market rates and recent yield curve inversions). We may discuss topics including but not limited to, LIBOR, strategic risk (from Non-Depository Financial Institutions (NDIs) and emerging technologies), CECL Implementation, Enforcement Actions / Trends involving Audit, and the OCC Resources regarding Audit Expectations for Community Banks.
Biography

Thomas Salzman, CISA, ITIL - MISTI

Thomas Salzman, Senior Instructor for MISTI, is the IT Audit Manager for Illinois State University, where he manages all computer audits conducted by the University. His responsibilities include working with educational, athletic, and administrative departments throughout the University to prepare and streamline and improve IT processes, computer security, IT policies and procedures, operational processes and internal controls; and develop methodologies for managing computer resources. His work requires him to be skilled in network controls, application management, computer intrusion, security management, and application design and development.

Previously, Mr. Salzman was Director of Professional Services for the Information Systems Audit and Control Association (ISACA) where he was responsible for establishing and supporting its worldwide network of educational programs, conferences, and special events; as well as authoring the Professional Seminar Series of diverse educational offerings. He also served as editor and co-author of the ISACA CISA Review Manual. Prior to joining ISACA, Mr. Salzman was with Coopers & Lybrand, heading their Technical Training and Information Security practices. Tom also served on the faculty of DePaul University, authoring and presenting undergraduate and post-graduate degree programs.

A much in-demand speaker, Mr. Salzman teaches a variety of computer and audit topics worldwide. He also tracks and presents numerous CISA review courses. To broaden his support of the IT audit profession, Tom also presents a range of topical webinars for MIS Training Institute.

In addition, his consulting practice has assisted a number of organizations develop cost-effective internal IT audit functions.

Mr. Salzman is a recipient of the College and University Auditors Excellence in Service Award.
Employment Opportunities:

- If you are interested in a job posting, or posting a job, please contact:
  - Russ Safirstein at Russell.Safirstein@anchin.com, or
  - Joe Horowitz, IIA Long Island Webmaster, at jmh11187018@gmail.com, or
  - Visit the ‘Careers’ Page: https://chapters.theiia.org/long-island/Careers/Pages/default.aspx
St. John’s University will be starting Part 1 of its Spring 2020 Saturday series of CIA examination preparation classes on February 1, 2020.

This premier CIA Exam preparation program is the only IIA-partnered, instructor-led program in the New York metropolitan area, and is based on the IIA’s CIA Learning System. It delivers the global CIA exam syllabus in a blended learning format of customized workbooks and web-based learning software (provided with the registration fee). It is also CPE eligible.

**Class dates:**
- Spring 2020:
  - Part 1: Internal Audit Basics: February 1, 22, and 29
  - Part 2: Internal Audit Practice: April 4 and 18
  - Part 3: Internal Audit Knowledge Elements: May 2, 9 and 16

**Tuition:**
- Part 1 $1,100
- Part 2 $850
- Part 3 $1,100
- Combination package $2,750

**Registration:**
INTERNATIONAL DATA PRIVACY DAY

Jan. 28 is International Data Privacy Day, which serves as an important reminder that internal audit leaders must be aware of and understand privacy-related regulations applicable to their organization, as well as their organizations’ posture on data privacy. The growing list of regulations from jurisdictions around the world is making data privacy increasingly complex and dynamic. These regulations cover a wide range of issues including specific requirements related to data collection, management, storage, and usage.

For example, regulatory guidance on data privacy policies has existed for financial organizations that comply with the Gramm-Leach-Bliley Act (GLBA) for decades. Meanwhile, the California Consumer Privacy Act (CCPA) just went into effect on Jan. 1, 2020, yet lawmakers continue to make changes to the landmark legislation. Similarly, implementation of the European Union’s Global Data Protection Regulations (GDPR) since its start date in May 2018 has played out somewhat differently than originally anticipated, leaving some organizations with more questions than answers.

Internal audit leaders should stay current on this volatile risk area (see resources on page 2) and incorporate audits focusing on data governance, data ethics, data management, and data privacy practices. Compiled below is a list of general questions designed to assist organizations who have yet to conduct an assessment on data privacy.

General questions to assess your organization’s data privacy

The following are some general questions your internal audit department should ask to determine if your organization is properly addressing data privacy:

- How was data privacy identified in the most recent risk assessment?
- Who is designated as the organization’s Data Protection Officer, or person responsible for data privacy and compliance?
- Who owns the organization’s customer data privacy policy (policies)?
- Where does management maintain an inventory of the regulations its organization is subject to, and how is it kept up to date?
where does management maintain an inventory of all third parties who accept, process, or house data on the organization's behalf, and how is it kept up to date?

Which programs and applications house sensitive data? Are there sufficient IT general controls, application controls, and network controls over them? Are these controls operating effectively?

What other relevant controls (preventive and detective) are in place regarding data privacy? Are they operating effectively?

Who is accountable for ensuring there is a documented process detailing what to do in the event of a data breach, and where does this documentation reside?

Six steps to a simple data privacy audit

While the activities performed during the data privacy audit will vary from organization to organization, the following example is an outline for internal auditors to use as they plan and perform a simple but valuable data privacy audit:

1. Gather inventory of:
   - All applicable regulations with privacy components.
   - All of your organization's data privacy policies (e.g., websites, mobile, mail, phone, email).
   - All of your third-party data privacy policies (those you redirect your clients to such as PayPal).

2. Compare all applicable privacy-related regulatory criteria to your organization's data privacy policies. Note any exceptions or gaps.

3. Compare all applicable third-party privacy policies to your organization's own data privacy policies. Note any inconsistencies.

4. Map the policy(s) that align with your organization's controls. Gaps will show potential higher risk areas.

5. Verify that what is outlined in the policy(s) is in practice (tied to specific processes and controls). Note any exceptions. Elements to validate include: What data is captured? What data is stored? How long is it stored? How is it used? Who is it sold to? Who has read access? Who has write access? How long is it retained? How is it destroyed? Make a note if any of these questions are not answered in your policy.

6. Validate controls. One simple test is to log on to an application that should adhere to your data privacy policy, then obtain and review the content regarding your activities along the way.
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<tr>
<th>Executive Board</th>
<th>Title</th>
<th>Committee</th>
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<tbody>
<tr>
<td>1    Jeff Speed</td>
<td>Long Island Chapter President</td>
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<td>2    Lauren Agunzo</td>
<td>EVP &amp; Treasurer</td>
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<td>3    Dawn Scala</td>
<td>VP &amp; Asst. Treasurer</td>
<td>Historian / Records</td>
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<td>4    Carolyn Leahy</td>
<td>VP &amp; Chief Information Officer</td>
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<td>5    Joseph Horowitz (2021)</td>
<td>VP &amp; Asst. CIO &amp; Web Administrator</td>
<td>Website Administrator</td>
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<td>6    Anthony Cervoni</td>
<td>EVP &amp; Operations Officer</td>
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<td>7    Ellen Caravella</td>
<td>EVP &amp; Operations Officer &amp; Programs</td>
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<td>8    Larry Karp</td>
<td>VP &amp; Membership</td>
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<tr>
<td>9    Brian Austin</td>
<td>VP &amp; Membership 2nd</td>
<td></td>
</tr>
<tr>
<td>10   Biju Beejum</td>
<td>Certification Officer</td>
<td>Certifications</td>
</tr>
<tr>
<td>11   Thomas Comiskey</td>
<td>VP &amp; Secretary</td>
<td></td>
</tr>
<tr>
<td>12   Rocky Shankar</td>
<td>CAP Administrator</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Board of Governors (term ending)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>13 Vincent Colletti (2022)</td>
<td>Governor</td>
</tr>
<tr>
<td>14 Michael Lanning (2022)</td>
<td>Governor</td>
</tr>
<tr>
<td>15 Jessica Rodgers (2022)</td>
<td>Governor</td>
</tr>
<tr>
<td>16 Christopher Wright (2022)</td>
<td>Governor</td>
</tr>
<tr>
<td>17 Ernest Patrick Smith (2021)</td>
<td>Governor</td>
</tr>
<tr>
<td>18 Brian Blisard (2021)</td>
<td>Governor</td>
</tr>
<tr>
<td>19 Roy Garbarino (2021)</td>
<td>Governor</td>
</tr>
<tr>
<td>20 Robert McNair (2021)</td>
<td>Governor</td>
</tr>
<tr>
<td>21 Ron Goldman (2021)</td>
<td>Governor</td>
</tr>
<tr>
<td>22 Prabhat Kumar (2020)</td>
<td>Governor</td>
</tr>
<tr>
<td>23 Pinak Guha (2020)</td>
<td>Governor</td>
</tr>
<tr>
<td>24 Maria Michaelson (2020)</td>
<td>Governor</td>
</tr>
<tr>
<td>25 Joel Lanz (2020)</td>
<td>Governor</td>
</tr>
<tr>
<td>26 Russ Safirstein (2020)</td>
<td>Governor</td>
</tr>
<tr>
<td>27 Alice Seoylemezian (2020)</td>
<td>Governor</td>
</tr>
<tr>
<td>28 Rita Thakhar (2020)</td>
<td>Governor</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>District Representatives &amp; Others</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Raquel Marin-Oquendo</td>
<td>District Representative</td>
</tr>
<tr>
<td>Amit Varia</td>
<td>New District Representative (District 1 – NY, LI, North Jersey, Philadelphia, &amp; Central Jersey Chapters)</td>
</tr>
<tr>
<td>Mary Peck</td>
<td>District Advisor</td>
</tr>
<tr>
<td>Alice Mariano</td>
<td>New District Advisor</td>
</tr>
<tr>
<td>Heather Graham</td>
<td>District IIA Staff</td>
</tr>
<tr>
<td>Breslauer, Jacqueline</td>
<td>North Jersey Chapter President</td>
</tr>
<tr>
<td>Ellen Isaacs</td>
<td>NYC Chapter President</td>
</tr>
</tbody>
</table>