Dear Valued Members,

Welcome to the IIA Miami Chapter newsletter! It has been over five years since we have issued a newsletter for our membership. But thanks to our highly dedicated chapter officers and especially our VP of Communications, Lida Gaviria, we are now able to better serve you through this communication. The newsletters will include upcoming chapter events, review past events, spotlight accomplished CAEs in our area, highlight members' accomplishments (newly certified, promotions, etc.), contain links to relevant articles/news, post job openings, and more! We hope this will be a two-way communication, so please be sure to reach out to Lida at vpcommunications@iiamiami.org for any information that may be relevant to the newsletter.

Would you like to be a part of the one of the oldest (and best) IIA chapters in the nation? The IIA Miami Chapter elections for 2017-18 Officers and Board of Governors will begin soon. Service within our team is a rewarding opportunity to nurture and further develop skills in leadership, organization, and effective communication. Your service will enable you to interact and network with leaders and internal audit professionals throughout south Florida while earning 20 CPE credits for each year served.

Please look out for the official announcement, election timeline, and nomination form during the first week of April. Any questions, contact me at president@iiamiami.org. Election results will be published in our next newsletter in May/June.

Lastly, I am extremely excited to announce that Miami has been selected to host the 2020 IIA International Conference!! The IIA’s international conference is the world’s premier training event for internal auditors and this will be a must-attend event for all local members. Our chapter leaders and members will be heavily relied upon to ensure the success of this event. A strong leadership committee will be formed soon to assist IIA HQ in organizing the event and liaise with the Global Professional Development Committee. Furthermore, hundreds of volunteers from the local community will be needed during the event. Stay tuned for more announcements and opportunities to participate.

Hope to see you all at our annual Fraud Conference on March 31st.

Kind Regards,
Justin Gwin, IIA Miami Chapter President
MEMBERSHIP SPOTLIGHT

Did you know the IIA Miami Chapter has 807 members?

Congratulations to the 5 members below who earned their CIA!
Alexas Crossman
JoEllen Kelly
Megan Schwarte
Tama Rozovski
Nicolas Falquez

Are you thinking about sitting for the CIA exam? The IIA’s CIA Learning System can help you achieve success like the newly certified members above. You can pick self-study or facilitator led courses. The interactive self-study program combines reading materials with online study tools to teach and reinforce the entire global CIA exam syllabus in a flexible, on-demand format. Facilitator-led courses are also available around the globe in traditional classroom, online and virtual formats. Visit the IIA website for more information about the learning system and our IIA Miami website for exclusive member discounts.

Don’t delay, start today!

IIA LEADERSHIP

Several of our chapter members have been nominated for leadership positions within The Institute of Internal Auditors (IIA).
- First, Karen Brady, Corporate VP of Audit and Chief Compliance Officer, will continue her role on the IIA’s North America Board of Directors. The North American Board is comprised of just 10 individuals whose mission is to ensure that volunteer and staff activities of The IIA adequately address the needs of North American membership through continuous monitoring of programs, services and budgets relating to North American members and chapters. All North American Board members also serve on the Global Board of Directors.

- Additionally, Justin Gwin, current IIA Miami Chapter President and Senior Manager at Kaufman Rossin, & Co., was accepted to serve as a member of The IIA’s Global Professional Development Committee. The Committee consists of internal audit, academic, and other professionals representing a cross-section of the global membership. It strives to promote and enhance the global development of high-performing internal audit professionals, indispensable to their organizations.

Please join us in congratulating these individuals on their leadership positions within the internal audit profession. These individuals will play a valuable role in giving the Miami Chapter global exposure as a leader in the internal audit field. If you have accepted a role within the North American or Global Committees of the IIA, please let us know. Contact secretary@iiamiami.org.
CAE SPOTLIGHT

STEVE ROTH, VP OF INTERNAL AUDIT NORWEGIAN CRUISE LINE

Steve Roth is a certified expert in the auditing and accounting profession with over 27 years of relevant internal and external auditing experience.

Born in New York, but raised in South Florida, Steve earned both his B.S. in Finance and M.B.A. with a concentration in Accounting at the University of Florida in Gainesville.

Steve began his career at Deloitte & Touche in 1989, where he worked with some of South Florida’s largest companies as a Senior Financial Auditor. In 1994, he joined Royal Caribbean Cruises Ltd, a multi-billion dollar cruise company, where he worked for 11 years. He served as their Internal Audit Manager for eight years with a staff of up to eight audit professionals, and was instrumental in establishing and managing a nationally recognized, cutting-edge audit department. In addition, he managed and oversaw all “Year One” SOX 404 implementation efforts.

In 2005, he created Audit Assessment Group, Inc., a consulting company specializing in quality assessments of internal audit departments. He conducted over 25 assessments of diverse internal audit activities across the country. These assessments provided the assurance necessary for stakeholders, including audit committees and senior management, to determine whether their internal audit departments were functioning properly. As part of Audit Assessment Group, he also was hired to lead various internal audit functions on an interim basis.

In 2010, he joined Prestige Cruise Holdings, Inc., the market leader in the up-scale cruise segment and parent company of Oceania Cruises and Regent Seven Seas Cruises, as its Senior Director of Internal Audit and Advisory Services, and was promoted to Vice President in 2013. His primary responsibilities were to establish and lead the Internal Audit function, which included developing a SOX compliance program. In addition, he served as the Company’s Key Ethic Contact, which included managing the hotline, conducting or overseeing investigations, holding trainings, and running the Ethics Committee. In 2014, Norwegian Cruise Line Holdings completed its acquisition of Prestige Cruise Holdings, and in 2015, Steve was made Vice President of the combined organization’s Internal Audit function. He currently heads a department of 11 professionals who were instrumental in ensuring the successful integration and migration of key processes and systems, as well as facilitating the SOX compliance efforts for the combined companies.

He is a Certified Public Accountant, Certified Internal Auditor, accredited by the IIA to perform quality assessments of internal audit departments, and served as the President of the IIA – Miami Chapter from 2009 to 2010. He currently serves on the Board of Directors of the IIA – Miami Chapter. He has also been an Adjunct Professor at Florida International University since 2013, teaching the Internal Audit class to Master of Accounting students.

As his biography describes, Mr. Roth has been an integral part of the South Florida internal audit network. He has worked to grow the profession within some of the largest local employers by demonstrating how diversified internal audit services can be. Throughout his career he has also served as a mentor to many professionals who today form also form part of the South Florida internal audit leadership. The IIA Miami Chapter thanks Mr. Roth for his contributions to the chapter, continued support as a Past-President and inroads for the internal audit profession.
ELECTIONS
The IIA Miami Chapter elections for 2017-18 Officers and Board of Governors (BOC) will begin soon! Service within the IIA Miami Chapter Leadership team is a rewarding opportunity to nurture and further develop skills in leadership, organization, and effective communication. Other benefits include:
- Active participation in the strategic planning and execution of activities crucial to the successful operation and growth of the Chapter;
- A prominent accomplishment and an opportunity to list contributions on one’s resume;
- Interaction and networking with leaders in the local business community;
- Twenty CPEs (per full year served, IIA certification only)

Please look out for the official announcement, election timeline, and nomination form during the first week of April. Any questions, contact Justin Gwin:
president@iiamiami.org.

PAST EVENTS REVIEW
The IIA Miami Chapter is striving to bring you relevant information about the events you participate in. We thank you for your support. We also welcome your feedback after each event to help us continuously improve and tailor our events for our members!

FREE CONFERENCE GIVEAWAY
Free registrations at one of the IIA headquarters' multi-day signature conferences. For every registered attendee to our chapter's events throughout the year, your organization’s name will be placed in a drawing for an opportunity to win 1 of 4 registrations giveaways to IIA HQ conferences such as the All-Star, General Audit Management, CRI, or Financial Services Exchange (a $1,300 value). The more attendees, the better a chance at winning! The drawing will be held on the last event of the year on 6/2/2017. The IIA Miami Chapter would like to encourage professional education through providing a chance to supplement your organization's training budget and promote attendance at IIA HQ conferences.

CAE Roundtable
On January 19th, approximately 20 Chief Audit Executives (CAE’s) of Broward, Miami-Dade and Monroe counties gathered at Norwegian Cruise Lines corporate office to discuss internal hot topics as part of the chapter’s first annual CAE roundtable. The event was facilitated by Doug Anderson, Manager Director of CAE Solutions at the IIA, and the roundtable touched on topics including updates to the COSO framework, techniques for risk assessments and ideas on auditing workplace culture. The event was a success for the CAE’s to network and to share audit shop best practices. In Q2 of 2017, the chapter will be hosting a CAE brunch, which will provide additional networking opportunities. Please watch for additional details regarding the next CAE event.
Women in the Workplace:
What do the numbers say about women in tech and the challenges they are still facing in the workplace? ISACA’s global survey of women in tech may surprise you.

Information Age – Data Classifications Central to Every Organization’s Security Strategy:
This article describes why data classification is essential to an efficient security strategy, and to comply with GDPR. Data classification provides the ideal way to order and prioritize data based on its sensitivity, which helps to reduce the risk of violating applicable compliance mandates.

CEB – Data Privacy Risk for Internal Audit Still a Major Concern:
Internal audit teams should work with relevant teams (e.g. legal) to ensure that the firm is prepared to adapt and comply with GDPR regulations. This includes helping the firm prepare for the mandatory privacy impact assessments. Audit teams can help senior management teams feel more comfortable by reviewing collection, storage, and sharing of all personal information to ensure all appropriate controls are implemented.

Chartered Institute of Internal Auditors – Data Protection:
In preparing for GDPR, Internal auditors should do the following:
- Consider the Implications
- Determine which operations and data sets will be affected by proposed changes.
- Continue to Review Current Practices
- Internal audit should continue reviewing internal data processing practices, and be looking out for news and updates on implementing GDPR.
- This article also discusses the key changes to the GDPR, including individual rights, DPO’s, and violations.

BDO UK – How Should Heads of Internal Audit Respond?
The accountability principle is the most significant change. This requires companies to demonstrate that they comply with the principles and states that this is their responsibility.
- Internal auditors should gap analysis technologies to review existing controls and identify key areas that the organization needs to improve to ensure compliance.
- Also, internal auditors should develop and implement appropriate testing strategies to validate whether new or remediated procedures have been successfully implemented and mitigated GDPR risks.

Check out the IIA Miami website for new job postings.

LinkedIn
Have you checked out LinkedIn’s new features? As the article below states, “More and more businesses are using LinkedIn as either their primary, or in many cases exclusive, job-posting site – which means you’ve got to learn how to play the LinkedIn game.”

Check us out on LinkedIn and interact with other professionals in the South Florida area! We also post job posting announcements on LinkedIn.