Dear Members:

Hope you are enjoying the summer. We, the executive committee, have been diligently preparing for the upcoming 2016 – 2017 chapter year. Before I detail our chapter year initiatives, I would like to give special thanks to our past president, Juan Perez, who continued our Platinum status this year, which is recognized by the IIA headquarters as an achievement to our chapter in serving our membership through a wide range of metrics.

For the upcoming chapter year, noted below are some key initiatives for consideration that will be rolled out by the NY IIA Executive Committee (Alex Cacanando – President, Uday Gulvadi – Executive Vice President, Vice President of Professional Development – Xenia Ley Parker, Vice President of Communications – Kathleen Rennert, Vice President & Secretary – Tracy Thomas, and Vice President & Treasurer – Matt Meisel):

- We will host and celebrate the NY chapter’s 75th Anniversary during our IIA International Conference to be held at the Jacob Javits Center in NY on July 17 -20, 2016. The IIA NY Board of Governors collectively assembled a comprehensive conference experience that is further specified in the following link: https://ic.globaliia.org. We will have many local and global organizations in attendance with over 2,000 practitioners from over 100 countries. Special thanks to the strong presence of IIA members who volunteered to make this conference special.

- The NY Chapter IIA organizational meeting was held on June 17th which provided an opportunity for attendees to witness the inner workings of the NY IIA Board Meeting as well as the Executive Committee’s roll out of this year’s annual plan. To further extend the volunteer invitation made during the meeting, please reach out to me, Alex.Cacanando@protiviti.com, if you would like to assist directly with our goals for the upcoming year.
• As noted on page 7, we have included our 2016 – 2017 monthly workshop schedule. We made special consideration in fashioning seminars that closely tailor to your training needs. Some of the methods used for workshop selection involved assessing monthly surveys from the prior workshops, obtaining insights from Chief Audit Executives and Internal Audit Leadership during Advisory Meetings, CAE Roundtables and Leadership Roundtables and the inclusion of industry subject matter experts, of which are industry practitioners and regulators.

• Quintessential, monthly Chief Audit Executive (CAE) and Internal Audit Leadership roundtables will be offered during the year. We have included our schedule for these events on page 8. Depending on the popularity of a specific audit topic or industry discussed, there may be opportunity for additional focus groups to gain further insight. Please reach out to me if you are interested in participating and note that space is limited and by invite only.

• A multitude of other events and activities will be also be showcased this year. We plan on partnering with other professional trade organizations such as the Securities Industry and Financial Markets Association (SIFMA) as well as banking and fraud examiners related groups on joint events. Discussions with other IIA chapter collaborations will also be considered. Diversity and Inclusion events are also in the works that may involve career panels. Lastly, a mentoring program is being developed to provide guidance to incoming audit professionals.

Looking forward to our year together!

Sincerely,

Alex Cacanando
President, The IIA New York Chapter
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### 2016 – 2017 IIA NY Chapter Officers

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<th>Position</th>
<th>Name</th>
<th>Company</th>
<th>Phone</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>President</td>
<td>Alex Cacanando</td>
<td>Protiviti Company</td>
<td>917-853-6369</td>
<td><a href="mailto:Alex.Cacanando@protiviti.com">Alex.Cacanando@protiviti.com</a></td>
</tr>
<tr>
<td>Executive Vice President</td>
<td>Uday Gulvadi</td>
<td>Telavance</td>
<td>646-359-3146</td>
<td><a href="mailto:uday@telavance.com">uday@telavance.com</a></td>
</tr>
<tr>
<td>Vice President of Professional Development</td>
<td>Xenia Ley Parker</td>
<td></td>
<td></td>
<td><a href="mailto:xparker@verizon.net">xparker@verizon.net</a></td>
</tr>
<tr>
<td>Vice President of Professional Services</td>
<td>Kathleen Rennert</td>
<td>Arch Capital Services Inc.</td>
<td>201-743-4066</td>
<td><a href="mailto:kathleen.rennert@yahoo.com">kathleen.rennert@yahoo.com</a></td>
</tr>
<tr>
<td>Vice President &amp; Secretary</td>
<td>Tracey Thomas</td>
<td>Citigroup, NA</td>
<td>212-657-3935</td>
<td><a href="mailto:Tracey.thomas@citi.com">Tracey.thomas@citi.com</a></td>
</tr>
<tr>
<td>Vice President &amp; Treasurer</td>
<td>Matthew Meisel</td>
<td>Moodys</td>
<td>212-553-1630</td>
<td><a href="mailto:matthew.meisel@moodys.com">matthew.meisel@moodys.com</a></td>
</tr>
<tr>
<td>Immediate Past President (2015-2016 Chapter Year)</td>
<td>Juan Perez</td>
<td>New York Life Insurance</td>
<td>212-576-7984</td>
<td><a href="mailto:juan_h_perez@newyorklife.com">juan_h_perez@newyorklife.com</a></td>
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</table>
2016 – 2017 IIA NY Chapter Committees

**Officer**
- **CAP Reporting**
  - Shweta/Shavata Gupta
- **Audit**
  - Brian Mannix
- **Volunteers**
  - Mike Koren
- **Nominating**
  - Juan Perez

**Committees**
- **Contracts and Vendor Management**
  - Paul Flora & Diane Napolitano
- **Long Range Planning**
  - Paul Flora, Nick Dimola, & Laura Lowenhaupt
- **General Auditors’ Roundtables**
  - Paulette Mullings-Bradnock
- **Internal Audit Leadership Roundtable**
  - Stephanie Mitchell, Chris Decker, & Ines Janssen
- **B&I and Special Events**
  - Stacey Guardino, Christina Ostran, Yelena Talmazan, Hania Abrous-McCarthy
- **Academic Relations**
  - Walker Poppert
- **IA Education Partnership (IAEP)**
  - Nick DiMola & Rachel Bond
- **Student Dinner**
  - Lena Pertsovski, Walker Poppert & Alex Cacanando
- **Student Events**
  - Lena Pertsovski & Walker Poppert
- **Government Audit Conference**
  - Eileen Isaacs
- **Workshops**
  - Jim McCabe, Alex Cacanando
- **Luncheons**
  - Xenia Ley Parker

**Contracts and Vendor Management**
- Paul Flora & Diane Napolitano

**Long Range Planning**
- Paul Flora, Nick Dimola, & Laura Lowenhaupt

**General Auditors’ Roundtables**
- Paulette Mullings-Bradnock

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- Lena Pertsovski & Walker Poppert

**Government Audit Conference**
- Eileen Isaacs

**Workshops**
- Jim McCabe, Alex Cacanando

**Luncheons**
- Xenia Ley Parker
If you are interested in volunteering, please contact Mike Koren at michael.koren@protiviti.com
## 2016 - 2017 NYIIA Workshop and Luncheon Schedule

**www.nyiia.org**

### September 16, 2016 (Hard Rock Café)
- **Role of Internal Audit in AML and Sanctions Technology**
  - Presented by Protiviti (morning)
    - Luncheon: Transforming Difficult Relationships
    - Stephanie Mitchell
- The Cyber Security Risk Environment and Data Analytics
  - Presented by Sunera (afternoon)

### October 14, 2016 (Baruch)
- **Cybersecurity Considerations for Internal Audit**
  - Presented by KPMG (morning)
    - Luncheon: CCAR from the Internal Audit Perspective
    - Rajneesh Sharma
- Continuous Auditing and Controls Monitoring Strategies and Techniques
  - Presented by KPMG (afternoon)

### November 11, 2016 (Baruch)
- **Information/Data Governance**
  - Presented by BDO (morning)
    - Luncheon: Leadership
    - Xenia Ley Parker
- Compliance Auditing
  - Presented by BDO (afternoon)

### December 9, 2016 (Baruch)
- **The Audit of the Future**
  - Presented by PwC (morning)
    - Luncheon: Three Lines of Defense
    - Richard Reynolds, Mike Walker, PwC
- Assessing and Measuring Culture and Behavior
  - Presented by PwC (afternoon)

### January 20, 2017 (Baruch)
- **Risk Assessment Using ISO and Other Standards**
  - Presented by Peter T. Davis (morning)
    - Luncheon: Professional Skepticism from an Internal and External Perspective
    - Nigyar Mamedova, AICPA
- Risk Assessment Using ISO and Other Standards
  - Presented by Peter T. Davis (afternoon)

### February 17, 2017 (Hard Rock Café)
- **The New COSO Certification**
  - Presented by Dr. Lynford E. Graham (morning)
    - Luncheon: PCAOB Perspective on IT Audit Performance
    - William J. Powers, PCAOB
- Preparing the Next Generation of Internal Auditors
  - Presented by David Chan, St. John’s University (afternoon)

### March 24, 2017 (Baruch)
- **Hot Topics and Digital Issues**
  - Presented by EY (morning)
    - Luncheon: Working with Regulators
    - Scott Kenney, Moody’s
- IT and Regulatory Best Practices
  - Presented by IT and former Regulatory Leaders (afternoon)

### April 14, 2017 (Baruch)
- **Bank Regulatory Risk from an IT Perspective**
  - Presented by Titan Business Services (morning)
    - Luncheon: Panel: Recruitment and Retention
- Risk Management for Third Party Relationships
  - Presented by RSM

### May 2017 – Date to be Announced
- **43rd Annual Audit Seminar**

For more information, contact:
- Xenia Ley Parker 917.680.0420
  - xparker@verizon.net
- Alex Cacanando 917.853.6369
  - Alex.Cacanando@Protiviti.com

**Note:** Specific Speakers and Topics Subject to change

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**NOTE:** Information on subscription plan and pricing for the 2016-2017 year will be included in our August newsletter.
LEADERS OF AUDIT, RISK AND COMPLIANCE

MARK YOUR CALENDAR!

IIA NYC Chapter

CHIEF AUDIT EXECUTIVE Roundtable

hosted by

Paulette Mullings Bradnock, Chief Auditor – BNY Mellon

Fall 2016 – Spring 2017*

Sept 15, 2016
Oct 20, 2016
Dec 15, 2016
Jan 19, 2017
Feb 16, 2017
Mar 16, 2017
Apr 20, 2017
May 18, 2017

*** 2:00pm – 4:00pm

*November intentionally omitted

By Invitation Only

For additional information, please contact Stacey Johnson (stacey.johnson@bnymellon.com)

If you are a CAE and are not receiving emails on these events, contact EVP – Uday Gulvadi at uday@telavance.com
Internal Audit Leadership Roundtable

Calling all interested Internal Audit Manager/Directors to participate.

Committee goals

- Roundtable discussions with mid-level audit staff to discuss relevant and timely topics
- Hold four Roundtables meetings
- Invite guests to speak on topics of interest at some of these roundtables

Please look for additional announcements on the chapter website.

For more information contact EVP - Uday Gulvadi at uday@telavance.com
Events and Workshops

Join us back where it all began, New York City, for The IIA’s International Conference, July 17–20, 2016. Celebrate The IIA’s 75th Anniversary and embark on an educational journey rich with insights for internal auditors at every level, including one full track in Spanish.

Ten Educational Tracks:

- Influential Leadership: A View From The Top
- Emerging Practices: Staying a Step Ahead
- Building the Structure Through Ethics, Governance, and Compliance
- Financial Services: Heightened Expectations
- Deconstructing Today’s Fraud for Tomorrow’s Controls
- IT: Elevating the Business Experience
- Rising to the Challenge in the Public Sector
- Soaring Above Risk and Exposure (Select Industries)
- Spanish Track: Tendencias de Auditoría Interna, Desafíos y Soluciones (Internal Audit Trends, Issues, and Solutions)
- The IIA’s CIA Learning System® Review

- Network with 2,000+ peers from more than 100 countries, stay on the leading edge of internal auditing, and enjoy the sights and top attractions that New York City has to offer.

Click the following for IIA International Conference Registration link and more information —→ 2016 IIA International Conference registration
Internal Auditors Society

EDUCATIONAL SESSION

August 11, 2016 • 3:00pm – 6:00pm • SIFMA Conference Center, 120 Broadway, NYC

Please join us for an Educational Session followed by a Networking Reception. Managing Risk and Compliance has become increasingly complex and costly for organizations, compounded by higher regulatory expectations. On top of this, organizations are faced with an increasingly competitive market environment with an ever-changing set of risk factors that need to be managed to achieve a desired risk-reward balance. This discussion will focus on market practices that are evolving to effectively manage risk, while optimizing the use of resources across the three lines of defense. We will review a high-level summary of CCAR and EPS requirements from an IT perspective and also how financial organizations are approaching their implementation over time to meet established deadlines. Lessons learned and highlights on best practices.

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<td>Registration</td>
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<td>3:00 PM - 4:15 PM</td>
<td>Agile Risk Management</td>
</tr>
<tr>
<td></td>
<td>Randy Marshall</td>
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<td></td>
<td>Managing Director</td>
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<tr>
<td></td>
<td>Protiviti Inc.</td>
</tr>
<tr>
<td>4:15 PM - 5:30 PM</td>
<td>Introduction to CCAR and EPS Requirements for IT Organizations at Banking and Finance Firms</td>
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<tr>
<td></td>
<td>Edwin Bencosme</td>
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<tr>
<td></td>
<td>Senior Manager</td>
</tr>
<tr>
<td></td>
<td>Protiviti Inc.</td>
</tr>
<tr>
<td>5:30 PM - 6:30 PM</td>
<td>Networking Reception</td>
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REGISTRATION FEE: $75 for IAS and IIA members
This is a Member Only Event

REGISTRATION

Eligible for 3 CPE Credits
Prerequisite: None
Field of Study: Risk Management
Program Level: Beginner/Intermediate
Delivery Method: Group-Live or Webinar
No advanced preparation required

Contact SIFMA Societies with any questions at sifma-societies@sifma.org or (212) 318-1290
September 16, 2016 Workshop

Date: Friday, September 16, 2016
Time: 8:30 AM – 4:30 PM
Location: Hard Rock Café
1501 Broadway (43rd Street)
New York, NY
CPE: 7 credits to be awarded for full day workshop
3 credits to be awarded for half-day workshop
1 credit for luncheon workshop

Registration is Open

| IIA Member: $175 | Non-Member: $195 |
| Luncheon Only Member: $60 | Luncheon Only Non-Member: $70 |
| ½ day with Lunch Member: $90 | ½ with Lunch Non-Member: $100 |
| ½ day without Lunch Member: $80 | ½ day without Lunch Non-Member $90 |

Morning - 8:30 am - 11:30am (3 CPE)
Presenter – Protiviti

Topic – Role of Internal Audit in AML and Sanctions Technology’

Speaker: Gargi Desai, Associate Director, CAMS

Discussion of various compliance audits performed in the financial services environment. This session is based on actual practices deployed during the performance of diverse internal audits at a variety of clients.

Gargi is an Associate Director in Protiviti’s National Financial Services Risk and Compliance practice. He has years of management consulting and project experience, leading large programs of work including a wide range of financial and internal audits, SOX and MAR compliance initiatives, and other process improvement review engagements.
Please note: Lunch is served from 11:30am - 12:30pm

Luncheon Workshop: 12:30pm – 1:30pm (1 CPE)

Presenter: Stephanie Elise LLC

Topic – Transforming Difficult Relationships into Trusted Relationships with Stakeholders

Speaker: Stephanie Mitchell, CRMA
This session focuses on audit conversations, interviews and issue discussions that require negotiating agreement, resolving potential conflict and building trusted relationships with stakeholders.

Stephanie is a respected advisor, facilitator and speaker on governance, risks, compliance and internal audit. Formerly with American International Group (AIG), as Global Head of Audit Training and Development & Policy – IA Professional Practices and Training, Stephanie was charged with developing and facilitating global training curriculum, including intern/new hire orientation, audit methodology, and Operational Risk Management (ORM) Framework covering Risk Control Self-Assessment (RCSA, ethics /conduct, she started her career as a Private Banker at BNY and was a Bank Examiner at the Federal Reserve Bank of NY before moving into internal auditing. integrated IT, audit leadership, and communication skills training for 500 auditors.

Afternoon: 1:30pm – 4:30PM (3 CPE)

Presenter: Sunera

Topic: The Cyber Security Risk Environment and Data Analytics

This session will describe various scenarios in which data analytics have contributed to supporting cybersecurity. They will also draw attention to the costs, both tangible and intangible, of security breaches in the complex IT environment of today's organizations. Data analytics can enable low-cost/high-value monitoring of risks at various frequencies across a wide variety of areas such as access, change logs, segregation of duties, change management, physical access, General Computer Controls/ITGC, and application controls.

The tools and techniques that can support such initiatives will be described and demonstrated. Proactive security monitoring tests will be discussed in detail to provide participants with proven areas in which they can implement testing.

Speaker: Steven Rummel

Steven is a Manager in Sunera's Chicago office with over 14 years of IT audit and data analytics experience. He has worked in the energy, oil and gas, communications, real estate, banking, media, and communications industries, providing data analytics, end-user computing, asset lifecycle management, IT system and service review, training and technology development, quality assurance, and audit services. Prior to joining Sunera, he was as a Senior IT Audit Analyst for the Exelon Corporation, providing data analysis services. In addition, Steven worked as the Manager of IT Consulting in Protiviti’s Chicago office. Steve is a registered CPA and earned his Bachelor of Science in Finance from University of Illinois and is working toward his Master of Science in Predictive Analytics at DePaul University.
MEMBER NEWS

REMINDER – THE NY CHAPTER IIA APP FOR IOS AND ANDROID DEVICES AND THROUGH GOOGLE PLAY IS AVAILABLE!!!

YOU CAN ACCESS ALL NEW YORK IIA CHAPTER INFORMATION ON YOUR HANDHELD DEVICES. JUST DOWNLOAD THE APP BY SEARCHING FOR THE “NEW YORK IIA”. LINKS ARE PROVIDED BELOW FOR YOUR REFERENCE.

YOU CAN FIND INFORMATION RELATED TO:

1. WORKSHOPS
2. TRAINING AND EVENTS
3. JOB POSTINGS
4. ARTICLES
5. NEWSLETTERS


Available now on the IIA website are the following:

**The 2016 North American Pulse of Internal Audit Now Available**
The 2016 North American report shows that organizations may be neglecting to address areas such as organizational culture, cyber resiliency, use of data, and development of soft skills, and encourages auditors to move out of their comfort zones. Download the report here: [http://bit.ly/PulseIA2016](http://bit.ly/PulseIA2016)

**Global Perspectives and Insights – Auditing Culture: A Hard Look at the Soft Stuff**
Internal auditors have audited soft controls and tone at the top, but it is time to take responsibility for auditing culture. This new report looks at understanding the Three Lines of Defense model as it relates to auditing culture, emphasizes the importance of incorporating culture in every audit engagement, and discusses how the profession can positively affect this issue. Download the report here: [http://bit.ly/IIAGeopolitics](http://bit.ly/IIAGeopolitics)

**New IIARF Bookstore Release Provides Reference Tools for Updating Internal Audit Resources**

IIA President and CEO Richard Chambers states in his latest post: “On a recent trip to Paris, I arrived at the airport on the first day of a taxi strike protesting Uber, the rival upstart that has upended historical urban transportation services. With no taxi service available, I ended up taking the Metro from the airport to the station closest to my hotel. Suffice it to say, it was no treat trudging the last mile on city streets with luggage in tow, even in a city as beautiful as Paris.” Read the full blog post here: [http://bit.ly/DisruptiveInnovationRisk](http://bit.ly/DisruptiveInnovationRisk)

Thwarting the Insider Threat: How to Uncover Gaps in Physical Security
How do you prevent a disgruntled employee from sabotaging your company’s operations, or stop a competitor from stealing intellectual property? Physical Penetration Testing provides an independent assessment of a company’s physical security program and its ability to detect and prevent unauthorized access by employees and third parties.

Download “Preventing Sabotage and Theft: How Red Teams Can Uncover Gaps in Physical Security” to learn how to uncover physical security gaps within your company here: [http://hubs.ly/H0272RQ0](http://hubs.ly/H0272RQ0)
Employment Opportunities

If you are looking for a new opportunity, we currently have new job postings in our website [https://chapters.theiia.org/new-york/Careers](https://chapters.theiia.org/new-york/Careers). The following are the companies offering Career Opportunities.

Individuals or organizations interested in posting job opportunities should submit a condensed job description to our VP of Professional Services, Kathleen Rennert at [Kathleen.Rennert@yahoo.com](mailto:Kathleen.Rennert@yahoo.com)

- **TIAA – IT Internal Auditor – New York, NY**
- **TIAA – Internal Audit Data Analyst – New York, NY**
- **TIAA – Senior Internal Auditor – New York, NY**
- **Signature Bank – Senior IT Auditor – New York, NY**

If your organization is interested in hiring interns from a local school, please contact our EVP, Uday Gulvadi at [uday@telavance.com](mailto:uday@telavance.com) Uday would be happy to connect you with our students.
Prepare to Pass
The IIA's CIA Learning System®

Are you looking for the best way to prepare for the Certified Internal Auditor® (CIA®) exam? The Institute of Internal Auditors’ CIA Learning System teaches the entire global CIA exam syllabus. Our study tools offer customization, convenience and mobility so you can make the most of your valuable study time. Begin your studies today!

- Choose the study option that best suits your schedule and study preferences.
- Create a customized SmartStudy™ plan based on your areas of strength and weakness.
- Learn the entire global CIA exam syllabus in a concise and easy-to-understand format.
- Travel light and access your reading materials via your e-reader device.
- Study on-the-go with interactive online study tools that are optimized for your mobile device.

Click here for more on The IIA CIA learning system. CIA learning

For additional questions or inquiries, please reach out to the VP & Secretary – Tracey Thomas at tracey.thomas@citi.com

The IIA is also offering discount as follows:

Certified Internal Auditor (CIA) Exam® Practice Questions

See link for further details: CIA Exam Practice Questions Discount

Order your copy today!
Internal Audit Practitioner Designation Now Offered

New and Rotational Auditors

To support new and rotational auditors as they begin a career or enter a new career phase in auditing, The IIA is pleased to announce the Internal Audit Practitioner designation.

This new designation provides recognition for those who have taken the first step toward CIA certification, which is taking and passing Part One of the Certified Internal Auditor® (CIA®) exam. Upon passing the exam part, candidates can submit an application to obtain the Internal Audit Practitioner designation through social badging.

For new auditors, obtaining the designation after passing Part One of the CIA exam demonstrates their knowledge and aptitude of internal audit basics, and they may choose to continue the path to full CIA certification by passing exam Parts Two and Three to establish a comprehensive internal audit foundation. For those navigating through a temporary or rotational role in auditing, the Internal Audit Practitioner designation provides fundamental knowledge to make the most of the experience and offers credibility within the field.

In addition, the Internal Audit Practitioner designation offers audit managers and executives a practical and effective way to build stronger teams by establishing a common foundation of basic auditing skills and knowledge for their entire auditing staff.

For more information, please visit the CIA webpage or click the following link

https://na.theiia.org/certification/CIA-Certification
Certification in Risk Management Assurance (CRMA)

Be a Key Advisor to the Audit Committee and Executive Management for Risk Management

Job analysis and stakeholder surveys have indicated a key element to unlocking internal audit’s full potential can be found in a professional’s ability to provide advice and assurance on risk management to audit committees and executive management. In response, The IIA developed the CRMA designation.

The standard CRMA Core Exam will be a 100-question, multiple-choice exam, with a seat time of two hours. These exams will be instantly scored like all of the other IIA exams, and will be administered at Pearson VUE testing centers around the world. All Certification in Risk Management Assurance® (CRMA®) eligibility requirements will apply.

The CRMA: Your Key to Career Success

The CRMA is designed for internal auditors and risk management professionals with responsibility for and experience in providing risk assurance, governance processes, quality assurance, or control self-assessment (CSA). It demonstrates an individual’s ability to evaluate the dynamic components that comprise an organization’s governance and enterprise risk management program and provide advice and assurance around these issues.

The CRMA is one more mark of professional distinction for internal audit practitioners. Earning the CRMA will assist you in demonstrating your ability to:

- Provide assurance on core business processes in risk management and governance.
- Educate management and the audit committee on risk and risk management concepts.
- Focus on strategic organizational risks.
- Add value for your organization.