A MESSAGE FROM OUR PRESIDENT

Dear Members: First, I would like to wish everyone a happy New Year! Our chapter started the year strong with three interactive and educational events in January. More than 100 auditors attended the month’s workshop where they learned about leveraging artificial intelligence and data analytics and also engaged in an informative session on out-of-the-box thinking. The CAE Round Table meeting enabled chief auditors to discuss hot topics of interest including agile auditing and streamlining the departmental audit planning process. We then closed out the month with our 9th Annual Government Audit Conference which was a great success with over 200 attendees! Keynote speaker, Benito Ybarra, Chairman of The IIA’s North American Board of Directors, discussed the importance of auditing, accountability, and leadership in the public sector as well as several other prominent speakers who covered personal branding, critical thinking, robotics and value-added auditing. Presentation materials from the annual Government Audit Conference can be found under the “Resources” section of the “Training & Events” page of our chapter site.

Registration is now open for the February workshop on Tools for Skilled Internal Auditors as well as our special event, the Financial Services Conference, being held on March 13th. And, of course, save the date for this year’s Annual Audit Conference on Internal Auditing... Influencing Change which will be on May 8th in downtown Manhattan.

We are continuing to strive to serve as a catalyst for making connections and hope you will join us at a social networking event at Papillon’s to be held on February 28th so please mark your calendars. And stay tuned for information on a Mets game social outing toward the end of the chapter year - Let's Go Mets!

Let me again thank all our volunteers for the many events we sponsored this last holiday season and the great attendance and participation by our membership! As always, please do not hesitate to reach out to any of the Executive Committee with any suggestions or recommendations you may have. The nominating committee has recently vetted nominees for future board seats and Executive Committee seats. If you have any interest in expanding your role with the chapter or have a nominee for future consideration, please let me know. I look forward to seeing you at our upcoming events!!

Sincerely,
Ellen Isaacs
Ellen Isaacs
NY Chapter President - Institute of Internal Auditors

WHAT’S INSIDE

2020 Workshop Schedule & CPE Info.......................... 2  Recently Certified ........................................ 8
February Workshop Details....................................... 3  IIA Headquarters Events................................. 8
FS Conference..................................................... 4  Winter Outing Event................................. 9
Event Re-cap....................................................... 5  St. John’s Courses................................. 10
IIA Westchester/Fairfield Event................................. 6  Featured Articles................................. 12
Call for Nominations........................................... 7  Call for Volunteers................................. 12
### SAVE THE DATES! 2020 WORKSHOP TOPICS & SCHEDULE

<table>
<thead>
<tr>
<th>DATE</th>
<th>WORKSHOP TOPICS</th>
<th>LUNCHEON TOPIC</th>
<th>PRESENTER</th>
</tr>
</thead>
<tbody>
<tr>
<td>2/21/2020</td>
<td>Advanced Critical Thinking and the New Psychology of Professional Skepticism</td>
<td>Agile Auditing</td>
<td>Toby Groves, Ph.D, Professional Speaker and Researcher EY</td>
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<tr>
<td>3/13/2020</td>
<td>Financial Services Conference</td>
<td>Technology Risk and Internal Audit</td>
<td>HSBC, Citi, BNY Mellon, American Express and NASDAQ</td>
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<tr>
<td>4/17/2020</td>
<td>Building Fraud Assessment into Audit Planning (AM)</td>
<td></td>
<td>John Hall, Professional Speaker, Author and Consultant K2 Technologies</td>
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<tr>
<td></td>
<td>Addressing Specific Fraud Risks: Issues, Challenges, and Answers for Auditors (PM)</td>
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For More Information, contact
Laura Richard at Laura.Richard@ey.com
Min Kim at minkkim@gmail.com

Disclaimer: These preliminary topics and presenters are subject to change.

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### MISSING CPEs?

If you recently attended a NY IIA event and did not receive your CPE certificate, or you misplaced a prior one and would like it to be re-issued, please contact Laura Richard (laura.richard@ey.com) or Min Kim (MKim@nyrainc.com)

### CPE REPORTING

Don’t Miss Out on Being Included in The IIA Certification Registry.

All individuals who have earned an IIA certification and maintain it by reporting CPE/CPD are eligible to opt in to The IIA Certification Registry.

### CERTIFICATION LAPSED?

Re-certify & Re-join

Members who have allowed their certification to lapse, and are currently non-members can re-certify and re-join – reinstate your CIA and become a member today.

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### SAVE THE DATE

May 8th, 2020

United Federation of Teachers

52 Broadway - NYC

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### ANNUAL AUDIT CONFERENCE
Join us for our February 2020 workshop on Friday, February 21st, where we will host an interactive event focused on key skills for internal audit professionals, specifically critical thinking and professional skepticism. We expect this to be a very engaging event, filled with psychological insights that relate directly to our ability to think critically and apply professional skepticism in our day to day work as internal auditors. This session will be led by Dr. Toby Groves, a professional speaker and expert in this field.

Our lunch session will be focused on the latest thinking as it relates to Agile Auditing, the history of Agile Auditing techniques, as well as the benefits and lessons learned that have come to light in recent case studies.

We look forward to you joining us for this exciting event!

**CPE credits:** 7 hours

**Knowledge Level:** All

**Field of Study:** Auditing

<table>
<thead>
<tr>
<th>Time</th>
<th>Topic and Speakers</th>
</tr>
</thead>
<tbody>
<tr>
<td>8:00 – 8:30am</td>
<td>Registration and breakfast</td>
</tr>
<tr>
<td>8:30 – 8:40am</td>
<td>Opening remarks</td>
</tr>
</tbody>
</table>
| 8:40 – 11:45am     | Critical thinking - Defining issues, solving complex problems and making decisions with clarity and confidence.  
- Toby Groves, Professional Speaker, Professor and Researcher |
| 11:45am - 12:30pm  | Lunch and networking                                                              |
| 12:30 – 1:30pm     | Agile auditing – Benefits of the approach and lessons learned                      
- Arjun Saraswat, EY, Manager, Financial Services Risk Advisory |
| 1:30 – 2:45pm      | The new psychology of professional skepticism                                       
- Toby Groves, Professional Speaker, Professor and Researcher |
| 2:45 – 3:00pm      | Break and refreshments                                                            |
| 3:00 – 4:30pm      | “Experiments” in exercising professional skepticism                                 
- Toby Groves, Professional Speaker, Professor and Researcher |

**REGISTRATION LINK:** [https://www.eiseverywhere.com/520065](https://www.eiseverywhere.com/520065)
Join us on March 13th for our March workshop, designed as a Financial Services Conference. The full day's agenda will be focused on hot topics relative to internal audit within the Financial Services space, including reporting value to the Board, digital disruption, data analytics and more! Both the morning and afternoon will feature panels on the topics of Emerging Risks and Financial Crimes, respectively. You will get to network and hear from panelists and speakers from some of the top financial institutions including HSBC, NASDAQ, American Express, Citi, BNY Mellon, among others.

In addition, we will hold our annual membership meeting and a networking reception after the event from 5 - 6pm.

We look forward to seeing you there!

CPE credits: 7 hours

Knowledge Level: Intermediate

Field of Study: Auditing

REGISTRATION LINK: https://www.eiseverywhere.com/520068
Leveraging Artificial Intelligence and Data Analytics in Internal Auditing

-Phil Lim, Senior Product Manager of Robotics, Artificial Intelligence and IT Risk, Galvanize

Phil presented an overview on automating IT general controls testing, enriching audit & risk universe with cloud data and applying machine learning & data science to internal audit. Phil used real life examples to explain the risk existing in unauthorized access to ERP systems with poorly managed user accounts, the problems that may occur in optical character recognition, etc.

A participant who previously worked in compliance, now an internal auditor, found her biggest takeaway from Phil’s speech was the topic on unauthorized user accounts. Phil pointed out that a lot of organizations, when they have new hires, tend to focus on creating new accounts for the new hires to have access to ERP systems so they can start working. However, when the jobs are done and the accounts are not active anymore, since closing inactive accounts is not a management priority, organizations tend to ignore the significance of disabling the old accounts created for former employees, which will create a potential risk of unauthorized access to the systems.

Comments from participants: ‘The topics are very relevant with the new technology and what we need to do going forward as an industry to be relevant and improve ourselves so we can continuously be valuable to the organizations and not be replaced.’

Part 2 The Road Ahead for Internal Audit

-Linda Rae Winter, Chief Internal Auditor, Lloyds Bank Corporate Markets

Linda shared the prospect of internal audit during the interview session with Laura. She also answered questions from participants relating to the topic with her years of experience in this industry. As a huge advocate of mentoring, Laura encouraged all internal auditors to find their mentor in the business and let yourself out to mentor the next generation to the road of internal audit.

Part 3 Maximizing Teamwork and Innovative Thinking

-Maria Guida, Professional Speaker, Successful Speaker, Inc.

Maria brought a variety of activities for the participants to practice teamwork, communication and connection with others. One of the fun activities involved mingling and greeting each other in different circumstances with the same line of dialogue. After the activity, Maria let participants share how attitudes and gestures have changed with the circumstance, to let us learn about the influence.

Comments from participants: ‘Maria is a very engaging presenter, she links real world scenarios with the auditing environment.’

“The speech was very important for people skills in terms of dealing with auditees and co-workers. It reminded us to think less competitively since we are all working towards a common goal’.
EVENT RE-CAP:

IIA NY CYBERSECURITY AND DATA PRIVACY RISKS- INTERNAL AUDIT’S ROLE

On December 19th, Baruch College hosted the IIA NY chapter workshop focused on “Cybersecurity and Data Privacy Risks- Internal Audits Role”. The topics ranged from industry security standards and needs; the trending criminal practices that necessitate updated defensive policies and procedures; third party risk and a framework to help manage it; and the effects of new privacy legislation in Europe, California, and New York. Many insightful questions were asked by the participating members, who represented an array of companies and industries. One attendee reacted to the contributions of the presenters by saying “These presentations clearly highlighted the need for business leaders to continue to be forward-thinking about the types of controls they have to mitigate evolving cybersecurity threats. Involvement from all lines of defense is needed to make the frameworks and standards that these presenters generously shared as effective as they can be.”

IIA WESTCHESTER/FAIRFIELD CHAPTER EVENT - SAVE THE DATE

5th Annual Combatting Cybersecurity Threats
May 7, 2020
Location: Grace Farms in New Canaan, CT
Check the IIA Westchester/Fairfield Chapter website for more details, to come and registration.
Nominations for Officers and Governors

To be elected at Annual Membership Meeting

March 13, 2020 4:30pm

Location: Baruch College 1 Bernard Baruch Way, New York, NY 10010

Executive Committee

For the Chapter Year 2020 - 2021

• President - Michael Lynn
• Executive Vice President - Laura Richard
• VP of Professional Development - Angelina Fridman
• VP of Professional Services - Anna Walters
• VP & Secretary - Min Kim
• VP & Treasurer - Prashant Panavalli

Board of Governors

Term - 2020-2023

• Paulette Mullings Bradnock
• John Fitzpatrick
• Laura Lowenhaupt
• Jeff Super
• Raquel Marin

If you would like to volunteer or become more involved in leading our chapter, please reach out to Ellen Isaacs, Chapter President at Chapter1@iiachapters.org. Final recommendations will be presented for vote at the annual membership meeting, scheduled for March 13, 2020 at Baruch College in NYC at 4:30PM, immediately following our workshop. ***

***There will be a complimentary networking event with hors d'oeuvres for all members after the March 13, 2020 workshop at which time we will hold the elections for the upcoming Chapter Year. Please join us.
TO THE NEWLY CERTIFIED!

Congratulations to: Cory Toporovsky, Justin Rattino, Allan Pacheco, Peilin Zhao, Ayesha Javed, Terence Hickey, Javier Crespo, and Melissa Wong for obtaining the Certified Internal Auditor (CIA) Certification! What an amazing milestone!

Congratulations are also in order for Kateryna Rosadiuk for completing the Certification in Risk Management Assurance (CRMA) and Gerassimos Divaris for obtaining the Certification in Control Self-Assessment (CCSA).

IIA Headquarters Events

Register here.

April 7-10, 2020 - MicroTek Training Facility NYC

Members Register by February 14, 2020

and Save up to $200!

- April 7-8, 2020: Fundamentals of Risk-based Auditing
- April 7-8, 2020: Financial Auditing for Internal Auditors
- April 7-10, 2020: Tools & Techniques II: Lead Auditor
- April 7-10, 2020: Tools & Techniques I: New Internal Auditor
- April 7-10, 2020: Tools & Techniques III: Audit Manager
- April 8-10, 2020: COSO Internal Control Certificate
- April 9-10, 2020: Advanced Risk-based Auditing
- April 9-10, 2020: Audit Report Writing

MEMBERSHIP INFO & PROMOTIONS!

BEGINNING-OF-YEAR-CAMPAIGN - From 1/1/2020-2/28/2020, all new professional members will receive a 20% discount.

MEMBERSHIP CHALLENGE - We have been participating in the “Chapter Challenge” coordinated by Headquarters. We are happy to report that our member numbers have increased! Please be sure to reach out to friends and colleagues encouraging them to become members of our NY Chapter!
IIA NY CHAPTER’S
WINTER OUTING
FEBRUARY 28TH

COMPLIMENTARY APPETIZERS AND CASH BAR
5 - 8PM
PAPILLON BISTRO + BAR
22 E 54TH STREET, NY
RSVP nyciiaEvents@gmail.com
ST. JOHN’S UNIVERSITY SPRING 2020 CIA EXAMINATION PREPARATION CLASS OFFERINGS

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 & 16

**Tuition:**

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


St. John’s is now also offering a custom version of our multi-session CIA examination preparation class, delivered on site at client organizations (assuming sufficient participant scale). This will afford participants and companies more flexibility and can be tailored to the company’s and CAE’s learning objectives and staff time availability. St. John’s has already delivered this for a major financial institution with great success.

Interested parties can contact Herb Chain at (718) 990-3974 or chainh@stjohns.edu.

THE TOBIN CENTER FOR EXECUTIVE EDUCATION OF ST. JOHN’S UNIVERSITY AND QUALITY PLUS & ASSOCIATES

Presents “So, You Want to Jump Start Your Internal Auditing Career?”

**Course Description:**

This 3-day seminar will provide attendees with the opportunity to learn the necessary concepts, tools and techniques to be a successful internal auditor. The course will be taught by Nick DiMola and Paul Flora, two highly experienced retired Chief Audit Executives, and is designed for internal auditors with up to three years of experience. The seminar will focus on the role and responsibilities of internal auditors; the Standards for internal audit; how to identify risk and evaluate internal controls; audit program development; documentation and work paper techniques; effective interview techniques;

**Where:**

- St. John’s University Manhattan Campus
- 101 Astor Place
- New York, NY 10003

**When:**

- March 4-6, 2020
- 9AM to 5 PM

**Tuition:**

- Per participant: $1095
- Early registration: $950
- Three (3) or more from one organization: $895 each

**Registration:** [https://sjureg.mycoursecenter.com/products/so-you-want-to-jump-start-your-internal-auditing-career](https://sjureg.mycoursecenter.com/products/so-you-want-to-jump-start-your-internal-auditing-career)
For most internal audit teams, it’s not a question of if digital will disrupt their business, but when. Traditionally, internal audit functions focused on compliance and internal control systems. But to be a partner to the C-suite and board, internal audit must understand the organization’s strategic risks and proactively identify emerging risks. This eBook explores the technologies that CAEs and internal audit teams must adopt to future-proof their audit functions and become more strategic and valued business partners. Accessibility is key.

**Where There's Smoke There's Not Always Fire**

Even the most startling anomalies found during audits can have a legitimate explanation—it's imperative to avoid rushing to judgment. [Read the article here.](#)

**One Mistake Internal Audit Cannot Afford to Make in 2020**

read Richard Chambers’ blog.

Note: Internal Auditor’s blogs reflect the personal views and opinions of the authors. These views may differ from policies and official statements of The Institute of Internal Auditors and its committees and from opinions endorsed by the bloggers’ employers or the editors of Internal Auditor.
CALL FOR VOLUNTEERS

We are always seeking volunteers for workshops and conferences, academic relations, and social events. Please contact Anna Walters at anna.walters@scotiabank.com and/or Diana Barros at diana.barros@scotiabank.com if you are interested.

IIA BOOKSTORE HIGHLIGHTS

IIA MEMBERS CAN RECEIVE UP TO 20% OFF SELECTED PRODUCTS.

LinkedIn. FOLLOW US. #iianyc

Been involved in a recent activity, have a success story you would like to share, or want to recognize someone? Email: dorian.fryson@scotiabank.com