A MESSAGE FROM OUR PRESIDENT

Dear Members:

I hope everyone is enjoying their summer! First, I would like to thank the outgoing President of the New York Chapter, Uday Gulvadi and his Executive Committee members for another very successful chapter year in service of our members. Once again, the New York Chapter has been recognized by The IIA as a “Chapter of Excellence” for its support of quality education and the CIA designation. We are also very excited about St. John’s University’s designation as an IIA Center of Excellence, one of only nine world-wide.

Our 2019-20 New York Chapter Executive Committee has been hard at work planning a cutting-edge set of workshops and other events for the benefit of the chapter members. This year’s Committee consists of Michael Lynn (Executive Vice President), Laura Richard (VP of Professional Development), Angelina Fridman (VP of Professional Services), Prashant Panavalli (VP and Treasurer), Anna Walters (VP and Secretary), Ilya Gekhman (Membership Officer) and Randy Shimanuki (Certification Officer).

We have our first monthly workshop planned for September 20, 2019, for which registration has now been opened. We will be opening up registration for the upcoming October, November, and December workshops shortly, so please stay tuned. The workshop schedule is summarized on page 2.

The New York Chapter will also continue its collaboration with other professional associations for our Business and Industry events and other IIA chapters in the Greater New York Region. Also stay tuned for an upcoming Young Professionals Internal Auditing Job Fair. Details to be provided in the next newsletter.

Please do not hesitate to reach out to any of the Executive Committee members (Mike, Laura, Angelina, Prashant, Anna, Ilya, Randy or me) with any suggestions you may have. We want to make your membership with the NY Chapter as meaningful as we can. Enjoy the rest of the summer...we are looking forward to seeing you all again at our September workshop.

Sincerely,

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

WHAT’S INSIDE

2019/20 Subscription Plan....................................................... 2 St. John’s CIA Review Course......................... 4
2019/20 Workshops Schedule.................................................. 2 Call for Volunteers................................. 5
September 20th Workshop Agenda......................................... 3 Featured Articles................................. 5
CIA Information from HQ....................................................... 3 IIA CIA Learning System................. 6
Young Professional’s IA Job Fair............................................ 4 IIA Bookstore Highlights...... 6
## 2019-2020 SUBSCRIPTION PLAN INFORMATION

**BUY IN BULK. SAVE.**

SEE WORKSHOP SCHEDULE BELOW THAT RUNS FROM SEPTEMBER ’19 - APRIL ’20.

For more information, contact Bill Morello at wmorello@newyorklife.com. Click below to subscribe.

### PLAN | FULL PRICE | PACKAGE | SAVINGS
--- | --- | --- | ---
8 Workshops + AAC | $1,765 | $1,300 | 26%
4 Workshops + AAC | $1,045 | $860 | 18%
4 Workshops | $760 | $625 | 18%

AAC = ANNUAL AUDIT CONFERENCE

FC = FINANCIAL CONFERENCE

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### SAVE THE DATES! 2019/20 PRELIMINARY WORKSHOP TOPICS & SCHEDULE

<table>
<thead>
<tr>
<th>DATE</th>
<th>WORKSHOP TOPICS</th>
<th>LUNCHEON TOPIC</th>
<th>PRESENTER</th>
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<tbody>
<tr>
<td>9/20/2019</td>
<td>Digital Enablement in Internal Audit</td>
<td>Digitally Enabled Risk Assessment</td>
<td>EY</td>
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<td></td>
<td>Agile Auditing and Data Analytics</td>
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<td>KPMG</td>
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<td>10/18/2019</td>
<td>High Impact Internal Audit: Culture, Sustainability</td>
<td>Talent in the Digital Age</td>
<td>PwC</td>
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<td>Other Regulatory Hot Topics</td>
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<td>11/15/2019</td>
<td>Women’s Internal Audit Summit</td>
<td>Successful Negotiating</td>
<td>Various (PwC, EY, DHG, Citi, Lloyds Bank, Goldman Sachs, AIG)</td>
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<td>12/19/2019</td>
<td>Cybersecurity, Incident Response and the Role of Internal Audit</td>
<td>SEC Perspective on Cybersecurity</td>
<td>RSM</td>
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<td>1/10/2020</td>
<td>Leveraging Artificial Intelligence and Data Analytics in Internal Audit</td>
<td>Process Mining</td>
<td>Deloitte</td>
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<td>2/21/2020</td>
<td>The New Psychology of Professional Skepticism, Emotional Intelligence and Resilience in Internal Audit</td>
<td>Effective Quality Assurance Programs</td>
<td>Independent speakers</td>
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<td>3/13/2020</td>
<td>Financial Services Conference</td>
<td>Case Studies on Successful Use of Automation in Financial Services IA</td>
<td>Various (PwC, EY, DHG, KPMG, ACA Televance, Lloyds Bank, Goldman Sachs)</td>
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<td>4/17/2020</td>
<td>The Internal Auditor’s Role in Fighting Fraud, Bribery and Corruption</td>
<td>Ethics in Internal Auditing</td>
<td>Protiviti</td>
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<td></td>
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<td>Independent speaker</td>
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For More Information, contact
Laura Richard [Laura.Richard@ey.com](mailto:Laura.Richard@ey.com)
Min Kim at [MKim@nyrainc.com](mailto:MKim@nyrainc.com)

Disclaimer: These preliminary topics and presenters are subject to change.
SEPTEMBER 20TH WORKSHOP
AGENDA - REGISTRATION IS OPEN!

Click here to register.

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)

IIA Certification Corner

Studying for a CIA Exam or other IIA Certification? Recently Passed a Certification Exam? Have a question on an IIA Certification?

If you are currently studying for a certification exam, would like to form a local study group in NYC or connect with someone who recently passed the exam, or have a question about a certification exam, please contact Randy Shimanuki at randy.shimanuki@tiaa.org.

3 MAIN Changes to the CIA

1. The exam waiting period to retake an exam (formerly 90 days) will be reduced to 60 days. (This applies to all IIA programs.)
2. The CIA program window will now be three years (formerly four years). This means all new applicants after September 1 have three years to complete all parts of the CIA exam.
3. The Internal Audit Practitioner program (part 1 of the CIA) will no longer require work experience (six months of experience is currently required for the practitioner designation).

CIA Bundle - by 8/31!

Currently the North American IIA is offering a promotion to bundle the CIA application and Part 1 Exam Registration for a savings of $115!! (the bundled price is $280 vs the normal price of $395).

If you take advantage of this offer prior to August 31, you will gain the following benefits:

- You will have four full years to earn your CIA. (You have 180 days from when you purchase this bundle package to take the CIA Part 1 exam, and you’ll have four years to complete the remaining CIA exam parts 2 and 3).
- Less hassle! Without this bundle package, you’d have to submit a separate test registration form – but the IIA will do that for you as part of the bundle

This offer expires August 31, 2019.

DIGITAL ENABLEMENT AND EXPLORING AGILE INTERNAL AUDIT

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<tr>
<th>TIME</th>
<th>TOPICS</th>
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<tbody>
<tr>
<td>MORNING</td>
<td>Accelerating innovation in internal audit</td>
<td>EY</td>
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<tr>
<td>LUNCH</td>
<td>Emerging Technologies Demonstration</td>
<td>EY</td>
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<tr>
<td>LUNCH</td>
<td>Digital Enabled Risk Assessment</td>
<td>EY</td>
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<tr>
<td>AFTERNOON</td>
<td>Internal Audit Analytics</td>
<td>KPMG</td>
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<td></td>
<td>Agile auditing and incorporation of data analytics</td>
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Background: Our first workshop of the chapter year will be held Friday, September 20, 2019. This workshop will focus on digital enablement in internal auditing, as well as incorporation of digital concepts into an agile auditing approach. The workshop offers an exciting range of topics and hands-on demonstrations as it relates to digital enablement in internal audit, agile auditing and efficiencies to be gained as we work to keep pace with change in the profession and broader business landscape.

CPE credits: 7 hours
Knowledge Level: Intermediate
Field of Study: Auditing
NEED ETHICS CPEs?

For those individuals who already have an IIA certification, the 2019 CPE Reporting window begins on September 1, 2019. Remember that 2 hours of Ethics CPEs are required for CIAs!

The IIA is offering a virtual 2 hour Ethics session on **Thursday, November 7, 2019 from 1pm-3pm** in Behavioral Ethics, presented by David Cotton, as part of the Virtual Symposium for Public Sector Auditors.

The ethics session is available as an individual session for $65 as an IIA member. [Register here.](#)

**NEW:** St. John’s is now also offering a custom version of the CIA review class, delivered on-site at client organizations (assuming sufficient participant scale). This will afford more flexibility, and can be tailored to the company and CAE’s learning objectives and 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.

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**YOUNG PROFESSIONALS INTERNAL AUDITING JOB FAIR**

**LATE OCTOBER OR EARLY NOVEMBER 2019. MANHATTAN.**

Stay tuned for this special upcoming event focused exclusively on internal auditing employment opportunities.

Organizations or individuals interested in posting job opportunities - submit concise job description to Ellen Isaacs at: ellenisaacs.iia@hotmail.com

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THE CENTER FOR EXECUTIVE EDUCATION OF THE TOBIN COLLEGE OF BUSINESS OF ST. JOHN’S UNIVERSITY is offering a comprehensive CIA Examination Review Course using the new format for the CIA Exam. Weekday and weekend classes are available at their Manhattan campus at 101 Astor Place.

**NEW:** St. John’s is now also offering a custom version of the CIA review class, delivered on-site at client organizations (assuming sufficient participant scale). This will afford more flexibility, and can be tailored to the company and CAE’s learning objectives and 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.
CALL FOR VOLUNTEERS

On July 16th a volunteer kickoff meeting for the 2019-2020 Chapter year was held at Scotiabank by Anna Walters, VP Secretary and Ilya Gekhman, Membership Officer, to discuss the various types of volunteer opportunities available at the NY Chapter. Internal auditors and Internal Audit summer interns from Scotiabank and DHG: Eric Heine, Michael Logan, Ali Kazmi, Dorian Fryson, Diana Barros, Sue Kim Mortensen, Marian Suson, David Kim, Kate Li, Stephanie Mitchell, Alex Cacanando, Barsendu Mukherjee, Ray Ramones, AnnMarie Saran, Keara Hutchinson, and Ahmed Mayan attended, as well as Ruolan Liu and Katie Boysen, making it a great turnout and a productive conversation! We want to thank these individuals for demonstrating their commitment to serving the Chapter!

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

FEATURED ARTICLES

SETTING PRIORITIES DURING INTERNAL AUDIT PLANNING

The risk and control matrix allows for prioritization of the risks identified during the preliminary risk assessment and facilitates developing audit objectives to address the most significant of these risks. READ MORE.

PULSE: FOCUS ON RISK

The 2019 Pulse of Internal Audit from the Audit Executive Center pinpointed third party, emerging, and atypical risks as key issues. READ THE REPORT.

The Internal Audit Foundation's new release draws on insights provided by 10 internal audit leaders from PwC to provide a high-level overview of the major technological changes reshaping the assurance demands on internal auditors. ORDER YOUR COPY TODAY.
IIA CIA LEARNING SYSTEM

GET PREPPED & CERTIFIED BY THE LEADER. The IIA's CIA Learning System.

Online and in-person Instructor-led courses available. Find out more here on a free webinar.

IIA BOOKSTORE HIGHLIGHTS

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

LinkedIn. FOLLOW US. #iianyc