The Importance of Penetration Testing

PROGRAM OVERVIEW
Every day in the news one hears about another credit card breach that has occurred. Cybersecurity has become one of the hottest topics and risks that companies and government agencies face today. But how does one protect oneself? How does the new National Cybersecurity Initiative help companies and government agencies?

During this meeting, attendees will be presented with the importance of completing a penetration test. Auditors will be taught about the different concepts, terminology, and what to look for in completing a test. We will compare and contrast security testing methods and will highlight the effectiveness of realistic penetration testing. In the second half of this talk we will explore the Cyber-Security Initiative and other new guidance.

Attendees will be able to bring this knowledge back to their companies so they can ask the difficult questions to better defend their companies and government agencies and mitigate this high risk.

Monday, November 17th, 2014
8:00 am Breakfast Meeting and Workshop
Location: HQ-2, VSP HQ, 3188 Zinfandel Drive, Rancho Cordova

November Presenter - Tom Schauer, CISA, CISSP, CISM, CRISC
Tom has been practicing in IT security, audit and compliance for over 25 years. Tom started his career in the role of Security Analyst and BCP coordinator for a $3.5B regional bank. He later led Deloitte’s IT Audit and Security Assessment team on the West Coast and in this capacity performed Technology Audits for Washington Mutual, Bank of America, American Express, Boeing, Starbucks and many other Fortune 500 organizations.

In 2000, Tom recognized that community banks and credit unions facing GLBA and other IT security regulations were under-served by existing consulting firms. He founded TrustCC to specifically address this need. TrustCC has performed about 2000 security assessments and IT audits for 400 financial institutions. TrustCC is best known for its technical capabilities demonstrated through penetration testing services.
NOVEMBER 17 MONTHLY

IMPORTANCE OF PENETRATION TESTING

Monday, November 17th, 2014
8:00 am Breakfast Meeting and Workshop

Location: VSP HQ-2, 3188 Zinfandel Drive, Rancho Cordova CA 95670

LEARNING OBJECTIVES/OUTCOMES:
At the completion of the presentation, participants will:

♦ Gain an understanding of the Cybersecurity threat
♦ Gain an understanding of the concepts and terminology of penetration testing
♦ Gain an understanding of the different security testing methods and the effectiveness of realistic penetration testing.
♦ Gain an understanding on Cyber-Security Initiative and other new guidance.

WHO SHOULD ATTEND: The session will be directed to all internal auditors (basic/intermediate/advanced).

CPE: 2
Field of Study: Auditing
Prerequisite: None
Advance Preparation: None
Knowledge Level: Basic
Delivery Method: Live Group
Price: Members $25 and Non-Members $45

NOVEMBER 3 SEMINAR

IT AUDITING FOR THE NON-IT AUDITOR

In today’s economy, all auditors must become multi-faceted and multi-purposed. Regardless of background, internal auditors must have the basic knowledge of IT auditing to understand the general concepts, understand IT terminology and how IT auditing is integral to general auditing. There is no complete view/opinion of one without looking at the other. This one-day course will take auditors through the basics of IT Auditing.

LEARNING OBJECTIVES:
♦ Understanding of the basics of IT Auditing, including key terms and acronyms
♦ Learn the importance of the IT risk assessment and integration with the audit risk assessment
♦ Understand the difference between application controls and general controls and how to identify each

WHO SHOULD ATTEND: Financial and Operational auditors with any amount of experience who want to further their understanding of IT Auditing.

WHERE
VSP HQ-2
3188 Zinfandel Drive, Rancho Cordova CA

WHEN
Monday, November 3, 2014
Registration and networking 7:30-8:30
Seminar 8:30-4:30
Breakfast, lunch & afternoon snack provided
$195 IIA/AGA/ISACA/ASFE Members or $245

Registration Deadline: Thursday, October 30

Payment Options (select one of the following at time of online registration):
♦ PayPal - Payments are completed using the PayPal web-site or portal following the registration process.
♦ Check - Make your check payable to: Institute of Internal Auditors, Sacramento Chapter and follow the check mailing instructions.
♦ Purchase Order - If your company or government agency requires an invoice, select this option upon registration and email us your: company name, mailing address, phone number and contact person to iiiasacramento@gmail.com. We will then issue an invoice prior to the event for payment.

See the Trainings and Events Page on the Chapter Website to Register Today!!!
Danny Goldberg

Danny M. Goldberg has over 15 years of audit experience, including five as a CAE/Audit Director at two diverse companies. Danny was the Director of SOX Compliance and Corporate Audit at Dr Pepper Snapple Group, where he led the Year One SOX Compliance efforts. Prior to his tenure at Dr Pepper, Danny was the Chief Audit Executive at Tyler Technologies, a publicly traded technology company (Danny was hired to build the department from the ground up).

Danny is a Certified Public Accountant, Certified Internal Auditor, Certified Information Systems Auditor, Certified in the Governance of Enterprise Information Technology, Certified in Risk and Information Systems Control, Certified in Risk Management Assurance, has obtained his Certification in Control Self-Assessment and is a Chartered Global Management Accountant.

The American Center for Government Auditing (ACGA)

Welcome to the ACGA, the premier resource for auditors in the public sector. Supported by The IIA — the internal audit profession’s global voice, recognized authority, acknowledged leader, chief advocate, and principal educator — the ACGA was established to provide public sector auditors with low-cost, high-quality professional development; networking opportunities for knowledge sharing among public sector stakeholders; and ongoing, timely, and relevant reporting on trends, benchmarking, and thought leadership in the profession. The ACGA is committed to advancing the professional practice of auditing in the public sector by aggregating industry news, innovations, and key insights into a singular resource. https://acga.theiia.org/join
# CHARTING YOUR COURSE

## 2014 - 2015 Program Schedule

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<th>Date</th>
<th>Event</th>
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<td>September 2014</td>
<td>Pulse of the Profession &amp; The American Center for Government</td>
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<tr>
<td>October 2014</td>
<td>Fraud Mystery Workshop</td>
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<td>November 3, 2014</td>
<td>IT Auditing for the Non IT Auditor - Danny Goldberg (VSP HQ2)</td>
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<tr>
<td>November 17, 2014</td>
<td>The Importance of Penetration Testing - Tom Schauer (VSP HQ2)</td>
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<td>January 27, 2015</td>
<td>Strategic Auditing - Vicki McIntyre (VSP HQ2)</td>
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<tr>
<td>February 24, 2015</td>
<td>Risk Based Auditing - Sacramento City Auditor Jorge Oseguerera (VSP HQ2)</td>
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<tr>
<td>March 24, 2015</td>
<td>ISACA Joint Meeting on Cyber Security - Jared Hamilton from Crowe Horwath (VSP HQ2)</td>
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<td>April 28, 2015</td>
<td>ACFE Joint Meeting on Fraud - ACFE President James Ratley (VSP HQ2)</td>
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<tr>
<td>May 19, 2015</td>
<td>IA Awareness Month: Women in Leadership Panel - Former IIA Chair Carolyn Saint (VSP HQ2)</td>
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For questions or comments, please contact the **VP of Programs Kevin Shaw** at [IIAsacramento@gmail.com](mailto:IIAsacramento@gmail.com).
NEWMALY CRMA CERTIFIED

CECILIA WATKINS

Cecilia has worked for the Board of Equalization (BOE) for more than 22 years. During her career at BOE, she has carried out the duties of Sales and Use Tax Auditor, Disbursement Specialist, Local Tax Hearing Officer, Tax Policy Specialist, and Project Manager. At the present time, she is serving as a Senior Internal Auditor in the Internal Audit Division.

Cecilia holds a Bachelor of Science degree from California Polytechnic University, San Luis Obispo, and a Masters Certification in Applied Project Management from Villanova University. She is currently pursuing her Graduate Certificate in Risk Management & Organizational Continuity and her Master of Science in Business Continuity, Security and Risk Management at Boston University. She anticipates with her MS in December 2015.

Her certifications to date include: Project Management Professional and Certified Internal Auditor, in addition to her recently acquired Certification in Risk Management Assurance.

Congratulations, Cecilia, on your recent Certification in Risk Management Assurance.

MEET A NEW CIA

BRENTON CLARK

Brenton works for the California State Auditor’s Office as a Performance Auditor. Prior to working as an auditor, he worked in government management for a small county in Washington state.

Brenton holds a Bachelor of Arts degree from Willamette University and a Master of Public Administration from the Evans School of Public Affairs at the University of Washington.

Congratulations, Brenton, on your recent Certified Internal Auditor (CIA) professional designation.

QUALIFICATION IN INTERNAL AUDIT LEADERSHIP

The Institute of Internal Auditors supports 6 different types of professional certifications: CIA, QIAL, CCSA, CGAP, CFSA AND CRMA.

If you are aspiring to be a leader in your organization or looking to add credibility to your current leadership role with stakeholders and peers, the Qualification in Internal Audit Leadership™ (QIAL™) will help you build and enhance skills to further establish your credibility as a leader of the future. See The IIA website for more details.

SEE THE IIA WEBSITE FOR MORE DETAILS ON PROFESSIONAL CERTIFICATIONS

Certified Internal Auditor (CIA)
Qualification in Internal Audit Leadership (QIAL)
Certification in Control Self Assessment (CCSA)
Certified Government Auditing Professional (CGAP)
Certified Financial Services Auditor (CFSA)
Certification in Risk Management Assurance (CRMA)
## IIA Regional Chapter Events

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<th>Chapter</th>
<th>Date / Time</th>
<th>Location</th>
<th>Topic</th>
<th>Register at</th>
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<tbody>
<tr>
<td>San Jose Chapter</td>
<td>November 17 2014</td>
<td>Brocade HQ Building 2, IMC 1&amp;2, 120 Holger Way San Jose, CA 95134</td>
<td>Big Data and Brain Games</td>
<td><a href="https://chapters.theiia.org/san-jose/Events/Pages/2014-11-Big-Data-and-Brain-Games.aspx">https://chapters.theiia.org/san-jose/Events/Pages/2014-11-Big-Data-and-Brain-Games.aspx</a></td>
</tr>
<tr>
<td>San Francisco Chapter</td>
<td>November 11 2014</td>
<td>Location still to be determined</td>
<td>Senior Auditor Roundtable</td>
<td><a href="http://sfiiafykickoffsocial.eventbrite.com/">http://sfiiafykickoffsocial.eventbrite.com/</a></td>
</tr>
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Social Media Contest

Congratulations to Lynn Ba-shaw, who won the October contest. She is the lucky winner for the free admittance to the November 17th Sacramento Chapter program.

The IIA Sacramento Chapter Social Media contest continues for the month of November.

Another lucky IIA member who decides to follow the IIA Sacramento Chapter on Facebook, Linkedin, or Twitter will be chosen for free admittance to the next IIA chapter program.

Your chapter newsletter is making its appearance, once again.

Professional communication about the newsletter may be addressed to Stephen Lawrence (Stephen_Lawrence@doioig.gov)

News items and pictures may be submitted to:

Born2Audit@gmail.com

The tradition of No Subscription Fee for the newsletter continues!!!
Mystery Fraud Event

“Who dun it, Sherriff?”

. . . Rest Insured . . . . Arrest Assured . . .

On Tuesday, October 21, the IIA Sacramento Chapter hosted an interactive fraud investigation workshop. The workshop was hosted at VSP Headquarters in Rancho Cordova. Over 50 participants earned 4 CPEs for attending the event, which also included a delicious breakfast.

The session was presented by Timothy Hungerford, CIA, CPA, CFE (IIA Rochester Chapter). Mr. Hungerford followed the advice of his mother and gave up pursuit of an acting career for the dynamic field of accounting & auditing. Clearly, the acting bug was never far from Mr. Hungerford’s heart (pictured at right). He created this dynamic, interactive fraud investigation workshop that educated, entertained and allowed participants to practice their investigative skills.

An assortment of data were issued to participants for analysis and three investigation interviews conducted by volunteers. Earlier, key players were recruited, assigned roles and rehearsed their responses to likely interview questions.

Between interviews, Mr. Hungerford presented a wealth of useful information, including interviewing techniques, audit “red flags”, and how to go about detecting fraud schemes.

PowerPoint slides are now available on the Sacramento chapter website.
Junior Achievement is a partnership between the business community, educators and volunteers working together to inspire young people to dream big and reach their potential. JA teaches financial literacy, entrepreneurship and workforce readiness to students in grades K-12. Working together, we can empower our next generation to own their economic success!
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E-Mail: IIASacramento@gmail.com
The IIA’s webinars are free informational programs available in both live and on-demand formats for 24/7 access. Webinars provide viewers with a cost-effective and convenient way to immediately boost business know-how. Downloadable presentation materials are available for each webinar.

The following webinars are being offered by The IIA. Click on any webinar title to view a description and outline, along with presenter information and key takeaways.

18-November-2014
Members-only Webinar: Transforming Your Audit Department With Technology

16-December-2014
Members-only Webinar: Creativity and Innovation in Internal Audit

06-November-2014
FSA Webinar: The Intersection of the Audit and Risk Committees

04-December-2014
FSA Webinar: Hot Topics in Compliance

Webinars do not qualify for NASBA CPEs
https://na.theiia.org/training/eLearning/Pages/

Did you know?

♦ When you register for an event, your e-mail address is used as a key field. So when you register please make sure your e-mail address is current.

♦ E-mail addresses are used to send you your CPE certificate and event survey. Without a correct e-mail address, you will not get a CPE certificate.

♦ The chapter uses information from the IIA National office, so if your e-mail address changes, you will need to also update IIA National.

♦ When individuals do not show up to events or cancels, the chapter still has to pay for registration fees. The chapter gets charged $3 per registration plus the cost of the meal.

♦ Registration receipts are e-mailed to your e-mail address after you register. Please bring your registration receipt and confirmation number to the event.

♦ If you opt-out of e-mails, you will not be able to get a CPE certificate since CPE certificates are e-mailed out.

For questions on event registration please contact: IIAasacramento@gmail.com
The IIA Sacramento Chapter has renewed its partnership with Gleim Publications to ensure your success on the CIA exam! Working together, we will provide you the necessary study tools to prepare for this difficult exam.

Gleim provides an extensive self-study course for the CIA exam. Our most successful candidates use the Gleim CIA Review System with Gleim Online. This system combines Review Books, Test Prep software, Test Prep for Windows Mobile, audio reviews, Gleim Online and a Personal Counselor (a real live person!) to maximize your available study time. Because Gleim identifies and focuses on your weak areas, you will not spend any more time preparing than is necessary to guarantee success. The CMA Review System with Gleim Online GUARANTEES that you will pass each exam part the first time. We are here to save you time and money. Gleim has been helping CIA candidates pass the CIA Exam since 1980.

As a member of the chapter, you are eligible for 20% off all Gleim’s CIA Review materials, as well as Gleim CPE. To take advantage of the reduced prices, please see order form or contact our chapter representative, Melissa Leonard.

By phone: (800) 874-5346, Ext. 131  
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