October Monthly Program
Leading Technologies for Tomorrow’s Auditor

PROGRAM OVERVIEW
Studies consistently show that internal audit departments are not taking sufficient advantage of technology. In this session, Norman Marks will review some of the current and coming technologies that can and probably should be used to enhance the practice of internal auditing today and tomorrow.

Norman has been a chief audit executive for more than twenty years, specializing in technology - first as an IT auditor and later as CAE for global tech firms. Recognized as one of the most significant thought leaders of our profession, he will share his insights and practical experience.

PROGRAM SPEAKER
Norman Marks, CPA, CRMA is an evangelist for “better run business”, focusing on corporate governance, risk management, internal audit, enterprise performance, and the value of information. He is also a mentor to individuals and organizations around the world.

(Continue to page 2, See Program)

October Seminar - Internal Audit 201: Keys to being an Effective Audit Senior

Audit 201 helps professionals advance with this one day course on becoming an effective Audit Senior. New audit team leaders must supervise and produce audit work and continually balance a hectic schedule so that every project meets audit management expectations.

This training seminar gives Audit Seniors insight into how to review a file, manage a project and draft audit reports. Additionally, this course will cover the interpersonal skills to supervise the audit team and interactions with auditees, even audit management.

This timely, one-day training seminar is designed for the internal auditor moving up to a team leadership position and others who have to create and lead small audit teams.

(Continue to page 2, See Seminar)
PROGRAM

October 22, 2013: 7:30am—10:00am

LEARNING OBJECTIVES
This session will cover:

- A brief review of current technology trends.
- Technology that is available now and what can be seen on the horizon.
- The opportunity for internal auditors.
- A practical approach to selecting and implementing disruptive technology in the internal auditing function.

SPEAKER (Continued from page 1)
Norman was the CAE of major global corporations for twenty years and is a globally-recognized thought leader in the professions of internal auditing and risk management. In addition, he has served as chief risk officer, compliance officer, and ethics officer, and managed what would now be called the IT governance function (information security, contingency planning, methodologies, standards, etc.) He ran the Sarbanes-Oxley Section 404 (SOX) programs and investigation units at several companies.

Norman is a member of the review boards of several audit and risk management publications, a frequent speaker internationally, the author of several award-winning articles, and a prolific blogger about better run business (consistently rating as one of the top global influencers in social media on the topics of GRC, internal audit, risk management, and governance).

- CPE: 2
- Program Level: Basic
- Field of Study: Auditing
- Prerequisite: None
- Delivery Method: Live Group
- Pre-pay by credit/debit card or PayPal

Price: Members $25 and Non-Members $45

SEMINAR

October 14, 2013: 8:00am—5:00pm

LEARNING OBJECTIVES (Continued from page 1)
Attendees will:

- Learn how to identify audit risk and appropriate audit planning tools and techniques.
- Learn how to evaluate existing audit documentation.
- Discover the best techniques for team management
- Discuss interpersonal and team-building skills
- Understand the audit report creation process

SPEAKER
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.

- CPE: 8
- Program Level: Basic, Intermediate
- Field of Study: Auditing
- Prerequisite: None
- Delivery Method: Live Group
- Pre-pay by credit/debit card or PayPal

Price: Members $195 and Non-Members $245

Payment Options (select one of the following at time of on-line 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 e-mail 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 to Register Today!!!
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<td>Leading Technologies for Tomorrow’s Internal Auditor – Norman Marks</td>
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| November 19, 2013| Special Event Two Sessions  
Session 1 – Creating Value Added Work Programs —Danny Goldberg  
Session 2 – COSO and PCAOB with Robert Hirth, COSO Chair |
| January 28, 2014| Fighting Fraud—John Tonsick                                           |
| February 25, 2014| Enterprise Risk Management (ERM) – Pam Taheri, SMUD                   |
| March 25, 2014  | Joint Meeting with AGA — GAO                                         |
| April 29, 2014  | Tone at the Top—Sharon Grant, United Airlines and IIA National       |
| May 20, 2014    | Annual Meeting of Members—Best Practices—Vicki McIntyre              |
| June 24, 2014   | IT Audit Program (Data Analytics or Data Security & Privacy)         |

For questions or comments, please contact the VP of Programs Kevin Shaw at IIA sacramento@gmail.com.
CALENDAR OF EVENTS
Institute of Internal Auditors
Sacramento Chapter

UPCOMING SEMINARS

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<td>Internal Audit 201: Keys to being an Effective Audit Senior</td>
<td>Danny Goldberg</td>
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<td>December 3, 2013</td>
<td>Communicating Audit Results</td>
<td>Merek Lipson</td>
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<td>January 29, 2014</td>
<td>Critical Thinking Skills for Auditors</td>
<td>Raven Catlin</td>
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<tr>
<td>February 11, 2014</td>
<td>Assessing the Reliability of Performance Data</td>
<td>Stuart Grifel</td>
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For questions or comments, please contact the VP of Seminars Dave Holbrook at IIAsacramento@gmail.com.

TAKE THE LEAD. BECOME A CERTIFIED INTERNAL AUDITOR. PREPARE TO PASS THE 3-PART CIA EXAM!

Start your 3-Part CIA exam studies today with The IIA's CIA Learning System®. Our comprehensive study tools are now more customized, convenient and mobile so you can make the most of your valuable study time.

New Features help maximize your CIA Study Experience:
- New! Learn the entire 3-part CIA exam syllabus.
- New! Access reading materials via your e-reader device.
- New! Study on-the-go with mobile optimized online study tools.


Prefer a live or online facilitator-led course? New 3-Part Classes Coming This Fall!

For a complete list of available courses click HERE or call 1-877-442-2425.
## IIA Regional Chapter Events

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<th>Location</th>
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<td>San Jose</td>
<td>October 11, 2013 8:30am to 5:00pm</td>
<td>Brocade HQ 130 Holger Way San Jose, CA 95134</td>
<td>Internal Audit Communication Skills</td>
</tr>
<tr>
<td>NCEB (Northern CA East Bay)</td>
<td>October 17, 2013 2:00pm to 4:00pm</td>
<td>Chevron Building Auditorium 2003 Diamond Blvd, Concord, CA 94520</td>
<td>Threats in the age of Wikileaks</td>
</tr>
<tr>
<td>San Francisco</td>
<td>October 25, 2013 8:00am to 10:00am</td>
<td>McKesson Corp. 1 Post St. Cust. Vision Center San Francisco, CA 94101</td>
<td>Annual Audit Executive Roundtable</td>
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Register at: [https://internalauditcommunicationskills.eventbrite.com/](https://internalauditcommunicationskills.eventbrite.com/)


Register at: [http://sfiiafykickoffsocial.eventbrite.com/](http://sfiiafykickoffsocial.eventbrite.com/)
Join us for our biggest event this fall as we celebrate AFWA achievements and our new brand, invite guests to grow our membership and honor AFWA Past Presidents. It will be a fun and informative evening as John Rinehart, Exec. VP, Business Operations and CFO of Sacramento Kings presents on various sports topics and current events such as; the Business of Sports, Accounting Issues in the Sports Industry, Franchise Valuations and Transactions, and Careers in the Sports Industry.

Mr. Rinehart has served the Sacramento Kings for 14 seasons. He oversees all accounting and business operations of the Sacramento Kings and Sleep Train Arena. Previously, Rinehart spent two years as the Director of Finance for Anaheim Sports, Inc., Anaheim Angels (MLB), and Anaheim Mighty Ducks (NHL), two seasons with the San Francisco Giants (MLB) and five years with PricewaterhouseCoopers, LLP. He earned a bachelor’s in accounting from Villanova University (1991).

### When:
- Thursday, October 10th, 2013
- 5:30 PM Networking & Sponsor Tables
- 6:30 PM General Meeting
- 8:30 PM Silent Auction

### Where:
Courtyard by Marriott, Sacramento Cal Expo
1782 Tribute Road, Sacramento, CA 95815
(Highway Business 80 and Exposition Boulevard)

### Cost:
$40.00 Members & Guests

### Menu:
Cheese Tortellini with Grilled Chicken, Seasonal Vegetables and Salad. Coffee, Iced Tea and Chef’s Choice of Dessert.

### RSVP:
AFWA Voicemail: (916) 800-2792 or Email: ASWASacramentoChapter31@gmail.com
Deadline: Noon, Monday, October 7th, 2013. Please reserve early, seating limited.

### CPE**:
Credit Hours: 1
Program Level: Overview
** See ASWA-Sacramento.org for details

### Info:
Joanna L. Johnson, CPA, President: (916) 683-5454
Risk Assessment for Emerging Threats and Opportunities
Tuesday November 12th, 2013

The program presenter, John Pitt, will walk program participants through the following issues:

1. What is Risk Assessment, why should my boss care?
2. Risk Assessment applicability in business
3. Risk Assessment components
4. Emerging Threats (Trustwave Global Security Report references)
5. Case Studies - new line of business, cloud, mobile/BYOD

John Pitt is currently engaged in strategic initiatives which advance Trustwave in IT Security and Compliance markets. Jon specializes in business transformation, global program management and security team building, professional services and service delivery management, strategic alignment, operating margin, process optimization. John is well versed in NCUA, FFIEC/GLBA, HIPAA and SOX.

When:
11:30am - Check-in / Networking Lunch
11:45am - Chapter Announcements
11:50am - Presentation
12:50pm - Presentation Completion

Where:
MOSS ADAMS LLP
3100 Zinfandel Drive, Fifth Floor
Rancho Cordova, CA 95670

Cost:
ISACA and Affiliate Chapter Members*: $20.00
Non-Members: $25.00
*Affiliate Organizations Include: IIA, IAPP, ISSA, AGA, PMI

RSVP:
On-line: www.isaca.org/chapters7/Sacramento/Events/
Deadline: Noon, Monday, November 11th, 2013 **
**Walk-in attendance welcomed with cash payment or check payable to ISA-CA, Sacramento Chapter.

CPE**: Credit Hours: 1
Social Media Contest

Congratulations to Charlene Ho, who won the September contest. She is the lucky winner for the free admittance to the October 22nd program.

The IIA Sacramento Chapter Social Media contest continues for the month of October! 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 November IIA chapter program!

Please contact David Gray at: IIAsacramento@gmail.com

The IIA's complimentary Members-Only Webinar Series is available exclusively to you as part of your membership investment. These monthly educational webinars are developed specifically with IIA members in mind.

Register for these up-coming webinar series by clicking on the topic:

- October 8, 2013 Future of Internal Audit
- November 12, 2013 Internal Audit in a Virtual World (Mobile Security)
- December 17, 2013 Ethics in the Industry

Watch Archived Webinars On-demand 24/7 Members-Only Webinar Playback

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.

For questions on event registration please contact: IIAsacramento@gmail.com
Unlock Your Door to Opportunity with IIA Global Certifications

The IIA offers a comprehensive certification portfolio for internal auditors that can serve as the key to unlocking your next opportunity within the profession; enhancing your credibility and adding clout to your resume.

There are many reasons to earn an official IIA certification designation. Whether it’s the hallmark designation of internal audit — the Certified Internal Auditor® (CIA®) designation — or one of our four specialty industry certifications, obtaining a certification is professionalism defined.

Earning your certification is like having a key to the vast world of opportunities the profession of internal auditing offers placed in the palm of your hand. It can open doors you did not even know existed, as the three or four letters that now follow your name will make one powerful statement about the expertise you bring to the table.

Interested in becoming certified? The following are six (6) easy steps to Certification: (1) Decide which Certification is right for you. (2) Determine your eligibility and skill level. (3) Register for the Exam. (4) Prepare for the Exam. (5) Take the Exam (6) Receive your Certificate!

To learn more about IIA Global Certifications go to www.theiia.org/certification or click on any of the specific certification icons below.

Important Change to Education Requirements

The IIA’s Global Board of Directors recently approved an alternate path to eligibility for the Certified Internal Auditor designation for candidates who do not have a bachelor’s degree from an accredited university.

Candidates may now become eligible for the CIA, subject to approval, if they possess either:

- 2 years of post-secondary education and 5 years of verified experience in internal auditing or its equivalent.
- 7 years of verified experience in internal audit or its equivalent.

As it becomes available, more information will be posted on the IIA Certifications website, so check back for updates and details.

NASBA

The Sacramento Chapter of the Institute of Internal Auditors is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website:

www.learningmarket.org
CHAPTER LIBRARY

The IIA Sacramento Chapter has a variety of materials available for members to check out to assist them with various research, audits, and to study for the CIA Exam!

Click HERE for a current listing of chapter materials!

Overdue Items? Please bring your overdue library items to this month’s program or seminar. If you need more time with the materials, please email your request for an extension.

Questions? Please contact Lan Ho at IIAsacramento@gmail.com.

FREE RESEARCH REPORT TO IIA MEMBERS

Contrasting GRC and ERM: Perceptions and Practices among Internal Auditors brings clarity to the gray area regarding enterprise risk management (ERM) and governance, risk, and control (GRC).

Free to IIA members, this research report released by leading academics and researchers from the renowned Louisiana State University’s Center for Internal Auditing explains the debate about the meaning of GRC and ERM. Click on link below for your copy today!

The IIA Sacramento Chapter has renewed its partnership with Gleim Publications to ensure your success on the CIA ex-am! 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 Ex-am 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
By email: melissa.leonard@gleim.com
By fax: (888) 375-6940, attn: Melissa Leonard
BENEFITS OF MEMBERSHIP

IIA members are entitled to free or specially priced guidance, training, and services. Many of the valuable opportunities available to IIA members are listed below.

→ Advocacy
→ Audit Career Center
→ Bookstore
→ Certification
→ Guidance
→ Knowledge
→ Networking
→ Partner Savings
→ Training

"I'm a member because of the relevancy of educational opportunities and networking opportunities."

Kimberly Phegley, CIA
IIA member since 2000
Nashville, TN

Check out the Sacramento Chapter's latest upload to AuditChannel.tv!


www.AuditChannel.tv is an online video-sharing site that addresses the specific needs of internal auditors and the business community. With video channels focused on areas such as fraud, governance, risk, technology, operations, finance, compliance, and more, AuditChannel.tv enables internal audit professionals worldwide to easily search for and post videos that address topics of the greatest interest to the profession.

Speaking Opportunity

Sacramento State Professor John Corless, PhD, CPA, CIA is looking for a guest speaker for his November 26th auditing class. His classes are at 10:30 am and noon. If you’re interested contact Mitch Braun at:

IIAsacramento@gmail.com

Chapter Committee Openings

We are always looking for volunteers to assist with the chapter. This is the perfect way to rapidly expand your network, make new friends and advance your career. If you are interested please contact the chapter at:

IIAsacramento@gmail.com
On September 13th the Sacramento Chapter of the IIA participated in Junior Achievement’s Crazy Bowl. This year’s theme was “Kids are our Future”. Junior Achievement is a partnership between the IIA, the business community, educators and volunteers working together to inspire young people to dream big and reach their potential. They teach financial literacy, entrepreneurship and workforce readiness to students in grades K-12.

The chapter would like to thank Lynn Bashaw, Mitch Braun, and Windy Bouldin who bowled on the IIA Sacramento team. Also bowling were IIA members Jim Cox, Jim Henthorn, Janiece Pierce, Da Mey, Paul Dickey, Kara Giano, Victoria Terry, and Kevin Shaw. The IIA was a bronze sponsor this year and contributed $750 to Junior Achievement. Kevin’s daughter also participated in the bowling pin painting contest and took 2nd place. She wanted to thank IIA members who voted for her R2D2 bowling pin.

A special thank you goes out to Da Mey who helped organize the event for the IIA. Thank You Da!!