Hello San Diego Chapter Members,

Last month we had an excellent discussion on “Ethics in the Workplace” presented by the County of San Diego. I hope you had the opportunity to attend and refresh your understanding of workplace ethics.

Next on our program calendar, we have Jason Emmons, Managing Director in PwC and Michael Jerauld, Manager in the PwC’s Risk Assurance Practice in the San Diego Office, discussing effective leadership in the internal audit function and its importance in the mind of stakeholders. This is going to be a great opportunity to discuss that improving the leadership strength of the internal audit function can result in an increased contribution to stakeholders.

In addition to our presentation, we will be holding our first Holiday Toy Drive to benefit It’s All About the Kids Foundation. I hope to see you all there!

A brief reminder about the CAP program – this program requires each chapter to tally the different activities in which members participate to promote the IIA. At the end of the year, the success of the chapter is evaluated based on the number of CAP credits that we earned. We have continuously achieved the “Gold Status” and need to maintain it for the next 3 years before we can achieve “Platinum Status”. That is why I encourage you to please notify me or any member of the IIA Board of:

- Audit related articles that you may have written and published by either you or a peer in the IIA.
- Speaking / Training events that you or an IIA peer provide for your company or for professional group.

All these activities provide CAP points to the Chapter. Remember that at the end of the year, our goal is GOLD!

We wish you all a very happy holiday season and a peaceful and prosperous New Year.

Laura Flores
SD IIA Chapter President
<table>
<thead>
<tr>
<th>Upcoming Events</th>
<th>IIA West Region</th>
<th>IIA</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>IIA San Diego Chapter</strong></td>
<td><strong>January 9-10, 2017</strong></td>
<td><strong>March 20-22, 2017</strong></td>
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<tr>
<td>December 7, 2016 – Leadership</td>
<td>The Environmental Health</td>
<td>General Audit Management</td>
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<tr>
<td>Matters: Advancing Toward</td>
<td>and Safety Exchange West Coast</td>
<td>Conference</td>
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<td>True North as Stakeholders</td>
<td>San Diego, CA</td>
<td>Orlando, FL</td>
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<td>Expect More &amp; 1st Annual</td>
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<td>Toy Drive</td>
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<td><strong>December 14, 2016</strong></td>
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<tr>
<td>– IIA San Diego, Analytics</td>
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<td><strong>April 19-20, 2017</strong></td>
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<tr>
<td>Roundtable</td>
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<td>Gaming &amp; Hospitality Conference</td>
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<tr>
<td><strong>January 11, 2017</strong></td>
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<td>Las Vegas, NV</td>
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<tr>
<td>– IIA/ACFE Fraud seminar</td>
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<td><strong>February 8, 2017</strong></td>
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<td><strong>July 23-26, 2017</strong></td>
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<tr>
<td>– Introduction to Six Sigma</td>
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<td>International Conference</td>
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<td><strong>March 8, 2017</strong></td>
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<td>Sydney, Australia</td>
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<td>– All Day Government Seminar 2017</td>
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<td><strong>April 12, 2017</strong></td>
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<tr>
<td>– All Day ISACA / IIA IT Seminar</td>
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<td><strong>May 10, 2017</strong></td>
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<td>– IIA Luncheon End of Year</td>
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See all upcoming Chapter Events on the San Diego IIA Chapter Program here:

https://chapters.theiia.org/san-diego/Events/Pages/default.aspx

https://na.theiia.org/training/conferences/Pages/Conferences.aspx
Complimentary Fraud Partnership Webinar: SEC Investigations: Are There Benefits to Cooperation and Self-Reporting?

December 13, 2016  1:00–2:30 p.m. ET

Sign up for the latest complimentary Anti-Fraud Collaboration webinar, *SEC Investigations: Are There Benefits to Cooperation and Self-Reporting?* and understand the real implications of proactively engaging in the Securities and Exchange Commission’s Division of Enforcement Formal Cooperation Program.

Self-reporting organizational fraud is encouraged by the SEC through the cooperation program’s various benefit levels, accrued by individuals and companies through a weighed scale based on four broad factors: self-policing, self-reporting, remediation, and cooperation. Today, companies and boards continue to struggle with when and how to accurately report organizational fraud, and the potential inherent risks for not self-reporting.

Join your peers on Tuesday, Dec. 13, from 1:00–2:30 p.m. ET as an expert panel, moderated by the Center for Audit Quality’s Executive Director Cindy Fornelli, ponders considerations for self-reporting, the necessary decision makers, and the most recent enforcement actions involving cooperation agreements. Hear directly from Karen Brockmeyer, SEC chief of the Foreign Corrupt Practices Act Unit, Tesoro’s Rodney Chase, KPMG Partner Timothy Hedley, and Sidley Austin Partner Fiona Philip.

**Learning Objectives**

Webinar participants will explore the inner workings of the SEC Cooperation Program, including recent cooperation agreement trends and the latest agreement enforcement actions. Participate in discussions on real-world examples of self-reporting companies, and hear from SEC experts on what you need to know to ensure your organization takes the right steps after fraud is detected. Attendees will also understand how the Commission defines cooperation and when self-reporting is the right step for their organization.

If you are a key player in the financial reporting supply chain, including all audit committee members, financial executives, internal auditors and external auditors, you cannot miss this complimentary fraud webinar.

This free webinar series is sponsored in part by the Center for Audit Quality (CAQ), Financial Executives International (FEI), The National Association of Corporate Directors (NACD), and The IIA. This free event qualifies for 1.5 CPE credits and 1 NACD Skill-Specific Credit.
The Election’s Over, Now What? Understanding Washington’s Agenda for Public Policy Change for 2017

December 20, 2016 1:00–2:00 p.m. ET

A polarizing election creates enormous challenges for a new president and Congress tasked with finding solutions that will bridge the nation's political, economic, social, and cultural divides. The business environment of the next decade promises to be shaped by the regulatory and legislative actions emerging from Washington over the next two years. Join the Arnold & Porter Legislative and Regulatory team, which represents The IIA and its members’ interests in Washington, to understand how the outcome of this election will drive policy changes that present extraordinary business risks and opportunities. In addition to a broad review of the election’s impact on the business world, we will take a more in-depth look at the changes coming in several highly regulated industries: tax, financial services, insurance, health care, life sciences, and energy.

Learning Objectives

- You will gain an understanding of the post-election landscape of Congress and the executive branch.

- You will see a more in-depth analysis of what changes may be coming in several highly regulated industries such as: tax, financial services, insurance, health care, life sciences, and energy.

- A look into how the election will shape the issues policymakers take on in 2017 more broadly.

Course Duration: 1 hour
CPE Hours Available: 1
Knowledge Level: Intermediate
Field of Study: Auditing
Prerequisites: None
Advance Preparation: None
Delivery Format: Internet Group Live
Speakers

Kevin O'Neill
*Partner, co-chair of Legislative Group, Arnold & Porter*
Kevin O'Neill helps clients understand and navigate federal legislative and executive complexities to further their business objectives. His clients include domestic and foreign corporations, associations, municipal governments, transportation agencies, health care systems, universities, and foreign sovereigns. In the tax and financial services sector, O'Neill has helped companies and associations develop long-term campaigns to advocate for specific policies in comprehensive tax reform legislation and the Dodd-Frank Act. He has also advocated before the Consumer Financial Protection Bureau on behalf of companies and associations affected by rulemakings before that agency.

Charley Landgraf
*Partner; co-chair of Legislative Group, Arnold & Porter*
Charley Landgraf has extensive experience representing a broad range of clients in the insurance, energy, and real estate industries before Congress and the administration. He has also formed several onshore and offshore captives, and has obtained amendments to various federal environmental, aviation, and maritime statutes for insurer clients in recent years. Landgraf regularly practices before the executive branch, including the Departments of Treasury, Commerce, and Transportation, the Executive Office of the President and federal financial regulatory agencies. He also focuses on regulation of trade in services and international intellectual property law.

Eugenia Pierson
*Senior Policy Advisor, Arnold & Porter*
Eugenia Pierson assists clients in the development and implementation of legislative and regulatory strategies. As senior policy advisor and head of health care legislative advocacy, her work focuses on health policy issues related to hospital systems, providers, consumers and manufacturers, including Medicare coverage and reimbursement, Medicaid, the State Children's Health Insurance Program, public health, insurance coverage, delivery system reform, health information technology, and implementation of national health care reform. Pierson began her career on Capitol Hill as a staff member of the House Energy and Commerce Committee's Health Subcommittee. She later served as the former chair of an Am Law 100 firm's Healthcare Policy practice group.

Dana Weekes
*Associate, Arnold & Porter*
Dana Weekes provides strategic counsel to clients to advance their policy goals on Capitol Hill and within the Executive Branch on issues affecting various sectors including food and agriculture, energy, technology, education, appropriations, and federal grants. In helping her clients navigate the federal government to address major challenges or secure key opportunities, Weekes develops both traditional and innovative ways for her clients to strategically engage both policy decision-makers and policy influencers. She also works with clients on legislative and regulatory issues governed by various major legislation and reauthorizations, including the Farm Bill, the annual appropriations bills, Child Nutrition Act, Food and Drug Administration Amendments Act of 2007, Energy Independence and Security Act of 2007, NASA reauthorization, Higher Education Act, Elementary and Secondary Education Act, Career and Technical Education Act, and the Family Educational Rights Protection Act.

Samantha Martin
*Public Policy Specialist, Arnold & Porter*
Samantha Martin advises a range of clients including companies, associations, universities, municipalities, and transportation authorities on a variety of legislative and policy matters. She assists clients in the development of strategic plans to raise their national profile and identify federal funding opportunities, while also monitoring and analyzing relevant legislative and administration movement for her clients. Martin also provides strategic counsel to clients who are developing large-scale advocacy events as well as those in need of rapid response crisis management efforts. As part of Martin's narrower policy practice, she can offer counsel on a range of areas including appropriations, higher education, workforce development, energy, trade, telecommunications, Title IX issues, and federal grants.
January 9–10, 2017 / The Westin / San Diego, CA

Young Professionals on the Rise

A career in internal auditing today is not the same as it was only five years ago. In less than 10 years, the internal audit profession has seen tremendous changes, including increased responsibilities, a dynamic shift in interest areas, and phenomenal technology advances.

As a young professional on the rise in internal audit, you need to learn what it takes to become an Emerging Leader. Join us for the inaugural Emerging Leaders Forum and develop the skills necessary to become an outstanding, valued practitioner and future leader in the internal audit global landscape.

Who Should Attend?

Those who consider themselves a Young Professional on the Rise; who value the development and networking opportunities afforded by active involvement in The IIA and other professional organizations; who love to learn, especially about technology; and who value the key role internal audit often plays in strategic planning and business operations.

Our conference team is hard at work developing a cutting-edge program which will deliver up to 6 CPE.

Please check back frequently for updates!

What's in it For You?

- **Interact face-to-face** — Gain insights, share ideas, and network with likeminded young professionals facing similar challenges and opportunities.

- **Update your knowledge and skills** — Earn required CPE credits, develop new techniques to advance your internal audit career, and leave prepared to position yourself for success in a changing world.

What's in it For Your Organization?

- **Exceptional value for your training dollars** — Gain strategies and tools that can be utilized to share insights with your audit leaders.

- **Access to industry experts** — Industry leaders will be sharing insights and leading practices you'll be able to implement immediately.

Pricing

<table>
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<th>Early Savings by Dec. 23*</th>
<th>Regular Rate As of Dec. 24*</th>
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<tbody>
<tr>
<td><strong>Members</strong></td>
<td>US$195</td>
<td>US$295</td>
</tr>
<tr>
<td><strong>Nonmembers</strong></td>
<td>US$295</td>
<td>US$395</td>
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*Per person pricing in USD. Groups of 4 or more please contact IIA Customer Relations to register at +1-407-937-1111 or CustomerRelations@theiia.org.
The IIA’s CIA Learning System

Discount available to all IIA Members!

The IIA’s CIA Learning System is a comprehensive training course designed to provide chapters, members, and the audit community of professionals with information and tools to master the global CIA exam syllabus. This premier quality program is aligned with the International Professional Practices Framework (IPPF) to ensure you stay current with the global internal auditing profession and are ready for the CIA exam. It combines printed text with online testing tools and online questions. Take advantage of the best prep materials out there by ordering yours today! If you are interested in special pricing of these materials which are only available through our Chapter, please contact Laura Flores at Laura.Flores@sdcountry.ca.gov.

You can also order the materials at the regular price by visiting: http://ecommerce.mylearningresource.com/stores/IIA/chapter/
The 2017 Western Regional Conference offers attendees cutting-edge, relevant information on core competencies, general audit practices, with specific, new information on audit activities and Industry hot topics such as regulatory compliance, business intelligence, cybersecurity, mobile computing, and fraud presented by prominent internal audit leaders from the industry and government.

**Who Should Attend?**

IIA members and nonmembers at every level in their career will benefit from this event, providing cost-effective training with a regional focus.

Training sessions will address current and emerging audit challenges facing professionals and how to build valuable and applicable skill proficiencies. Co-hosted by seven of IIA chapters in Southern California, the conference will focus on networking between the chapters and sharing best practices and techniques in use within organizations.

The educational program consists of four general sessions, pre-conference workshops, and breakout sessions in the following five educational tracks: Technology; Governance, Risk, Compliance, and Fraud; Government and Public Sector; Industry (Finance and Health Care); and The IIA’s CIA Learning System® Review Course*. Details are available on the [Program Information](#) page.

Earn up to 18 CPE credits by attending the conference. Additional CPE available when you attend a pre-conference workshop.

**Save US$100** Today – [Register Now](#)

**Early registration savings of US$100 end March 13, 2017.**
Your history of strong performance landed you at the top of your profession. Your vision for the future — and your ability to deliver — is what will keep you there. The IIA’s Audit Executive Center gives you the tools, resources, and information you need as a chief audit executive (CAE) to stay on top by helping you stay ahead.

Be Empowered. Be Connected. Be Relevant.

About the Center

An exclusive membership-based service developed to support CAEs in answering the demands of their evolving roles, the Audit Executive Center empowers its members to perform through delivering unparalleled access to:

- A robust members-only website, featuring a growing Knowledge Center of nearly 950 pieces of thought leadership and more than 1,200 tools, templates, and planning resources.
- Exclusive peer-to-peer knowledge sharing opportunities such as forums, roundtables, and networking events, many are CPE eligible.
- E-bulletins, news publications, and weekly alerts geared specifically for CAEs.

What Can Membership Mean for You?

Being a member of the Audit Executive Center provides you concierge level service, which means:

- You save valuable time searching for information by accessing the Center’s consolidated, credible, and comprehensive thought leadership, information, and research.
• You have a convenient, economical, and flexible way of connecting with current events, emerging trends, and best practices.
• You know what your peers are doing, what’s working for them, and how your team compares.
• You are armed with the information you need to proactively engage management in meaningful dialogue and earn your “seat at the table.”
• You have the support you need to strategically develop your team’s skill sets and operate as a value-added organizational resource.

What Sets the Audit Executive Center Apart?

The Audit Executive Center offers a distinctive value proposition:

• Peer-to-peer networking opportunities provide invaluable access to others facing the same demands and challenges. The Center strives to create bonds and relationships among CAEs worldwide.
• Intuitively organized information is delivered succinctly and is easily searchable with your members-only access to optimize your experience and save you time.
• Your Center experience is fully customizable providing you access — online, in-person, and at your convenience — allowing you to decide how you participate.

Three levels of membership — Professional, Advocate, and Ambassador — offer Center members the option to choose which tools and resources are best suited to their individual needs. Your internal audit team exists to support your organization and meet stakeholder expectations. The Audit Executive Center exists to support you — our most important stakeholder. We invite you to tour the Center and explore how we can exceed your expectations.

Contact Us

If you have questions, please contact cae@theiia.org.

https://na.theiia.org/services/cae-resources/AEC/Pages/The-Audit-Executive-Center.aspx
The program, referred to as CAP, requires each chapter to tally the different activities in which its members participate that promote the IIA. For example, achievement points may be earned for presentations given by Chapter members or for the number of participants that attend a sponsored or cosponsored IIA Chapter event. The CAP program is the IIA’s Business Score Card used to monitor and recognize the activities of the local chapters that promote the strategic objectives of the IIA.

Throughout the year, the achievement program monitors and scores each chapter’s participation in the following three service categories:

- Service to Members
- Service to the Profession
- Chapter Administration

At the end of the year, CAP evaluates the success of each chapter’s efforts through use of four performance level classifications:

- BRONZE: 685 achievement credits
- SILVER: 1,060 achievement credits
- GOLD: 1,560 achievement credits
- PLATINUM: a chapter achieving GOLD status 10 of 11 years

In order to become the top scorer, compared to larger chapters in the United States, we need your assistance in tracking the CAP points we have earned.

The CAP section of our newsletter serves to provide an awareness of member activities that promote the profession and/or membership for which we can receive CAP points. Each month we will highlight the types of activities that can earn us points as well as provide an update on our progress!

If you are aware of chapter membership activities that will earn us CAP points or have any questions regarding the CAP program, please contact John Lefter at John.Lefter@sharp.com.

If you have presented any materials that resulted in the award of CPE, have published any articles or have any other activities that you believe may qualify for CAP points, please let us know and we will be more than happy to work through the detail.

<table>
<thead>
<tr>
<th>Category</th>
<th>Minimum for Bronze</th>
<th>San Diego Chapter Points (Est. as of 12/5/2016)</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Service to Members</td>
<td>325.00</td>
<td>246.17</td>
</tr>
<tr>
<td>II. Service to Profession</td>
<td>200.00</td>
<td>258.94</td>
</tr>
<tr>
<td>III. Chapter Administration</td>
<td>160.00</td>
<td>281.00</td>
</tr>
<tr>
<td>Total</td>
<td>685.00</td>
<td>786.11</td>
</tr>
</tbody>
</table>
Volunteering:

Interested in volunteering??? The San Diego Chapter needs you! Help us by volunteering for positions on committees like publicity and newsletter, seminars and speakers, and for governance positions like Vice President or Treasurer. If you are interested in volunteering, please contact Laura Flores at Laura.Flores@sdcounty.ca.gov. Aside from great networking opportunities, you may earn CPE credits for Chapter service.

Communicate with us:

In addition to our Chapter webpage, get in touch with us through LinkedIn, Twitter, and Google!

Welcome New Members

The San Diego IIA Chapter would like to wish a warm welcome to the following new members:

<table>
<thead>
<tr>
<th>First Name</th>
<th>Last Name</th>
<th>Company</th>
</tr>
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<tbody>
<tr>
<td>Michael</td>
<td>Greco</td>
<td>Viejas Tribal Gaming Commission</td>
</tr>
<tr>
<td>Bradley</td>
<td>Bates</td>
<td>San Diego County Credit Union</td>
</tr>
<tr>
<td>Kenny</td>
<td>Lee</td>
<td>Qualcomm Inc.</td>
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</tbody>
</table>
BOOK OF THE MONTH


This time-tested handbook offers practical information on conducting engagements, report development, internal control, risk-based auditing, control self-assessment, and much more. *Internal Auditing: A Guide for the New Auditor*, 3rd Edition, prepares new internal auditors for professional challenges by providing:

- An overview of the internal audit profession.
- Tools used by successful internal auditors.
- Value-added tactics that can be implemented within the organization.
- An overview of The IIA’s *International Standards for the Professional Practice of Internal Auditing*.

Member Price: US$47.99
Nonmember Price: US$59.99
Place Your Order Today.
Visit [www.theiia.org/bookstore](http://www.theiia.org/bookstore)

*Discount also applies to eBOOK and PDF formats.*
Local Job Opportunities

Want to be noticed by a highly qualified pool of over 500 CIAs, CPAs, and MBAs? You can be by posting your job on our website. Jobs are also included here in our monthly newsletters. For more information on job postings, contact LauraFlores at Laura.Flores@sdcounty.ca.gov or Dan Lathus at Dan.Lathus@riskopportunities.com.

Below are the September job postings. To see further detail on these and more, see the full postings at: https://chapters.theiia.org/san-diego/Careers/Pages/default.aspx

Senior Accountant

The Senior Accountant is the advanced working and lead level class in the professional accountant series and reports to Supervising Accountants or Principal Accountants. This class is utilized in operating departments of the County requiring extensive technical knowledge and the exercise of independent judgment to perform difficult and complex accounting or auditing work. Senior Accountants may act in a lead capacity or as a project leader over lower level professional, paraprofessional and clerical staff but have primary responsibility for the accomplishment of specific accounting or auditing assignments.

The Senior Accountant class is distinguished from the Supervising Accountant in that the latter typically has complete supervisory control over professional, paraprofessional and clerical staff for a functional unit within department's accounting operations.

https://chapters.theiia.org/san-diego/Careers/Pages/ICW-Group-Senior-Internal-Auditor.aspx
GENERAL AUDIT MANAGEMENT CONFERENCE
March 20–22, 2017 / Gaylord Palms / Orlando, FL

Network with 1,000+ Audit Executives
Choose from 50+ Educational Sessions
Enjoy 6 Tracks Focused on Risk Resilience
Earn Up to 18.3 CPE Credits

Register today at www.theiia.org/GAM

Live The Global Experience in Sydney!
International Convention Centre / Darling Harbour, Sydney / 23–26 July 2017