



Monday | March 14

8:00 – 9:30 AM PDT

Opening Comments and the American Hall of Distinguished Audit Practitioners Awards

GS 1: Fireside Chat Information Being Finalized

Anthony J. Pugliese, CIA, CPA, CGMA, CITP
President and CEO
The Institute of Internal Auditors Global Headquarters

Bob Hirth
Senior Managing Director
Protiviti

Session Description Being Finalized

Anthony J. Pugliese is President and CEO of The IIA, focused on enhancing membership services, creating new approaches to learning and competency development programs, fulfilling The IIA's multimillion-dollar digital transformation initiative, and enhancing the value of internal audit. Pugliese was previously President and CEO of the California Society of CPAs, where he led development of a Diversity, Equity, and Inclusion Committee to identify and address racial and other inequities in the accounting profession. Prior, he served in key leadership positions at what is now the Association of International Certified Professional Accountants. Pugliese has been repeatedly recognized as one of the most influential people in accounting, appearing most recently on the cover of *Accounting Today*.

Bob Hirth was appointed to the nine-member standard setting board of the Sustainability Accounting Standards Board (SASB) upon its formation in 2017 and serves as a vice chair of the board. He currently heads SASB's technology and communications sector committee and is a member of the services, healthcare and extractive and minerals processing sector committees. Serving as COSO chair from June 2013 to February 2018, Hirth's activities included leading COSO's project on revising its Enterprise Risk Management Framework, which was released in September 2017; issuing COSO's Guide on Fraud Risk Management; and actively promoting COSO's 2013 Internal Control Integrated Framework around the world and through the media. He initiated COSO's guidance on ERM/ESG integration, which was issued in 2018. He has worked on assignments and made presentations in 20+ countries, serving 50+ organizations and working closely with board members, C-level executives, university professors, finance and accounting personnel, and public accounting firm partners and employees.

He is a senior managing director of Protiviti, a global internal audit and business risk consulting firm that operates in 22 countries. Prior to that, he was executive vice president of global internal audit and a member of the firm's six-person executive management team for the first ten years of Protiviti's development. In 2013, Hirth was inducted into The IIA's American Hall of Distinguished Audit Practitioners. In 2014 and 2015, he served as the chairman of The IIA's IPPF re-look task force.



Monday | March 14

10:15 AM – 12:00 PM PDT

GS 2: Red Flag Mania Mysteries: Audit Chase

Kelly Richmond–Pope
Forensic Accountant
Professor, DePaul University
Filmmaker

Lives are at stake and you are the investigator. Spot red flags in this fast-paced medical mystery as you put on your sleuthing hat to review evidence and solve a crime. Your job is to determine if it's fraud or something more sinister... Lives are at stake and every decision matters.

In this session, participants will:

- Communicate findings and recommend corrective measures.
- Identify inconsistencies across documents.
- Apply best practices when handling financial documents.
- Identify, recognize, and define common schemes.

Kelly Richmond–Pope's Bio Being Finalized

Monday | March 14

1:30 – 2:30 PM PDT

CS 1-1: Going on the Offense: Internal Audit's Role in Evaluating Cybersecurity Using Advanced Technical Testing

Scott Peyton, CPA, CGEIT
Partner, Advisory Services
Grant Thornton

Recent trends show that cyber threats have increased significantly, nearly doubling over the last year. As companies place increased reliance on their cybersecurity capabilities, progressive internal audit teams are moving beyond traditional policy and procedure audits. They're going on the offensive to proactively test these capabilities using Advanced Emulation Assessments and Proactive Cybersecurity Assessments. These advanced technical testing strategies help prove the operating effectiveness of the organization's cybersecurity capabilities and put teeth behind process and control findings identified through more traditional cyber maturity assessments.



In this session, participants will:

- Understand how to evaluate cybersecurity risks within their organization and how to enhance cyber programs by combining technical cyber techniques with risk-based control frameworks and maturity plans.
- Review internal audit trends and the shift from program audits to technical control effectiveness testing.
- Define internal audit's role in evaluating technical controls through risk-based frameworks.
- Discuss leading practices for enhancing cyber resiliency.

Scott Peyton has 25+ years of experience as a service provider and practitioner, including executive-level positions in management consulting firms, finance organizations, and internal audit departments. He is a Partner in Grant Thornton's Advisory Risk services, leads the firm's national Internal Audit IT and Cybersecurity practice, and serves as a Subject Matter Specialist in enterprise risk and compliance management, SOX readiness and compliance, SOC examinations, and internal audit process improvement. Peyton has served as divisional CFO of a large, multinational entertainment company. He held several internal audit positions and was responsible for implementing and managing a worldwide IT audit practice. He has served clients in financial services, health care, utilities, and telecommunications/entertainment.

CS 1-2: The Risk Assessment Excellence Imperative

Session Information Being Finalized

CS 1-3: Using Data Analytics to Detect Fraud as a Small Audit Shop

Elise Foley, CIA, CPA
Senior Manager, Internal Audit
American Eagle Outfitters Inc.

Jeffrey Mitch, CGMA, CPA
Senior Manager Internal Audit
American Eagle Outfitters Inc.

Corie Ravotti, CISA
Senior Internal Auditor
American Eagle Outfitters Inc.

This presentation will explore the development of multiple ACL scripts that are run on a monthly basis to provide alerts of potentially risky or fraudulent transactions. The custom-built scripts were developed using examples of prior fraud within the organization, combined with industry standard risk indicators ("red flags"). When the scripts are run, a member of the internal audit team detail tests flagged transactions.



In this session, participants will:

- Learn about examples of scripts run and transactions flagged for testing, including:
 - Concur T&E system
 - Ariba Accounts Payable processing
 - Quarterly comparison of Ariba vendor master file to Tradestone (Merchandise) vendor master file

Elise Foley is a Senior Manager of Internal Audit at American Eagle Outfitters (AEO), where she leads the planning and execution of the company's comprehensive Sarbanes-Oxley (SOX) program and risk-based internal audit plan. AEO's internal audit department believes in utilizing data analytics tools to further enhance the value and efficiency that internal audit can deliver to the organization. Foley began her career at PricewaterhouseCoopers and spent more than six years serving internal audit clients in a variety of industries. Her experience also includes time at HJ Heinz Company and a three-year stint in merchandise planning before her return to internal audit. 2022 marks her 10-year anniversary at AEO.

Jeffrey Mitch currently works as a Senior Manager of Internal Audit at American Eagle Outfitters (AEO), where he utilizes data analytics tools to further enhance the value and efficiency that internal audit can deliver to the organization. Throughout his career, Mitch has demonstrated his abilities as an astute and reliable problem solver. Prior to AEO, he worked for PriceWaterhouse Coopers as a Risk Assurance Experienced Associate on both external audits and co-sourced internal audits.

Corie Ravotti is a Senior Internal Auditor at American Eagle Outfitters (AEO). She is responsible for leading SOX IT general control testing, as well as several IT, operational, and compliance reviews. By utilizing data analytics tools during her reviews, Ravotti adds value and optimizes efficiencies in the audit process. Prior to AEO, she worked for Deloitte as an Enterprise Risk Services Experienced Consultant and for PPG as a Senior IT Auditor and SOX Coordinator.

CS 1-4: Driving Value With Diversity, Equity, and Inclusion Audits

Bianca Sarrach, CIA, CFSA, CRMA, CFE
Partner, Trust Services
Armanino LLP

Mary Tressel
Executive Director, Consulting
Armanino LLP

Tamika Mitchell, CIA, CFE
Manager, Trust Services
Armanino LLP



The concept of workforce diversity, equity, and inclusion (DEI) has become a focus area for the majority of organizations. Studies have shown that companies with a more diverse workforce outperform their rivals financially and see an improved corporate culture. This presentation will focus on DEI and how internal audit can provide value to the organization through DEI audits, helping senior leaders to assess the current status of DEI in their workforce and providing value-add insights.

In this session, participants will:

- Explore DEI's role in boosting performance.
- Understand their organization's DEI profile and assess their organization's governance around DEI.
- Gain insights into performing a DEI audit – from recruiting to termination.
- Learn how to add value by reporting out.

Bianca Sarrach has 16+ years of auditing and consulting experience. As a partner in Armanino's Trust services practice, she works with a variety of private and public entities, focusing on improving clients' operational and financial business processes and accounting procedures, identifying growth opportunities, and ensuring compliance with laws and regulations. Her expertise encompasses internal audit, risk management, control assessment and implementation, environmental, social and governance (ESG) implementation and compliance, financial industry compliance, and policy and procedure implementation. Sarrach is a member of Armanino's Bridge board to advance women in the accounting industry and serves on the firm's Diversity and Inclusion committee.

Mary Tressel is Practice Leader of Armanino's ESG Services and Executive Director of the Armanino Foundation. She is a strategic leader and team builder focused on delivering upon Armanino's purpose to be the most innovative and entrepreneurial firm that makes a positive impact on the lives of its clients, people, and communities. Tressel led Armanino's B Corporation certification journey, establishing Armanino as the largest B Corp accounting firm globally. She brings deep experience of responding to one of the most complex ESG verification frameworks to her clients. Serving as a trusted advisor, Tressel gives organizations the confidence to set and attain ambitious ESG goals. She previously led marketing and strategy execution for Armanino's Consulting department.

Tamika Mitchell is a Manager in Armanino's Trust Services practice, where she provides various internal audit and ESG services. She has 15+ years of internal audit experience, evaluating internal control systems and identifying and mitigating operational, financial and compliance risks. Mitchell is a member of Armanino's Racial Justice committee and serves as a strategic leader for Diversity, Equity, and Inclusion (DEI) initiatives, recruiting, and client engagements. Additionally, as the DEI Expert in Residence for her alma mater, St. Louis University, she looks to engrain DEI at every level, from improving the identification, access, and recruitment of underrepresented talent, to professional staff and student development.



Monday | March 14

2:45 – 3:45 PM PDT

CS 2-1: True Enterprise Security and the Role Internal Auditors Must Play

Frank Vukovits, CIA, CISA
Director, Strategic Partnerships
Fastpath Solutions LLC

With the evolution of cloud applications, companies are more worried about the security of their applications and data than ever before. Auditors must play an active role in this area, reviewing controls and asking the right questions. Auditors are further challenged to review controls as they relate to internal and external threats around cloud business applications, requiring audit scopes and programs to be updated accordingly. This session will provide a roadmap auditors can follow to assist, support, and review enterprise security at their company.

In this session, participants will:

- Explore the balancing of external and internal security threats, as well as the roles played by everyone in a company, from CEO down to warehouse worker.
- Examine the CRITICAL role auditors play in enterprise security, where their audit plans and programs need to be, and what critical questions need to be asked.
- Review areas where ever-evolving threats are coming from.
- Hear about proven approaches for achieving enterprisewide security in big, small, public, and private companies to understand where their work approaches need to be updated.

Frank Vukovits is the Director of Strategic Partnerships at Fastpath Solutions. With more than three decades of experience as an auditor and business software professional, he has led the implementation and management of many ERP projects. One of the proud founders of the Microsoft Dynamics AX User Group (AXUG), Vukovits served as Director of Programming for seven years, as AXUG grew from just an idea to the largest user group in the world dedicated exclusively to Dynamics AX. He also served in corporate IT audit for GTE/Verizon for 12 years. Vukovits speaks frequently at IIA, ISACA, software, and user group conferences.

CS 2-2: Future Ready

Charlie T. Wright, CIA, CPA, CISA
Chairman of the Global Board, The IIA
Chief Risk Officer, Jack Henry and Associates

The future is coming at internal auditors at lightning speeds. From advances in existing technology – think blockchain and artificial intelligence – to innovative breakthroughs in virtual reality, bio-nanotechnology and more, internal audit is



at a pivotal point in history. Technology will advance at a faster pace in the next 10 years than it has ever before, bringing a world of opportunity and challenges for internal auditors. Are we ready?

In this session, participants will:

- Understand the transformative nature of technology.
- Explore the challenges and opportunities in navigating the changing world of technology.
- Consider how practitioners can retool their skills to become tech-savvy.
- Learn how internal audit can leverage technology to gain efficiencies in their work and organizations.

Charlie T. Wright is 2021–22 Chairman of The IIA’s Global Board of Directors. His chairman’s theme is focused on how internal audit can prepare for the future, as advances in technology create opportunities and challenges for the profession. An experienced chief audit executive, Wright has been in internal audit for 19+ years, with a background spanning 35+ years in the airline, energy, and financial services industries. As Chief Risk Officer for Jack Henry & Associates, he oversees internal audit as well as information security, enterprise risk management, occupational risk management, regulatory and compliance, third-party risks, and enterprise continuity. Wright is a former editor of the Risk Watch column in *Internal Auditor* magazine and a speaker and presenter at many IIA and other conferences.

CS 2-3: Digital Acceleration in the Internal Audit Function

Michael Smith
Internal Audit Solution Lead
KPMG LLP

Lisa Rawls
GRC Technology Service Network Lead
KPMG LLP

How can departments deliver on the promise of internal audit? How can auditors keep pace with the organizations they serve, reflecting the same commitment to leverage technology and data to solve complex challenges and provide assurance to the board and management? It starts with a CAE agenda to deal with disruption across the function, including stakeholder engagement and trust, strategy and value management, new ways of working, operating model agility, digital acceleration, and data, analytics, and insights.

In this sessions, participants will:

- Learn about the evolving CAE agenda as well as a truly digital internal audit process grounded in intelligent workflow.
- Understand the opportunities for digital enhancement of current internal audit processes.
- Discover tools and technology to meet new stakeholder expectations.
- Identify incremental changes in current processes to enhance internal audit delivery.



Speaker Bios Being Finalized

CS 2-4: Effectively interacting with the Board, Audit Committee and C–Suite

Session Information Being Finalized

Monday | March 14

4:30 – 5:30 PM PDT

CS 3-1:

Session Information Being Finalized

CS 3-2: Agile Insights for Audit Leaders

Mark Williams

Agile Audit Coach, Agile Outside IT

Wolters Kluwer TeamMate

Shawn O'Brien

Product Marketing

Wolters Kluwer TeamMate

This session will cover the core areas of focus for audit leaders who wish to successfully implement Agile audit into their organization: Change – What does and doesn't change for internal audit with Agile audit adoption? People – Who are the constituents and how should they be engaged? Process – What are the core activities required to begin an Agile audit transformation? Audit leaders are in the driver's seat to getting started.

In this session, participants will:

- Understand what changes and what does not within the internal audit mindset and workflow.
- Learn who are the key constituents needed to move your Agile adoption forward and how to engage them.
- Get a practical framework for implementing an Agile audit framework into your workflow.
- Examine where audit leaders and inline auditors have similar and dissimilar perspectives.

Mark Williams is the founder of a firm that offers agility in internal audit consultancy, coaching, certified training, and keynote talks to the internal audit profession. With many years of experience helping auditors and audit leaders embrace more agile ways of working, Williams is widely regarded as the industry-leading expert on agility in internal



audit and compliance. He is the creator and authorized trainer of the only Agile auditor course certified by ICAgile, the Agile training accreditation body.

Shawn O'Brien is part of the agile audit development and go-to-market team for Wolters Kluwer TeamMate. He regularly interacts with audit practitioners and leaders regarding their agile audit perspectives and journey. O'Brien has co-presented and collaborated with Mark Williams, Agile Audit Coach, on numerous articles and presentations around agile audit foundations and adoption. His background includes more than 20 years of experience developing and bringing products to markets for legal, tax, and audit professionals.

CS 3-3: Robotic Process Automation: Why Internal Audit Cares

Bryant Richards, CIA, CRMA, CMA
Director, Center for Intelligent Process Automation
Nichols College

Robotic Process Automation (RPA) is changing the nature of work. This means internal auditors are facing a future where the processes around them are changing — those they review and those used within the department. This session provides an introduction to RPA and how it is impacting the way organizations work, including how internal audit can review RPA operations to help the organization understand and respond to related risks and opportunities.

In this session, participants will:

- Learn about the fundamentals of RPA.
- Understand how RPA can be used in basic audit processes, including SOX and compliance audits.
- Identify risks related to the organization's use of RPA.

Bryant Richards is the Director of the Center for Intelligent Process Automation (CIPA) at Nichols College and an Associate Professor of Accounting and Finance. He spent 20+ years as a consultant, executive, and industry professional primarily within internal audit and compliance. As the future of work fundamentally changes, Richards believes that the internal audit profession must prepare by embracing an automation journey of its own.

CS 3-4:

Session Information Being Finalized



Tuesday | March 15

8:30 – 9:45 AM PDT

GS 3: Resilience in an Era of Disruption

Theresa (Terry) Grafenstine, CIA, CPA, CISSP, CISA, CRISC, CGEIT
Chief Auditor, Technology
Citibank

In this Era of Disruption, where cyber threats, pandemics, civil unrest, and natural disasters have become the norm, being reactive is no longer an option. As organizations decide what it means to build “resilience” into operations, internal audit also needs to make this important shift. This presentation will share best practices for minimizing the impact of disruption.

In this session, participants will:

- Understand how to distinguish between business continuity and operational resilience.
- Explore cyber trends and attack vectors.
- Examine emerging technologies and risks and their impact on the control environment.
- Learn practical questions to ask to ensure their organizations will survive disruption.

Terry Grafenstine has 25+ years of experience in the internal auditing and information technology profession. She joined Citi in 2019 as Chief Auditor of Cyber, Third Party Risk Management, and Business Continuity, and was appointed Chief Auditor for Technology in 2020, with global responsibility for leading audits covering infrastructure, cybersecurity, business continuity, crisis management, and technology across all Citi platforms. Grafenstine was previously a Managing Director in Deloitte’s Risk and Financial Advisory practice and the appointed Inspector General of the U.S. House of Representatives. She has been named one of the “Top Ten Audit Thought Leaders of the Decade” by The IIA and inducted into the American Hall of Distinguished Audit Practitioners. Grafenstine has also held leadership roles with ISACA and the AICPA.

Tuesday | March 15

10:15 – 11:15 AM PDT

CS 4-1: Security Controls Framework: Driving Cybersecurity Via Integrated Risk Management

Kapish Vanvaria
Partner, Americas Risk Leader
Ernst & Young



Lisa Bonnell
Executive Vice President, General Auditor
Comcast

Evolving cybersecurity risks in an increasing virtual environment, coupled with increased stakeholder focus on how organizations are preventing, responding to, and disclosing cyberattacks, created an opportunity for Comcast to build trust through cyber controls transformation and data-driven monitoring. Comcast Global Audit and EY partnered to design and implement a custom security controls framework to quantify the organization’s cyber risk posture as well as enable the continuous measurement of security posture and responses to growing internal and external compliance requirements across the first and second line of defense.

In this session, participants will:

- Understand what is needed to stay at the forefront of evolving regulatory requirements around security.
- Learn how a “bottoms-up” approach to asset management can enhance security posture across an organization by driving ownership and accountability for full-population monitoring.
- Explore how the second and third lines of defense can partner to develop a data-driven strategy to drive change and enhance continuous control performance.

Speaker Bio’s Being Finalized

CS 4-2:

Session Information Being Finalized

CS 4-3: Data Ethics in the Public Sector

Mara Ash, CIA, CGAP, CRMA, CGFM, CICA
Chief Executive Officer
BFS Strategic Partners

Data ethics — which describe a code of behavior; specifically, what is right and what is wrong — encompass data handling, including generation, recording, curation, processing, dissemination, sharing, and use. Data ethics is important for companies, agencies, and private persons, as online data contains some of the most private and valuable information. In Europe, there is GDPR, which establishes data ethics in shared information. In the U.S., companies like Bloomberg, Brighthive, and Data for Democracy have started the discussion on guidelines for ethical data sharing.

In this session, participants will:

- Identify components of the data code of ethics.



- Understand the importance of ethical data sharing.
- Discuss how data ethics impacts public sector auditors.

Mara Ash is CEO of BFS Strategic Partners. She has 25+ years of finance, audit, and consulting experience serving all levels of government and nonprofit organizations. Ash has an extensive background helping state and local agencies build federal compliance programs and processes that align capabilities with federal compliance regulations. Her knowledge of both public and private sectors enables BFS to provide optimal solutions. Ash's expertise covers the crucial elements of business and financial operations that create strategic alignments, enhance transparency, cultivate sustainable growth, and ensure compliance. She has served in leadership positions with the Association of Government Accountants (AGA) as well as The IIA, including as Chairman of the Board of The IIA's Public Sector Audit Center.

CS 4-4: From the Board Room to Internal Audit: Basics in Understanding Management Expectations and Internal Audit Coverage of ESG

Session Information Being Finalized

Tuesday | March 15

12:45 – 1:45 PM PDT

CS 5-1: Managing Your Risk Against a Ransomware Attack

Brian Nichols
Director, Risk Advisory
Baker Tilly

Rich Sowalsky
Senior Manager, Risk Advisory
Baker Tilly

With ransomware attacks rising every day, their impact is felt by all types of organizations, big and small, across all industries. This session will provide insights on managing your risk against a ransomware attack. Our cybersecurity specialists will discuss the impacts and trends of ransomware attacks, how ransomware attacks are executed, and leading practices to minimize your ransomware risk.

In this session, participants will:

- Understand what ransomware is and how a ransomware attack occurs.
- Analyze the impact a ransomware attack could have on their organization.
- Learn leading practices to minimize the impact of a ransomware attack.



Brian Nichols is a Director in Baker Tilly's Risk Advisory practice. He has ten years of experience in developing cybersecurity strategies and enhancing cybersecurity programs for clients across retail, consumer, airline, railroad, healthcare, and financial services industries. Nichols is a proven leader in helping clients align their cybersecurity programs to their business objectives and effectively manage their cybersecurity risk. He leads teams in conducting cybersecurity capability assessments using various industry frameworks (e.g., NIST CSF, ISO 27001/2, CIS CSC, etc.). Nichols has helped many organizations establish their cybersecurity program through developing strategies, policies and procedures, risk management methodologies, governance, controls libraries, and metrics and reporting.

Rich Sowalsky's Bio's Being Finalized

CS 5-2:

Session Information Being Finalized

CS 5-3:

Session Information Being Finalized

CS 5-4: Navigating the ESG Landscape Through Effective Internal Audit Activities

Session Information Being Finalized

Tuesday | March 15

2:00 – 3:00 PM PDT

CS 6-1: Leading Trends in Cybersecurity

Robert Kuling, CIA, CRMA
Partner, Enterprise Risk Services
MNP

Gurpreet Sahota, CISSP, CCSP
Chief Operating Officer
DRT Cyber Inc.

Hear from industry leaders on the full spectrum of cyber risks affecting organizations and how these are growing globally at an accelerating rate. The session will examine the internal auditor's role in this high-risk area, outline the range of cybersecurity services available to internal auditors, and share real-life examples. Cyber risk auditing is evolving beyond the simple external penetration test that many organizations typically perform with mixed results. Our featured



presenter will share insights from his experience with private sector companies, government organizations, and law enforcement agencies.

In this session, participants will:

- Learn how leading practices, such as AI and machine learning, are being utilized to harden organizational networks.
- Hear about recommended strategies and tactics to provide audit leaders with technical credibility to participate in organizational dialogue on risk coverage in their organizations.
- Review leading practices and suggested activities for risk domains, such as privacy and blockchain-based assets.
- Enhance their knowledge and understanding of cybersecurity risks to gain confidence in dialoging with internal IT stakeholders on cybersecurity risks, controls, and assurance.

Robert Kuling leads MNP’s Enterprise Risk Services practice in Saskatchewan, drawing on 30+ years of senior leadership and consulting experience to help clients develop practical solutions for risk management, internal audit, financial compliance, governance, and regulatory needs. A former Deloitte partner and chief audit executive at major Canadian organizations (Tervita, Viterra, TransAlta, Precision Drilling), Kuling also held audit management positions with Farm Credit Canada and Provincial Auditor of Saskatchewan. Additionally, he has served on The IIA’s Global Board and numerous committees and task forces, and as Chairman of the North American Board. Kuling has been a national spokesman for risk and internal audit issues with regulators, professional groups, training firms, and government organizations.

Gurpreet Sahota’s Bio Being Finalized

CS 6-2: Building and Maintaining Strong Relationships with Your Key Stakeholders

Session Information Being Finalized

CS 6-3: Increasing Internal Audit’s Impact Through Audit Analytics

Grant Ostler, CPA
Director, Product Marketing
Workiva

Scott Freinberg
Director, Advisory Practice
Clearview

David Gamble
Director, Risk and Advisory Services
SmileDirectClub



This session will examine SmileDirectClub’s vision for incorporating analytics into all aspects of their audit process, along with highlights, lessons learned, benefits measured to date, and advice to others who are considering how to get started and achieve some quick wins. Through this presentation, internal audit practitioners will gain fresh perspectives on how they can incorporate analytics into their audit process to improve audit efficiency; deliver more impactful insights, recommendations, and leave behinds; and enhance staff engagement, development, and retention.

In this session, participants will:

- Gain insights into how analytics can be incorporated into all phases of the internal audit process.
- Understand how analyzing data from disparate systems and data sources can produce impactful discoveries.
- Discover a proven methodology for embedding analytics into their audit process and realizing the benefits.
- Hear tips for prioritizing where to start and how to build out their analytics program.

Grant Ostler is the Director of Product Marketing at Workiva. He has more than 30 of auditing, enterprise risk management, and process improvement experience, including almost two decades serving as a chief audit executive. Ostler is an active member of the Twin Cities Chapter of The IIA, where he’s held numerous leadership positions, including Chapter President.

Speaker Bio’s Being Finalized

CS 6-4:

Session Information Being Finalized

Tuesday | March 15

3:30 – 4:30 PM PDT

CS 7-1:

Session Information Being Finalized

CS 7-2: Rethinking Internal Audit

Session Information Being Finalized

CS 7-3: Transforming Internal Audit Analytics: Automation and Beyond

Moderator:

Richard Chambers



**Senior Internal Audit Advisor
AuditBoard**

In today's dynamic risk environment, audit teams will need to increasingly leverage data analytics automation in order to play a strategic role in identifying and managing new and emerging risks. The adoption of new technologies to reduce time spent on administrative and other routine tasks will free auditors to think more strategically and add more value to the organization. This session will explore the importance and ROI of integrating analytics and automation into an audit program.

In this session, participants will:

- Learn why data analytics will be critical to the success of internal audit teams in today's dynamic risk environment.
- Discuss best practices for effectively integrating data analytics into an audit program.
- Hear how to leverage data analytics to validate a department's need for resources to fix an issue.
- Explore the possibilities for leveraging data analytics automation to elevate internal audit programs.

Session Information Being Finalized

CS 7-4: Effective Governance Principles in a World of Risk – Part 1

**Paul Sobel, CIA, QIAL, CRMA
Chairman
COSO**

**Patricia K. Miller
Owner
PKMiller Risk Consulting, LLC**

In an unpredictable and changing world, good governance is critical to achieving and sustaining success. The Committee of Sponsoring Organizations (COSO) is committed to advancing governance as part of its mission. This session, with the COSO Chairman and The IIA's COSO board member, will help internal auditors and risk managers keep abreast of leading governance practices, leverage COSO frameworks and guidance, and actively embrace their critical leadership role. This double session will include hands-on, small-group discussions to promote critical thinking around governance and share perspectives with other participants.

In this session, participants will:

- Identify new and emerging governance principles and best practices around the world.
- Use principles from COSO's frameworks and guidance to promote good governance.
- Leverage leading practices from COSO's upcoming guidance on the Role of the Board.



- Build on the chief audit executive’s role as trusted risk advisor, helping enhance governance effectiveness.

Paul Sobel is Chairman of the Committee of Sponsoring Organizations of the Treadway Commission (COSO). He retired from Georgia-Pacific in 2020 where he served as Vice President/Chief Risk Officer and CAE. He has authored or co-authored four books: *Managing Risk in Uncertain Times*; *Auditor’s Risk Management Guide: Integrating Auditing and ERM*; *Internal Auditing: Assurance and Advisory Services*; and *Enterprise Risk Management: Achieving and Sustaining Success*. Sobel was The IIA’s Chairman of the Global Board in 2013–14 and served in other IIA leadership roles. In 2017, he received The IIA’s Bradford Cadmus Memorial Award and was inducted into The IIA’s American Hall of Distinguished Audit Practitioners, and in 2020, he received The IIA’s Victor Z. Brink Award.

Patty Miller has significant experience in governance, risk management, and control. She spent 14 years with Deloitte in the Bay Area, having joined the firm following 14 years with Pacific Bell. She was elected to The IIA’s Global Board, including serving as Chairman. Miller has served on the Standards Board, Board of Regents, and Global Advocacy Committees, and led multiple IIA task forces. She received The IIA’s William G. Bishop III Lifetime Achievement award and was accepted into the American Hall of Distinguished Audit Practitioners. Miller has also been a member of a school district’s audit committee and a nonprofit’s board, and she is currently on the COSO Board.

Tuesday | March 15

4:30 – 5:30 PM PDT

CS 8-1:

Session Information Being Finalized

CS 8-2: How to use Design Thinking – Human Centered Design to Redesign the Audit Report

Stacy Scott
Director of Internal Audit
Vanguard Group, Inc.

Session Information Being Finalized

CS 8-3: New Technology and Its Impact on Internal Audit: Correcting Misconceptions About Tech Tools Needed for Audit Teams of the Future

Session Information Being Finalized

CS 8-4: Effective Governance Principles in a World of Risk – Part 2



Paul Sobel, CIA, QIAL, CRMA
Chairman
COSO

Patricia K. Miller
Owner
PKMiller Risk Consulting, LLC

In an unpredictable and changing world, good governance is critical to achieving and sustaining success. The Committee of Sponsoring Organizations (COSO) is committed to advancing governance as part of its mission. This session, with the COSO Chairman and The IIA's COSO board member, will help internal auditors and risk managers keep abreast of leading governance practices, leverage COSO frameworks and guidance, and actively embrace their critical leadership role. This double session will include hands-on, small-group discussions to promote critical thinking around governance and share perspectives with other participants.

In this session, participants will:

- Identify new and emerging governance principles and best practices around the world.
- Use principles from COSO's frameworks and guidance to promote good governance.
- Leverage leading practices from COSO's upcoming guidance on the Role of the Board.
- Build on the chief audit executive's role as trusted risk advisor, helping enhance governance effectiveness.

Paul Sobel is Chairman of the Committee of Sponsoring Organizations of the Treadway Commission (COSO). He retired from Georgia-Pacific in 2020 where he served as Vice President/Chief Risk Officer and CAE. He has authored or co-authored four books: *Managing Risk in Uncertain Times*; *Auditor's Risk Management Guide: Integrating Auditing and ERM*; *Internal Auditing: Assurance and Advisory Services*; and *Enterprise Risk Management: Achieving and Sustaining Success*. Sobel was The IIA's Chairman of the Global Board in 2013–14 and served in other IIA leadership roles. In 2017, he received The IIA's Bradford Cadmus Memorial Award and was inducted into The IIA's American Hall of Distinguished Audit Practitioners, and in 2020, he received The IIA's Victor Z. Brink Award.

Patty Miller has significant experience in governance, risk management, and control. She spent 14 years with Deloitte in the Bay Area, having joined the firm following 14 years with Pacific Bell. She was elected to The IIA's Global Board, including serving as Chairman. Miller has served on the Standards Board, Board of Regents, and Global Advocacy Committees, and led multiple IIA task forces. She received The IIA's William G. Bishop III Lifetime Achievement award and was accepted into the American Hall of Distinguished Audit Practitioners. Miller has also been a member of a school district's audit committee and a nonprofit's board, and she is currently on the COSO Board.



Wednesday | March 16

8:30 – 9:45 AM PDT

GS 4: Why an Auditor Should Think Like a Prosecutor

Benjamin R. David, J.D.

District Attorney

New Hanover & Pender County, North Carolina

A thief can steal more money using a computer than with a gun and a ski mask. Often, these crimes go unreported due to concerns about public perception, such as a betrayal of trust by an employee or a business partner. Auditors will be far more effective at convincing prosecutors to go after these criminals if they think like a prosecutor and speak the same language.

In this session, participants will:

- Hear about the five types of evidence and the five defenses that come up in these cases.
- Learn from real-life examples of what prosecutors look for when following paper trails.
- Understand the signs for detecting fraud in an investigation.
- Gain insights into creating an ethics committee and developing an internal culture that does not tolerate corruption.

Ben David has served as an elected District Attorney since 2004. He has served on the North Carolina Chief Justice's Commission on Professionalism and the Governor's Gang Task Force, and he is a founding member of Law Enforcement Leaders to Reduce Crime and Incarceration. David currently co-chairs the Chief Justice's Task Force on ACEs-Informed Courts. He is also an adjunct professor at UNC–Wilmington and a certified instructor for law enforcement. Before joining the District Attorney's Office in 1999, he was an associate attorney in the trademark litigation section of the Intellectual Property group at Petree Stockton (now Kilpatrick Townsend & Stockton). David has authored many magazine, newspaper, and journal articles as well as a book, *Crime and Community in the Cape Fear: A Prosecutor's Guide to a Healthier Hometown*. He has been a keynote speaker for national and international conferences as well as provided commentary on criminal justice issues on *Today*, *PBS NewsHour*, and *Dateline NBC*.



Wednesday | March 16

10:15 – 11:30 AM PDT

Closing Comments

GS 5: Leading Impactfully Through Dynamic Times

Carol Isozaki

Founder and President

Strategic Brand Intelligence

The current internal audit landscape requires us to reimagine our capabilities, our voice, and our impact to stay relevant as the world continues to undergo unrelenting, dramatic changes. As audit executives and leaders in this space, our courage, stamina, and ability to truly transform ourselves and our organizations have been tested profoundly. Every day, we risk becoming obsolete if we don't hear and respond to the industry's and the world's calls-to-action quickly and meaningfully enough. It's a tall order when you consider it not only encompasses our core focus, but also COVID, DE&I, new technology, cybersecurity, data analytics and visualization, among others.

In this session, participants will:

- Walk away with a strategic mindset rooted in enhanced intentionality, leadership clarity, and personal accountability to lead more agilely and impactfully.
- Be empowered to reimagine what's possible for themselves and their organizations; bring greater purpose and agility to every leadership opportunity to increase their impact and influence; and ensure they hear and respond to key calls-to-action robustly enough.
- Expand their understanding of what truly constitutes amazing leadership, particularly in dynamic times, enabling them to direct their strategic focus and energy towards what really matters.
- Be clearer about their amazing within and develop a plan to ensure they consistently bring their best, most empowered self to the table, especially when outside their comfort zone.

Carol Isozaki leverages her 21 years of client service, human capital, and leadership brand expertise with PricewaterhouseCoopers (PwC) to train individuals, teams, and companies on how to adopt a strategic brand mindset™ to build and sustain a “must-have” brand in these highly dynamic times. Through executive coaching, keynote speaking, workshop facilitation, and consulting, she empowers individuals with the strategic know-how to consistently deliver higher, more innovative value; continuously evolve as leaders; and create distinctive customer experiences through personal and leadership brand development. Isozaki's signature Plan to be Amazing!™ leadership call-to-action creates a seismic shift in the way leaders think about themselves and their ability to lead through enhanced intentionality, leadership clarity, and personal accountability. Her clients include The Walt Disney Company, eBay, Bank of America, SAP, PayPal, Oracle, Align Technologies, Leading Women in Technology, and Golden Gate University. Her approach is regularly described as inspirational and empowering, and the results she delivers, transformational.