TOPICS TO BE COVERED INCLUDE:

• Developing an integrated technology auditing approach
• Auditing automation
• Navigating difficult conversations
• Developing governance in high-risk areas
• Identifying emerging risks
• Positioning your company for better fraud detection
• Developing a lean internal audit function with limited resources
• Constructing meaningful and impactful audit messages
• And much more!

EARN UP TO 38 CPEs

Check online for updates AUIDWORLD.MISTI.COM

> FEATURING 3 SUMMITS
CAE Leadership Summit, November 5
Data Analytics Summit, November 5
IT Audit Leadership Summit, November 9

KEYNOTE SPEAKERS

ROBIN DREEKE
Founder of People Formula,
Former Head of FBI
Behavioral Analysis Program

NANCY LUQUETTE
Senior Vice President,
Chief Risk & Audit Executive,
S&P Global

RON GIMBEL
Vice President and
Head of Finance,
Bristol-Myers Squibb

FAWAD SHAMSHAD
Director, IT Audit Services,
Bristol-Myers Squibb

CO-LOCATED WITH
SUPERSTRATEGIES
CONFERENCE & EXPO 2018

PLATINUM SPONSOR
protiviti
GOLD SPONSOR
CBIZ
SILVER SPONSORS
New for this year’s AuditWorld program, 5 distinct forums offering related content. Navigate the broad conference program more easily and plan your conference schedule by areas of interest.

**INTERNAL AUDIT PLAYBOOK:** Benefit from lessons learned of how leading internal audit departments have successfully implemented programs that made their team “better auditors” and their members more complete professionals.

**ADDRESSING THE MOST CRITICAL TECHNOLOGY ISSUES:** Take a deep dive into the ever-expanding area of critical technology issues. Learn how your peers are addressing the areas of robotics, C-Suite education, cybersecurity and more.

**IMPROVING THE AUDIT PROCESS:** Make your audit process more efficient and effective: Master techniques and strategies used by other organizations which resulted in demonstrable process gains.

**RISK-BASED AUDITS:** Hear ways to improve your risk identification process and incorporate methods of addressing risk into your daily routine.

**MANAGING A SMALL AUDIT SHOP:** Build on the successful strategies and innovative approaches your small department peers have implemented to add significant value.

---

**Featured Keynote Speakers**

**Tuesday, November 6**

**The Code of Trust**

**Robin Dreeke,** Founder of People Formula & Former Head of FBI Behavioral Analysis Program

Not everyone is a born leader, but anyone can become a leader by learning how to inspire and earn trust. In this keynote session, Robin—a former Marine and federal law enforcement professional, and co-author of *The Code of Trust,* challenges attendees to focus on the needs of others and creating shared goals. Robin provides attendees with specific, actionable advice for how to become an inspiring and effective internal audit leader. Robin specifically dissects his 5 Principles of Trust and how to apply each of these principles to get the most out of every relationship and interaction. By aligning goals, learning how to truly know others, creating ideal environments for interactions, and connecting with people on their level, true and lasting trustworthiness is within anyone’s grasp.

**Wednesday, November 7**

**Taking Internal Audit’s Relevance to New Heights**

**Nancy Luquette,** Senior Vice President, Chief Risk & Audit Executive, S&P Global

Assuring the success of a company’s strategic priorities can have far-reaching effects on internal audit’s value throughout an organization. In this keynote, Nancy walks you through how S&P Global implemented project assurance, and how internal audit is now involved in the review of key strategic initiatives for the company.

Acting in an independent advisory capacity, internal audit performs a structured, unbiased review of a project’s performance, focusing on key risk areas having the greatest impact on project delivery and outcomes, and ensures the delivery of expected benefits and achievement of agreed upon objectives. Ongoing evaluation of a project’s strengths, weaknesses, opportunities, and threats throughout the project life cycle enables internal audit’s observations to be reported real time to project leaders, senior management and other key stakeholders, raising internal audit’s relevance and value throughout the organization.

**Thursday, November 8**

**Identifying and Protecting Your Company’s Crown Jewels: An Audit Approach**

**Ron Gimbel,** Vice President and Head of Finance, Bristol-Myers Squibb

**Fawad Shamshad,** Director, IT Audit Services, Bristol-Myers Squibb

Everyone is focused on cybersecurity. Rightly so. The concern is usually focused on how an organization is protecting itself against valuable assets being compromised. While hardening external defenses is a viable approach, it is only one of the many steps in understanding how valuable assets are protected within an organization. Identifying and protecting what is valuable helps in the overall objective to safeguard “crown jewels”. This is a dialogue on an approach that was taken from an audit and controls perspective. It is a dialogue that started with a question, “What is valuable to you?” and ended with a host of opportunities to protect informational and physical assets. This is a non-technical discussion on an approach to identify valuable assets, the controls protecting them, and next steps.

---

**Meet the Advisory Board**

- **Alec Arons**
  Vice President, National Practice Leader, Advisory Services, Experis

- **Joel Kramer**
  Vice President, National Practice Leader, Advisory Services, MISTI

- **Dan Tsang**
  Head of Internal Audit, Etsy

- **Alec Arens**
  Vice President, National Practice Leader, Advisory Services, Experis

- **Fawad Shamshad**
  Director, IT Audit Services, Bristol-Myers Squibb

- **Hernan Murdock**
  Vice President, Audit Division, MISTI
## Conference-at-a-Glance

**Shared Track with SUPERSTRATEGIES CONFERENCE & EXPO 2018**

### Tuesday, November 6, 2018

<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>7:45 AM</td>
<td>Registration and Continental Breakfast</td>
</tr>
<tr>
<td>8:30 AM</td>
<td>Opening Remarks: Anthony Bellezza, Independent Advisor and Senior Faculty Member, MISTI</td>
</tr>
<tr>
<td>8:45 AM</td>
<td>Welcome Keynote: The Code of Trust, Robin Dreeke, Founder of People Formula, Former Head of FBI Behavioral Analysis Program</td>
</tr>
<tr>
<td>9:45 AM</td>
<td>Solutions Spotlight</td>
</tr>
<tr>
<td>10:00 AM</td>
<td>Refreshment Break</td>
</tr>
</tbody>
</table>

### Wednesday, November 7, 2018

### Thursday, November 8, 2018

<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>7:30 AM</td>
<td>Registration &amp; Continental Breakfast</td>
</tr>
<tr>
<td>8:15 AM</td>
<td>Welcome Reception in the Expo</td>
</tr>
</tbody>
</table>

---

## Conference-at-a-Glance

<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>7:45 AM</td>
<td>Registration and Continental Breakfast</td>
</tr>
<tr>
<td>8:30 AM</td>
<td>Opening Remarks: Anthony Bellezza, Independent Advisor and Senior Faculty Member, MISTI</td>
</tr>
<tr>
<td>8:45 AM</td>
<td>Welcome Keynote: The Code of Trust, Robin Dreeke, Founder of People Formula, Former Head of FBI Behavioral Analysis Program</td>
</tr>
<tr>
<td>9:45 AM</td>
<td>Solutions Spotlight</td>
</tr>
<tr>
<td>10:00 AM</td>
<td>Refreshment Break</td>
</tr>
</tbody>
</table>

### Addressing the Most Critical Technology Issues

**D1** Developing an Integrated Technology Auditing Approach  
Brenton Farwell, Fawad Akram, Jason Nark, Bank of America

**D2** Leveraging Ethical Hacking to Enhance Your Audit Function  
Joshua Hiller, Community Brands

**D3** Culture of Cybersecurity: Key Controls From a Human Perspective  
Fawad Shamshad, Bristol-Myers Squibb

**D4** IoT Risk and Security: Where It’s Heading and What Internal Audit Can Do to Drive the Conversation  
Deral Heiland, Rapid7

**D5** Robotic Process Automation (RPA): A New Dynamic Impact on Internal Auditing  
Kevin Jackson, Vulcan Materials

**D6** Raising Cybersecurity Awareness Today and Tomorrow  
Steve Sanders, Computer Services Inc.

**D7** Late-Breaking Session  
Glenn Sumners, LSU

**D8** Ninja Auditors: Bridging the IT Audit Talent Gap with Non-IT Auditors  
Kate Head, University of South Florida

**D9** Decoding Technology for the C-Suite  
Bruce Carpenter, Nvidia

**D10** Auditing Automation  
Shawna Flanders, MISTI

### Improving the Audit Process

**E1** Compelling Audit Committee Reporting  
Brian Goldwater, M&T Bank

**E2** Communication Strategies for Navigating Difficult Conversations  
Jill Schiefelbein, The Dynamic Communicator

**E3** It Pays to Hire Right the First Time: Optimizing Your Audit Team for Success  
Caitlin McGaw, Candor McGaw

**E4** Storytelling: Improving the Audit Process to Communicate Better  
Ross Wescott, Wescott and Associates

**E5** Effective Communication and Reporting of Risk  
Saferte Consulting

**E6** Is Your Company Optimizing Your Marketing Audits?  
Angela Saferte, Saferte Consulting

**E7** Insightful Risk Assessments  
Glenn Sumners, LSU

**E8** Are You Hunting for Trouble? (Audits, Assessments, and Risks... Oh My!)  
Aaron Pritz, Aaron Pritz & Associates

**E9** Supercharge Your Risk Assessment Methodologies Using Data Analytics  
Greg Duckert, Virtual Governance Institute

**E10** Fraud Risk Prevention Factors at Non-Profits, Corporations, and Beyond  
Mike Anderson, Compass Housing Alliance

**E11** Powering Your Cyberdefense Machinery  
Tony Sager, Center for Internet Security (CIS)

### Managing a Small Audit Shop

**F1** How a Pallet of Razors Turned Into a Multi-Million Dollar Fraud: Lessons Learned  
Marcia Hoffacker, Hershey Parks and Resorts

**F2** Developing and Maintaining a Lean Internal Audit Function with Limited Resources  
Dan Tsang, Etsy

**F3** ERM and the Small Internal Audit Shop  
Todd Moore, Endurance International Group, Inc.

**F4** Going for Impact! Building a Small Audit Function That Makes a Big Difference!  
Beth Ashcroft, OPEGA at State of Maine Legislature

**F5** Inside the Minds of Your Auditees: What Matters Most  
Joe Kaczorowski, Mastercard

**F6** Designing and Implementing an Agile Risk-Based Audit Process  
Dan Clark, Washington Trust Bank

**F7** Measure Twice, Remediate Once: Fitting the Fraud Triangle to Your Risks, Culture, and Controls  
Matt Kelly, RadicalCompliance.com

**F8** Adding Emotional Intelligence to Your Internal Audit Arsenal  
Jason Winters, Nationwide

**F9** The Audit Report Writing Toolbox  
Sarah Swanson, Tumbleweed Consulting

**F10** The Audit Report Writing Toolbox  
Sarah Swanson, Tumbleweed Consulting

---

**3:00 PM - 3:30 PM**  
Expo Opens; Dessert and Coffee in the Expo

**3:30 PM - 4:30 PM**  
Networking Luncheon

**4:30 PM - 5:45 PM**  
Welcome Reception in the Expo

---

**8:00 AM - 8:45 AM**  
Registration and Continental Breakfast served in Expo

**9:00 AM - 9:15 AM**  
Day Two Opening Remarks

**9:15 AM - 10:15 AM**  
Keynote Address: Taking Internal Audit’s Relevance to New Heights, Nancy Luquette, SVP, Chief Risk & Audit Executive, S&P Global

**10:45 AM - 11:45 AM**  
Robotic Process Automation (RPA): A New Dynamic Impact on Internal Auditing  
Kevin Jackson, Vulcan Materials

**11:45 AM - 1:00 PM**  
Networking Lunch in the Expo

**1:00 PM - 2:00 PM**  
Raising Cybersecurity Awareness Today and Tomorrow  
Steve Sanders, Computer Services Inc.

**2:15 PM - 3:15 PM**  
Late-Breaking Session  
Glenn Sumners, LSU

**3:30 PM - 4:30 PM**  
Ninja Auditors: Bridging the IT Audit Talent Gap with Non-IT Auditors  
Kate Head, University of South Florida

**4:30 PM - 5:30 PM**  
Networking Reception in the Expo

---

**7:30 AM - 8:15 AM**  
Registration & Continental Breakfast

**8:15 AM - 9:15 AM**  
Decoding Technology for the C-Suite  
Bruce Carpenter, Nvidia

**9:15 AM - 9:30 AM**  
Refreshment Break

**9:30 AM - 10:30 AM**  
Auditing Automation  
Shawna Flanders, MISTI

**10:45 AM - 11:45 AM**  
Closing Keynote: Identifying and Protecting Your Company’s Crown Jewels: An Audit Approach, Ron Gimbel, VP and Head of Finance, Bristol-Myers Squibb & Fawad Shamshad, Director, IT Audit Services, Bristol-Myers Squibb
Conference Agenda

Tuesday, November 6

**ADDRESSING THE MOST CRITICAL TECHNOLOGY ISSUES**

10:15 AM – 11:15 AM

**D1 Developing an Integrated Technology Auditing Approach**

Brenton Farwell, SVP, Audit Director, Bank of America; Fawad Akram, SVP, Senior Audit Manager, Bank of America; Jason Nark, SVP, Senior Audit Manager, Bank of America

- Assess technology related to business risks
- Strategies for developing a cycle-based technology auditing coverage approach
- Develop an integrated technology auditing approach
- Use of automation to develop a continuous monitoring auditing strategy
- Discuss skill set needs for auditor of the future

11:30 AM – 12:30 PM

**D2 Leveraging Ethical Hacking to Enhance Your Audit Function**

Joshua Hiller, Principal, Wescott and Associates

- Define what it means to be an “ethical hacker”
- How ethical hacking practices can be used to reduce your overall threat exposure and time to deliver on compliance requirements
- The differences between penetration testing and vulnerability assessments
- Options for automating these processes

2:00 PM – 3:00 PM

**D3 Culture of Cybersecurity: Key Controls From a Human Perspective**

Fawad Shamshad, Director, IT Audit Services, Bristol-Myers Squibb

- Evolution of the hacking profile through time
- Surveillance capitalism and what can be learned about you from you
- Security profile and awareness at home vs. work—is there a difference?
- Why is culture the “hardest soft” component of cybersecurity infrastructure?

3:30 PM – 4:30 PM

**D4 IoT Risk and Security: Where It’s Heading and What Internal Audit Can Do to Drive the Conversation**

Deral Heiland, Research Lead – IoT, Rapid7

- Definition of IoT in today’s corporate environment
- Structure of a typical IoT ecosystem
- Identify, manage and mitigate the associated risk that organizations will encounter as they embrace an IoT driven world
- Understand and effectively communicate the security risk and impact related to IoT
- Understand the benefits of assessing the security of an IoT ecosystem

**IMPROVING THE AUDIT PROCESS**

10:15 AM – 11:15 AM

**E1 Compelling Audit Committee Reporting**

Brian M. Goldwater, Group Vice President & Assistant General Auditor – Professional Practices, M&T Bank

- How to think about Audit Committee reporting strategically and understand the needs and objectives of the audience
- How to inventory and assess the “data/information funnel” that informs your audit committee activities
- How to take your reporting beyond the traditional “thesis and pie chart” feel of many audit committee packages
- Tips and techniques to ensure your delivery is successful

11:30 AM – 12:30 PM

**E2 Communication Strategies for Navigating Difficult Conversations**

Jill Schiefelbein, The Dynamic Communicator

- How to keep feedback discussions from getting heated or personal
- Strategies for communicating your position without coming across as confrontational
- Common reasons communication fails, and how to avoid them
- How to create and organize messages for maximum persuasive impact

2:00 PM – 3:00 PM

**E3 It Pays to Hire Right the First Time: Optimizing Your Audit Team for Success**

Caitlin McGaw, President and Chief Recruiting Officer, Candor McGaw

- Steps audit functions can take to ensure they hire the right talent from the get-go
- Gain perspective on what attracts the best talent and how to tell that story (from job posting to on-boarding)
- Learn how to read resumes for the right signals
- Become familiar with interview formats and how to tailor them to deliver the hiring data you need
- Understand how to engage your interviewers and candidates for more effective interviews

3:30 PM – 4:30 PM

**E4 Storytelling: Improving the Audit Process to Communicate Better**

Ross Wescott, Principal, Wescott and Associates

- Discover what makes a great audit
- Understand the differences and similarities between non-fiction storytelling and audit documentation and reporting
- Organize the audit work using storytelling elements

**MANAGING A SMALL AUDIT SHOP**

10:15 AM – 11:15 AM

**F1 How a Pallet of Razors Turned into a Multi-Million Dollar Fraud: Lessons Learned**

Marcia Hoffacker, Managing Director, Internal Audit, Hershey Parks & Resorts

- Specific schemes used in a complex fraud
- How a breakdown in communication can open the door for fraud to occur
- The impact of organizational change and management direction
- How internal audit can be better positioned and equipped for fraud detection

11:30 AM – 12:30 PM

**F2 Developing and Maintaining a Lean Internal Audit Function with Limited Resources**

Dan Tsang, CAE, Etsy

- Building a fully operating and value-added lean team
- Develop trust and relationships with the executive team, key stakeholders, and audit committee
- Execute an enterprise risk assessment
- Develop an audit plan and create an audit methodology
- Perform audits and advisory projects
- Recruit and develop the team

2:00 PM – 3:00 PM

**F3 ERM and the Small Internal Audit Shop: Roles in Operationalizing a Risk Management Activity**

Todd Moore, VP, Internal Audit, Endurance International Group, Inc.

- Overcome lack of resources
- Launch the ERM activity
- Strategies for effective adoption
- Pitfalls in navigating appropriate roles for IA
- A review of common top risks

3:30 PM – 4:30 PM

**F4 Going for Impact! Building a Small Audit Function That Makes a Big Difference!**

Beth Ashcroft, Director, Office of Program Evaluation and Government Accountability at State of Maine Legislature

- Understand and manage your customers’ expectations
- Recruit talent with the right combination of skills
- Creating a vision and roadmap for success that your team can embrace
- Deliver meaningful results that your customers can act on
- Take stock of audit’s impact on your organization
Wednesday, November 7

**ADDRESSING THE MOST CRITICAL TECHNOLOGY ISSUES**

10:45 AM – 11:45 AM

**D5 Robotic Process Automation (RPA): A New Dynamic Impact on Internal Auditing**

**Kevin Jackson**, Director, Internal Audit, Vulcan Materials

- When internal auditors should become involved with Robotics Processing Automation (RPA)
- Robots will change how internal audit tests are performed, is the test of one for automated controls over?
- How robotics will impact cyber security and data privacy
- Making sure you have the right people on the team

1:00 PM – 2:00 PM

**D6 Raising Cybersecurity Awareness Today and Tomorrow**

**Steve Sanders**, VP, Internal Audit, Computer Services Inc.

- Be briefed on today's cyber reality
- Learn the importance of cybersecurity frameworks
- Obtain a list of key audits and quick wins
- Take a glimpse into the crystal ball—what should we be focused on tomorrow?

2:15 PM – 3:15 PM

**D7 Late-Breaking Session**

3:30 PM – 4:30 PM

**D8 Ninja Auditors: Bridging the IT Audit Talent Gap with Non-IT Auditors**

**Kate Head**, Associate Director Audit and Compliance, University of South Florida

- Transition operational and financial auditors into ninja auditors with general IT audit skills
- Attributes to look for when recruiting operational and financial auditors to ensure a successful transition
- Using existing IT auditors and organizational IT to support the efforts

**RISK-BASED AUDITS**

10:45 AM – 11:45 AM

**E5 Effective Communication and Reporting of Risk**

Adam Leigh, Director of IT Risk Governance, MetLife

- Identify the audiences that risk speaks to
- Understand risk’s role in growing awareness
- Tailor your messages to various audiences and understand the types of consequences different audiences respond to
- Portray different metrics to enhance your message
- Track the effectiveness of your communications to identify areas where your message hasn’t been heard or understood

1:00 PM – 2:00 PM

**E6 Is Your Company Optimizing Your Marketing Audits?**

Angela Saferite, President, Saferite Consulting

- Identify exposure in your company to agency kickbacks and other non-transparent business practices
- Develop governance in high-risk and major spend areas: media, advertising production, and experiential marketing
- Assess your environment with a framework and understand steps to take for impact and improved performance

2:15 PM – 3:15 PM

**E7 Insightful Risk Assessments**

Glenn E. Summers, Director, Center for Internal Auditing, Louisiana State University

- Identify emerging risks
- Unique perspectives on individual, entity and industry risks
- Integration of risk and data analytics
- Limitations on risk assessment due to risk convergence
- The impact of growing individualism on top-down risk assessment

3:30 PM – 4:30 PM

**E8 Are You Hunting for Trouble? (Audits, Assessments, and Risks... Oh My!)**

Aaron Pritz, President, Aaron Pritz & Associates

- Examine three typical failure modes around how organizations attempt to find and fix people, process and technology security issues
- Learn and avoid the typical failure modes in creating audit, assessment, and risk management engagements and the sharing of risk data
- Learn how to foster enhanced partnerships across key risk and audit stakeholders
- Simplify your approach to leveraging audit and assessment data in risk management
- Create a plan for action

**INTERNAL AUDIT PLAYBOOK**

10:45 AM – 11:45 AM

**F5 Inside the Minds of Your Auditees: What Matters Most**

Joe Kaczorowski, Director—Legal Compliance, Mastercard

- The biggest stress points and concerns for auditees
- How auditors can “ease the pain” to make the process more productive, transparent, and collaborative in nature from planning through to reporting
- The right questions to ask from the perspective of a post-audit client satisfaction survey, and creative ways to analyze and use the data you collect
- How can auditors best act on and learn from feedback

1:00 PM – 2:00 PM

**F6 Designing and Implementing an Agile Risk-Based Audit Process**

Dan Clark, Director, Internal Audit, Washington Trust Bank

- Learn the secrets of universe design for risk-based auditing
- Gain detailed knowledge of planning, risk assessment and reporting from risk-based positions
- Comprehend the basics of implementing a tailored risk-based audit program for any size organization

2:15 PM – 3:15 PM

**F7 Measure Twice, Remediate Once: Fitting the Fraud Triangle to Your Risks, Culture, and Controls**

Matt Kelly, Editor & CEO, RadicalCompliance.com

- How the Fraud Triangle can apply to a wide range of corporate misconduct
- Define the ‘Anti-Fraud Triangle’ as a roadmap for training, controls remediation or executive leadership
- Map the results of risk assessment and remediation exercises to control frameworks and GRC tools

3:30 PM – 4:30 PM

**F8 Adding Emotional Intelligence to Your Internal Audit Arsenal**

Jason Winters, Internal Audit Manager, Nationwide

- Understand emotional intelligence for auditors
- How it impacts interactions with team members and business partners
- Tools for assessing emotional intelligence
- Methods for improving your own emotional intelligence
Thursday, November 8

### ADDRESSING THE MOST CRITICAL TECHNOLOGY ISSUES

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
</tr>
</thead>
</table>
| 8:15 AM – 9:15 AM | **D9 Decoding Technology for the C-Suite**  
Bruce Carpenter, VP, Internal Audit, Nvidia  
- How to approach auditing technical areas, and the value internal audit can provide by decoding risks  
- How to develop a compliance approach to tackle emerging industry and company risks  
- Strategies to increase awareness of technical risks  
- How to build consensus around achievable goals |
| 9:30 AM – 10:30 AM | **D10 Auditing Automation**  
Shawna Flanders, Director of Instructional Technology & Innovation, MISTI  
- Learn the difference between process automation and DevOps  
- The importance of governance in automation  
- The ethics in automation—the next chapter of computer ethics  
- Understand changes in assessing privileged access  
- Tips to assessing automation |

### RISK-BASED AUDITS

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
</tr>
</thead>
</table>
| 8:15 AM – 9:15 AM | **E9 Supercharge Your Risk Assessment Methodologies Using Data Analytics**  
Greg Duckert, Founder, Virtual Governance Institute  
- Identify the key components of data centric risk assessment  
- Identify critical KRI’s (Key Risk Indicators) in Operations, IT, Regulatory and Financial audit areas  
- Isolate key analytics to be used in the critical organizational areas for more effective results  
- Redefine the meaning of what is a world-class risk assessment methodology with common sense and logic |
| 9:30 AM – 10:30 AM | **E10 Fraud Risk Prevention Factors at Non-Profits, Corporations, and Beyond**  
Mike Anderson, Faith Partnership and Risk Manager, Compass Housing Alliance  
- Administrative, operational, and service-delivery risk and mitigation strategies of small- and medium-sized businesses  
- Low-impact annual Enterprise Risk Review template and procedures  
- Managing third-party fraud risk in a multi-location non-profit or corporate environment  
- Staff engagement strategies that generate staff support for fraud prevention operating practices and controls |

### INTERNAL AUDIT PLAYBOOK

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
</tr>
</thead>
</table>
| 8:15 AM – 9:15 AM | **F9 Powering Your Cyberdefense Machinery**  
Tony Sager, Senior Vice President and Chief Evangelist, Center for Internet Security (CIS)  
- Understand how the Center for Internet Security (CIS) Controls provide a common basis for action and prioritization that is consistent and supportive of formal risk management approaches like the NIST Cybersecurity Framework  
- Learn from examples of how the Controls are being used by auditors to effectively prioritize and focus leadership attention on vital problems and actions  
- How auditors can leverage the CIS Controls to empower their work, and more efficiently and effectively contribute to better cyberdefense |
| 9:30 AM – 10:30 AM | **F10 The Audit Report Writing Toolbox**  
Sarah Swanson, Consultant, Tumbleweed Consulting  
- Learn top editing mistakes auditors make  
- Achieve efficient communication with the audit client  
- Speed up the report writing process with the right tools |

---

**WORLD PASS**

Want to attend it all? Check out our World Pass. Receive full access to everything AuditWorld and its co-located conference SuperStrategies, have to offer. This includes the opportunity to pick and choose breakout sessions, keynotes, networking opportunities, workshops and summits across both events.

Just want to attend the sessions of both conferences? Register for the All Session Pass to go to any session in the AuditWorld and SuperStrategies tracks. Visit superstrategies.misti.com for the SuperStrategies agenda.
CAE Leadership
SUMMIT

Monday, November 5

8:45 AM – 9:00 AM

Chair’s Opening Remarks
Anthony Bellezza, Independent Advisor and Senior Faculty Member, MISTI

9:00 AM – 10:15 AM

Thinking Strategically about Issues From the Third Line of Defense
Stephen Dotto, SVP, Audit Director, Bank of America
J.J. Wolfe, SVP, Audit Director, Bank of America
Cathy Kulp, SVP, Senior Audit Manager, Bank of America

Now more than ever, it is critical for audit leaders to think more broadly about risks and the impacts they could have on other areas of the organization. Audit departments are uniquely positioned to see the entire organization from their third line of defense seat. Typically audit shops identify and validate issues and are on to the next engagement. But when auditors think beyond simply identifying issues and incorporate routines of thematic issue analysis and broader applicability, they can help play a more strategic role for their organization.

• Strengthen your practices to think more strategically about issue identification
• Explore methods to analyze issues across your organization to look for broader themes
• Learn ways to implement management routines to look at critical issues across other areas of your organization
• Assess methodologies that can be applied to enhance your issues reporting
• Identify opportunities to drive changes in management more broadly in your communication of risks

10:30 AM – 11:30 AM

The Greatest Risks Facing IT Audit
Thierry Dessange, Senior VP & Audit Director, Enterprise Technology Audit Group, Wells Fargo

There may be no greater challenge to companies right now than the cybersecurity risks they all face. Attacks and breaches have hit a maddening pace. Thierry will discuss cybersecurity and the real threats organizations must confront head-on. He will talk about keeping up with a rapidly evolving technology world and the risks associated with change. He will also address the IT tools that can help the internal audit function, as well as the IT challenges that are on the horizon.

11:30 AM – 12:30 PM

Late-Breaking Session

1:30 PM – 2:30 PM

Effectively Communicating Technology Risks to the Audit Committee
John Lazarine, CAE, UT Health San Antonio

In today’s internet connected world, there are very few processes and auditable areas that do not flow through or utilize technology. In this session, learn what CAEs need to know about technology risks and how to effectively communicate them to the Audit Committee.

• Technology risks—what CAEs need to know
• How to ensure senior leadership understands and addresses key technology risks
• Strategies for effectively communicating technology risks to the Audit Committee

2:45 PM – 3:45 PM

An All-Encompassing Approach to Resource Utilization and Staff Development
Mike Lewis, VP of Internal Audit, Hologic Inc.

• Develop respected auditors and viable future organizational leaders
• What is your Employee Value Proposition?
• Focus on engagement and retention of audit employees
• Approaches to expand resource bandwidth

Panel Discussion

2:45 PM – 5:00 PM

3:45 PM – 5:00 PM

Panel Discussion
Monday, November 5

8:45 AM – 9:00 AM
Chair’s Opening Remarks
Steve Biskie, Director, National Data Analytics Leader, RSM

9:00 AM – 10:15 AM
Benchmarking Your Data Analytics Program
Steve Biskie, Director, National Data Analytics Leader, RSM
During this session, attendees will be using real-time survey technology (accessible by any phone, tablet, or laptop), to see where they currently stand compared to their peers, as well as similar benchmarking studies done in the past.

10:30 AM – 11:30 AM
Managing the Logistics of an Internal Audit Data Analytics Program
Laurie Flandrau, AVP Internal Audit Data Analytics, GM Financial
- Integrate into the overall audit methodology
- Develop and manage a structured process: From initiation to close-out
- Define roles and responsibilities across the team
- Using technology to make the process run smoothly
- Look back across the years: How we got to our current state of maturity

11:30 AM – 12:30 PM
A Practical Path to Continuous Monitoring
Joe Kaczorowski, Director–Legal Compliance, Mastercard
- The real business benefit of continuous monitoring (from someone who has been there)
- Embedding continuous monitoring into the 2nd Line of Defense
- Making the case for getting started
- What to expect on your journey, and avoiding common pitfalls

PRACTITIONER TRACK

1:30 PM – 2:30 PM
“I Want You to Do Data Analysis:” Advice From a Small Audit Department
Joel Minton, Senior Internal Auditor, Dura-Line
- Working on a budget: Tools and techniques for getting started
- Getting early wins: Practical examples for how data has helped us audit better
- Striking the right balance: When data analysis is only part of your role
- Working with a non-technical team: Advice when your boss and team members don’t understand what you do
- Lessons learned: How to make your program better

2:45 PM – 3:45 PM
How to Go From Data Analyst to Data Ninja in the Internal Audit World
Steve DeSantis, Internal Audit Data Analyst Manager, Quicken Loans
- Knowing your opponent: Using internal audit’s reach to see what others can’t
- Weapons fit for a data ninja: Tools that can help advance your analyst art
- Finding allies: Ways to sell data analytics to the larger organization
- Time in the Dojo: Essential tips for developing your data analysts
- Hit contracts: Real examples of advancing internal audit goals using data analytics

3:45 PM – 4:45 PM
Robotics, Automation, and the Future
Speaker TBD
- Technology trends and their effect on internal audit
- What is Robotics Processing Automation and how does it differ from what we’ve been doing for years?
- Understanding and combatting new risks
- Successes vs. lessons: What have we learned?

MANAGERIAL TRACK

1:30 PM – 2:30 PM
Relationship Management: Lessons Learned from Our First Few Years of Growing Data Analytics
Michael Lewis, VP, Internal Audit, Hologic
- Understand the internal and external parties whose participation (or lack thereof) will affect your program
- Where practical realities may differ from your expectations
- Lessons learned from working with internal and external parties
- A blueprint for getting started

2:45 PM – 3:45 PM
Using Analytics to Change the Business Value of Audit
Tracy DeMuth, Senior Director, Internal Audit, Lamb Weston
- A new audit department’s vision for the use of data analytics
- Going from no audit department to analytic-enabled auditing
- Real-world successes: Getting the attention of the CFO, CIO and the Audit Committee
- Ten steps to avoid

3:45 PM – 4:45 PM
Closing Remarks
Steve Biskie, Director, National Data Analytics Leader, RSM
Friday, November 9

8:45 AM – 9:00 AM

Chair’s Opening Remarks
Shawna Flanders, Director of Instructional Technology & Innovation, MISTI

9:00 AM – 10:15 AM

To Catch a Thief: Leading Your IT Audit Program as Detective and Innovator
Rob Clyde, CISM, Vice Chair, ISACA Board of Directors; NACD Board Leadership Fellow; Board Director and Executive Chair, White Cloud Security; Board Director, TITUS

• Learn what has been identified as 2019’s most important areas of focus for IT audit leaders and begin to integrate into your audit plan
• Gain insights into how digital transformation within your enterprise impacts your role—and how you can effectively audit emerging technologies like IoT devices and AI
• Hear recommendations on how you can address data protection and privacy concerns in your own organization given full implementation of the EU’s GDPR, and the continued growth, in scale and scope, of data breaches and cyber threats
• Understand the critical role and key responsibilities that auditors have in assessing cybersecurity threats and contributing to strategy, as well as become familiar with resources and tools for staying knowledgeable and developing strong technical and leadership skills in this space

10:30 AM – 11:45 AM

Strengthening IT Audit’s Influence and Impact
Lisa Young, VP, Cyber Risk Engineering, Axio

What is the first thought that pops into your mind when you hear the words “audit” or “internal auditor”? If innovative, efficient or creates business value are not among the top thoughts then this session may be for you. As a CAE, aspiring audit executive, or other audit executive what do you need to consider to increase your team’s ability to provide value, motivate change and inspire efficiency? There are no quick fixes or easy buttons but there are opportunities, techniques and solutions that should be considered to make a difference.

12:45 PM – 2:00 PM

Attacks, Analysis, Action, Audit, Assurance: Creating a Virtuous Cycle for Cyberdefense
Tony Sager, Senior VP and Chief Evangelist, Center for Internet Security (CIS)

A strategic, information-management view of cyberdefense allows us to bring together the work of people from across the community, including incident responders and threat analysts, system designers, system operators, auditors, and senior managers. This view lets us move from a focus on cyber technology to the role that cybersecurity plays in executive decision-making and enabling confidence in business operations. This presentation will:

• Focus in on the vital role of auditors to both verify and validate the effective operation of this cyberdefense “machine”
• Discuss how the not-for-profit Center for Internet Security puts these ideas into action at a community level to create the CIS Controls
• Detail how a complementary ecosystem of products and services (including for auditing) have grown up around them

2:15 PM – 3:30 PM

Internal Audit’s Role in Cybersecurity: A CISO’s View
Montana Williams, Co-Founder, Managing Partner, and Cyber Evangelist, Titan Rain Cybersecurity, LLC

As organizational concerns continue to grow relevant to cybersecurity, the Institute of Internal Auditors has called on internal auditors to play a more significant role in protecting companies from cyber-attacks and costly data breaches. An organization’s success is predicated on a combination of technology, policy, standard operating procedures, people, and compliance. Internal auditors must understand cybersecurity beyond the compliance checklist and build relationships with Chief Information Officers and Chief Information Security Officers to gain an understanding of cyber systems, their function, and role in ensuring business functionality and resilience. This presentation will:

• Discuss the aspects of audit from the view of an organization’s Chief Information Security Officer (CISO)
• Address CISO perceptions on auditors indispensable value to cyber resiliency through assessment, ensuring risk-based design, implementation that addresses gaps, maintenance of systems hardware and software, ensuring training, assisting in processes, technology and process management, legal and compliance, policies, and procedures creation.

3:45 PM – 5:00 PM

Panel Discussion
Workshops

Monday, November 5
8:45 AM – 5:00 PM Full-Day Workshop | 8 CPEs

W1 Business Communication Course in a Day
Jill Schiefelbein, Former Communications Professor and Author of Dynamic Communication

The internal audit role comes with a myriad of communication responsibilities, and most aren't taught in any traditional communication course. This full-day workshop will overview, address and provide strategies for the variety of communication challenges the internal auditor faces in an interactive and hands-on format. We'll start the day examining communication strategies for communicating with our clients and to non-auditor types. We'll transition into strategies for communicating during conflict, and negotiating differences of opinion. We'll end with a segment on persuasive communication, with an extra nod to presentation skills that will make you stand out in a positive way with any audience.

This workshop will cover:
- How to explain what you do to people who have no clue what you do
- Ways to proactively communicate with your clients to set your audit up for maximum success
- Strategies for navigating touchy situations with words to avoid and phrases to use
- Techniques for removing nonverbal barriers to communication (that you likely didn't even know were there!)
- A five-step strategy for any persuasive communication
- Delivery skills to give stand-out presentations, including visual communication through PPT

12:30 PM – 5:00 PM Half-Day Workshop | 5 CPEs

W3 Occupational Fraud—A Corporate Investigator's Guide
Marcia Hoffacker, Managing Director, Internal Audit, Hershey Parks & Resorts

Corporate investigators wear many hats, some of which include researcher, forensic analyst, relationship builder, human resources generalist, ethical compass and communications specialist. Being an internal investigator, particularly as an internal auditor, creates its own challenges such as limitations of available resources and maintaining your internal reputation long after the investigation is complete. During this interactive workshop, we will take a deep dive into the important components of any successful investigation process.

This workshop will cover:
- Current trends and news
- Put on your advisory hat! Who are your stakeholders and what’s important?
- An ounce of prevention is worth a pound (or more) of cure. The benefits of well-designed and implemented ethics, fraud awareness and risk programs
- Who’s on first? Understand the business, perform a critical assessment, develop an investigation protocol, align with key peer groups and third parties, and define roles, responsibilities and limitations
- Ready, Set, Go! Not all complaints are created equal—essential steps in the investigation process
- Effective communication and reporting
- The role of technology in today's investigations
- Pitfalls to avoid and best practices to adopt

Thursday, November 8
12:30 PM – 5:00 PM Half-Day Workshop | 5 CPEs

W2 Building Audit Programs to Address Emerging Risks
Greg Duckert, Founder, Virtual Governance Institute

This workshop will focus on how auditors need to realign their thought processes to a truly risk-based approach and address risks as they are emerging versus dealing with them after the fact. The key fundamental premise of true risk assessment is the ability to "predict" risk or recognize it in its earliest stages. If we can develop a highly effective method of doing that, we can certainly prepare more insightful audit plans and highly effective engagement level risk-based audit methodologies.

In this workshop you will learn the keys to developing a highly effective risk assessment process at the engagement level. In addition, you'll grasp the necessity of performing in depth data-centric risk assessments to determine the most critical areas to spend valuable audit resources.

- Effectively analyzing the emerging risks at the engagement level
- Maximize the risk assessment by using the 3 critical risk components
  - Identifying risk
  - Determining probability
  - Understanding impact
- Data-centric analysis for anticipating and predicting risk
- Key data qualities necessary to effectively evaluate risk
- IT and operations examples of identifying emerging risks during audits
- Create a customized risk-based audit program
- Make a real business value statement with every audit you perform!

12:30 PM – 5:00 PM Half-Day Workshop | 5 CPEs

W4 Better, Faster, Stronger: Improving Audit Report Writing
Sarah Swanson, Consultant, Tumbleweed Consulting

In a quick-paced world full of competing messages and quick headlines, the heat is on to deliver brief and impactful audit reports. This afternoon workshop offers a fresh take on stale report writing. We’ll first focus on making every sentence count with content and then dive deeper into each sentence with new editing techniques. Together we’ll help one another improve writing and achieve a consistent writing voice between all audit teams.

This workshop will cover:
- Speed up communication during fieldwork and reduce your audit report time
- Consider how reports are released to quicken the process
- Make valuable assessment of the root cause and business risk
- Use the right words to achieve concise and well-written audit issues
- Communicate tone to match the severity of issues
- Employ fresh techniques for editing tired report findings

Friday, November 9
8:45 AM – 5:00 PM Full-Day Workshop | 8 CPEs

W5 Auditing Corporate Culture & Ethics
Dr. Herman Murdock, VP, Audit Division, Misti

Internal auditors must assess and make appropriate recommendations for improving the governance process in the promotion of appropriate ethics and values within the organization. We must also evaluate the design, implementation and effectiveness of the organization’s ethics-related objectives, programs and activities (Standard 2110). Meeting this requirement is challenging and often involves assessing subjective matters.

In this session you will acquire essential skills to comply with this requirement, learn how to measure seemingly unquantifiable conditions, and help you audit ethics in the workplace more effectively.

This workshop will cover:
- Definitions, characteristics and requirements
- What it takes to build a healthy corporate culture
- Essential elements and trigger points to influence the corporate culture
- How to establish, sustain or change the corporate culture
- Institutional instruments: policies, training, statements, metrics
- How people make decisions and the impact on ethics and the work environment
- The impact of national cultures on the corporate culture and ethics
- The elements of effective ethics training
- Ways to get more value out of ethics training
- Assessing the effectiveness of ethics hotlines
- Auditing ethics and corporate culture with surveys, interviews and focus groups
Registration Information

Registration Details

Want to attend it all? Sign up for our World Pass and receive full access to everything AuditWorld and its co-located conference SuperStrategies, have to offer. This includes the opportunity to pick and choose breakout sessions, keynotes, networking opportunities, workshops and summits across both events. See superstrategies.misti.com for more information on SuperStrategies.

Just want to attend the sessions of both conferences? Register for the All Session Pass* to go to any session in the AuditWorld and SuperStrategies tracks.

<table>
<thead>
<tr>
<th>Registration Type</th>
<th>Until July 8</th>
<th>July 9-Sept 9</th>
<th>Sept 10-Nov 4</th>
<th>After Nov 4</th>
<th>CPEs</th>
</tr>
</thead>
<tbody>
<tr>
<td>AuditWorld Main Conference</td>
<td>$1,595</td>
<td>$1,695</td>
<td>$1,795</td>
<td>$1,895</td>
<td>17</td>
</tr>
<tr>
<td>All Session Pass*</td>
<td>$2,395</td>
<td>$2,495</td>
<td>$2,595</td>
<td>$2,695</td>
<td>17</td>
</tr>
<tr>
<td>Summit Only</td>
<td>$895</td>
<td>$995</td>
<td>$1,095</td>
<td>$1,195</td>
<td>8</td>
</tr>
<tr>
<td>One-Day Workshop</td>
<td>$695</td>
<td>$795</td>
<td>$895</td>
<td>$995</td>
<td>8</td>
</tr>
<tr>
<td>Half-Day Workshop</td>
<td>$495</td>
<td>$595</td>
<td>$695</td>
<td>$795</td>
<td>5</td>
</tr>
<tr>
<td>World Pass</td>
<td>$3,295</td>
<td>$3,395</td>
<td>$3,495</td>
<td>$3,595</td>
<td>up to 38</td>
</tr>
</tbody>
</table>

*The All Session Pass does not include summits or workshops.

Event Information

Fees

Fees are listed above and payment by cash, check (US dollars) or major credit card is required before the start of the conference. The main conference fee includes all conference session materials, refreshments, continental breakfasts, lunches and receptions on Tuesday and Wednesday. Workshop and Summit fee(s) includes lunch and materials for the workshop(s) or summit(s) you attend.

Group Discount

When two people from your organization attend AuditWorld, a third person can attend at half price! The discounted registration must be of equal or lesser value. All registrations must be made and paid for at the same time by calling customer service at 508-879-7999, and cannot be combined with any other discount offer and cannot be used on previous registrations.

Schedule Changes

MISTI may occasionally find it necessary to reschedule, relocate, or cancel sessions and will give registrants advance notice of such changes. MISTI will not be responsible for penalties incurred as a result of non-refundable airfare purchases or hotel reservations.

Cancellations, Transfers, and Substitutions

If you can no longer attend AuditWorld 2018, please review the MISTI cancellation policy below and provide written notice to MISTI Customer Service at customerservice@misti.com. Cancellation policies are subject to change without notice.

- Cancellations received before 9/22/18 will be entitled to a refund less an administrative fee of $195.
- You may elect to substitute another individual from your organization without incurring an administrative fee of $195. Registrations are non-transferable to other events.
- Cancellations received between 9/22/18 and 10/15/18 will be refunded 50% of the amount paid.
- No refund will be given for cancellations received after 10/15/18.

MIS Training Institute 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.nasbaregistry.org

Field of Study: Auditing
Learning Level: Basic

Planet Hollywood Resort & Casino

3667 S Las Vegas Blvd., Las Vegas, NV 89109
(800) 342-7724

AuditWorld 2018 will be held at the Planet Hollywood Resort & Casino in Las Vegas, NV. A block of discounted rooms at a rate of $135.00 per night have been reserved on a space-available basis until October 12, 2018. If you would like to book a room you can contact the hotel directly at (866) 317-1829. Please mention MISTI when making your reservation.
ADDITIONAL LEARNING OPPORTUNITIES

Monday, November 5
8:45 AM – 5:00 PM 8 CPEs
CAE Leadership Summit
Data Analytics Summit
W1: Business Communication Course in a Day

Thursday, November 8
12:30 PM – 5:00 PM 5 CPEs
W2: Building Audit Programs to Address Emerging Risks
W3: Occupational Fraud - A Corporate Investigator’s Guide
W4: Better, Faster, Stronger: Improving Audit Report Writing

Friday, November 9
8:45 AM – 5:00 PM 8 CPEs
W5: Auditing Corporate Culture & Ethics
IT Audit Leadership Summit

AUDITWORLD.MISTI.COM

IMPORTANT: Please refer to the registration code below when registering.

REGISTRATION CODE: AW18BRO

November 6-8, 2018
Planet Hollywood Resort & Casino
Las Vegas, NV
Workshops November 5, 8 & 9