HIGHLIGHTS INCLUDE:

- Successful Internal Audit Strategies
- Governance, Risk and Compliance
- Data Management and Security
- Industry Risk Perspectives

KEYNOTE SPEAKERS

JOE DAVID
Chief Operating Auditor, General Motors

DR. V KUMAR
Regents Professor at Georgia State University; Executive Director, Center for Excellence in Brand and Customer Management

TOM O’REILLY
Vice President of Internal Audit and Seminars, MISTI

JILL SCHIEFELBEIN
Former Communications Professor and Author of Dynamic Communication

JACK ULDRICH
Futurist and Author of Jump the Curve and Foresight 20/20

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Earn up to 37 CPEs

Featuring 3 Co-located Summits on November 13:
CAE Leadership Summit
Sarbanes-Oxley Summit
Sustainability, EH&S and Social Risk Summit
Total Team Learning Experience

It takes a team to do what you do, which is why this year, MISTI brings you the “total team” learning experience. Bring your group to Las Vegas and benefit from both SuperStrategies and AuditWorld under one roof. Whether you are new to internal audit or a seasoned expert, we’ve built in opportunities to learn from practitioners and experts that live and breathe the same challenges you face every day. Visit page 13 for details on how you can take advantage of our All Access Pass, allowing you to attend sessions across both the SuperStrategies and AuditWorld tracks, as well as our workshops and summits.

SuperStrategies is a conference that provides perspective into emerging challenges and successful strategies to help you enable positive change. In more of a “nuts and bolts,” roll up your sleeves role? Our AuditWorld program is detailed in the back starting on page 14. Regardless of your role, there’s something for everyone this year in Vegas, making it the perfect forum to educate your team.

Featured Keynotes

Tuesday, November 14

9:00 AM – 10:00 AM
Using Internal Audit to Enable Positive Change in Your Organization
Tom O’Reilly, Vice President of Internal Audit and Seminars, MISTI
Organizations large and small continue to struggle to maintain and increase revenues, manage employees and control costs. For the past three years, Mr. O’Reilly, founder of the CAE Leadership Forum and former Chief Audit Executive, has met and interviewed over 100 CAEs, and worked to better understand their methods and techniques to help organizations navigate difficult business issues. During this opening keynote, Mr. O’Reilly will highlight how forward thinking and contemporary internal auditors use collaboration, customer service and development-centric strategies to exceed stakeholder’s expectations.

11:15 AM – 12:15 PM
Trendspotting: What Internal Audit Must Do to Prepare for Tomorrow
Jack Uldrich, Futurist and Author of Jump the Curve and Foresight 2020
The business world is changing at a dizzying pace and the internal audit profession is morphing nearly as fast. To keep up, internal auditors must anticipate what will matter most tomorrow and keep in front of important business and technology trends, rather than play catch up. In this keynote talk, futurist Jack Uldrich will explore how the Internet of Things, Big Data, robotics, biotechnology, nanotechnology, artificial intelligence, renewable energy and “collaborative consumption” will change life and business for all of us.

Wednesday, November 15

9:15 AM – 10:15 AM
Becoming a Dynamic Communicator: How the Internal Auditor Can Be the Voice of Change
Jill Schiefelbein, Former Communications Professor and Author of Dynamic Communication
We all know that communication is a critical component of the internal auditor’s skill set, but communicating effectively through difficult situations, disagreements and significant changes can be challenging for even the most personable among us. In this keynote talk, communication expert Jill Schiefelbein, who has worked with the NFL and the U.S. military, will provide strategies for improving your ability to command an audience, lead a team, pitch an idea, achieve buy-in, influence others and deliver results.

1:00 PM – 2:00 PM
Emerging Practices in Sales, Marketing and Innovation
Dr. V Kumar, Regents Professor at Georgia State University; Executive Director, Center for Excellence in Brand and Customer Management
Drawing on 20 years of research on customer profitability and marketing, Dr. Kumar will discuss emerging practices in sales and marketing that internal auditors need to know about to consider key strategic and operational risks of their organization. Dr. Kumar will highlight the root causes of ineffective sales and marketing processes, and provide a glimpse into cutting-edge technologies.

Thursday, November 16

10:45 AM – 11:45 AM
Talent Gets the Job Done: How GM Transformed Internal Audit to Drive Value and Performance
Joe David, Chief Operating Audit Officer, General Motors
To improve the value provided to its stakeholders, General Motors’ Internal Audit department became a department of change agents with a bend towards advisory and consultative services. Mr. David, will discuss how the company supercharged internal audit by implementing a rotational audit program and modified internal audit services to become a true business partner. He will also discuss the benefits of a data analytics department within internal audit, enabling continuous audits, continuous risk assessment and micro-audits.
# Conference at-a-Glance

<table>
<thead>
<tr>
<th>TRACK</th>
<th>Successful Internal Audit Strategies</th>
<th>Governance, Risk &amp; Compliance</th>
<th>Data Management &amp; Security</th>
<th>Industry Risk Perspectives</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Tuesday, November 14</strong></td>
<td></td>
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<tr>
<td>7:30 AM - 8:30 AM</td>
<td>Registration and Continental Breakfast</td>
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<tr>
<td>8:30 AM - 8:45 AM</td>
<td>Opening Remarks: Joel Kramer, VP, Internal Audit Curriculum, MISTI</td>
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<td>8:45 AM - 9:45 AM</td>
<td>Welcome Keynote: Using Internal Audit to Enable Positive Change in Your Organization, Tom O'Reilly, Vice President of Internal Audit and Seminars, MISTI</td>
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<td>9:45 AM - 10:00 AM</td>
<td>Refreshment Break</td>
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<tr>
<td>10:00 AM - 11:00 AM</td>
<td>A1 The Foundational Pillars for Establishing Trust with Internal Audit Customers Ziad Lajnef</td>
<td>B1 COSO's Revised ERM Framework: Your New Opportunity Robert Hirth</td>
<td>C1 Where Technology Risks Hide: Performing an IT Risk Assessment Marius Bosman</td>
<td>D1 Risk Perspectives in Education PANEL DISCUSSION</td>
</tr>
<tr>
<td>11:15 AM - 12:15 PM</td>
<td>Keynote Address: Trendspotting: What Internal Audit Must Do to Prepare for Tomorrow, Jack Uldrich, Futurist and Author</td>
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<td>12:15 PM - 12:30 PM</td>
<td>Solutions Spotlight</td>
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<tr>
<td>12:30 PM - 2:00 PM</td>
<td>Networking Luncheon</td>
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<tr>
<td>2:00 PM - 3:00 PM</td>
<td>A2 Anticipatory Auditing: Detecting Smoke Before the Fire Stephen M. Dotto, Lesley Maffetone, Scot Gray</td>
<td>B2 Strategic GRC: A Story of Lessons Learned Anthony Bellezza</td>
<td>C2 Late-Breaking Session</td>
<td>D2 Risk Perspectives in Energy and Utilities PANEL DISCUSSION</td>
</tr>
<tr>
<td>3:00 PM - 3:30 PM</td>
<td>Expo Opens; Dessert and Coffee in the Expo</td>
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<tr>
<td>3:30 PM - 4:30 PM</td>
<td>A3 Communicating What Matters Most Norman Marks</td>
<td>B3 How Harley Davidson Embedded Risk Management Within the Business Units Robert Gould</td>
<td>C3 The Role of Culture in Cybersecurity Fawad Shamshad</td>
<td>D3 Risk Perspectives in Retail PANEL DISCUSSION</td>
</tr>
<tr>
<td>4:30 PM - 5:45 PM</td>
<td>Welcome Reception in the Expo</td>
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<tr>
<td><strong>Wednesday, November 15</strong></td>
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<td>8:00 AM - 9:00 AM</td>
<td>Registration and Continental Breakfast served in the Expo</td>
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<td>9:00 AM - 9:15 AM</td>
<td>Day Two Opening Remarks</td>
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<td>9:15 AM - 10:15 AM</td>
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<td>11:45 AM - 1:00 PM</td>
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<td>Solutions Spotlight</td>
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<tr>
<td>2:15 PM - 3:15 PM</td>
<td>A5 Audit Fatigue: The Impact Outside Audits Have on Your Organization Thomas Sanglier</td>
<td>B5 Sharing Internal Audit's Value: CAE Reporting Best Practices TBA</td>
<td>C5 Adding Value Through the SOC Reporting Process Nick Priselac</td>
<td>D5 Risk Perspectives in Financial Services PANEL DISCUSSION</td>
</tr>
<tr>
<td>3:30 PM - 4:30 PM</td>
<td>A6 Late-Breaking Session</td>
<td>B6 Sustainability Accounting Standards Board: What Internal Audit Needs to Know TBA</td>
<td>C6 Beyond Assurance: How and When to Provide Advisory and Other Value-Added Services Kevin Jackson</td>
<td>D6 Risk Perspectives in Life Sciences PANEL DISCUSSION</td>
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<td>4:30 PM - 5:30 PM</td>
<td>Networking Reception in the Expo</td>
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<td><strong>Thursday, November 16</strong></td>
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<td>A7 How CBRE Rebranded, Realigned and Transformed Internal Audit Chad Factor</td>
<td>B7 Wearing Two Hats: Perspectives from a Chief Risk and Audit Officer Kristin Atwater</td>
<td>C7 Indicators You May Not Be Getting the Protection You Think from Your Cybersecurity Program David Tarbet</td>
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<td>A8 Perspectives of a World-Class Rotational Internal Audit Program Vijayat Sitani</td>
<td>B8 The New European Union GDPR: What Internal Audit Needs to Know Rachel Rose</td>
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Tuesday, November 14
3:30 PM – 4:30 PM
A3 Communicating What Matters Most
Norman Marks, Internal Audit Evangelist and former Chief Audit Executive
It’s simply not enough to audit areas of risk that matter to the organization’s success. It is imperative to communicate what management and the board need to know.
- Understand the difference of what internal audit stakeholders need to know versus what auditors typically want to say
- Evaluate the traditional audit report and expand upon alternative ways to share internal audit’s assessment
- Leave with techniques that will enhance the value provided to stakeholders

Wednesday, November 15
10:45 AM – 11:45 AM
A4 The Audit Value Factor: What a World-Class Internal Audit Process Looks Like
Daniel Samson, Executive Director, Business Assurance Services / Internal Audit, SRI International
In this interactive session, explore what it means to deliver value to your audit customers and gain insights on specific actions that audit shops can implement immediately. We will examine success stories driven by the use of data analytics and process optimization techniques.
- Create meaningful customer relationships
- Empower team members for success
- Identify cost savings and revenue recoveries
- Articulate value provided on an engagement
- Optimize audit recommendations

3:30 PM – 4:30 PM
A6 Late-Breaking Session

Thursday, November 16
8:15 AM – 9:15 AM
A7 How CBRE Rebranded, Realigned and Transformed Internal Audit
Chad Factor, Platform Director, Global Risk and Advisory, CBRE
CBRE recently realigned the enterprise risk management, ethics and compliance and internal audit functions all under the chief legal officer to foster greater cooperation. Through this effort, internal audit transformed itself to work with its new peers.
- From three voices to one voice—integration achieved
- From traditional audit to 2017 audit: How we brought the team together, refreshed protocols and rebranded the internal audit function
- From audit reports to executive reports: All hands on deck to create better reporting
- How value-add assignments and a GRC partnership drove demand and increased budget

3:30 PM – 4:30 PM
A8 Perspectives of a World-Class Rotational Internal Audit Program
Vijayant Sitani, Chief Audit Executive, PACCAR
For the past 40 years, PACCAR’s rotational internal audit program has had over 260 internal auditors rotate in, and then back out. In the same time, PACCAR’s guest auditor program has had over 2,000 business managers participate in an audit project.
- How PACCAR’s rotational internal audit program drives its talent management and leadership development process
- Best practices for establishing a rotational internal audit program, and how to create a culture for high-potential employees
- How to maximize the rotational auditor’s time and place them back in the business
- How to develop a guest auditor program that helps other business leaders gain exposure
Tuesday, November 14

10:15 AM – 11:15 AM

B1 COSO's Revised ERM Framework: Your New Opportunity

Robert Hirth, Chairman at the Committee of Sponsoring Organizations of the Treadway Commission (COSO)

This session will cover steps to adopt the new framework and the attributes of a leading ERM program. It will cover reporting risk information and reviewing and assessing the application of enterprise risk management.

- What COSO's updated ERM framework means for internal audit
- Revisions to the 2004 original framework and new key concepts, including the five components and 20 guiding principles
- How to adopt the new framework and improve your ERM program
- The value proposition for ERM today

2:00 PM – 3:00 PM

B2 Strategic GRC: A Story of Lessons Learned

Anthony Bellezza, SVP and Chief Compliance Officer, Rite Aid Corp.

This session outlines lessons learned from almost two decades of working with Fortune 500 companies. The board and executive leadership will be able to see demonstrated ROI from an integrated GRC Infrastructure.

- Establishing a chief risk and compliance office to break down silos and build lasting relationships with all parts of the organization
- Focusing middle management to set the right tone and proactively educate key leaders on GRC value
- Leveraging the three lines of defense to build the desire that will have the organization cheering to be recognized for compliance efforts
- Using GRC to help your organization address emerging risks

3:30 PM – 4:30 PM

B3 How Harley Davidson Embedded Risk Management Within the Business Units

Robert Gould, Director of Internal Audit, Harley Davidson

This case study will highlight the journey of one of America’s most iconic brands, who turned its enterprise risk management process from a project owned by compliance and internal audit to one that is now embedded within every business unit.

- How to position and train business managers to buy in to the benefits of a risk management program
- Tips and techniques to use to change risk management from a once-a-year exercise to a proactive management tool
- Data and metrics that should be applied

Wednesday, November 15

10:45 AM – 11:45 AM

B4 Forecasting Corporate Compliance Trends Heading Into 2018

Matt Kelly, Editor & CEO, Radical Compliance

The Trump Administration arrived in Washington with ambitious plans for deregulation—that, so far, have been slow going in some ways and quietly going in others. This session will review the various efforts at regulatory agencies and in Congress to overhaul compliance, including:

- Insights into the Justice Department’s approach to evaluating corporate compliance programs
- How the SEC and Congress may seek to alleviate or repeal compliance burdens, and where the PCAOB fits into that picture
- How the 3rd Line of Defense can educate and assist the 1st and 2nd lines in this uncertain period

2:15 PM – 3:15 PM

B5 Sharing Internal Audit’s Value: CAE Reporting Best Practices

Speaker TBA

A CAE who can clearly communicate internal audit objectives to management and board members helps instill confidence in your internal audit department’s ability to manage organizational risks.

- Describe current trends and best practices in reporting to executive management and the audit committee
- Identify why reporting key metrics of the business is better than reporting key metrics of the internal audit department
- Recognize opportunities to improve audit committee reports using dashboards and other non-narrative data

B6 Sustainability Accounting Standards Board: What Internal Audit Needs to Know

Speaker TBA

Since its inception in 2011, SASB has worked to develop industry-specific standards for corporate sustainability disclosure, with a view towards ensuring that disclosure is material, comparable and useful for investors. During this session we will look at what the standards mean for internal audit, and how internal auditors can use them to assess sustainability reporting efforts at their companies.

Thursday, November 16

8:15 AM – 9:15 AM

B7 Wearing Two Hats: Perspectives from a Chief Risk and Audit Officer

Kristin Atwater, SVP of Internal Audit, Everi Holdings Inc.

During this session we will provide unique perspectives on the combined audit and risk roles and insights into how a risk management program can work when it is closely aligned with internal audit.

- How to get started on building an ERM program
- What internal audit brings to the table with establishing ERM
- The best way to communicate results to other executives, the CEO, the audit committee and the board
- How to assess whether your risk management plan is effective

9:30 AM – 10:30 AM

B8 The New European Union GDPR: What Internal Audit Needs to Know

Rachel Rose, Principal, Rachel V. Rose Law PLLC

With the new rules the European Commission intends to strengthen and unify data protection for individuals within the European Union, and gone is the safe harbor that exempted U.S. companies from some European data privacy rules. This session will cover:

- What U.S. organizations must do to comply with the new rules
- How the coming GDPR differs from the former EU data directive it replaces
- Internal audit’s role in assessing compliance with data privacy law
- What the new rules mean for how companies collect, manage and transport data across borders
Tuesday, November 14

10:00 AM – 11:00 AM
C1 Where Technology Risks Hide: Performing an IT Risk Assessment
Marius Bosman, Director of IT Audit, Ball Corp.
IT risk management has grown significantly in complexity in the last few years with the introduction of an array of digital technologies and related risks. During this session you will learn how to assess IT risk in a business context and translate the impact into terms that business leaders can understand.

• A risk management program that addresses the strategy, assessment, impact and response to residual risk on the business
• The importance of metrics to report risks to management
• The need for a system to monitor and track risks to ownership, accountability and compliance to set controls
• An IT Risk Register you can use

2:00 PM – 3:00 PM
C2 Late-Breaking Session

3:30 PM – 4:30 PM
C3 The Role of Culture in Cybersecurity
Fawad Shamshad, Director of IT Audit, Bristol-Myers Squibb
When we think of cybersecurity, we often think of the need to safeguard our data and information from shadowy hackers in Russia and China who are hell-bent on breaching our sophisticated security apparatus. The reality is that the biggest threat may be already within the walls of the company: Our own employees. During this session, we’ll consider the role of culture in cybersecurity, including the following areas:

• What does a culture of IT security look like?
• How do we get employees to want to contribute to the security of our data?
• What are the top behaviors we want to discourage and the ones we hope to instill?
• How can we leverage our employees to be soldiers in the fight for cybersecurity?

Wednesday, November 15

10:45 AM – 11:45 AM
C4 The Case of Internal Audit and Cybersecurity
David Malcom, Managing Director, Global IT Audit Lead, Accenture
Jason Maslan, Managing Director, Protiviti
Over the past five years, cyber-incidents are estimated to have increased more than sixfold. While bolstering their defenses, companies can easily overlook the fact that one of the most effective tools they possess may already exist inside their firewalls: a rigorous internal audit program.

• Provide an understanding of the cyber landscape
• Look at how to interpret cybersecurity assessment results
• Give tips on how to educate the audit committee and board on cybersecurity risk
• Make the case for how internal audit can become a trusted cyber advisor

2:15 PM – 3:15 PM
C5 Adding Value Through the SOC Reporting Process
Nick Priselac, Principal, Focal Point Data Risk
SAS No. 70. SSAE No. 16. SOC 1. SOC 2. The evolution of Service Organization Control (SOC) reporting has grown more complicated year over year, and so have the risks associated with placing reliance on, and issuing, such reports. Explore the latest changes in SOC reporting and hear insights and best practices to evaluate and manage SOC reports on behalf of your organization.

• A summary of SOC reporting
• The role of internal audit as it relates to SOC reporting
• Key factors to consider when managing and evaluating a SOC report

3:30 PM – 4:30 PM
C6 Beyond Assurance: How and When to Provide Advisory and Other Value-Added Services
Kevin Jackson, Internal Audit Director, Vulcan Materials Co.
During this session, we’ll look at how best to leverage internal audit to provide advisory services, where best to provide advisory services and when it doesn’t make sense.

• The obstacles that prevent internal audit from going beyond traditional SOX
• The pitfalls to look out for so auditor independence is not breached
• The cost benefits of utilizing internal audit to provide additional services and the potential for reducing external audit fees

Thursday, November 16

8:15 AM – 9:15 AM
C7 Indicators You May Not Be Getting the Protection You Think from Your Cybersecurity Program
David Tarbet, Senior Manager, Technology Audit, Verizon
As cyber threats have continuously escalated, organizations have responded accordingly by investing in top cybersecurity talent, a myriad of tools that promise to address all your security related concerns, and millions in consulting fees to establish “robust” cybersecurity programs. But, has your organization really moved the needle?

• Foundational components that must be established to support cybersecurity programs
• Practical audit techniques to identify indicators of ineffective cyber programs

9:30 AM – 10:30 AM
C8 Making Sense of the Various IT Control Frameworks
Shawna Flanders, Director of Instructional Technology and Innovations and Senior Trainer, MISTI
The increase of global cyber threats have pushed businesses to mature their security programs and caused regulators to enforce companies to comply with information security processes and controls. Because many companies straddle more than one industry, they are usually required to have controls from more than one framework.

• Common information security control frameworks, including NIST 800.53, ISO 27001 and PCI
• Leverage the work done for one framework for the other
• How internal auditors can help their information security team organize control information and document internal controls
• Assist your organization by evaluating its information security control monitoring processes
You spoke, and we listened. For the first time ever, SuperStrategies attendees and All Access Pass holders will have a unique opportunity to hear from a panel of industry-leading internal audit executives on key risks your industry will face in 2018. Each panel discussion will highlight 6-10 strategic and emerging risks, and highlight methods CAEs will use to address those risks in the next 12-18 months. Specific panel discussion topics will include:

- Understanding critical issues and risks unique to each industry
- A discussion of industry trends and their effect on decisions made by executive management
- Emerging risk areas related to revenue growth, innovation, managing human resources and corporate efficiencies
- Prominent and upcoming compliance issues and regulations

Tuesday, November 14

10:15 AM – 11:15 AM  
**D1 Risk Perspectives in Education**

2:00 PM – 3:00 PM  
**D2 Risk Perspectives in Energy and Utilities**

3:30 PM – 4:30 PM  
**D3 Risk Perspectives in Retail**

Wednesday, November 15

10:45 AM – 11:45 AM  
**D4 Risk Perspectives in Health Care**

2:15 PM – 3:15 PM  
**D5 Risk Perspectives in Financial Services**

3:30 PM – 4:30 PM  
**D6 Risk Perspectives in Life Sciences**

Thursday, November 16

8:15 AM – 9:15 AM  
**D7 Risk Perspectives in Manufacturing**

9:30 AM – 10:30 AM  
**D8 Risk Perspectives in Technology**

**All Access Pass**

Want to attend it all? New this year, we are offering an All Access Pass. Receive full access to everything SuperStrategies and AuditWorld 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 SuperStrategies and AuditWorld tracks.
Monday, November 13

7:45 AM – 8:45 AM Registration and Continental Breakfast

8:45 AM – 9:00 AM

Chair’s Opening Remarks
Joel Kramer, VP, Internal Audit Curriculum, MISTI

9:00 AM – 10:15 AM

Navigating Two Bosses: CAE Tips for Building Healthy, Dual Reporting Relationships
Daniel Samson, Executive Director, Business Assurance Services/Internal Audit, SRI International

In many cases CAEs have dual reporting lines. They may report administratively to the CEO or other C-suite executives and then functionally to the audit committee chair. This dual reporting structure can be complex and hard to navigate. During this session we will explore dual reporting structures, why they make sense and how CAEs can successfully navigate them.

10:15 AM – 10:30 AM Refreshment Break

10:30 AM – 11:30 AM

Partnering with the Risk Office to Identify Risk and Allocate Resources
Mike Moody, Institute Auditor, Massachusetts Institute of Technology

• Advisory activities that CAEs can add value to a formalized ERM program and department
• Techniques to leverage audit “boots on the ground” to further enhance the ERM process
• Using an ERM framework to improve internal audit’s risk assessment process
• Providing assurance over an ERM program when a great partnership already exists

11:30 AM – 12:30 PM

CAE Strategies for Partnering with the Second Line of Defense
Anthony Bellezza, SVP and Chief Compliance Officer, Rite Aid Corp.

We know how important it is for internal audit to have solid relationships throughout the company. It’s even more critical to build strong relationships with those disciplines responsible for risk management, compliance and control oversight at the Second Line of Defense. During this session, we will facilitate a discussion on the various strategies and best practices needed to:

• Cultivate relationships and break down the silos with those responsible for risk management, compliance and control oversight
• Develop a fully integrated approach so the entire team is working in unison on the major areas of risk and compliance
• Demonstrate a ROI, where risk and compliance activities can be turned into results

12:30 PM - 1:30 PM Networking Luncheon

1:30 PM – 2:30 PM

CAEs as Change Agents: Best Practice Change Management Techniques
Marilyn Stanton, President, Illuminated Consulting

Performing a successful audit and providing unique and insightful data means nothing if presented and shared without obtaining a commitment from your audience to change. During this one-hour facilitated conversation, our presenter will highlight how CAEs and other internal audit executives can lead strategic transitions and ensure recommended operational changes are implemented through an analysis of change management tools and best practices.

Examples of successful internal audit change initiatives and methods that CAEs can use to be applied in future change initiatives will be shared. This interactive session will cover:

• How CAEs can take advantage of opportunities to lead successful change initiatives
• An analysis of critical change leadership tasks highlighting key roles for change leaders
• Questions CAEs can ask themselves to better influence and implement a change initiative

2:30 PM – 2:45 PM Refreshment Break

2:45 PM – 3:45 PM

Tech Talk to English–Educating Management and the Board on Key IT Risks
Marius Bosman, Director of IT Audit, Ball Corp.; Hakan Oloffson, Vice President, Internal Audit, Ball Corp.

• How to communicate technology risks to those who are less familiar
• How to help management and the audit committee conceptualize how big certain technology threats are
• How to make the business case for more IT audit staff and resources
• Emerging technology risks: what’s on the horizon for 2018 and beyond

3:45 PM – 5:00 PM

Opportunities and Challenges of the CAE in 2018–A Panel Discussion
Moderator: Joel Kramer, VP, Internal Audit Curriculum, MISTI
Panelists: Daniel Samson, Hakan Oloffson, Mike Moody
Monday, November 13

Norman Marks is the author of the IIA’s best-selling Management’s Guide to Sarbanes-Oxley Section 404: Maximize Value within your Organization. Mr. Marks will discuss and share his perspective on recent events that have affected how companies comply with Sarbanes-Oxley requirements, and the changes that can be made by organizations to continue to comply while also decreasing the cost of compliance.

The goal of the summit is for attendees to leave with perspectives, insights and best practices to improve their organizations efficiency to comply with Sarbanes-Oxley, tactics to improve communication and negotiation with their external audit firms and cost-reduction best practices that can be quickly implemented.

7:45 AM – 8:45 AM Registration and Continental Breakfast

8:45 AM – 9:00 AM Opening Remarks and Introductions
Norman Marks, Internal Audit Evangelist and Author

9:00 AM – 10:15 AM The Regulator’s Recommended Approach to SOX
• What constitutes an effective system of internal control over financial reporting?
• The top-down risk-based approach in Auditing Standard 5 and in the SEC’s Interpretive Guidance
• A high level review of the PCAOB’s 2013 guidance in Staff Alert No. 11
• Focus on material errors and omissions

10:15 AM – 10:30 AM Refreshment Break

10:30 AM – 11:30 AM The Top-Down Approach
To define the detailed scope for management’s SOX assessment, a risk-based, top-down approach should be taken. This session will discuss and explain the key criteria to use when performing a top-down, risk-based approach assessment, including:
• Significant accounts
• Multi-location analysis
• Significant transactions
• Fraud risk

11:30 AM – 12:30 PM Impact of COSO's Internal Control–Integrated Framework
• How management and internal audit should address the COSO principles for effective internal control
• Tactics to demonstrate that the principles are present and functioning

1:30 PM – 2:30 PM Management Review Controls and IT-Dependent Controls
In the last few years, the audit firms have been asking management to perform additional work, notably in the areas of “management review controls” and where controls depend on reports from the company’s computer systems. We will discuss whether and how the regulators have provided new guidance in these and other areas.
• Best practices to address external audit firms’ concerns
• How to address requests by external audit firms to perform additional work
• Review of additional guidance provided by regulators to address external audit firm requests

2:30 PM – 2:45 PM Refreshment Break

2:45 PM – 3:15 PM SOX-Related Litigation – What your Company Needs to Know
While there have been few SEC actions or prosecutions under SOX, the number of cases where the SEC has found fault with the assessment of internal control over financial reporting has increased. Mr. Marks will discuss these and how they might affect the SOX program and the internal audit team.
• The relationship between SOX and the 1934 Securities Exchange Act
• Actions relating to SOX Section 302
• Actions relating to SOX Section 404

3:15 PM – 5:00 PM Open Forum and Roundtable Discussion: SOX Program Best Practices
This discussion aims to address any SOX-related questions and concerns attendees have, but have not yet been addressed. Attendees can help answer questions and provide their own perspectives on related topics such as:
• How to identify key IT General Controls
• Segregation of Duties and ICFR risk
• How to document control testing
• How to improve the efficiency of the control testing for SOX 404 compliance
• Streamlining and re-evaluating the process for SOX 302 compliance
• Best practices to use when evaluating automated SOX controls

12:30 PM – 1:30 PM Networking Luncheon
Are you reporting on sustainability, environmental health and safety (EHS) and social risks? External reporting of issues is now common practice. Laws and regulations require some of this reporting; their number and scope are growing (for example, the EU’s Non-Financial Reporting (NFR) Directive). Other NFR is B2B, and often hidden from executive view. The Global Reporting Initiative (GRI), the prevailing framework for voluntary comprehensive NFR, is only 20 years old. Several other frameworks have sprung up since. The Sustainability Accounting Standards Board (SASB) promotes disclosures of material issues in financial filings. The number, extent and potential impact of NFR risk is substantial.

7:45 AM – 8:45 AM
Registration and Continental Breakfast

8:45 AM – 9:00 AM
Chair’s Opening Remarks
Douglas Hileman, President, Douglas Hileman Consulting LLC

9:00 AM – 10:15 AM
Regulatory and Legal Drivers for Non-Financial Reporting (NFR)
This session will provide background on statutory, regulatory and other legal drivers for NFR. It will also review common practice for auditing (typically a second line of defense).
- Laws, regulations and requirements
  - Traditional (EPA, OSHA)
  - Non-traditional (SEC, materials restrictions)
  - New and emerging (modern day slavery/human trafficking, conflict minerals)
  - Federal acquisition regulations
- Auditing requirements and practices for the above
- Recent changes and trends (since January 1, 2016)

10:15 AM – 10:30 AM Refreshment Break

10:30 AM – 11:30 AM
Basic Concepts for Key NFR Frameworks (GRI, SASB, and others)
This session will provide background on several of the prevailing frameworks for NFR.
- Frameworks for non-financial reporting (NFR)
  - Global Reporting Initiative
  - CDP (Carbon Disclosure Project)
  - The Sustainability Consortium
  - Sustainability Accounting Standards Board
  - Codes of conduct
- Auditing requirements and practices for the above
- Recent changes and trends

11:30 AM – 12:30 PM
Current State of Programs and Stakeholder Perspectives
The session will review how a broad array of stakeholders are influencing what and how companies must engage in NFR to manage risk and remain competitive.
- Stakeholder perspectives and influences
  - NGOs
  - Investors (activist, mainstream)
  - Customers

12:30 PM – 1:30 PM Networking Luncheon

1:30 PM – 2:30 PM
Connecting ERM Concepts to NFR, and Common Practice, Gaps and Risks
Sustainability and enterprise risk management professionals are saying many of the same things—they’re just using different terms to say so. This session will connect ERM concepts with NFR, and discuss common practice, gaps and risks to organizations.
- The enterprise risk management perspective on non-financial reporting
  - Compliance
  - Operations
  - Reporting
  - Business strategy
- Examples of typical controls
  - Good practices
  - Common gaps

2:30 PM – 2:45 PM Refreshment Break

2:45 PM – 3:45 PM
Internal Audit: Providing Value on NFR
Non-Financial Reporting presents a golden opportunity—if only internal audit knew how. This session will offer some suggestions on how internal audit can begin framing and discussing the issue of NFR in the context of managing risks and leveraging opportunities.
- Alignment with internal audit mission
- Highlights from recent surveys
- Providing value
- Types of engagement
- Framework for a non-financial reporting risk assessment

3:45 PM – 5:00 PM
Opportunities and Challenges for NFR in 2018 – A Panel Discussion
This session will feature a panel discussion with thought leaders, standard-setters, leading internal auditors and/or specialists who can provide insights on current practices, gaps and opportunities in the area of NFR and some key trends heading into 2018.
Thursday, November 16

12:30 PM – 5:00 PM Half Day Workshops 5 CPEs

**W1 Root Cause Analysis for Today's Internal Auditor**
Dr. Hernan Murdock, Vice President, Audit Division, MISTI

Internal auditors are expected to go beyond merely listing issues and symptoms noticed during their reviews, and through research identify the source of the problems. The misplaced focus on symptoms leads to the issuance of vague and ineffective recommendations that come short of truly helping our clients because problems persist or recur. Root Cause Analysis (RCA) is a problem-solving technique to identify the source of defects and help programs and processes achieve their objectives.

Participants attending this workshop will learn how to apply RCA by systematically examining situations, identifying contributing causes, selecting the best corrective action(s) and presenting the results convincingly during internal audits and consulting projects. The workshop will cover:

- Tools and techniques to identify the source of business problems
- How to link events, consequences and corrective actions
- Defining the problem and articulating the reason it needs fixing
- Persuasiveness: Collecting, analyzing and interpreting data
- Balancing patience and urgency: Examining alternatives to select the best option
- How to help management build a mechanism to bring problems to the surface
- Essential change management principles for successful problem resolution
- How to become a change agent without compromising your independence or objectivity

**W2 Internal Audit Professional Practices Group Roundtable Discussion**

For internal audit departments with more than 20 auditors, communicating internal audit methodology and standards, managing resources, training future business leaders and providing the tools to carry out these responsibilities is a job in and of itself.

Participants joining our Professional Practices Group roundtable discussion will join their peers with similar strategic and administrative responsibilities to share best practices on:

- Helping set and communicate internal audit operations strategies through the internal audit department
- How to develop, standardize and streamline internal audit’s methodology
- Assigning in-house and co-source resources to carry out the audit plan
- Adding value in the risk assessment, issue tracking and audit committee reporting processes
- Managing and overseeing the department’s quality assurance program and reviews
- Providing guidance, tools and training to internal audit staff
- Enhancing opportunities to retain top talent
- How to implement and manage the use of a GRC tool
- Creating and overseeing different internal audit centers of excellence

Friday, November 17

9:00 AM – 5:00 PM Full-Day Workshops 8 CPEs

**W3 Cybersecurity for Audit Leaders – What Every CAE Should Know**
Shawna Flanders, Director of Instructional Technology and Innovation and Senior Instructor, MISTI

This workshop is designed to heighten the audit leader’s knowledge of many of the more significant cybersecurity related threats and corresponding controls. We will discuss current and pending cyber regulations and explore some of the known cyber related vulnerabilities, threats and risks facing today's enterprise or agency and some of the more common controls used to defend against a cyber-attack. By days-end, attendees will gain a broad-base understanding of cybersecurity and how to incorporate cybersecurity components into their team’s audit engagements. We will include several group discussion activities to allow collaboration amongst your peers.

The workshop will cover:

- Cybersecurity basics including its connection with information security and data privacy--preparing the audit leader in cyber related boardroom discussions
- NIST Cybersecurity Framework and several related NIST 800 Series Guidelines
- Cybersecurity regulations--current and pending
- Common cyber related vulnerabilities, threats and possible risks facing enterprises who use the internet to:
  - Interact with consumers, customers, suppliers and other third parties through computers and mobile devices
  - Process, transmit or store cardholder or other personally identifiable data
  - Use of social media
  - Use of email, chat and VOIP
- Basic control suite to defend against cyber attacks
- Auditing cybersecurity components—steps to add to every engagement to assure effectiveness against possible cyber attacks (financial, operational, IT and third-party assessments)

**W4 Internal Audit Report Writing Bootcamp**
Sarah Swanson, Senior Instructor, MISTI

If there was only one training that any and every internal auditor should continuously take, most CAEs would agree that audit report writing training would be the one. And we agree. The internal audit report is the primary “product” of most internal audit departments, yet so many internal auditors struggle to effectively communicate the results of their completed audit and the value they have added to the organization.

In this one-day workshop, attendees will go through an audit report writing bootcamp involving case studies and exercises describing the fundamentals of internal audit report writing, including issue development, root cause statement, highlighting business risks and correctly positioning internal audit recommendations. Specific learning topics include:

- Strategies to develop internal audit report executive summaries
- Methods to draft issue statements, descriptions and how to communicate quantitative symptoms
- Ways to align and highlight business risks associated with identified issues
- How to position recommendations to improve the chances of being accepted by management
- How to organize audit data and results to improve audit writing efficiency
- Getting to the point—removing clutter and unnecessary words
- Fixing common problems found in audit reports
- Techniques to improve the effectiveness of editing and proofreading
Whether you’re attending SuperStrategies, AuditWorld or both, meet one-on-one with representatives of today’s leading internal audit service providers and obtain cutting-edge information and solutions for your business in our Expo. For an updated list of sponsors and exhibitors, visit superstrategies.misti.com or auditworld.misti.com.

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The LSUCIA, considered a leader in internal auditing education, offers a unique educational program that trains students in real-world best practice. Approximately 150 students from various disciplines complete the program annually. The LSUCIA places students in both internship and full-time positions with major organization worldwide.

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Contact Mike Shemesh
(508) 532-3656
mshemesh@misti.com
Registration Details

Want to attend it all? New this year, we are offering an All Access Pass. Receive full access to everything SuperStrategies and AuditWorld 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 SuperStrategies and AuditWorld tracks.

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

Event Information

Fees

Fees are listed below 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 you attend.

Group Discount

When two people from your organization attend SuperStrategies or 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 SuperStrategies or AuditWorld, 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 9/29/17 will be entitled to a full 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 9/29/17 and 10/22/17 will be refunded 50% of the amount paid.
- No refund will be given for cancellations received after 10/23/17.

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Attendees are eligible to receive 16 hours of credits for each conference, 8 for full-day workshops/summits, and 5 for half-day workshops.

Field of Study: Auditing

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AuditWorld

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The How-to Conference for Internal Auditors

November 14-16, 2017   |   Planet Hollywood Resort & Casino   |   Las Vegas, NV
Co-Located Summits: November 13, 2017   |   Post-Conference Workshops: November 16 & 17, 2017

PROGRAM HIGHLIGHTS:

+ Lessons on Developing Internal Auditors into Future Business Leaders
+ Improving the Process of Internal Audit
+ Developing Future Business Leaders
+ How to Audit Today’s Strategic and Emerging Risks
+ World-Class Strategies for Traditional Internal Audit Projects

KEYNOTE SPEAKERS

JOE DAVID
Chief Operating Auditor, General Motors

DR. V KUMAR
Regents Professor at Georgia State University; Executive Director, Center for Excellence in Brand and Customer Management

TOM O’REILLY
Vice President of Internal Audit and Seminars, MISTI

JILL SCHIEFELBEIN
Former Communications Professor and Author of Dynamic Communication

JACK ULDRICHS
Futurist and Author of Jump the Curve and Foresight 20/20

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The following pages outline the program details of our “how-to” conference for internal auditors, AuditWorld. AuditWorld delves deep into the “nuts and bolts” of internal audit, providing actionable takeaways to help you improve your project management, field reporting, communication and more. Looking for more of a high-level perspective that can help you improve team strategies and processes? Our flagship audit event, SuperStrategies, is detailed in the back starting on page 3. Regardless of your role, there’s something for everyone this year in Vegas, making it the perfect forum to educate your team in the skill sets they need it most.

Featured Keynotes

Tuesday, November 14

9:00 AM – 10:00 AM

Using Internal Audit to Enable Positive Change in Your Organization

Tom O’Reilly, Vice President of Internal Audit and Seminars, MISTI

Organizations large and small continue to struggle to maintain and increase revenues, manage employees and control costs. For the past three years, Mr. O’Reilly, founder of the CAE Leadership Forum and former Chief Audit Executive, has met and interviewed over 100 CAEs, and worked to better understand their methods and techniques to help organizations navigate difficult business issues. During this opening keynote, Mr. O’Reilly will highlight how forward thinking and contemporary internal auditors use collaboration, customer service and development-centric strategies to exceed stakeholder’s expectations.

11:15 AM – 12:15 PM

Trendspotting: What Internal Audit Must Do to Prepare for Tomorrow

Jack Uldrich, Futurist and Author of Jump the Curve and Foresight 20/20

The business world is changing at a dizzying pace and the internal audit profession is morphing nearly as fast. To keep up, internal auditors must anticipate what will matter most tomorrow and keep in front of important business and technology trends, rather than play catch up. In this keynote talk, futurist Jack Uldrich will explore how the Internet of Things, Big Data, robotics, biotechnology, nanotechnology, artificial intelligence, renewable energy and “collaborative consumption” will change life and business for all of us.

Wednesday, November 15

9:15 AM – 10:15 AM

Becoming a Dynamic Communicator: How the Internal Auditor Can Be the Voice of Change

Jill Schiefelbein, Former Communications Professor and Author of Dynamic Communication

We all know that communication is a critical component of the internal auditor’s skill set, but communicating effectively through difficult situations, disagreements and significant changes can be challenging for even the most personable among us. In this keynote talk, communication expert Jill Schiefelbein, who has worked with the NFL and the U.S. military, will provide strategies for improving your ability to command an audience, lead a team, pitch an idea, achieve buy-in, influence others and deliver results.

1:00 PM – 2:00 PM

Emerging Practices in Sales, Marketing and Innovation

Dr. V Kumar, Regents Professor at Georgia State University; Executive Director, Center for Excellence in Brand and Customer Management

Drawing on 20 years of research on customer profitability and marketing, Dr. Kumar will discuss emerging practices in sales and marketing that internal auditors need to know about to consider key strategic and operational risks of their organization. Dr. Kumar will highlight the root causes of ineffective sales and marketing processes, and provide a glimpse into cutting-edge technologies.

Thursday, November 16

10:45 AM – 11:45 AM

Talent Gets the Job Done: How GM Transformed Internal Audit to Drive Value and Performance

Joe David, Chief Operating Audit Officer, General Motors

To improve the value provided to its stakeholders, General Motors’ Internal Audit department became a department of change agents with a bend towards advisory and consultative services. Mr. David, will discuss how the company supercharged internal audit by implementing a rotational audit program and modified internal audit services to become a true business partner. He will also discuss the benefits of a data analytics department within internal audit, enabling continuous audits, continuous risk assessment and micro-audits.
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<td>Session: Evaluating Your Audit-verse</td>
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<td>Session: Expo Opens, Dessert and Coffee in the Expo</td>
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<td>Session: F3 Six Common Internal Audit</td>
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<td>4:30 PM - 5:45 PM</td>
<td>Session: Welcome Reception in the Expo</td>
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<td>Session: Refreshment Break in the Expo</td>
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<td>Session: Non-Monetary Drivers to Attract and Retain High-Performing Internal Auditors</td>
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<td>Session: The Emotionally Intelligent Internal Auditor: Your Team’s Success Depends on It Dr. Herman Murdock</td>
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<td>Session: Integrated Auditing 2.0</td>
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<td>Session: How to Leverage Six Sigma Concepts in Project Management</td>
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**Thursday, November 16**

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<td>Session: Avoiding Common Pitfalls when Starting a Data Analytics Program</td>
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<td>Session: Refreshment Break</td>
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<td>9:30 AM - 10:30 AM</td>
<td>Session: Internal Audit Automation: Optimizing Your Approach and Coverage</td>
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<td>Session: Keynote Address: Talent Gets the Job Done: How GM Transformed Internal Audit to Drive Value and Performance Joe David, Chief Operating Auditor, General Motors</td>
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<td>11:45 AM - 12:00 PM</td>
<td>Closing Remarks</td>
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Tuesday, November 14

10:15 AM – 11:15 AM
E1 Better Living Through Data: Visualizing Your Audit-verse
Billy Chueng, Lead IT Auditor – Data and Analytics, Fannie Mae
Derrick Lee, Senior IT Auditor – Data and Analytics, Fannie Mae
In this session, we present the idea of an audit ecosystem dashboard that combines common data sets and straightforward data analytic techniques with Tableau visualizations and storyboards. The result is a tool that enables auditors to help plan, intelligently mine and make data driven decisions. This session will explore:
• Strategies to refine the audit scope through prospective data mining and data visualization
• Ways of combining human resource movements, change tickets and other data sources to gauge people, process and technology turbulence
• Striking the balance between ‘pretty but pointless’ in designing dashboards
• Common pitfalls, tips and tricks for incorporating data and analytics into audits

2:00 PM – 3:00 PM
E2 Using COSO 2013 to Plan Internal Audit Projects
Gretchen Sutcliffe, Director of Internal Audit, National Grid
Brian Rourke, Manager, Internal Audit, Analog Devices Inc.
Internal auditors will learn how the five elements and 17 principles of COSO can be used to complete a “what could go wrong” risk assessment.
• Unique audit planning methodology
• Review the 2013 COSO framework
• How to perform a complete “what could go wrong” risk assessment
• Create an audit program that addresses control design and operating effectiveness

3:30 PM – 4:30 PM
E3 Late-Breaking Session

Wednesday, November 15

10:45 AM – 11:45 AM
E4 Non-Monetary Drivers to Attract and Retain High-Performing Internal Auditors
Alec Arons, National Practice Leader, Risk Advisory Service, Experis
One of the key findings of the 2017 MISTI Internal Audit Planning and Staffing Priorities Survey is the challenge to attract and retain top talent. Successful organizations understand that it is important to balance compensation with opportunities.
• Provide an understanding of the changing demographics of the internal audit workforce
• Review motivations of high-performing internal auditors
• Share leading practices for achieving employee engagement
• How to balance internal audit retention strategies with stakeholder expectations

2:15 PM – 3:15 PM
E5 Integrated Auditing 2.0
Shawna Flanders, Director of Instructional Technology and Innovations and Senior Instructor, MISTI
As processes become more automated and outsourced, internal audit must expand on its capability to evaluate the controls of the process’ data and third parties they engage with.
• What you need to know to be an integrated auditor
• Key access, change management, application and business continuity controls
• How to evaluate issues relating to data confidentiality, integrity and availability
• Ways internal auditors can obtain assurance that third parties handling company data are doing so according to expectations

3:30 PM – 4:30 PM
E6 How to Leverage Six Sigma Concepts in Project Management
Ellen Lux, Senior Manager, Raytheon Co.
Paul Nichols, Manager, Raytheon Co.
This hands-on session will include a discussion of Six Sigma and Lean principles, inform participants of examples of Six Sigma and Lean tools with common audit scenarios and explore how to incorporate concepts learned into the internal audit methodology and project management.
• Examples of how these tools can be used in common audit scenarios
• How Six Sigma and Lean principles can bring discipline and efficiency to project management
• How to incorporate Six Sigma and Lean concepts into the internal audit methodology

Thursday, November 16

8:15 AM – 9:15 AM
E7 Avoiding Common Pitfalls when Starting a Data Analytics Program
Ross Fraser, Manager, Third Party Risk Management, Iron Mountain
Implementing an integrated data analytics function into an internal audit department can create a greater degree of process and controls confidence. This session will review the creation of a fraud, waste and abuse focused analytics program implementation, along with the real life lessons learned.
• Define your program start point
• Structure the department for value, efficiency and growth
• Avoid program pitfalls
• Use metrics to promote program value

9:30 AM – 10:30 AM
E8 Internal Audit Automation: Optimizing Your Approach and Coverage
Jim McCole, SVP, Audit Director – Technology Automation, Bank of America
Stephen M. Dotto, SVP, Audit Director – Anticipatory Risk Coverage, Bank of America
Steve Pollick, SVP, Audit Director – Retail Banking, Bank of America
During this session, we will discuss proven, innovative approaches to applying automation in your audit work.
• Identify how to move from ad-hoc manual audit testing to an automated approach
• Identify valuable features of interactive tools for automation
• Explore the competencies of an automation auditor from technical ability to communication skills
• Recognize the shift from spending time transforming data to devoting more time identifying trends and honing judgment

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Tuesday, November 14

10:15 AM – 11:15 AM
F1 Change Management Best Practices for Internal Auditors
Marilyn Stanton, President, Illuminated Consulting
Isn’t it amazing that internal auditors highlight so many opportunities for the business to improve, but can only get changes to be made in either 6 or 12 months? Wouldn’t it be great to report in every audit report the issue found, the management action plan and status update?
- Pragmatic steps to positively influence recommendation acceptance and the speed of implementation
- An overview on how to integrate key change levers into a project or audit plan
- What metrics to monitor in change projects to ensure timely project implementation

2:00 PM – 3:00 PM
F2 From Internal Auditor to Future Business Leader: Lessons Learned from the IIA’s CBOK Surveys
Dr. Glenn Sumners, Director, LSU Center of Internal Audit
In the past two years, the IIA’s Research Foundation has issued 26 surveys comprised of perspectives from internal auditors and their stakeholders, addressing best practices for core competencies and specific insights from different regions around the world.
- Learn what separates forward-thinking internal audit departments from their peers
- What internal audit staff, seniors and managers can do to better position themselves to lead internal audit
- Understand critical issues internal auditors will continue to deal with in the next 3-5 years
- Receive an executive overview of survey results ranging from recruiting, needed skill sets, training, risk assessment, fraud risk, to governance issues

3:30 PM – 4:30 PM
F3 Six Common Internal Audit Hiring Mistakes to Avoid
Jonathan Ngah, Principal, Synergy EnterPrize LLC
This session we will look at common hiring mistakes internal audit departments make. It will also look at how to develop a comprehensive strategy that focuses on finding the right candidates with the right set of skills.
- The importance of recruitment, selection and retention
- How to quantify and monitor internal audit recruiting efforts
- The impact of organizational human resources policies on internal audit
- Expectations of auditors and why “doing more with less” is the new normal

Wednesday, November 15

10:45 AM – 11:45 AM
F4 The Emotionally Intelligent Internal Auditor: Your Team’s Success Depends on It
Dr. Herman Murdock, Vice President, Audit Division, MISTI
Emotional intelligence has emerged as an essential determinant of individual success.
- What are the characteristics of emotionally intelligent individuals?
- Techniques to identify, assess and control your own emotions and those of others
- How can managers develop emotional intelligence?
- Using emotional intelligence to build more productive relationships with clients

2:15 PM – 3:15 PM
F5 Easing Tension During Difficult Audits: Conflict Resolution Best Practices
Jill Schiefelbein, Former Communications Professor and Author of Dynamic Communication
Negotiating over a negative audit finding or communicating bad news to management can be tricky. The session will cover:
- How to keep conflict discussion from getting heated or personal
- Strategies for communicating your position without coming across as confrontational
- Pros and cons of different communication channels
- How to create messages for persuasive impact

3:30 PM – 4:30 PM
F6 Key Attributes of a World-Class Internal Audit Manager
Panel Discussion
Panelists: Alec Arons, National Practice Leader, Risk Advisory Services, Experis
Marius Bosman, IT Audit Director, Ball Corp.
Chad Factor, Director, Global Assurance & Advisory, CBRE
In this panel discussion, we’ll look at the difference between a good internal audit manager and a great one.
- The role of the internal auditor and how it has changed
- What are the things an internal audit manager can do to stand out
- Skills and competencies of a world-class internal audit manager
- What must an internal audit manager do to move to the next level

Thursday, November 16

8:15 AM – 9:15 AM
F7 Audit Report Missteps that Put Internal Audit’s Reputation at Risk
Kate Niemann, VP Audit Standards, Reporting and Systems, Ameriprise Financial
The most visible and vital products of internal audit’s work are audit reports and other key stakeholder communication. Using real-world examples, this session explores the most common communication missteps:
- Common communication errors in audit reports that weaken credibility
- Strategies to ensure senior management take audit reports seriously
- Techniques to review communications from the reader’s perspective
- Tools to detect and eliminate embarrassing errors

9:30 AM – 10:30 AM
F8 From Good to Great: Lessons Learned from a Lifetime of Training Internal Auditors
Joel Kramer, VP, Internal Audit Curriculum, MISTI
Joel Kramer has had a wonderful career instructing internal auditors for the past 35 years. He has seen our profession rise in relevance as it plays an essential role in helping organizations succeed. In this session, Joel will share the traits he has observed that separate the good from great internal auditors.
- What great auditors do to improve their knowledge of their business
- Highlight the business core competencies that separate the good from the great
- Methods to use when responsibilities increase faster than resources
Tuesday, November 14
10:15 AM – 11:15 AM
G1 Auditing Digital Marketing
Dan Tsang, Director, Internal Audit, Expedia
Nearly all companies are marketing themselves online these days, whether through search engine campaigns, keyword purchases or other online advertising and marketing. In this session we will look at how to conduct an audit of the online marketing program, including the key risks, controls and tests for such an audit. The session will cover:
- Demystifying the audit risks associated with Search Engine Marketing (SEM) and Search Engine Optimization (SEO)
- How Expedia developed internal audit approaches for these business and technology functions
- How terms like clicks, cookies and restricted-last-touch impact your company’s risk environment
- How audit approaches vary when marketing activities are outsourced to third parties or managed by internal teams
- How cybersecurity risk impacts the technology supporting these activities

2:00 PM – 3:00 PM
G2 Late-Breaking Session
3:30 PM – 4:30 PM
G3 Late-Breaking Session

Wednesday, November 15
10:45 AM – 11:45 AM
G4 Auditing Cloud Service Providers: The Devil Is in the Details
William Crowe, IT Security Manager, Citizens Property Insurance Co.
The use of service providers storing company data in the cloud increases year over year. The question no longer remains if internal audit should be involved, but how.
- Understand key differences of cloud service provider (CSP) contracts, service level and operating level agreements
- Evaluate your company’s due diligence process before engaging with CSPs
- Determine if your company has a sufficient data back-out plan in place
- Identify data that should be continuously reviewed to monitor your CSP’s data protection program

2:15 PM – 3:15 PM
G5 Auditing the Use of Open Source Software
Bruce Carpenter, Vice President of Internal Audit, NVIDIA Corp.
While using open source software (OSS) makes developing applications easier, its use can come with legal hoops to jump through and security vulnerabilities that could pose significant risks to the organization. Conducting an audit of the use of OSS code can help companies get a handle on this emerging risk area.
- Define the risks associated with using OSS
- Consider the reporting obligations that come with using open source
- Look at how OSS can create security vulnerabilities in our applications
- Walk through the steps of conducting an audit of the use of OSS

3:30 PM – 4:30 PM
G6 How to Audit the Marketing Spend and Drive Transparency and Efficiency
Angela Saferite, President, Saferite Consulting
The headlines are full of stories about organizations pitching business to new agencies, missing opportunities or experiencing fraud because of less than full transparency in the marketing spend areas, particularly advertising. This provides an opportunity for internal audit to add measurable value in the marketing area for board members and c-suite executives.
- Learn the top 10 things advertisers should do to improved transparency and to drive change in the business
- Measure marketing and media performance and practices against a framework of new standards in the industry
- Identify opportunities for re-investing in additional marketing programs... and what marketing team in today's world doesn’t want more money?

Thursday, November 16
8:15 AM – 9:15 AM
G7 Obtaining the Company’s Most Important Asset: Auditing Workforce Planning and Talent Acquisition
Dr. Herman Murdock, Senior Instructor, MISTI
We often hear the expression “people are our greatest asset,” but under close examination it becomes apparent that most organizations must do more to maximize the organization’s human resources and its productive capacity. Since poor workforce planning carries short- and long-term implications, internal auditors can add significant value through insight gained from this audit.
- Auditing beyond compliance, what does effective workforce planning and talent acquisition look like?
- Auditing management’s processes that make sure the organization has sufficient, suitably qualified and motivated staff
- The key risks and controls impacting interviewing, recruitment, sourcing and onboarding

9:30 AM – 10:30 AM
G8 Auditing Identity and Access Management
Shaun Kirby, Global Director of Internal Audit, Analog Devices
News headlines continue to be made highlighting corporate failures and breaches through an organization’s facilities, networks, and systems, putting company confidential resources and data at risk. It’s time for internal audit to take a stand and provide assurance that their organization won’t also fall victim to these same mistakes.
- How to evaluate that only authorized personnel have access to restricted and confidential data
- Methods to inventory and tier applications needed to be in scope for an identity and access management review
- Providing assurance over identity and access management of cloud service providers
**Tuesday, November 14**

10:15 AM – 11:15 AM  
**H1 Environmental, Health & Safety and Sustainability Auditing: What Internal Audit Is Missing**  
Douglas Hileman, President, Douglas Hileman Consulting LLC  
Environmental, Health & Safety and Sustainability (EHS/S) auditing programs are mechanisms that mitigate risks. Yet, internal audit’s role and relationship with EHS/S auditing varies widely among companies.  
- How EHS/S auditing programs arose, and the risks they were designed to mitigate  
- Common gaps that have arisen due to changes in or organizational models  
- Examples of where internal audit should look—and what they might find—in performing assurance  
- Where and how internal audit can provide the greatest value  

2:00 PM – 3:00 PM  
**H2 Like Shooting Fish in a Barrel: Using Analytics to Audit Travel and Entertainment Expense**  
Manuel Coello, Senior Director of Data Analytics, Aetna  
This session will highlight insightful and innovative analytics ideas to test critical areas of travel expenses for indicators of non-compliance with policies, procedures and potential fraud.  
- First things first: Bring a vision, form a team and get executive sponsorship  
- That’s right, you will need lots of data: What data, and how to get it  
- Top 50 T&E Analytics  
- Incorporating risk modeling into your analytics approach  
- Bring it up a notch with text analytics, visualization and prediction  

3:30 PM – 4:30 PM  
**H3 Auditing Corporate Compliance at Hess: A Continuing Journey**  
Steven Bailey, Director of Internal Audit, Hess Corp.  
This presentation will cover auditing of compliance topics at Hess, focusing on anti-bribery and anti-corruption, but also on other compliance programs as well.  
- How to mitigate compliance risks and how Hess internal auditors assist in the area  
- Overview of components of anti-bribery and anti-corruption legislation

**Wednesday, November 15**

10:45 AM – 11:45 AM  
**H4 Auditing Bribery and Corruption Using Data and Analytics**  
Joe Kaczorowski, Business Leader, Compliance, Mastercard  
From the perspective of a former internal auditor now in charge of a global anti-bribery and anti-corruption monitoring program at a Fortune 200 company, this session will cover how analytics can be deployed to monitor key bribe and corruption risks related to third parties and gifts and hospitality.  
- How to get buy-in to build a data mart to benefit internal audit and others in your organization  
- How to overcome challenges of using data from an anti-bribery and anti-corruption perspective  
- How to use scoring models to identify the highest risk transactions and entities within your organization  
- How to build a partnership between the second and third lines of defense for effectively mitigating bribery and corruption  

2:15 PM – 3:15 PM  
**H5 How to Add Value During Pre-Implementation Audits**  
Sheryl B. Austin, Global Director, IT Internal Control & SOX PMO, Johnson & Johnson  
An ounce of prevention is worth a pound of cure, and nowhere is that more evident than in IT implementation projects. A pre-implementation audit can keep problems from dooming a project.  
- Why perform pre-implementation audit and the major steps for conducting one  
- What is waterfall versus agile, and why does it impact the way we audit?  
- Minimum viable security and controls and how to approach them in waterfall or agile  
- Communication of project risks

**Thursday, November 16**

8:15 AM – 9:15 AM  
**H7 Internal Audit: A Key Driver in Anti-Counterfeit Efforts**  
Matt Bonavita, Director of Internal Audit, New Balance  
The growing global counterfeit market coupled with weak international intellectual property laws strain leading retailers across the globe. As the risk grows, internal audit must innovate to support brand protection:  
- What is a parasite brand and how does it differ from counterfeits  
- Different brand protection strategies a company can implement  
- How internal audit provides an organization’s anti-counterfeit process  

9:30 AM – 10:30 AM  
**H8 Managing Ever Increasing SOX Requirements**  
Adda Grace Power, Director of Internal Audit and SOX, TripAdvisor  
With annual PCAOB inspections and the COSO 2013 framework, there continues to be an increase in the expectations and requirements tied to internal controls over financial reporting and resourcing needs to support SOX.  
- Validating information provided by the entity  
- Impact of general IT controls on the overall integrated audit  
- Methods for communicating and partnering with the external auditor