



NEW YORK REPORTS

PLATINUM AWARD CHAPTER

August 2011

Knowledge Through Sharing and Learning



Hello everyone!

The Chapter's 70th anniversary year is off to a wild start. The Business and Industry (B&I) Committee held its first event of the year which was followed later in the month by an earthquake and a hurricane!.....Where am I?.....Seriously, though, I hope that you weathered the storm safely and with no major negative impact other than some minor inconveniences.

As I mentioned, the Chapter held its first B&I training/ social event of the year on August 11th. It was a morning panel discussion on the "Risks Associated with the use of Social Media". The panelists provided a good mix of social media perspectives from the business (Brenda Terry, Marketing, formerly with Clear Channel Communications and Bomser Payan, Inc.), legal (Jonathan T. Hyman, Partner, Kohrman Jackson & Krantz P.L.L) and audit (Parthiv Sheth, Audit Manager, Coach, Inc.) standpoint and the event was well received by our members. Personally, I thought the discussion was insightful. Risks and consequences associated with the use of social media were discussed that I had not considered and it became apparent to me that, as the use of social media expands, so will the impact and consideration of risks associated with it. This may be a topic that we expand and revisit as a workshop/ training session for our members in the future. Over 60 participants attended the panel discussion in the board room at E&Y in Time Square. The panel discussion was followed by an afternoon New York Mets game against the San Diego Padres at Citifield. Although the Mets lost, it was a beautiful day to see a game. I'd like to thank the B&I committee for a successful kickoff to the Chapter year, our panelists for their time as well as E&Y for donating food and the facility for the event.

On September 16th, the Chapter will begin its monthly program of training workshops and luncheons at Baruch College. Our first program includes:

Morning Session: **Internal Audit's Role in Fraud Detection & Security in the Clouds – What to ask your Cloud Service Provider**

Presented by Control Solutions

Afternoon Session: **Continuous Monitoring (CM) Contemporary Issues - Time to Move Forward**

Presented by Caseware

Luncheon topic: **Fighting and Finding Fraud**

Presented by Steve Goepert CAE for United Airlines

Visit our website (www.nyiaa.org) for more details and registration information on this and future workshops. Also, there is still time to get your subscriptions for this year's monthly training sessions. Subscriptions are the best way to receive the most training at the greatest value (savings of up to 36% off the regular individual registration price).

Also, our Diversity Committee has partnered with Deloitte to sponsor an upcoming event, "**Women's Career Pathways and Progression**", on September 19th at the Deloitte offices at 2 World Financial Center. Join the author of the book [TORN: True Stories of Kids, Career, & The Conflict of Modern Motherhood](#), Samantha Parent Walravens and a select panel of working parents discuss key themes in the book. The first 80 attendees will receive a copy of Samantha Parent Walravens' book!

Enjoy the rest of your summer! Don't forget to visit our website at www.nyiaa.org to keep updated and register for upcoming events. If you are interested in volunteering for the Chapter or speaking at one of our events, please contact me at jfitzpatrick@accumepartners.com . I look forward to seeing you at one of the Chapter's upcoming events!



John Fitzpatrick, President, President
IIA New York Chapter

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Pictures from the Chapter Awards Dinner

Below are the pictures from our IIA NY Chapter Awards Dinner held in June, including: Outgoing chapter president Diane Napolitano passing of the baton to our New chapter president John Fitzpatrick, Paul Flora, presented the lifetime achievement award to Tom Wood's family, Brian Mannix recipient of the President's award, Volunteers and Board members at the Awards dinner.



2011 - 2012 IIA NY Chapter Officers

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Vice President – Secretary

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Immediate Past President (2010-2011 Chapter Year)

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New York Life Insurance Company

(212) 576-5487

E-Mail: dnapolit@nyl.com

2011 – 2012 IIA NY Chapter Committees

CAP Reporting

Officer: John Fitzpatrick
Chair: Lisa Whitehead

Audit:

Officer: John Fitzpatrick
Chair: Chris Calvin

Nominating:

Officer: John Fitzpatrick
Chair: Diane Napolitano

Volunteer:

Officer: John Fitzpatrick
Chair: Debra Soumare

Long Range Planning:

Officer: Brian Mannix
Chairs: Paul Flora, Nick DiMola

General Auditors'**Roundtable:**

Officer: Brian Mannix
Chair: Paulette Mullings Bradnock

Business and**Industry:**

Officer: Brian Mannix
Chairs: Stacey Guardino, Uday Gulvadi, Patrick Glenn, Tracey Thomas/Alex Cacanando/Jessica Rodgers

Special Events:

Officer: Brian Mannix
Chairs: Stacey Guardino, Uday Gulvadi, Patrick Glenn, Tracey Thomas

History:

Officer: Brian Mannix
Chairs: Alexander Tsuryan

Academic Relations:

Officer: Brian Mannix
Chairs: Linda Tan, Olga Davis, Jennifer Morris, Nelly Altman, Cheryl Lovell, Altagracia Rodriguez

Annual Audit Seminar:

Officer: Scott Kenney
Chairs: Uday Gulvadi, Carlos Garcia, Andrew Goldberg, Frank Campisi, Mike Schor, Kathy Birn, Erin Morrow

Workshops:

Officer: Scott Kenney
Chairs: Mike Schor, Jim McCabe, Cheryl Lovell

Luncheon:

Officer: Scott Kenney

Newsletter:

Officer: Raquel Marin-Oquendo
Chair: Dainora Tommasino

Social Media**/Communications:**

Officer: Raquel Marin-Oquendo
Chairs: Aleksandra Terzano

Public Relations, Advertising and Employment:

Officer: Raquel Marin-Oquendo
Chair: Andrew Goldberg

Subscription:

Officer: Raquel Marin-Oquendo

Chair: Bill Morello

CIA Exam:

Officer: Eleonora Pechenik
Chair: Olga Davis

Membership:

Officer: Eleonora Pechenik
Chairs: TBD

Outreach:

Officer: Eleonora Pechenik
Chairs: TBD

Awards Dinner:

Officer: Eleonora Pechenik
Chairs: Mariaelena Deloux, Kathy Rennert

Diversity:

Officer: Eleonora Pechenik
Chairs: Junny Rivera

Social:

Officer: Eleonora Pechenik
Chairs: Lisa Whitehead, Aleksandra Terzano, LaTonya Rumph

Financial Reporting:

Officer: Carmen Caceda

Financial Controls:

Officer: Carmen Caceda
Chairs: Juan Perez, Stephanie Mitchell Hoyt

Awards and Gifts:

Officer: Carmen Caceda
Chair: Kathy Rennert

Member News

In this new section to the IIA NY chapter newsletter, we would like to highlight the members of our chapter, including members obtaining new IIA certifications, news from our members and any other exciting events.

This month's edition will be:
IIA NY Chapter New Certified Members

Congratulations to the following members who have completed the requirements for the certifications listed:

Renee McGinnis - Certified Internal Auditor (CIA)
Masataka Kobayashi - Certified Internal Auditor (CIA)
Jing Ng - Certified Internal Auditor (CIA)
Tatyana Olshanskaya - Certified Internal Auditor (CIA)
Elizabeth Meehan - Certified Internal Auditor (CIA)
Maria Velez - Certified Internal Auditor (CIA)
William Badinelli - Certified Internal Auditor (CIA)
Jeffrey Lerner - Certified Internal Auditor (CIA)
Khalid Wasti - Certified Internal Auditor (CIA)
Anthony Casey - Certified Internal Auditor (CIA)
Juliana Spriggs - Certified Internal Auditor (CIA)
Elizabeth Meehan - Certified Government Auditing Professional (CGAP)
Virendra K. Dass - Certified Financial Services Auditor (CFSA)

For other members interested in submitting information to be published in our newsletter, please send an email to our VP of Professional Services and Newsletter Officer at rm2698@mail.cumc.columbia.edu.

IIA NY Chapter September Training

Date: Monday September 16th, 2011
Times: 8:30 AM – 4:30 PM
Location: Baruch College
55 Lexington Avenue Room 14-220
New York, NY 10010
CPE: 7 credits will be awarded for the full day workshop

~~Registration is open~~

Members: \$180 <i>Luncheon Only (Members): \$60</i>	Non-Members: \$195 <i>Luncheon Only (Non-Members): \$70</i>
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Training Topics: Internal Audit's Role in Fraud Detection, Security in the Cloud, Continuous Monitoring Contemporary Issues and Fighting & Finding Fraud

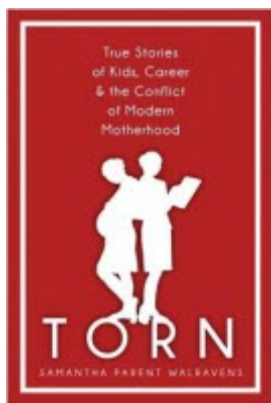
- **Morning Session** – Topic 1: Internal Audit's role in Fraud Detection - This hands-on session will familiarize the attendee with the current auditing standards along with some of the signs that may indicate fraud is likely to occur or already going on.
Topic 2: Security in the Cloud – What to ask your Cloud Service Provider This session will cover the current state of cloud service offerings and the critical items that an organization should ask a potential cloud vendor before signing a contract for cloud services.
- **Afternoon Session** - Continuous Monitoring (CM) Contemporary Issues - Time to Move Forward. Exploring how CM will enable you to improve the audit function, operations effectiveness, data accuracy and cash flows.

Lunch Topic: Fighting and Finding Fraud with Steve Goepert CAE for United Airlines

For Registration Information:

Visit our website www.nyiaa.org and complete the registration form

IIA NY Chapter Upcoming Event



Date: Monday September 19th, 2011

Times: 4:30 PM – 6:30 PM

Location: Deloitte

2 WFC - 3rd Floor Cafeteria
New York, NY

FREE EVENT

Training Topic: Women's Career Pathways and Progression

Please join us for a fun evening of cocktails and conversation to celebrate the new book, *TORN: True Stories of Kids, Career, & The Conflict of Modern Motherhood*. Join the author and working mother **Samantha Parent Walravens** and a select panel of working parents discuss key themes in the book.

Whether you are a young professional contemplating parenthood; a parent struggling with the competing responsibilities of work and family life; or a new parent back in the workforce, this workshop is for you.

The first 80 attendees will receive a copy of Samantha Parent Walravens' new book: TORN: True Stories of Kids, Career & the Conflict of Modern Motherhood.

Agenda:

- 4:30 p.m. – 5:00 p.m. — Registration and networking
- 5:00 p.m. – 6:00 p.m. — Panel and Q&A
- 6:00 p.m. – 6:30 p.m. — Networking and reception

About the Author:

Samantha Parent Walravens is an award-winning journalist, writer and mother of four children. Her writing has appeared in publications including PC World magazine, Salon.com, Healthy Women, the Huffington Post, Urban Baby, Yahoo! News and several “mommy blogs.” She has been a guest on the Today Show, NPR Radio, ABC News Radio and Moms’ Homeroom. Before launching her writing career, she was a marketing director for Tumbleweed Communications, a Silicon Valley software company that she helped grow from a 20-person start-up to a multi-million dollar publicly-held business. Her new book, *Torn: True Stories of Kids, Career and the Conflict of Modern Motherhood*, was chosen by the New York Times as the first pick for the Motherlode Book Club, and reached #1 on Amazon.com for books in the Motherhood category. Samantha is a Phi Beta Kappa graduate of Princeton University and has a Masters in Literature and Women’s Studies from the University of Virginia.

Register:

We recommend you register as soon as possible to secure your seat:
http://www.deloitte.com/view/en_US/us/About/Womens-initiative/25bdc59d0b1f1310VqnVCM2000001b56f00aRCRD.htm

If you have questions, please contact Stephanie Tenore or 617 437 2809

IIA Albany Chapter Upcoming Events

- Date:** Monday September 27th, 2011
- Times:** 7:30 AM - 8:00 AM - Registration / Continental Breakfast
8:00 AM - 4:00 PM Program (includes Lunch Buffet)
- Location:** Italian American Community Center
257 Washington Avenue Ext.
Albany, New York 12205
- CPE:** 7 credits will be awarded for the full day workshop

~~Registration is open~~

Members: \$100

Non-Members: \$125

Training Topic: The Psychology Behind Fraud, Unethical Behavior and White Collar Crime

How is it so many people have been duped over the years and so many of the perpetrators continue to get away with it? Is there a pattern to the worst perpetrators of white collar crime and fraud, and the rest of us? Absolutely, and this extremely powerful presentation:

- Lays out the whole pattern of what creates and perpetuates white collar crime, step-by-step.
- Is for those who want to understand workplace crime.
- Gets inside the heads of the Bernie Madoffs of the world and the folks from Enron, AIG, Tyco and many more.
- Uses the secrets of clinical psychologists to detect (and hopefully prevent from hiring) truly bad employees.
- Explores what to do once a problem is uncovered.

About the Speaker: Dr. Joan Pastor, President of JPA International, Inc.

Dr. Joan Pastor, President of JPA International, Inc., is a licensed organizational and clinical psychologist who provides keynote, training and consultation services to numerous national and international organizations and associations. Clients such as Pepsi, Bank of America, the Department of Defense, the Singapore Stock Exchange and many dozens more, bring her back again and again to assist them in such areas as management and executive development, building infrastructure, streamlining business processes, implementing high performing teams, and to negotiate and resolve conflicts.

For Registration Information visit:

<http://www.cvent.com/events/the-psychology-behind-fraud-unethical-behavior-and-white-collar-crime/event-summary-1b46dc34ef9940d1a4e22720f82b6711.aspx>

IIA 4th Canada National Conference

Mark your calendar to attend the 4th IIA Canada National Conference at the Sheraton Centre Toronto – September 25 to 28, 2011. Plan to join us in Toronto at the Internal Audit profession’s premier training and development event.

This year’s IIA Canada National Conference is designed with the future in mind, providing you with the most relevant program track themes and sessions to help you successfully meet and master the most important challenges in your industry.

The 2011 conference theme “*Shaping the Future*” will feature an inspiring program of educational tracks, industry exhibitors and thought-provoking keynote speakers including renowned economist and author **Jeff Rubin**, the Comptroller General of Canada **James Ralston**, author and one of Time Magazine’s Persons of the Year **Cynthia Cooper** and author of the bestseller, *Getting Passion Out of Your Profession*, **Nina Spencer**.



Jeff Rubin



Cynthia Cooper



James A. Ralston



Nina Spencer

For the latest conference details visit www.iaa2011toronto.com

REGISTRATION FEES	Member	Non-member
Main Conference Fees	\$1,250	\$1,350
Pre-Conference Workshop	\$400	\$452
Audit Leader Event (ALE)	\$490	\$550

www.iaa2011toronto.com

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Certified Internal Auditor (CIA) Exam Prep

Earn the Most Sought-After Credential in the Global Internal Audit Profession! The Institute of Internal Auditors (IIA) and Pace University have joined forces to offer a comprehensive instructor-led course based on The IIA's CIA Learning System. This course will expand your internal audit knowledge and prepare you for the Certified Internal Auditor® (CIA®) exam. **Each class qualifies for 8 CPE credits.**

Whether you are a CIA candidate, a manager seeking to train your staff, a student just starting out, this course can help you accomplish your certification and professional development goals.

The following courses are available at Pace University for the **FALL 2011**

Course	Course #	Schedule	Tuition Fees	
			IIA Member	Non Member
Part I: The Internal Audit Activity's Role in Governance, Risk, & Control	IA101A	2-Saturdays September 24 & October 1; 9am-5pm	\$475	\$525
Part II: Conducting the Internal Audit Engagement	IA102A	2-Saturdays October 15 & 22; 9am-5pm	\$475	\$525
Part III: Business Analysis and Information Technology	IA103A	3-Saturdays November 5, 12, & 19; 9am-5pm	\$675	\$725
Part IV: Business Management Skills	IA104A	1-Saturday December 10; 9am-5pm	\$275	\$325

SPECIAL OFFER!

Register for all 4
Parts & Take \$100 off

These courses will be held exclusively at:

Pace University Midtown
551 Fifth Avenue (at 45th Street)
New York, NY



Register Online at www.pace.edu/CIA

Contact us at (914) 773-3714 or ContinuingEd@pace.edu



Become a Certified Internal Auditor (CIA) Today!

Earn the most sought-after credential in the global internal audit profession with Pace University's CIA Exam Prep Course.

This course combines expert classroom instruction with the Institute of Internal Auditors (IIA) CIA Learning System.

- Each class qualifies for 8 Continuing Professional Education (CPE) credits
- Classes start in September 2011

For more information, visit us online at:

www.pace.edu/cpe

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IIA Member Reminders

- ✓ The NYIIA accepts credit card payments on-line.
- ✓ Not receiving Chapter e-mails and Workshop notifications? Update your IIA Member Profile. Use your IIA Member ID and Password to update your Profile on www.theiia.org. After logging in, select "Update Your Profile".
- ✓ The NY IIA is now posting presentations from the New York ACL Users Group. They are now available for download under the Events tab of our website, www.nyiia.org. The presentations might be useful and contain helpful procedures checklists to effectively use ACL for Internal Audits

Group Subscription Plans 2011 - 2012

The New York Chapter of the Institute of Internal Auditors is pleased to announce the workshop/luncheon program for the upcoming chapter year. The Chapter is again offering **eight** luncheon meetings, **eight** full-day workshops, and the all-day Annual Audit Seminar. The workshops and luncheons will be held at Baruch College at 55 Lexington Ave. and 24th St. and the Annual Audit Seminar is scheduled to be held at NYU's Kimmel Center.

Please see the enclosed calendars of luncheon and workshop topics that have been scheduled to provide 63 CPE credits on a range of subjects to both new and experienced auditors. Registration is open to members and non-members of The Institute of Internal Auditors.

Subscription Plans and Registration Fees:

In an effort to achieve our objective of providing quality, affordable training and education programs, the Chapter is once again offering discounted subscription plans. In addition to discounted rates, subscription plans provide flexibility. Subscription tickets are interchangeable among members of your organization and there is no limit to how many can be used for a single workshop or luncheon meeting. For this chapter year, we are offering the following subscription plan options at the following rates:

Plan	Cost of Subscription Plan	Discount Rate (off Regular Purchase Price)
8 Workshops w / Annual	\$ 1,100	36%
4 Workshops w /Annual	\$ 750	25%
4 Workshops w/o Annual	\$ 580	19%
9 Luncheons	\$ 400	26%
4 Luncheons	\$ 200	17%
Annual	\$ 230	18%

Subscription tickets must be used at any training session during the September 2011- May 2012 Chapter year and attendees from your organization can differ for each workshop and/or luncheon meeting attended. *There will be no refunds for tickets not used by the April 2012 workshop.*

For those unable to commit to our subscription plan, the Chapter is offering the following affordable rates for individually purchased tickets for IIA members*.

Individual Event Registration Fees:

Workshop/ Luncheon/ Annual	2011-2012 IIA Member* Rates
Monthly Workshop - Full Day	\$ 180
Monthly Workshop – Lunch Only	\$ 60
Annual Audit Seminar - Full Day	\$ 280

*Must be a current IIA Member. Slightly higher pricing applies to non-members.

Subscriptions provide quality training, flexibility, and savings of up to 36% off the regular individual registration price! To register your organization, please complete the attached Group Subscription Plan - Order Form and e-mail, fax, or mail them to:

Bill Morello - IIA New York Chapter

New York Life Insurance Company
51 Madison Avenue – Room 706
New York, NY 10010

E-MAIL: William_Morello@newyorklife.com

FAX: 212-589-4447

Please make all checks or money orders **payable to** *The Institute of Internal Auditors- New York Chapter* and mail them to the above address.

**New York Chapter of
the Institute of Internal Auditors**



IIA NY Chapter 2011 – 2012 Workshops / Luncheons

September 16, 2011

Control Solutions and Caseware

- Internal Audit's Role in Fraud Detection & Security In the Cloud – What to ask your Cloud Service Provider
- Continuous Monitoring Contemporary Issues- Time to Move Forward

Luncheon: Steve Goepfert, United Airlines, Fighting and Finding Fraud

NOTE: Software Asset Management will be rescheduled for later in the season.

October 21, 2011

Deloitte and Accume Partners

- Emerging Information Technology Risk
- Effective Independent Testing of Bank Secrecy Act (BSA)/Anti- Money Laundering (AML) Compliance

Luncheon: To be announced

November 18, 2011

Grant Thornton and PwC

- Bite Sized Enterprise Risk Management (ERM) Programs
- PricewaterhouseCoopers (PwC) will also present a topic to be announced

Luncheon: Larry Harrington- Chief Audit Executive, Raytheon Company

December 9, 2011

Protiviti and KPMG

- Insurance Auditing

Luncheon: TBD

January 13, 2012

Seminars in Communication and Eisner Amper LLP

- Sharpening your Report Writing Skills
- SSAE 16- Service Organization Company- New Regulations
- Business Continuity/ Disaster Recovery
- Using ERM to Add Value to Internal Audits

Luncheon: Ernst & Young

February 17, 2012

Deloitte and Grant Thornton-

- Use of Data Analytics for Internal Auditors
- Internal Audit Quality Assurance Reviews (QARs)

Luncheon: Robert Schimek- Chief Financial Officer, AIG

March 23, 2012

PwC

- **Topics TBD**

Luncheon: TBD

April 13, 2012

TBD

Luncheon: TBD

May 18, 2012

39th Annual Audit Seminar

For More Information Visit our Website at <http://www.nyiaa.org/>



THE INSTITUTE OF INTERNAL AUDITORS
NEW YORK CHAPTER
2011 - 2012 GROUP SUBSCRIPTION PLAN
ORDER FORM & INVOICE

PLEASE PRINT

NAME: _____

ORGANIZATION: _____

ADDRESS: _____

PHONE NUMBER: _____ **FAX NUMBER:** _____

E-MAIL ADDRESS: _____

SUBSCRIPTION PURCHASED	NUMBER	PRICE	TOTALS
<u>LUNCHEONS ONLY</u> (9 Luncheons)	_____	@ \$ 400.00 EACH =	_____
(4 Luncheons)	_____	@ \$ 200.00 EACH =	_____
<u>WORKSHOPS (INCLUDES THE LUNCHEONS)</u>			
With Annual Seminar (8 Workshops)	_____	@ \$ 1,100.00 EACH =	_____
With Annual Seminar (4 Workshops)	_____	@ \$ 750.00 EACH =	_____
Without Annual Seminar (4 Workshops)	_____	@ \$ 580.00 EACH =	_____
<u>ADDITIONAL TICKET PURCHASES</u>			
Annual Audit Seminar Member	_____	@ \$ 230.00 EACH =	_____
<i>(Order by 12/31/2011 to get the discounted price of \$230.)</i>			
AMOUNT DUE			_____

MAKE CHECKS PAYABLE TO - THE INSTITUTE OF INTERNAL AUDITORS--NEW YORK CHAPTER AND MAIL THEM TO:

BILL MORELLI -- IIA
NEW YORK LIFE INSURANCE COMPANY
51 MADISON AVENUE - ROOM 706
NEW YORK, NEW YORK 10010

TELEPHONE: 212 576-7745 FAX: 212 589-4447 E-mail: wmorello@newyorklife.com

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