The workforce is moving inexorably toward greater diversity. There’s a good chance you’re working alongside three and possibly even four generations of talent. This dynamic can create crippling challenges or game-changing advantages for teams that learn to recognize, understand, value, and ultimately tap the strategic perspective that lies within every generation. Seth Mattison will explore today's biggest workforce trends and the histories, personalities, strengths, and challenges of each unique generational group.

In this session, participants will:
- Understand how fresh eyes and seasoned wisdom will be a fierce force in the new world of work, and how Gen-Power will help you harness it.
- Hear about counterintuitive perspectives on today’s unique generations.
- Gain deep insights into behaviors and trends impacting engagement.
- Learn strategies for influencing and persuading across generations.
- Discover communication tactics positioned to resonate with every generation.

Seth Mattison is an internationally renowned expert and author on workforce trends, generational dynamics, and business strategy. As co-founder and chief movement officer of Luminate Labs, he advises many of the world’s leading brands and organizations on key shifts happening around talent management, change and innovation, leadership, and the future of work. His ideas have been featured in such publications as The Wall Street Journal, Forbes, The Huffington Post, and The Globe and Mail, and he was named among the Editors’ Picks for Speakers to Watch in 2017. For the past decade, Mattison has shared his insights with thousands of business leaders around the world and has received accolades from many of the world’s best brands, including MasterCard, Johnson & Johnson, Microsoft, Kraft Foods, AT&T, PepsiCo, GE Energy, Cisco, State Farm, Merrill Lynch, Dow, and Disney.
Virtual Networking Break  9:45 – 10:15 AM EST

Take this time to explore our virtual exhibit hall and network with attendees! Exhibitors will be at their virtual booths, ready to answer any questions you may have.

Monday | 2 November 2020  10:15 – 11:05 AM EST

CS 1-1: A Conversation on Diversity and Inclusion

Sriram Padmanabhan, QIAL, CA, CISA  
Chief Auditor, Technology  
Citi  
USA

Heather Haboush  
Chief Auditor and Chief Operating Officer  
Citigroup  
USA

Join us for a unique opportunity to discuss diversity and inclusion (D&I) in the workplace. During the session, speakers will touch on the benefits of increased D&I on individuals and the organization, and will offer concrete and actionable solutions to create and sustain a diverse and inclusive culture.

In this session, participants will:

- Uncover the benefits of a more diverse and inclusive work environment.
- Discuss how Citi and Citi’s internal audit team are fostering D&I.
- Explore ideas and methods on how to increase D&I at any organization or team.

Sriram Padmanabhan sets overall strategic direction for Citi’s technology audit function and is responsible for audits of Citi’s data quality program. Padmanabhan, a member of Citigroup’s internal audit executive management team, leads a team of approximately 200+ audit professionals based across 26 locations. Previously, he was regional head of audit for Middle East and Africa at Standard Chartered Bank (SCB). In addition to internal audit, Padmanabhan had leadership roles in various businesses and functions such as consumer banking, operations and technology, finance, compliance, and risk, and he worked in many countries; he was also chair of the audit committee for an SCB subsidiary.
Heather Haboush brings 25+ years of financial services industry experience to her role as head of strategy for internal audit at Citigroup. She is responsible for developing and executing internal audit’s multi-year strategy, including regulatory engagement and emerging risks. Haboush previously drove process improvements and efficient deployment of internal audit resources as COO for internal audit. Prior, as finance lead for Citi’s global functions, including finance, risk, legal, HR, compliance, and internal audit, she spearheaded numerous global projects that increased efficiency and supported finance transformation initiatives. Haboush also served as head of planning, responsible for Citi’s multi-year strategic plan. Her background includes investment banking and strategic planning for an internet startup.

CS 1-2: Innovative Approaches to Audit Reports Soundbite Sessions

Moderator:
Scott Norton, CPA
Senior Vice President, and Head of Internal Audit
Bayview Asset Management
USA

Scott Norton joined Bayview Asset Management in 2018 as senior vice president and head of internal audit. He was previously the chief auditor for BankUnited Inc., a publicly traded bank holding company with more than $30 billion in assets. Norton began his career as an external auditor for PricewaterhouseCoopers and later held executive positions in the consulting divisions of both Grant Thornton and Protiviti. He serves on the board of The IIA’s Miami chapter.

A. Storytelling via Digitized Audit Reports

Larry C. Herzog Butler, CIA, CRMA, CPA, CGMA, CRISC
Senior Director, Internal Audit
Delivery Hero SE
GERMANY

Some audit reports are prepared in Word. Some in PowerPoint. How engaging are these reports to executive management and the audit committee? This session explores how a small internal audit function’s use of storytelling to digitalize its reports resulted in greater engagement and collaboration.
In this session, participants will:

- Distinguish between the various internal audit reporting needs of stakeholders.
- Understand the power of storytelling through audit engagement and audit committee reports.
- Learn how to begin to develop dashboards that engage stakeholders.
- Develop ideas for audit reporting via digital formats.

**Larry C. Herzog Butler** is senior director of internal audit for Delivery Hero SE, a company that in 2017 completed one of Europe’s most successful IPOs. Formerly with Deloitte & Touche, he has 20+ years of experience providing audit, compliance, business process improvement, enterprise risk management, and advisory services. His background encompasses planning and executing internal audits and Sarbanes-Oxley engagements, reporting to audit committees, managing key stakeholder relationships, training audit staff, and strengthening internal controls over financial reporting. Butler has volunteered extensively with The IIA, including formerly serving as president of IIA–Los Angeles and currently sitting on the chapter’s Board of Governors.

**B. Trail Blazers Use Technology to Their Advantage**

**Colleen Knuff**  
**Senior Director, Product Management**  
**Wolters Kluwer - TeamMate**  
**CANADA**

Standard practice — wait until fieldwork is done, then write the report. What if you could continuously report your findings to management, collaborate on their responses, track how your communications change over time, and publish at the end of fieldwork? Agility in reporting requires rethinking how we communicate what we know and when. It also requires us to leave our biases at the door.

In this session, participants will:

- Learn why continuous delivery of findings and collaboration on responses creates speed to delivery.
- Discover why giving stakeholders direct access to findings promotes an “anytime, anywhere” approach to communication and collaboration.
- Understand how real-time reporting can only be achieved if we stay away from secondary tools.
- Identify the benefits of natural language processing (NLP) assistance, especially sentiment analysis, when editing audit reports to ensure our message matches our data.
Colleen Knuff has served as a product manager for TeamMate software for almost 20 years. Her focus is to ensure the needs of assurance professionals are met while delivering value based on professional standard requirements, changes to technology, and internal auditor feedback globally. She leads a global product management team focused on innovative solutions to real market problems, with heavy emphasis on voice of customer, contextual design, and user observation. Previously, as internal audit senior manager with PricewaterhouseCoopers, Knuff worked on a wide variety of internal audit projects, including strategic business processes, operational audits, IT audits, outsource vendor audits, and business operations, across multiple clients.

Recharge Break  11:05 – 11:20 AM EST

Time to recharge! Get up, stretch your legs, and join us back at 11:20 a.m. in the theater for concurrent sessions.

Monday | 2 November 2020  11:20 AM – 12:35 PM EST

CS 2-1: In Conversation With…Analytical Therapy: Get Your Custom Prescription to Your Data Analytics Challenges

Moderator:
Claire Chong
Industry Specialist
CaseWare IDEA
CANADA

Claire Chong brings more than 15 years of experience in internal audit, finance, and assurance and advisory services to her role as industry strategist. Serving as an industry subject matter expert, she helps drive the development and delivery of value-added analytics solutions. Prior to joining CaseWare IDEA, Claire held audit management positions in public, private, and government enterprises in a variety of industries, including gaming and lottery, exhibitions and events, consumer packaged goods, commercial real estate, and professional services.

Presenter:
Lenny Block, CIA, CPA
Vice President, Internal Audit
Nasdaq
USA
Sometimes people seek therapy to help overcome a barrier preventing them from achieving a goal. A similar approach can be applied to learning how to succeed with data analytics. This presentation’s interview format allows for sharing of expertise in incorporating analytics into the audit process. Use cases will illustrate how to overcome barriers, encourage team adoption, and gather data. Guidance will be prescribed to analytics challenges that attendees care to share.

In this session, participants will:

- Learn how to apply an “ask the doctor” approach to obtain precise prescriptions (recommended solutions) to help overcome data analytics challenges (or fears).
- Identify the data available to them and learn how to get it.
- Grow analytics expertise organically within their audit teams.
- Expand their focus beyond numerical data.

**Lenny Block** is vice president of internal audit at Nasdaq. He brings a background of more than 35 years in internal audit, business process reengineering, database design, and project management. Block has extensive practical experience in managing all phases of an internal audit, ensuring regulatory compliance and financial reporting integrity, and improving operational effectiveness for Nasdaq-owned entities worldwide. He also leads internal audit’s data analytics program and donates his expertise on foreign corrupt practices compliance to the corporate ethics team. Block also teaches auditing as a member of Southern New Hampshire University’s adjunct faculty. He previously worked in the nonprofit, mortgage-backed securities, and telecommunications industries.

**CS 2-2: Ethics Soundbite Sessions**

**Moderator:**
**Patricia Miller, Owner**
**PKMiller Risk Consulting**
**USA**

**Patty Miller** is the owner of PKMiller Risk Consulting, LLC and has significant management and consulting experience. In her 14 years with Deloitte, she served as the lead risk services partner on significant technology and consumer clients. Her many IIA volunteer roles have included Chairman from 2008–09, executive committee member, and Chair of the Standards Board. She is a frequent speaker and trainer, and has led and co-authored research projects for The IIA. Miller is the recipient of the William G. Bishop III Lifetime Achievement, Victor Z. Brink, and American Hall of Distinguished Audit Practitioners Awards.

*A. Session Information Being Finalized*
B. Examining the Myths of Business Ethics: Do Internal Auditors Fall Prey to Them As Well?

**Matej Drascek, CIA, CRMA**  
Chief Internal Auditor and  
Chief Audit Executive  
LON Bank  
SLOVENIA

Ethics represents a cornerstone of internal auditing, not only as a profession but also as providing assurance of an organization’s ethical practices. With recent corporate scandals and low public trust in corporations, internal auditors should take a step back and look at tacit truths/ common myths about business ethics and whether they are indeed helping organizations to become more ethical. This presentation will draw on different research, with emphasis in behavior ethics.

In this session, participants will:

- Distinguish between actual truths and myths about business ethics, including the code of conduct supporting ethical behavior; the compliance program helping the organization become more ethical; whistleblowing tools reducing the risks of unethical behavior, etc.
- Explore tools for enabling better auditing these myths and mitigating related risks.
- Discuss ideas to help their organization become more ethical.

**Matej Drašček** is chief audit executive for a regional retail bank in Slovenia. In addition to having served as a teaching assistant and guest lecturer for several universities and faculties, he has published numerous professional and scientific international articles on internal audit, human resources, business ethics, and strategic management. Drašček has spoken at domestic and international conferences, presenting new tools and insights in internal audit, strategic management, and ethics. He won The IIA’s William S. Smith Award for highest score in the CIA exam.
C. Fraud and Ethics: Do Generational Differences Matter?

Ann M. Butera, CRP  
President  
The Whole Person Project  
USA

“Work hard and you will be rewarded.” “Respect those with authority.” As the new breed of employee joins our teams, these business values are changing fast. Raised in a disposable, technologically advanced, quantitative age, these employees have different expectations and perspectives. This interactive session will explore how generational differences affect ethical decision-making, as well as techniques you can use immediately when identifying potential fraud risk and evaluating ethical situations.

In this session, participants will:

- Understand the behavioral characteristics of three different generations in the workplace.
- Describe the impact of generational differences on fraud risk assessment.
- Explain the effect of generational differences on ethical decision making.

Ann M. Butera is president of The Whole Person Project, Inc., and an organizational development consulting firm that enables auditors to improve their organizations’ risk management practices. Known for providing practical advice with a sense of humor, she develops behavior-changing training programs for first and second line of defense and internal audit departments. Butera is a former audit committee member for a financial services firm. She frequently speaks at IIA conferences and chapter meetings, writes for Protiviti’s KnowledgeLeader column, and leads webinars. She also authored the book, “Mastering the Five Tiers of Audit Competency: The Essence of Effective Auditing.”

Virtual Lunch and Networking Break  12:35 – 1:50 PM EST

Take this time to explore our virtual exhibit hall and network with attendees! Exhibitors will be at their virtual booths, ready to answer any questions you may have.
CS 3-1: In Conversation With... Greater Audit Coverage With Fewer Audit Resources

**Moderator:**
Gregory T. Grocholski, CIA  
Vice President, Chief Audit Executive  
Saudi Basic Industries Corporation (SABIC)  
SAUDI ARABIA

Greg Grocholski is responsible for leading and managing the internal audit department on a global level, to ensure the implementation of internal audit best practices worldwide, as well as to coach the company’s internal audit employees to maximize their contributions to achieving the company’s objectives. Grocholski is internationally respected in the audit field and is affiliated to ISACA, for which he has served in various leadership roles. Prior to SABIC, Grocholski attained an impressive track record in the global chemicals industry with more than 30 years of service at The Dow Chemical Company. He achieved numerous promotions in the audit and finance functions, most recently holding the posts of CAE and global director of business finance.

**Presenter:**
Naohiro Mouri  
Executive Vice President and Chief Auditor  
AIG  
USA

This session will offer a discussion on how the internal audit group at AIG is changing auditor mindset and audit methodology, as well as using robotic process automation (RPA) and data analytics (DA) to achieve greater audit coverage with fewer resources.

In this session, participants will:
- Hear how AIG’s internal audit group is changing auditor mindset and audit methodology.
- Learn how AIG uses RPA and DA to increase coverage and efficiency.
Naohiro Mouri is the immediate past chairman of The IIA’s global board. His 27 years of internal audit experience includes both audit execution and management at AIG, MetLife, JPMorgan, Shinsei Bank, Morgan Stanley, Deutsche Bank, and BNP. He began his career at Arthur Andersen. Mouri has spoken at local, regional, and international IIA conferences and taught internal audit courses at Meiji University, Senshu University, and Yokohama National University. He co-authored a book about internal audit in banking that was published in Japanese and Chinese.

CS 3-2: Talent Management Soundbite Sessions

A. Strategies for Engaging Your Team in Change

Rachel Tressy
Senior Vice President and Chief Auditor
Voya Financial
USA

Our profession is in a time of unprecedented change. The change needs to come from within, with full engagement from your whole team (no matter what size). This session will discuss ways to move your team forward together through these important times.

In this session, participants will:
- Review some of the changes we are all facing in the internal audit profession.
- Discuss strategies for involving their team in the changes.
- Share successes and failures in recent change management experiences.

Rachel Tressy is senior vice president, and chief audit executive at Voya Financial, responsible for providing internal audits and advisory services for evaluation of the company’s internal control environment. She previously spent 15 years at Cigna in both audit and business roles. Tressy has sought to build relationships with business partners and partners throughout her career to demonstrate the value that strong partnerships bring to companies. She started her career at Ernst & Young in audit and advisory services. She is also active on a nonprofit board of trustees.

B. How to Put the Success in Succession Planning

Sue Ulrey, CIA, QIAL, CRMA, CRISC, CFE, FCA
National Practice Leader
MMY
USA
Talented people will eventually move on — either by choice or by circumstance — and they must be replaced. Studies and surveys have shown that most companies do not have robust succession plans. Managing the succession of talent is critical to achieving your organizational goals.

In this session, participants will:

- Understand the value of succession planning for skill development and talent retention.
- Discover strategies to attract and retain top talent.
- Recognize the top 10 most common competency gaps.
- Learn how to develop a successful succession plan.
- Plan their own leadership development solutions.

Sue Ulrey is an internal audit executive with 25+ years of practitioner and consulting experience in banking, insurance, and healthcare. Innovative and solutions-focused, she drives organizational improvement through audit and data analytics, while promoting strong ethics and governance. Ulrey excels in structuring and strengthening operational and financial processes and controls to maximize long-term performance, growth, and profitability. Leveraging her expertise in project management, strategic planning, best practice evaluation, internal audit QAR, contract/regulatory compliance, vendor oversight/compliance, and finance, risk, internal audit, and governance reviews. Ulrey has managed 100+ large-scale IT and data analytics projects and conducted 100+ contract compliance reviews in the last 10 years.

**Virtual Networking Break  2:40 – 3:10 PM EST**

Take this time to explore our virtual exhibit hall and network with attendees! Exhibitors will be at their virtual booths, ready to answer any questions you may have.
The convergence of rapidly emerging technologies, heightened standards/expectations, jurisdictions with complex/conflicting obligations, workforce optimization, and demand for cost reductions are redefining the international cyber compliance landscape, a trend which is expected to intensity in magnitude in the future. A pointed approach to compliance is reactionary, often failing to scale to international standards for cyber compliance. Compliance modernization helps navigate risks/opportunities and manage international cyber compliance standards effectively.

In this session, participants will:
- Examine compliance modernization from governance, process, and technology standpoints.
- Identify factors that define cyber compliance modernization and the operating model for driving efficiencies.
- Explore practical considerations and real-life case studies for transforming cyber compliance operations through robotic process automation (RPA).
- Build a business case and blueprint for employing automation in the cyber compliance framework to drive value.

Sudhakar Sathiyamurthy is an experienced leader with wide-ranging global experience in helping organizations and risk leaders plan and execute on their digital and cyber risk goals and strategies. His leadership in risk advisory spans more than 14 years. Sathiyamurthy has a track record of excellence in building new market offerings on cyber risk strategy and transformation, privacy and data protection, and risk tech strategy and automation; serving clients with nimble and practical cybersecurity solutions; and growing business through standing-up new service capabilities and scaling-up existing capabilities.
CS 4-2: Evolution of Blockchain Soundbite Sessions

**Moderator:**
Brian Tremblay, CIA, CISA  
Director, Internal Audit  
Acacia Communications, Inc.  
USA

Brian Tremblay leads the compliance practice at Onapsis, helping customers understand and navigate the increasing overlap of compliance, cybersecurity, and business continuity related to IT general controls and regulatory/compliance matters such as SOX and GDPR. Previously, as CAE for Acacia Communications, he founded and led the internal audit function, helped prepare the organization to go public (including implementing SOX), and facilitated ERM implementation. Previously, as director of internal audit at Iron Mountain, Tremblay oversaw all audits and projects within North America as well as liaised with global quality managers. Prior, he built out an internal audit department and executed a SOX implementation at Houghton Mifflin Harcourt, and worked at Raytheon and Deloitte.

A. Blockchain Organizations and Impact to Internal Audit

**Jared Shaw, CFA**
Head of Internal Audit  
Gemini  
USA

**Musheer Alambath**
Senior Manager  
EY  
USA

Within the blockchain ecosystem, there exist many types of organizations that interact with the blockchain, which could be categorized within three major groups: (1) public and private blockchain providers; (2) cryptocurrency exchanges and wallet providers; and (3) blockchain technology adopters. This session aims to provide an overview of risk drivers within these different blockchain organizations and their impact to internal audit.
In this session, participants will:

- Identify key differences and similarities of the three types of blockchain organizations.
- Describe the specific risks of each of the blockchain organizations.
- Hear tips for managing internal audit challenges in these organizations.
- Develop ideas for a proactive approach to resolving challenges and being well-prepared.

**Jared Shaw** is the head of internal audit at Gemini, a licensed digital asset exchange and custodian serving both individuals and institutions. His proven track record of success has spanned wide range of positions within the U.S. military, financial services, and consulting. A common thread throughout these experiences is his focus on leadership, cross-functional service delivery, and operational efficiency. Shaw has been building and leading teams for the past 20 years, since starting training as an Air Force officer. He has published thought leadership and presented on topics covering blockchain and cryptocurrency risks and the role of internal audit in a blockchain environment.

**Musheer Alambath** is researching the impact of blockchain on financial services and banking as a Stanford Sloan Fellow. He has presented at TEDx conferences on ideas connected to his research topic. Alambath has 12+ years of industry/consulting experience and has worked on internal audit projects on four continents. He is currently a senior manager within EY’s risk advisory services practice. Previously, he led internal audit teams across multiple geographies as a vice president at a large global bank. Alambath served on the board of The IIA’s Examination Committee. He is passionate about empowering people through education to positively impact the lives of disenfranchised people worldwide.

**B. Technology Risks of Blockchain**

**Jeannette Russell-Shepherd, CIA, CPA, CISA, CISSP**  
Manager  
Friedman LLP  
USA

Everyone has heard the word blockchain, but what are the technology risks that auditors should consider when assessing this technology? I will discuss key technology risks to consider when assessing, reviewing, or auditing a blockchain solution, including security, availability, confidentiality, privacy, and processing integrity. Discussion will cover specific use cases, difficulties enterprise and startup companies have encountered while implementing these solutions, and how auditors can advise their clients.
In this session, participants will:

- Understand standard use cases of blockchain solutions.
- Determine key considerations for assessing blockchain solutions.
- Learn how to identify and describe risks when using blockchain, especially data risks.

**Jeannette Russell-Shepherd** is a manager within Friedman LLP’s governance, risk, and compliance services practice. She has served clients in a range of industries, with a focus on financial services, technology, and digital currency companies. She partners with CyZen, Friedman’s cybersecurity consultants, and the digital currency practice on auditing and advising companies invested in and/or supporting digital currencies and blockchain technology. Russell-Shepherd is experienced in performing IT audits and reviews, conducting SOC 1 and SOC 2 readiness assessments and reporting for service organizations, and providing IT governance risk and compliance services. She previously worked at PwC within risk assurance and on their blockchain validation solution.

**Recharge Break**

4:10 – 4:25 PM EST

Time to recharge! Get up, stretch your legs, and join us back at 4:25 p.m. in the theater for the next general session!

**Monday | 2 November 2020**

4:25 – 5:40 PM EST

**GS 2: How Hackers Attack and How to Fight Back (featuring a live demonstration)**

**Kevin Mitnick**
World’s Most Famous Hacker, Global Bestselling Author, and Chief Executive Officer
Mitnick Security Consulting
USA

In this engaging and demonstration-rich experience, Kevin Mitnick illustrates how a hacker’s thought process works and how they ply their tradecraft. You just might realize that you have — like almost everyone else on the planet — a misplaced reliance on security technology, which has now become ineffective against a motivated hacker using a technique called “social engineering.”
In this session, participants will:

- Learn how they can be influenced into unknowingly helping hackers break into their organization’s computers.
- Discover how easily they can become unsuspecting victims who can be manipulated into handing over the keys to the kingdom, if they haven’t done so already.

Kevin Mitnick is the world’s most famous former hacker and a global bestselling author whose books are available in over 50 countries and 20 languages. Once one of the FBI’s Most Wanted for hacking into 40+ major corporations just for the challenge and not for monetary gain, he is now a trusted security consultant to businesses and governments worldwide. Also, as chief hacking officer of KnowBe4, he helps produce security awareness training to counteract social engineering and improve security effectiveness. He has been a commentator, security analyst, or interview subject for almost every major news outlet around the globe. Mitnick’s presentations, akin to technology magic shows, include the latest hacking techniques along with expert commentary on issues related to information security and awareness.

Tuesday | 3 November 2020  8:30 – 9:45 AM EST

GS 3: Leading a Switch: How to Change Things When Change Is Hard

Dan Heath
Co-author of Four New York Times Bestselling Books
USA

Why do some big changes happen easily while many small changes prove impossible? Because our mind is divided into two different systems — an analytical mind and an emotional mind — that are often in conflict, particularly in situations of change. Building on this research, and based on the New York Times bestseller, Switch, Dan Heath reveals a simple, three-part framework that will help you change things in tough times.

In this session, participants will:

- Learn where to start and what to do when they face resistance in facilitating change, whether simple or complex, in their families, businesses, and communities.
- Learn valuable tips targeted to any change leader who is struggling to make progress.
- Gain specific tools — and inspiration — needed to make change happen.
Dan Heath is a senior fellow at Duke University’s Center for the Advancement of Social Entrepreneurship (CASE), which supports entrepreneurs who fight for social good. He is the founder of Thinkwell, an innovative education company, and co-author of four New York Times bestsellers: Made to Stick, Switch, Decisive, and The Power of Moments. A former case writer for Harvard Business School, Heath was named in 2013 to the Thinkers 50, a ranking of the world’s 50 most influential management thinkers, and also to Fast Company magazine’s list of the Most Creative People in Business. He has delivered keynotes or workshops for countless executive teams across 26 countries on six continents.

Virtual Networking Break  9:45 – 10:15 AM EST

Take this time to explore our virtual exhibit hall and network with attendees! Exhibitors will be at their virtual booths, ready to answer any questions you may have.

Tuesday | 3 November 2020  10:15 – 11:05 AM EST

CS 5-1: The Path to Insight: Real-time Assurance Over Your Organization's Key Risks

Stacey Schabel, CIA, CPA, Series 6  
Vice President, Internal Audit  
Jackson National Life  
USA

Sarah Saunders  
Assistant Vice President, Internal Audit  
Jackson National Life  
USA

Engaging real-time, rather than looking backward, helps audit teams better protect their organizations from materializing risks and allows them to provide boards, audit committees, and other stakeholders with insight and value when it’s needed, and before problems arise. This presentation will showcase practical tools and assurance approaches used to deliver real-time insight over strategic changes, business as usual activities, and key organizational projects.
In this session, participants will:

- Become familiar with the types of assurance stakeholders value most.
- Explore how to assess and develop audit team skills and resources necessary to support conducting real-time assurance.
- Learn how to implement and amend audit methodology and reporting capabilities in support of real-time assurance.
- Discover tips and techniques for communicating methodology changes and value to management, audit committees, and other key stakeholders.

**Stacey Schabel** leads an internal audit team in examining and evaluating the key processes and controls supporting the North American operations of Prudential plc, including Jackson, its subsidiaries, and affiliates. She assists in protecting the organization’s assets, reputation, and sustainability by assessing and reporting on the overall effectiveness of risk management, control, and governance processes. Schabel serves on The IIA’s Global Financial Services Guidance Committee, chairs the IIA–Lansing Chief Audit Executive Engagement Committee, and presents regularly at industry conferences. She was recognized by the MICPA and AICPA as a ‘2019 Woman to Watch,’ by Digital Insurance as a ‘2018 Women in Insurance Leadership,’ and by Crain’s Detroit Business as a ‘2018 Notable Woman in Finance.’

**Sarah Saunders** is an assistant vice president of internal audit at Jackson, focusing on finance, financial risk, and asset management. She has 15+ years of internal audit experience within financial services and consulting. Saunders is a district advisor and member of the North American chapter relations committee for The IIA.

**CS 5-2: Emerging Risks: Environmental, Social, and Governance Soundbite Sessions**

**A. Sustainability and ESG Reporting Update**

**Bob Hirth**  
Board Member, and Co-vice Chair  
Sustainability Accounting Standards Board  
USA

Are you up-to-date with the latest in sustainability and environmental, social, and governance (ESG) reporting, as well as internal audit’s role? This presentation will provide examples of ESG risk/materiality assessment, objective assurance, and third-party assurance from leading organizations worldwide. It will cover the latest concepts and techniques in sustainability and ESG reporting used by these organizations, along with effective ESG board oversight and reporting techniques.
In this session, participants will:

- Learn why the board must focus on and be involved in ESG and sustainability.
- Understand how internal audit’s involvement in ESG reporting can add value.
- Hear about third-party assurance concepts and see the latest examples of this assurance reporting to the public.
- Gain insights into effectively applying COSO’s recent ERM/ESG guidance.

**Bob Hirth** was appointed to the nine-member standard setting board of the SASB upon its formation in 2017. He currently heads SASB’s Technology and Communications sector committee and is a member of the Services, Healthcare, and Extractive and Minerals processing sector committees. SASB disclosure and reporting standards are considered a suitable framework in several jurisdictions and have been developed for 79 industries.

Serving as COSO Chair from June 2013 to February 2018, Hirth’s activities included leading COSO’s project on revising its Enterprise Risk Management Framework (which was released in September 2017), issuing COSO’s Guide on Fraud Risk Management, and actively promoting COSO’s 2013 Internal Control Integrated Framework around the world and through the media. He has worked on assignments and made presentations in over 20 countries, serving more than 50 organizations and working closely with board members, C-level executives, university professors, finance and accounting personnel, and public accounting firm partners and employees. He was a leader in forming Protiviti and led its global internal audit practice during the firm’s first ten years of development.

In 2013, Hirth was inducted into The IIA’s American Hall of Distinguished Audit Practitioners. In 2014 and 2015, he served as Chairman of the IIA’s IPPF re-look task force and has been a Trustee of the IIA Research Foundation. He served two terms on the Standing Advisory Group (SAG) of the Public Company Accounting Oversight Board (PCAOB). He graduated from Southern Methodist University in Dallas, Texas, with a concentration in accounting.

**B. Future-proofing the Internal Auditor’s Role: The Rise of ESG Risks and Opportunities**

**Rodney Irwin**
Managing Director
World Business Council for Sustainable Development (WBCSD)
More than 180 CEOs have committed to lead their companies for the benefit of all stakeholders — customers, employees, suppliers, communities, shareholders. In the past two years, billions of dollars have been lost due to environmental, social, and governance (ESG)-related risks, including adverse weather, supply chain disruption, product recalls, insurance claims, and ethical violations. How can internal audit help support and future-proof business against this shifting agenda?

In this session, participants will:

- Understand the importance of ESG-related risks and opportunities.
- Consider the role that internal audit can play in managing and controlling ESG issues.
- Discuss challenges facing the profession today, along with tools and guidance available to overcome these challenges.

Dr. Rodney Irwin is WBCSD’s managing director of redefining value and education and a member of the senior management team. He leads projects in enterprise risk management, assurance, materiality, and integrated and mandatory reporting, along with projects designed to advance the measurement and valuation of ESG impacts and dependencies on business. Irwin is the link between WBCSD members and standard/regulation setters. Additionally, he is the course director for WBCSD’s leadership program and manages the relationship with WBCSD’s education partners. Irwin also teaches at Leuphana University, Lancaster University Management School, and Yale School of Management. He sits on the IIRC, the Climate Disclosure Standards Board, and the sustainability council of several global businesses.

**Recharge Break**  11:05 – 11:20 AM EST

Time to recharge! Get up, stretch your legs, and join us back at 11:20 a.m. in the theater for concurrent sessions.

**Tuesday | 3 November 2020**  11:20 AM – 12:35 PM EST

**CS 6-1: Point/Counterpoint: An Open Debate on Hot Topics for the 2020s**

**Moderator:**
Tim Berichon, CISA, CGMA  
Director, CAE Services  
The Institute of Internal Auditors  
USA
Tim Berichon is a finance leader and speaker whose diverse, in-depth experience in financial, operational, and compliance activities has spanned multiple divisions, processes, technologies, and international geographies. Adept at improving processes, controls, employee engagement, and customer service, he possesses a 30-year background in finance and operational management and leadership that includes internal audit, operational finance, public accounting, and strategic alliances. Berichon has provided internal audit leadership for multibillion-dollar global public companies, and operational finance leadership in both small and larger business units, including a $250m complex, international assignment.

Mike Jacka, CIA
Chief Creative Pilot
FPACTS
USA

Harold Silverman, CIA, CRMA, QIAL
Managing Director, Chief Audit Executive Services
The Institute of Internal Auditors
USA

In a session that promises to be as entertaining as it is insightful, two highly experienced and opinionated internal audit thought leaders will go face to face in a point/counterpoint debate on various topics facing internal auditors in the 2020s. Specific topics will be determined by the moderator, with input from attendees in the audience. The debaters will have no prior knowledge of the topics to be discussed.

In this session, participants will:

- Gain insights into the concepts and principles driving the future of internal audit.
- Consider the pros and cons of hot topics within the profession.
- Develop more grounded opinions related to those topics.

Mike Jacka is chief creative pilot for FPACTS, a group dedicated to advancing internal audit skills. During a 30+-year internal audit career, he has been responsible for developing fraud investigation procedures for a 100-person audit shop, overseeing Farmers’ western regional auditing operations, and designing auditor training programs for a global organization of 200+ staff members. Jacka is a top-rated presenter, award-winning columnist, and contributor to Internal Auditor magazine, as well as co-author of two books published through the Internal Audit Foundation (Auditing Social Media: A Governance and Risk Guide, and Message, Brand, and Dollars – Auditing Marketing Operations, both in their second editions).
Harold Silverman previously was vice president of internal audit at The Wendy’s Company. Prior to Wendy’s, he was the vice president of internal audit at Houghton Mifflin Harcourt Publishing Co. Before that, he served as senior manager of internal audit at Raytheon Co. Prior to Raytheon, Silverman was an internal audit manager at PricewaterhouseCoopers, and he gained external audit experience at Arthur Andersen.

CS 6-2: Vision 2020s: The Decade Ahead for Internal Audit

Richard F. Chambers, CIA, QIAL, CGAP, CCSA, CRMA
President and Chief Executive Officer
The Institute of Internal Auditors Inc.
USA

The 2020s will almost certainly pose significant new challenges and opportunities for internal audit. Risks are evolving at an unprecedented rate, and internal auditors at all levels must prepare for what lies ahead. It’s often said that the best way to predict the future is to study the past. We must look where we’ve been, where we are now, and, importantly, where we are headed. Our mission is to determine how we will get there.

In this session, participants will:

- Understand the rise of “Uber” auditing, whereby practitioners with specific skills offer their services through short-term, on-demand contracts.
- Assess the increasingly significant role of data ethics and artificial intelligence governance in how work gets done.
- Recognized today’s young internal auditors as tech-savvy, tech-fearless, and motivated to integrate technology into audit and governance strategies.
- Discover how internal audit is advancing beyond the “bean counter” stereotype by addressing emerging risks, embracing technology, and providing insight and foresight.
- Gain insight into how internal audit serves both the public interest and the organization by supporting good governance.
Richard F. Chambers, CIA, QIAL, CGAP, CCSA, CRMA, is president and CEO of The Institute of Internal Auditors (IIA), the global professional association and standard-setting body for internal auditors. Chambers has more than four decades of internal audit and association management experience, mostly in leadership positions. Prior to taking the helm of The IIA in 2009, he was national practice leader in Internal Audit Advisory Services at PricewaterhouseCoopers; inspector general of the Tennessee Valley Authority; deputy inspector general of the U.S. Postal Service; and director of the U.S. Army Worldwide Internal Review Organization at the Pentagon. He currently serves on the Committee of Sponsoring Organizations of the Treadway Commission (COSO) Board of Directors; the International Integrated Reporting Council (IIRC); and The IIA Board of Directors, as well as the Georgia State University School of Accountancy Advisory Council and the University of Alabama Culverhouse School of Accountancy's Professional Advisory Board. Chambers also has served on the U.S. President’s Council on Integrity and Efficiency. Accounting Today ranks Chambers as one of the Top 100 Most Influential People shaping the accounting profession, and he is recognized by the National Association of Corporate Directors (NACD) as one of the most influential leaders in corporate governance. In 2016, Chambers was honored by American City Business Journals’ Orlando Business Journal as a top CEO of the Year. Chambers is an award-winning author, writing The Speed of Risk: Lessons Learned on the Audit Trail, 2nd Edition (2019), Trusted Advisors: Key Attributes of Outstanding Internal Auditors (2017); and Lessons Learned on the Audit Trail (2014), which is currently available in five languages.

**Virtual Lunch and Networking Break 12:35 – 1:50 PM EST**

Take this time to explore our virtual exhibit hall and network with attendees! Exhibitors will be at their virtual booths, ready to answer any questions you may have.

**Tuesday | 3 November 2020 1:50 – 2:50 PM EST**

**CS 7-1: Leadership Skills That Can Take an Internal Auditor to the C-suite**

**Moderator:**
William Michalisin
Executive Vice President and Chief Operating Officer
The Institute of Internal Auditors
USA
William Michalisin is the Executive Vice President & Chief Operating Officer for The Institute of Internal Auditors (IIA), the global professional association and standard-setting body for internal auditors. The IIA serves more than 200,000 members in over 200 countries and territories and acts as the internal audit profession’s recognized advocate, educator, and provider of standards, guidance, and certifications globally.

In his current role, Michalisin leads operations and core services offered to IIA members globally, including, Membership, Certifications, Training & Conferences, Standards & Guidance and Professional Knowledge, Advocacy & Government Relations, Chapter and Institute Relations, Partnerships, Sales and Business Development.

Prior to joining The IIA, Michalisin was Industry Marketing Leader for Consumer & Industrial Products at Deloitte, which included responsibilities for cross-functional delivery within aerospace and defense, automotive, consumer products, process and industrial products, retail and distribution, and travel, hospitality, and leisure sectors. Earlier in his career, Michalisin was a consultant delivering business process strategy, risk management and fraud/forensic investigation services at both Deloitte Consulting and Accenture, to clients in multiple industry sectors.

Michalisin graduated magna cum laude from Columbia University with a master’s in Strategic Communications and has a bachelor’s degree in International Relations and Economics from Bucknell University. He also has his CIA designation and is a member of the Institute of Internal Auditors.

Presenter:
Mike Fucilli, CIA, QIAL, CGAP, CRMA, CFE
Former Auditor General, Metropolitan Transportation Authority
Staff Instructor, St. John’s University
USA

While CEOs appreciate internal auditors’ strong business skills, they are also placing great emphasis on “soft skills” such as seeing the big picture. We will discuss how to bring out these traits and demonstrate your leadership skills through coachability (the ability to accept and implement feedback); emotional intelligence (the ability to understand and manage your own emotions); motivation (sufficient drive to achieve your full potential); and temperament (attitude and personality).

In this session, participants will:
- Explore how to become more extroverted while remaining true to themselves.
- Gain insights for shifting from auditor to trusted advisor.
- Discover how to gain a “seat at the table.”
Mike Fucilli has about 35 years of internal auditing experience in the private and public sector. He has since retired as Auditor General at Metropolitan Transportation Authority, where he managed a staff of 85 professionals for a public sector organization with revenues in excess of $15 billion. Fucilli has served on The IIA’s North American and Global Boards and is a frequent speaker and presenter for The IIA.

CS 7-2: Organizational Culture: Assessment and Audit Soundbite Sessions

Moderator:
Sarah Antonelli
Manager, Internal Audit
Jackson Health System
USA

Sarah Antonelli’s Bio Being Finalized

A. Assessing and Measuring Corporate Culture

Linh S. Truong, CIA, CPA, CISA
Speaker and Trainer
GoldSRD
USA

In the words of Peter Drucker, “Culture eats strategy for breakfast.” The role that a company’s culture plays in its success or failure has become increasingly clear over the past 20 years and can be seen in headlines from Enron to Wells Fargo. Auditors should be able to assess the moral compass of an organization’s culture.

In this session participants will:

- Receive a roadmap for assessing and ranking their company’s culture.
- Understand the key areas that drive corporate culture and how to assess those areas.
- Identify the red flags of an unhealthy culture, which could be indicators of unethical behavior.
- Learn a method for measuring and rating the health of a company’s corporate culture.
Linh Truong is currently an executive advisor and professional speaker, focusing on such topics as governance, corporate culture, auditing best practices, and implementing agile auditing. In her more than 25 years of audit experience, Truong served as chief audit executive for Orthofix Medical, Kosmos Energy, and Alon USA, building each company’s respective audit function from ground zero. She also worked at large international companies, including Xerox, Credit Suisse Group, and KPMG. Truong has spearheaded both ERM initiatives and fraud risk assessments at multiple companies.

B. How to Audit Culture and (Ethical) Behavior With Relevance and Due Professional Care

Peter Hartog, Manager, Professional Practices
IIA Netherlands
NETHERLANDS

Culture and behavior are extremely important to accomplish the goals of any organization. Culture is seen as an essential part of governance. But how do you audit this? How do you ensure you can objectively measure and assess behavior and culture? “It's there, but you can't grasp it.” You can, however, audit it! This session provides various techniques for objectively measuring behavior, depending on stakeholder demands.

In this session, participants will:

- Distinguish between different relevant audit objectives, scopes, and questions when auditing culture and behavior.
- Learn new methodologies and techniques for auditing culture and (ethical) behavior.
- Understand relevant predefined models from social sciences to measure culture and behavior.
- Apply techniques to gain insight into the underlying drivers of behavior, like group dynamics and mindsets.

Peter Hartog joined IIA–Netherlands in 2018 as manager of professional practices. He is presently engaged in developing and sharing knowledge on a wide range of topics related to the internal auditing profession. Hartog previously worked for 25 years as a consultant on internal auditing and management control, mainly at KPMG and ACS. He is an experienced lecturer with a demonstrated history in the higher education industry, including the Erasmus School of Accounting & Assurance. His background includes serving as an audit executive responsible for IT and operational audits and as a second line manager responsible for compliance and for risk management.
Virtual Networking Break  2:50 – 3:20 PM EST

Take this time to explore our virtual exhibit hall and network with attendees! Exhibitors will be at their virtual booths, ready to answer any questions you may have.

Tuesday | 3 November 2020  3:20 – 4:35 PM EST

GS 4: Panel Discussion: Sustainable Organizations — Sustainable World

Moderator:
Paul Sobel, CIA, QIAL, CRMA  
Vice President and Chief Risk Officer, Georgia-Pacific LLC  
Chairman, COSO  
USA

Paul Sobel was appointed COSO chairman in February 2018. He is leading the board in developing guidance and thought leadership on enterprise risk management, internal control, fraud, and governance. Sobel retired from Georgia-Pacific in 2020 after serving as vice president/chief risk officer and vice president/chief audit executive (CAE). He was previously the CAE for three public companies: Mirant Corporation; Aquila, Inc.; and Harcourt General’s publishing operations. Sobel has served in various leadership roles with The IIA, including Chairman of the Board; in 2017, he received the Bradford Cadmus Memorial Award for distinguished service to the profession and was inducted into the American Hall of Distinguished Audit Practitioners. He has authored or co-authored four books and been named to Treasury & Risk Magazine’s list of 100 Most Influential People in Finance. He currently sits on the Consultancy Advisory Group for IFAC’s International Auditing and Assurance Standards Board and International Ethics Standards Board for Accountants. In the past, Sobel served on the COSO ERM Advisory Council for the update to the COSO ERM framework and the Standing Advisory Group of the PCAOB.

Panelists:
Satya S. Tripathi  
UN Assistant Secretary-General and Head of New York Office  
UN Environment  
USA

Tessy de Nassau (former Princess Tessy of Luxembourg)  
UNAIDS Global Advocate and Social Entrepreneur  
LUXEMBOURG
Far from being competing or mutually exclusive, the objectives of organizational success and social responsibility are not only fully complementary, but fundamentally interdependent. Successful organizations in the long term have sustainability as a central principle of their governance. Understanding of, and active concern for, the interplay between the organization and society, the environment, and the economy is key to serving stakeholder needs and interests into the future.

In this session, participants will:
- Increase their knowledge and understanding of the connection between organizational success and social, economic, environmental, and political responsibility.
- Explore how organizations can adopt strategies for incorporating such issues as part of their values.
- Consider the role that internal audit must play to enable organizations to develop such a mindset.

Satya S. Tripathi is the UN Assistant Secretary-General and Secretary of the UN Environment Management Group. A development economist and lawyer with nearly four decades of varied experience, he has served with the UN since 1998 in key positions in Europe, Asia, and Africa in the areas of climate change, human rights, democratic governance, and legal affairs. Among his most notable engagements, Tripathi was UN Recovery Coordinator, a role in which he facilitated international cooperation and funding of more than US$7 billion for post-tsunami recovery efforts in Indonesia; and Executive Head of UNORCID, a UN System Office focused on conservation of forests and biodiversity.

Tessy Antony De Nassau, Dr.h.c., is a social entrepreneur, businesswoman, philanthropist, UNAIDS ambassador, public speaker, activist, and mother. Tessy is the founder of the global consultancy ‘Finding Butterflies Consultancy Ltd,’ and the co-founder of Professors Without Borders. Tessy works with numerous governments and institutions as well as business owners around the world on their impact strategy and implementation. Moreover, Tessy is an ambassador for UNAIDS (Global Advocate for Young Women and Adolescent Girls) and is the patron to UNA-UK. In the past, she spent five years in the Luxembourg military, during which she was deployed in Kosovo as a peacekeeper and only woman of her draft. She received numerous awards and recognitions globally such as the “Leader of the Year 2019” in Luxembourg.
Richard G. Sexton joined the board of the International Integrated Reporting Council after having represented PricewaterhouseCoopers globally on the Council for many years. He was actively engaged in the development and approval of the Integrated Reporting Framework. Sexton served in numerous senior business leadership and client roles in the UK and for the PwC network, including vice chairman of global assurance. As a member of the PwC UK executive board, he led the assurance practice and established PwC’s trust agenda as their first “Reputation and Policy Leader.” As a senior client partner, he led audits of many of PwC’s largest clients as well as numerous transaction, listing, and other projects worldwide.

Wednesday | 4 November 2020  8:30 – 10:00 AM EST

GS 5: Technology, Innovation, and the Future of Us

Jason Silva
Emmy-Nominated TV Personality, Speaker, and Futurist
USA

Session Description Being Finalized

Jason Silva is the Emmy nominated and world renowned host of NatGeo’s Brain Games, seen in 171 countries. He is a known futurist, filmmaker, thought-leader and sought-after international keynote speaker.

His ‘Shots of Awe’ videos have received over 500 million views across all social media platforms.

Jason has given talks for Microsoft, Intel, Accenture, Cisco, Oracle, Adobe, Electronic Arts, Cannes Lions, Tribeca Film Festival, National Geographic, Discovery, 20th Century Fox, Cosmopolitan, PHD Worldwide, Google, TED Global, The Economist, PepsiCo, and more.

“A Timothy Leary of the Viral Video Age” was how The Atlantic described Silva, “part Timothy Leary, part Ray Kurzweil, and part Neo from ‘The Matrix.’

Virtual Networking Break  10:00– 10:30 AM EST

Take this time to explore our virtual exhibit hall and network with attendees! Exhibitors will be at their virtual booths, ready to answer any questions you may have.
Companies believe a substantial portion of their revenue is under threat as a result of the shift from a transactional economy to a connected one. Businesses, brands, sales forces, marketing teams, and leaders at all levels are desperately trying to capture attention and resonate with consumers who expect more. Is there a secret weapon? A silver bullet to humanize and connect? Yes. The answer is strategic storytelling.

In this session, participants will:

- Understand the psychology behind strategic storytelling and how to take full advantage of it.
- Gain clarity on what a story actually is, the many opportunities for telling stories for results, and how to access the unlimited supply of stories within each brand and/or individual.
- Discover the biggest storytelling mistake and how to avoid it.
- Break down the 3 Step Storytelling Process and study the anatomy of a fail-proof story for maximum impact.

**Kindra Hall** is president and chief storytelling officer at Steller Collective. She has been trusted by global brands across all industries, including Facebook, Hilton Hotels, Tyson Foods, Target, Berkshire Hathaway, and Harvard Medical School, to deliver presentations and trainings that inspire teams and individuals to better communicate the value of their company, their products, and their individuality through strategic storytelling. A former director of marketing and VP of sales, Hall is a National Champion storyteller and a master at teaching others the methods and science of storytelling. Her work can be seen at Inc.com, Entrepreneur.com, and as a contributing editor for SUCCESS Magazine. Harper Leadership released her book in the fall of 2019.