

Fall Event **2017**
THE CONFERENCE THAT COUNTS

Be Empowered!



September 25, 2017

The Radisson Hotel

205 Wolf Rd

Albany, NY 12205

(518) 458-7250





WE HAVE PLANNED AN OUTSTANDING CONFERENCE PROGRAM THAT WILL GIVE YOU THE CHANCE TO:

- EARN UP TO 7 CPE HOURS AT OUTSTANDING EDUCATIONAL SESSIONS
- DISCOVER INNOVATIVE SOLUTIONS AND GAIN THE TOOLS YOU NEED TO BE MORE EFFECTIVE
- LEARN LEADERSHIP SECRETS FROM NATIONALLY RECOGNIZED INDUSTRY LEADERS
- NETWORK WITH COLLEAGUES FROM ACROSS THE REGION
- EXPLORE THE LATEST TECHNOLOGICAL ADVANCES IN FINANCIAL MANAGEMENT
- STAY UP TO DATE ON ISSUES THAT AFFECT YOUR CAREER
- IMPROVE YOUR KNOWLEDGE, SKILLS AND ABILITIES, AND INCREASE YOUR PROMOTIONAL POTENTIAL.

THE CONTINUING PROFESSIONAL EDUCATION (CPE) SEMINARS ARE BEING OFFERED BY A SPONSOR APPROVED BY THE NEW YORK STATE BOARD OF PUBLIC ACCOUNTANCY TO PROVIDE THE MANDATORY CONTINUING EDUCATION FOR LICENSED CPAs WORKING IN NEW YORK.

CHECK TO ENSURE THAT THE CPE CREDITS OFFERED MEET THE REQUIREMENTS OF YOUR CERTIFYING ORGANIZATION.

NYS LICENSE NO. 000329

The Conference That Counts 2017—Fall Event

Conference Overview

The New York Capital Chapter of the Association of Government Accountants, The Albany Chapter of The Institute of Internal Auditors, and the Hudson Valley Chapter of ISACA are proud to host The Conference That Counts (TCTC) 2017 Fall Event with a special theme—"Be Empowered".

Please join us for an outstanding one-day continuing education event offering challenging, informative, and exciting sessions designed to help participants keep pace with changes in information technology, auditing, fraud, and leadership skills. TCTC 2017 promises to be an excellent learning and networking opportunity for both new and experienced financial managers, auditors, and accountability professionals. The program has been developed to ensure that TCTC 2017 delivers up to the minute, quality educational content that meets your high standards and professional needs. Up to 7 CPE hours can be earned by attending the full day.

If you missed the Tuesday of TCTC 2017 and did not make-up the day on Wednesday, you are eligible for a free registration to this event and you will be receiving a special registration link. If you have questions, please email Mary Peck at mepeck@usa.net.

New registrants, not eligible for the credit, may register for this event at the regular TCTC one-day pricing using the link below.

Conference Dates and Location

The TCTC is being held on **September 25, 2017**
[Radisson Hotel Albany](#) (formerly known as the Holiday Inn)
205 Wolf Rd
Albany, NY 12205

Registration

Register online at:
<http://www.eiseverywhere.com/2017tctc2>

Get Your Conference Handouts Early

Many TCTC presenters are making their presentation material available to attendees online. They will not be printed for distribution at the conference. You will find the PowerPoint slides online at <http://www.eiseverywhere.com/2017tctc2> by September 18, 2017. Please remember to download these presentations and bring them with you to TCTC 2017.

TCTC 2017 SESSIONS—MONDAY 9/25/2017

Monday	Session Description
Track General	Registration and Continental Breakfast: 7:30 — 8:30 am
Track I (IT)	<p>M101: Vendor Security Reviews 8:30 am—10:00 am</p> <p>The objective of this presentation is for attendees to use it to benchmark against their current process or to assist them in building a vendor cybersecurity assessment process of their own. In this presentation, attendees will learn about developing a policy for this process, obtaining business buy-in, scope of the security assessments based on risk, performing the assessment, contract terms to be included in the agreement with the vendor, and internal controls to be considered.</p> <p>Speaker: <u>Katherine McIntosh, CISM, CRISC, CISA, CIA, CRMA</u></p>
Track II (Fraud)	<p>M201: Increase Your Value in Fighting Against Fraud 8:30 am—12:00 pm</p> <p>Exceptional auditors immerse themselves in the study of fraud and how it can infiltrate their organizations. It enables them to transform throughout their careers from unaware novices to seasoned experts able to help identify and fight fraud quickly and effectively. It also enables auditors to offer sound advice to managers in recommendations to fortify controls against the root causes of fraud vulnerabilities. Given the volume of fraud, particularly in the form of asset misappropriation, there is an additional opportunity for auditors to leverage their expertise to help managers better protect their organizations from fraud's monetary and reputational damages. This session explore the path from novice to expert fraud auditor and will</p> <p>discuss the top three ways auditors can leverage their expertise to help organizations minimize fraud.</p> <p>Speaker: <u>Roslyn Watrobski, CFE, CIA, CGAP</u></p>
Track III (Audit/Leadership)	<p>M301: Six Sigma for Auditors 8:30 am—12:00 pm</p> <p>Six Sigma and Lean are methodologies that focus on process improvement using measurements-based tools and variation reduction. The goal is to reduce errors and identify the root cause of those errors. The purpose of this session is to show some basic tools that can be used in the audit process in order to enhance the process. Specific topics covered:</p> <ul style="list-style-type: none"> • Discuss the relationship of the Lean Six Sigma methodology to the IIA's IPPF • Correlate the Lean Six Sigma process improvement model (DMAIC) to the phases of an internal audit • Identification of Waste • Value Stream Mapping-How to use this tool to assess identify value added steps, total time, and identify waste and constraints • Control Charts and Histograms-How to use these tools to identify process capability and distinguish between normal and unusual variation in a process • Cause and Effect Tools-Fishbone Diagrams and 5 Whys-How to use these tools to identify root cause • Pareto Chart-How to identify and focus on the most significant causes of issues • Poka-Yokes-Mistake proofing business processes <p>Speaker: <u>Teresa Snedigar</u></p>
Track General	Networking Break 10:00 — 10:30 am

Track I (IT)**M102: Cyber Security for a Future Which is Already Here****10:30 am— 12:00 pm**

Imagine a future of technology where cars automatically drive themselves, correcting their path to avoid accidents, drones deliver your groceries or a house that digitally communicates with you. From shopping to healthcare to booking a taxi, disruptive use of technology is growing with the immersion of IT into everyday business leveraging the digital universe for business transformation.

How does the rise and adoption of the digital universe introduce new threat actors and scenarios that we have never seen before? Is this simply a short-term change that we can simply ignore?

The Digital Universe is here now and will change your life and your role as you know it! What is the impact of the digital universe how will it impact me and my role, what new risks will enter my environment and what can I do to prepare?

Speaker: [Theodore H. Wolff, CISA](#)**Track General****Monday—Lunch****12:00 pm—1:10 pm****Track I (IT)****M103: Security Data Analytics****1:10 pm— 2:30 pm**

This session will examine the infrastructure, tools, and approaches to incident analysis. Starting with effective log collection and management, we'll then look at various tools for parsing and correlating logs (Splunk, netflow, etc.) and discuss some different methods for identifying and responding to incidents. Finally, we'll walk through some case studies using real world incidents and log sources to illustrate the tools and techniques. Attendees should have a good understanding of networks, DNS, and TCP/IP. Some experience with Wireshark and intrusion detection systems would be helpful.

Speaker: [Martin Manjak, CISSP](#)**Track II (Fraud)****M202: Fear, Incompetence, and Unethical Behavior****1:10 pm—2:30 pm**

Fear, incompetence and unethical behavior are many times the root cause of the major frauds that have occurred. Too often, auditors are reluctant to assess these important components of internal control. This session will explore these issues and offer some suggestions on a technique that auditors may be able to use to get at these underlying issues.

Speaker: [David R. Hancox, CGFM, CIA](#)**Track III (Audit/
Leadership)****M302: Auditing Governance and Strategy****1:10 pm— 4:30 pm**

Governance is the set of responsibilities and practices exercised by the board and senior management with the goal of providing strategic direction, ensuring that objectives are achieved, ascertaining that risks are appropriately managed, and verifying that the organization's resources are used responsibly. Auditing these processes can add value to the organization. Specific topics covered:

- Identify the components of the governance and strategy process
- Auditing Corporate Culture and Ethics
- Auditing the Risk Management (ERM) process
- Auditing Strategic Planning process
- Overall Corporate Governance Review

Speaker: [Teresa Snedigar, CPA, CIA, CISA, CCSA](#)

Track General**Networking Break**

2:30 — 3:00 pm

Track I (IT)**M104: Risk Factors in Offshoring IT Services**

3:00 pm—4:30 pm

Offshoring IT services is not a new concept, but the risk profile and evolving value stream needs to be revisited and understood by risk professionals. In a world of extreme competition for IT talent and rapid innovation, the relationship with your offshore supplier is about more than cutting expenses. The session will explore the changing risk profile of the offshore IT supplier and highlight how culture and relationship can influence the risk profile and overall value of the offshore supplier. As a risk professional, you need to understand the complete risk profile and value proposition of the relationship with your offshore IT supplier.

Speaker: [Theodore H. Wolff, CISA](#)

Track II (Fraud)**M203: Investigative Techniques To Quantify Fraud**

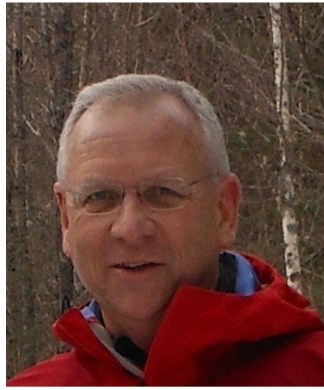
3:00 pm—4:30 pm

In this presentation, we will discuss IRS examination methodologies and how they can be employed in other types of civil and criminal investigations to quantify unreported income. Unreported income is often a component of a fraud scheme. Information and data useful to a fraud investigation are gathered in a variety of ways. This program will also include sources of information to obtain and communicating with various levels in an organization during an investigation, as well as updates regarding metadata and interviewing techniques.

Speaker: [Pamela Wickes, CPA, CFE, CFF, ABV](#)



SPEAKER BIOS



DAVID R. HANCOX, CGFM, CIA

Dave provides advisory and management services to government and private sector organizations. His focus is on the right control systems that make for highly effective management performance. He has served as an expert witness for several of the largest law firms in the world.

He retired from the NYS Comptroller's Office. He transformed many of the audit functions within the office to a modern, risk-based approach, using the latest audit, data analysis and data mining techniques to find fraud, waste, and improper transactions. He led a team that transformed an outdated State Expenditures Bureau into a model audit unit that dramatically increased the efficiency and effectiveness of the State's expenditure audit and payment process. He is co-author of two books: *Government Performance Audit in Action* and *State and Local Government, Program Control and Audit: Handbook for Managers and Auditors*. He is on the faculty of Siena College and The Graduate School USA in Washington DC.

He is an international speaker and in frequent demand in the government audit and financial management community on audit and management-related topics. He is past regional vice president of the Association of Government Accountants and a past president of the New York Capital Chapter of that organization. He was on the Financial Management Standards Board Committee. He is also past president of the Albany Chapter of the Institute of Internal Auditors and a past member of the International Government Relations Committee and the Emerging Issues Committee. Dave contributes articles to various professional journals that challenge the traditional audit approaches that have failed to find the frauds in major organizations. He's listed in Marquis's *Who's Who in the World*, *Who's Who in America* and *Who's Who in the East*. He is a Certified Internal Auditor and a Certified Government Financial Manager.



MARTIN MANJAK, CISSP

Information Security Officer
University at Albany, SUNY

Since 2006, Marty has served as the ISO at the University at Albany, SUNY. Current projects include vulnerability management and re-designing the University's identity and access management platform. Prior to his appointment as ISO, he was responsible for creating and supporting the residential networking program and the student Help Desk. Marty is a CISSP, and has held several GIAC certificates from SANS. He regularly guest lectures on campus, is an adjunct in the School of Business' IT Management concentration, serves on the University's IRB, and has presented at the SUNY Technology conference and the EDUCAUSE Security Professionals conference.



KATHERINE MCINTOSH, CISM, CRISC, CISA, CIA, CRMA

Cyber Security Specialist
Central Hudson Gas & Electric Corp

Katie McIntosh, CISM, CRISC, CISA, CIA, CRMA, is the Cyber Security Specialist for Central Hudson Gas & Electric Corporation, a wholly owned subsidiary of Fortis Inc. Katie is responsible for Central Hudson's vendor security reviews, access management, security awareness program, IT risk management program, IT general controls, and security policies and procedures. Prior to this role, Katie was an IT Auditor within Central Hudson's Internal Audit Group. Katie is a board member with ISACA's Hudson Valley Chapter.

SPEAKER BIOS



TERESA SNEDIGAR, CPA, CIA, CISA, CCSA

Director of Internal Audit
Indiana Public Retirement Systems

Teresa Snedigar is the Director of Internal Audit for the Indiana Public Retirement Systems (INPRS). This state agency handles retirement funds for the majority of public service employees throughout the state of Indiana including education professionals, firefighters, police officers, legislature, state and municipal employees. The fund manages over \$30 billion in assets. She has over 20 years in the Internal Audit profession and has implemented new departments for two organizations.

Prior to joining INPRS, Ms. Snedigar worked for Finish Line Inc, The Titus Group consulting company, Great Lakes Chemical, SAFECO Insurance, Lincoln National Group, Hillenbrand Industries, and Accordia Insurance.

Ms. Snedigar has a Bachelor of Science degree in Accounting from Indiana University. She also holds the following professional designations:

- Certified Public Accountant
- Certified Internal Auditor
- Certified Information Systems Auditor
- Certified in Control Self Assessment
- Six Sigma Green Belt

She is a member of the Institute of Internal Auditors, Information Systems Audit Association, the Certified Fraud Examiners, and the Association of Public Pension Auditors. She has served in leadership roles in several of the professional organizations including IIA International Committees. She instructs and speaks nationally on a variety of Internal and Information System Audit topics. She also has performed Quality Assurance Reviews for Internal Audit departments.



ROSLYN WATROBSKI, CFE, CIA, CGAP

Assistant Director, Bureau of State Expenditures
NYS Office of the State Comptroller

Roz started her government career with State Government Accountability (aka Management Audit) in the Office of the State Comptroller in 1993 and joined the Bureau of State Expenditures in 1998, where she has consistently provided coaching and guidance to help State Expenditures define and refine its risk-based auditing process. She pioneered many of the processes that have been instrumental in the Bureau's success, including using ACL to identify fraud, waste and abuse; developing and providing Bureau-specific training for new auditors; overseeing the development of certain State fiscal policies and designing the Bureau's audit risk assessment process consistent with Statement on Auditing Standards 99.

Roz currently serves as the Bureau's Assistant Director with responsibilities for collaborative leadership of 90 staff and for the facilitation of staff development, policy development, customer education and a good return on investment of resources dedicated to audit and operational activities. With the help of her leadership, the dedicated professionals in the Bureau of State Expenditures have efficiently and effectively met its operational responsibilities and have identified and recovered/prevented

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SPEAKER BIOS



ROSLYN WATROBSKI (CONT.)

the expenditure of hundreds of millions of dollars of fraud, waste and abuse in the last five years.

Prior to joining the New York State workforce, Roz worked for KeyCorp in their Management Reporting and Mergers and Acquisitions departments.

Over the course of her career, Roz has developed and provided training to professional organizations across the United States and to New York State and local government managers and staff and on a variety of fraud, auditing and management topics, including Fraud Red Flags, Forensic Audit Techniques, Auditing 101, Contract Monitoring, Brand You!, Skills for Success and most recently, Leveraging Auditors' Expertise to Minimize Fraud in Government. Roz has also been a guest lecturer at Siena College for its Internal and Performance Auditing class and its Computer Auditing and IT Controls class and at Sage College for its Procurement Fraud class.

Roz is a Past President of the Albany Area Chapter of the Association of Certified Fraud Examiners and the Albany Chapter of the Institute of Internal Auditors. She graduated magna cum laude from Siena College in 1993 with a Bachelors of Business Administration in Accounting. She also holds certifications in fraud examination, internal auditing and government auditing. Roz and her husband Tom live in Upstate New York with their three sons: Jack, Emmett and Miles.



PAMELA WICKES, CPA, CFE, CFF, ABV

Wickes Forensic Accounting & Consulting LLC

Pamela D. Wickes is the founder of Wickes Forensic Accounting and Consulting LLC, a niche firm specializing in forensic accounting, fraud prevention and detection, financial investigations and consulting, expert witness testimony, and litigation support services. She is a Certified Public Accountant (CPA), a Certified Fraud Examiner (CFE), Certified in Financial Forensics (CFF) and Accredited in Business Valuation (ABV). Pam has completed the collaborative training necessary to be hired as the Financial Professional on collaborative divorce teams. She has qualified as an expert witness in New York State Supreme Courts.

Pam has over 20 years of diversified experience in the areas of private and public accounting, fraud prevention and detection, fraud examinations, forensic accounting investigations, asset and transaction tracing, lost profits and other damage calculations, family law matters, business valuations, enhanced earnings calculations and other litigation support services. Pam has authored articles and presented seminars on various related topics. Pam is the immediate Past-President of the Albany Area Chapter of the Association of Certified Fraud Examiners and is a member of several professional and business associations.

Pam holds a Bachelor of Science degree in Accounting from The State University of New York at Oswego. She is also a graduate of the Federal Bureau of Investigation Citizens Academy.

SPEAKER BIOS



THEODORE H. WOLFF

Supplier Partner Management Head
Vanguard

Ted Wolff is a senior leader of IT & Security Global Assurance practices in Vanguard's Global IT & Security Risk and Control group. Prior to joining his current role, Ted led Strategic Partner Relationship Management in Vanguard's Global Sourcing Office and previously led Vanguard's Global IT Audit group.

Prior to Vanguard, Ted was a Vice President and IT Audit Director for Wachovia Corporation with responsibility for the Wealth and Capital Markets businesses. Ted also served in several audit leadership positions with the FleetBoston Financial Group for business units including Information technology and Mortgage Banking.

Ted earned a bachelor's of science degree from Carnegie Mellon University in Applied Mathematics and is a Certified Information Systems Auditor. Ted is active in local and international leadership activities for ISACA and has previously participated in advisory councils at Appalachian State and Temple Universities.

REGISTRATION FORM

1. Fill in the information below

Name (Mr., Mrs., Ms., Miss) _____
(Last) (First) (Middle)

Title/Position Company/Agency _____
 Address _____
 City _____ State/Province _____ Zip/Postal Code Country _____
 Phone _____ Fax _____ Name for Badge ID _____
 e-mail Address _____

2. Circle your choices (no more than one session per time period please)

Track	Monday—September 25, 2017			
	Early A.M.	Late A.M.	Early P.M.	Late P.M.
I	M101	M102	M103	M104
II	M201		M202	M203
III	M301		M302	

REGISTRATION FORM

3. Registration Fees

Fee Schedule	Member*	Non-Member
One Day	\$160	\$235

Seating is Limited - Register Today!

*AGA member? Yes No *IIA member? Yes No
*ISACA member? Yes No *CPA? Yes No

Discounts:

Please note that if you missed the Tuesday of TCTC 2017 and did not make-up the day on Wednesday, you are eligible for a free registration to this event and you will be receiving a special registration link. If you have questions, please email Mary Peck at mepeck@usa.net. New registrants, not eligible for the credit, may register for this event at the regular TCTC one-day pricing fee.

4. Indicate Method of Payment

- Check enclosed payable to TCTC in the amount of \$_____. Please check if group payment
- Government Voucher or Purchase Order enclosed for the amount of \$_____ (Payee ID 13-3418345). Enrolling individuals or the enrolling agency are liable for payment after the cancellation date of September 20, 2017.
- If you require an invoice, contact Mary Peck at mepeck@usa.net or (518) 281-8638.

5. Register

Make your completed registration and payment to:

TCTC
c/o Hudson Valley ISACA
PO Box 1458
Albany, NY 12201-1458

6. Cancellation Policy

Cancellations received up to September 20, 2017, will be fully refundable. Registration fees will NOT be refunded for cancellations made after September 20, 2017. However, substitutions can be requested at any time up until the time of the conference. Substitutions of a non-member for a member will result in the additional non-member fees being charged.

7. Hotel Reservations

Hotel reservations can be made by calling the Radisson Hotel Albany (formerly known as the Holiday Inn) at 1 (800) 333-3333 or (518) 458-7250 (24 hours a day) or going to their website at (www.radisson.com). Please mention that you are with the **Association of Government Accountants (AGA)** block to take advantage of the conference group rates: Single or Double occupancy - \$115 per room/day or the prevailing government rate.

8. Menu Choices

Please make your luncheon selections.

- Chicken Parmesan
 - Seared Salmon with Kale Pesto-Dressed Brown Rice and Quinoa (*Gluten, Nut, Dairy, Egg, Soy, Shellfish free*)
 - Roasted Vegetable Tex-Mex Lasagna (*Vegetarian, Gluten, Nut free*)
 - Lunch on my own
- Check here if you have special dietary needs.