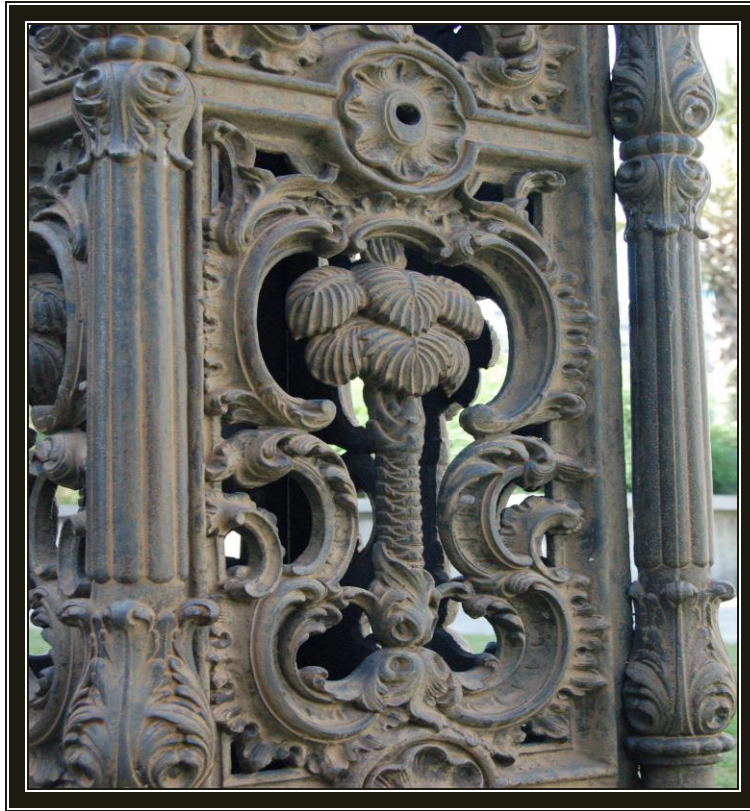


26th Annual SC Statewide Audit Conference
EMBASSY SUITES by HILTON COLUMBIA-GREYSTONE
200 Stoneridge Dr., Columbia, South Carolina
Wednesday, November 14 – Friday, November 16, 2018

Striving to Meet your Audit, Fraud, IT, CyberSecurity Training and Exam Prep Needs



Annual Conference Jointly Presented By:



Institute of Internal Auditors
 IIA Coastal Carolina Chapter
 IIA Palmetto Chapter
 IIA Western Carolinas Chapter

SC State Internal Auditors Association

ISACA
 SC Midlands Chapter

Audit Skills for Every Member of Your Staff!

Our 26th Annual SC Statewide Audit Conference will offer 20 CPEs with Internal Audit, IT, Cybersecurity, Fraud and Ethics training as well as CIA and CISA exam review courses for as low as \$22.50 per CPE hour:

- 👉 Conference begins 8:30 am Wednesday, November 14, 2018 and ends at 12:20 pm Friday, November 16, 2018.
- 👉 Internal Audit/Fraud Track 1 features “HIPAA Compliance Updates and Red Flags” 11/14/18 and “Optimized Operational Auditing” on 11/15/18. Both courses are NASBA-certified for CPAs whose state regs require such. On Friday, 11/16/18, experts will provide training on timely pertinent topics in a General Session.
- 👉 IT/Cybersecurity Track 2 features “CyberAudits of Identity and Access Control Management” 11/14/18 - 11/16/18.



NASBA

Track 1- Audit Track

NASBA



Wednesday, 11/14/18: HIPAA Compliance; Updates and Red Flags

Presented by JOHN SAAP, CISSP, CGEIT, CRISC, HCISPP, GoldSRD, <https://www.goldsrd.com/john-sapp/> & LINH TRUONG, CPA, CIA, CISA, GoldSRD, <https://www.goldsrd.com/linh-truong/>

HIPAA Compliance involves not only ensuring you provide the appropriate patient rights and controls on uses and disclosures of protected health information, but each organization must have the proper policies, procedures and technology in place. This starts with the understanding the fundamentals of a HIPAA compliance and how it impacts IT and how compliance is currently changing. Topics include:

■ **HIPAA Overview:** What is HIPAA and who is subject to HIPAA ■ **Information Protection:** Protected Health Information (PHI) & Personally Identifiable Information (PII) ■ **HIPAA Privacy Rule:** Notice of Privacy Practices; Reasonable Safeguards; Using PHI for Marketing. ■ **HIPAA Security Rule:** Administrative Safeguards; Physical Safeguards; Technical Safeguards; Handling PHI; & Security Breach ■ **PHI Rights of Individuals** ■ **Enforcement of HIPAA** ■ **HIPAA Compliance Red Flags** ■ **Tips for Compliance Audits**

Thursday, 11/15/18: Optimizing Operational Auditing

Presented by LINH TRUONG, CPA, CIA, CISA, GoldSRD, <https://www.goldsrd.com/linh-truong/>

With companies looking to internal audit to assist in identifying areas of improvement, auditors must be effective in operational auditing. This course will take attendees through tools and techniques on how to maximize their operational auditing effectiveness. Auditors should understand the basics of operational auditing, including definitions and terms; learn the importance of OA and how it can help distinguish the audit department; and learn the key steps in the OA process and how to sell changes to the organization. Topics Include:

■ **Introduction:** Economy, Efficiency & Effectiveness; Why Perform an Operational Audit?; Components of Operational Audits; Specific Objectives & Purposes; Operational Audit Benefits; Operational Audit Phases; Characteristics and Key Attributes of an Effective Operational Auditor; ■ **The Importance of Communication:** 7 C's to Effective Communication; Optimized Conflict Resolution; Email Excellence; Listening Techniques; Interviewing. ■ **Operational Audit Process** ■ **Assessment of Risk** ■ **Planning Phase:** Define Audit Objectives; Knowledge Gathering; Authoritative Research; Interview Management; Internal Controls; Walkthroughs; Preliminary Risk Analysis; What Else Can we Provide?; Coordinating Resources ■ **Building an Operational Audit Program** ■ **Fieldwork** ■ **Development of Operational Audit Findings** ■ **Documentation Techniques:** Risk & Control Matrix; Business Process Flow

About the Speaker(s)

Linh Truong, CPA, CIA, CISA: Linh Truong has more than 20 years of audit experience including as former CAE of Kosmos Energy and Alon USA where she established internal audit departments including developing all templates for risk assessments, audit programs, audit reports, and Audit Committee presentations. She has also conducted many special projects including investigations, new country office readiness assessments, and vendor audits. She has spearheaded Fraud Risk Assessments and ERM initiatives at multiple companies. She has implemented first year SOX at three companies and have brought SOX compliance efforts in-house, saving millions of dollars. She has worked at Hunt Oil, Xerox, Credit Suisse Group, and KPMG. She founded an Energy CAE Shareforum in 2006 with now 30 companies. Members meet to share best practices; symptoms of wrongdoing; and design strategies to help defend entities' people, reputation, and assets.

John Saap, CISSP, CGEIT, CRISC, HCISPP: John is currently the Global Information Security Officer at Orthofix International, a global medical device company focused on providing superior reconstructive and regenerative orthopedic and spine solutions to physicians worldwide. He is a seasoned strategic global Information Security professional, Data Privacy and IT Risk Management executive with 30 years of combined in-depth experience including Healthcare (Clinical Trials, Payer, Provider and Technology Solutions Vendor); Financial Services (Consumer Banking, Investment Banking and Insurance); Management Consulting; and Telecommunications. John's career spans all aspects of IT including: Software & Systems Development; Application Security; Administration and Network Security; IT Project Management; Disaster Recovery & Business Continuity Planning; CyberSecurity; IT Risk, Governance & Compliance Management; John has worked at many highly-regarded organizations throughout his 30+ year career, including Oracle, McKesson, Cap Gemini and Coopers & Lybrand. John is also a first cousin of NFL Hall of Famer Warren Sapp.



Track 2 –IT Track

CyberAudits of Identity and Access Control Management

Presented by Ken Cutler CISSP, CISM, CISA, Security+, CASP, Q/EH



This Track Will Cover the Entire 2.5-day Conference Period of **Wednesday, 11/14/2018 – Friday 11/16/2018**

The road to reliable internal control and CyberSecurity compliance can be very treacherous, full of potholes and rocks...and many forks to ponder. Compliance requirements come from all directions, shapes, and sizes...not to mention heightened attention to the protection of payment card data, personally identifiable information (PII), identity theft, and security breach disclosure legislation. Logical access controls represent the single most significant security safeguard to protect valuable data from unauthorized access...and the most common area of important audit findings by internal and external auditors.

In this widely applicable workshop, we will:

- 🔍 Provide a framework for consistent and effective auditing of logical access controls.
- 🔍 Use Case Studies to demonstrate real examples of common access controls and data collection methods for operating systems, database servers, and other software environments, emphasizing free and/or low-cost audit software procedures.
- 🔍 Provide attendees with sample work programs and checklists that can be used to perform effective logical access audits in any context.

Topics include:

- 🔍 Assessing common risks and regulatory compliance requirements associated with identity and access control management.
- 🔍 Identifying the key building blocks of logical access controls: identification and authentication, access authorization, privileged authority, system integrity, audit logs.
- 🔍 Locating technical and administrative access controls in today's complex IT application environments.
- 🔍 Dealing with software bugs, patch management, and change control issues that can undermine effective access controls.
- 🔍 Defining the audit work program: tools and techniques for reviewing access controls in prominent system software and application environments.

About the Speaker

Ken Cutler CISSP, CISM, CISA, Security+, CASP, Q/EH is President of Ken Cutler & Associates (KCA) InfoSec Assurance, an independent consulting firm delivering Information Security and IT audit professional consulting services. He is Director of Prof. Cert. Programs for Security University and a Sr Teaching Fellow at CPEi (CPE Interactive), specializing in Technical Audits of IT Security and IT controls. Ken is an internationally recognized consultant and trainer in the Info. Sec. and IT audit fields and is a Qualified Ethical Hacker (Q/EH) and a Certified Meteorologist (USAF). He was formerly VP of Info. Sec. for MIS Training Institute and has held numerous positions in IT mgt, including being CIO of a Fortune 500 company. He directed company-wide IS programs for American Express Travel Related Services, Martin Marietta Data Systems, and Midlantic Banks, Inc. Ken has been a long-time active participant in international gov. and industry security standards initiatives including the President's Commission on Critical Infrastructure Protection, Generally Accepted System Security Principles (GSSP), Information Technology Security Evaluation Criteria (ITSEC), US Federal Criteria, and Department of Defense Information Assurance Certification Initiative. Mr. Cutler is the primary author of the widely acclaimed Commercial International Security Requirements; co-author of the original NIST SP 800-41, "Guidelines on Firewalls and Firewall Policy", and has published many other works in addition to being quoted as an expert in publications as well as tv appearances.



Track 3

Certified Internal Auditor (CIA) Exam Review

<https://na.theiia.org/certification/CIA-Certification/Pages/CIA-Certification.aspx>

Presented by H. Garland Granger, CPA, CIA, CFE – Guilford College, Greensboro, NC

The CIA designation is a globally accepted certification for internal auditors and remains the standard by which individuals demonstrate their competency and professionalism in the internal auditing field. Participants will leave enriched with educational experience, information, and business tools that can be applied immediately in any organization or business environment. Participants will also learn what to do to be prepared for changes to the exam. Even if you are not registered for the exam, you may find this a good overview of Internal Auditing, or a chance to learn what the exam is all about.

Dr. Granger will provide his own updated 3 Part CIA Review study manuals, which are tied to the Gleim 17th Edition 3 Part CIA Review manuals. Participants may bring their personal Gleim CIA Review Manuals with them. Exam Parts will be covered as follows:

Wednesday, 11/14/2018: Part 1 (8:30 am to 12:00 pm) and Part 2 (1:00 pm to 4:40 pm)
Thursday, 11/15/2018: Part 3 (8:30 am to 4:40 pm)

About the Speaker

Garland Granger, CPA, CIA, CFE is president of Professional Accounting Seminars, Inc. He worked for 2 years in banking, 8 years in public accounting and is Associate Professor of Accounting at Guilford College in Greensboro. Garland has taught the CIA Review course for several IIA chapters for years. This will be his 33rd year teaching the CIA review course for the SC chapters. Teaching in Boston, over 700 attendees became CIAs over a 6 year period. Garland taught the Auditing portion of the Lambers CPA Review course in Greensboro for over 30 years; has been teaching accounting seminars for over 18 years; has taught more than 900 continuing education seminars for CPAs in 20 states to the public, to CPA firms and to major corporations; has taught seminars over the past few years with Western CPE; and, has taught over 75 seminars for Branch Bank & Trust, Co., for the past 12 years. This will be a valuable opportunity to review for the CIA exam with Dr. Granger in person, not on video!



Track 4

Certified Information Systems Auditor (CISA) Exam Review

<http://www.isaca.org/Certification/CISA-Certified-Information-Systems-Auditor/What-is-CISA/Pages/default.aspx>

With a growing demand for individuals possessing IS audit, control and security skills, CISA has become a preferred certification program by individuals and organizations around the world. ISACA's CISA was named among the four highest-paying certifications for 2012 according to the IT Skills and Salary Survey by Global Knowledge and TechRepublic.

Utilizing CISA Review materials, this session assists in preparing participants for the CISA exam administered by ISACA. Participants learn to demonstrate competence in five domains, including standards and practices; organization and management; processes; integrity, confidentiality and availability; and software development, acquisition and maintenance. Even if you do not plan to take the exam right away, you may find this a good overview of Information Systems Auditing, or a chance to learn what the exam is all about.

Participants will bring and utilize their own personal CISA exam review manuals in addition to materials used by the presenter. See <https://www.isaca.org/bookstore/Pages/CISA-Exam-Resources.aspx>.

Contact SC.Statewide.Audit.Conference@gmail.com with questions/requests.

General Information

Meeting Facilities and Conference Hotel

All meetings will be held at the [Embassy Suites by Hilton Columbia - Greystone](#), located at 200 Stoneridge Drive, Columbia, SC 29210.

Embassy Suites is located off of I-26 at Greystone Blvd. near Columbia's famous Riverbanks Zoo, less than 2 miles from downtown Columbia and the Congaree Vista. They are offering a special conference rate of \$136.00 per night. You will receive free made-to-order breakfast each morning; free evening reception each evening offering cocktails and hors d'oeuvres; full hotel suite with refrigerator; FREE shuttle service to and from Columbia Metropolitan Airport and attractions within a 5-mile radius including Riverbanks Zoo, The Vista, and USC; indoor pool & whirlpool; Fitness Center featuring Precor Equipment; FREE Parking; and, free in-room high-speed internet as well as a complimentary business center. Check in: 4 pm – Checkout: 12 pm. Service animals and pets allowed (with deposit).

You should book your hotel room by Wednesday, 10/24/18 in order to receive the conference rate.

[Book Your Room for 2018 Here Now](#)
or call: 1- 803-252-8700.

When making your reservation, identify that you are with 26th Annual SC Statewide Audit Conference.
PLEASE MAKE YOUR ROOM RESERVATIONS AS SOON AS POSSIBLE!

Conference Registration Site:
<http://www.eiseverywhere.com/314098>

Transportation

Complimentary shuttle service available to and from Columbia Metropolitan Airport and to Downtown/Capitol/Congaree Vista areas within a 5 mile radius.

Parking

Free on-site parking in large parking lot.

Attire

Dress for all events is business casual. Since temperatures in meeting rooms vary, a sweater or light jacket is recommended.

Meals

Conference begins at 8:30 am Wednesday, November 14, 2018. Breakfast, lunch and a light snack will be served on November 14 and 15, 2018, starting at 7:30 am. Conference ends on Friday, November 16, 2018, at 12:20 pm. Breakfast and mid-morning coffee will be served starting at 7:30 am.

Area Info:

<http://www.columbiacvb.com/>, Visitors Section
<http://mainstcolasc.com/play/>
<http://www.vistacolumbia.com/>
<http://www.riverbanks.org>
<http://www.scmuseum.org/>
<http://columbia.leisurefun.net/events/index.asp>
<https://www.coloniallifearena.com/>
<http://www.gamecocksonline.com/> &
<https://www.sc.edu/calendar/uofsc/public/index.php#/?i=5>

Conference Registration Dates and Fees – Registration Deadline: 11/13/2018

	<u>On or before 10/24/18</u>	<u>10/25/18 - 11/07/18</u>	<u>After 11/07/18</u>
Full Conference	\$450 member; \$500 nonmember	\$525 member; \$575 nonmember	\$625 all
Wed. 11/14/18	\$180 member; \$200 nonmember	\$210 member; \$230 nonmember	\$250 all
Thurs. 11/15/18	\$180 member; \$200 nonmember	\$210 member; \$230 nonmember	\$250 all
Fri. 11/16/18	\$90 member; \$100 nonmember	\$105 member; \$115 nonmember	\$125 all
Fri. 11/16/18	Certain Courses Only	\$50 (contact SC.Statewide.Audit.Conference@gmail.com)	

Paying out of pocket? Please contact SC.Statewide.Audit.Conference@gmail.com for a hardship rate.

Conference Agenda

<u>Wednesday, November 14</u> Full Day Tracks 1 - 4	<u>Thursday, November 15</u> Full Day Tracks 1 - 4	<u>Friday, November 16</u> Half Day General Session, IT Track and CISA Review Track
7:30 Breakfast	7:30 Breakfast	7:30 Breakfast
8:30 Sessions Begin	8:30 Sessions Begin	8:30 Session Begins
10:00 Break	10:00 Break	10:10 Break
10:15 Sessions Resume	10:15 Sessions Resume	10:25 Session Resumes
12:00 Lunch	12:00 Lunch	11:15 Break
1:00 Sessions Resume	1:00 Sessions Resume	11:30 Session Resumes
2:30 Break	2:30 Break	12:20 Conference Ends
2:45 Sessions Resume	2:45 Sessions Resume	SC State Internal Auditors Association Annual Business Meeting at 12:30 pm
4:40 Sessions Adjourn	4:40 Sessions Adjourn	