AIBACP

Association of International Bank Audit and Compliance Professionals Inc.

October 20, 2020 Webinar:

Virtual Internal Audits: An Auditor's Approach and The Impact of Digital Workers

Tuesday, October 20, 2020
1:30 p.m. – 2:30 p.m.

In association with

Crowe

AGENDA

AIBACP and Crowe LLP Webinar:
Virtual Internal Audits: An Auditor's Approach and The Impact of Digital Workers

1:30 – 2:00 p.m.   Part 1: An Auditors Approach to a Virtual Internal Audit

Dawnella Johnson and Maria Mora

The world we have known for years has changed drastically. While many organizations have performed operations remotely for years, few had implemented a fully virtual internal audit function. We understand people need to work differently right now. And that's okay. This is a great opportunity to rise to the occasion and get better at online collaboration.

This webinar will help you develop a plan to enable easy collaboration amongst your internal audit team and with Head Office. This will include tips for preparing, executing, and reporting high caliber results while still maintaining Audit quality.

2:00 – 2:20 p.m.   Part 2: The Impact of Digital Workers on Internal Audit

Ray Cheung and Tony Klaich

As businesses are adopting robotic process automation (RPA) at a faster rate than ever before, internal auditors play an increasingly important role. The internal audit function must keep pace to help the organization understand and manage the associated risks, achieve expected results from automation, and continue to innovate to add value.

This webinar will highlight opportunities for internal audit to assist in RPA initiatives benefiting all three lines of defense. Thoroughly understanding the journey to automation allows internal auditors to assess the impact of bots on the existing controls environment, including new risks, as well as bots deployed in the first or second line of defense. In addition, leveraging bots for controls automation, including continuous monitoring for the third line, has tremendous potential to reduce cost of compliance and improve quality and confidence in your controls environment.

2:20 – 2:30 p.m.   Q&A

Upon completing this webinar attendees should be able to:

- Identify opportunities to enable easy collaboration amongst your internal audit team
- Properly communicate and address risks with Head Office while working remotely
- Apply new techniques to preparing, executing, and reporting high caliber results while still maintaining audit quality
- Identify opportunities for the use of RPA as part of your internal audit plan
- Define the impact and role of bots on the existing control environment, including new risks, and control automation

Speakers:

Dawnella Johnson, *Managing Executive Partner and Board Member*

Dawnella Johnson is the Global Internal Audit Leader for Crowe LLP and the lead partner of Crowe's Consulting practice in New York. She has more than 25 years of experience providing financial, operational and regulatory risk consulting to financial services organizations, with a significant background in governance and reporting.

Ms. Johnson has supervised or participated in internal audit, quality assessment reviews of internal audit functions, enterprise-wide risk consulting, and regulatory compliance engagements, including the Sarbanes-Oxley Act and Bank Secrecy Act and Anti-Money Laundering requirements. She has worked with multiple international banking organizations as well as many domestic banks.

Maria Mora, *Senior Manager*

Maria Mora is a Senior Manager in the Consulting practice with focus on Internal Audit for Financial Institutions. She has over 8 years of experience providing operational internal audit services and leading engagements within the financial services industry. Maria's primary area of expertise is financial institution risk management and internal audit.

Maria has been responsible for engagement planning, client communications and coordination, including preparation of final report and Audit Committee packages. Her responsibilities include performing risk assessments, identifying risks, controls, gaps and creating remediation plans, testing design and/or effectiveness of controls, performing inquiries and walkthroughs, learning client's processes, documenting retained information, managing staff and building client relationship.

Ray Cheung, *Managing Director*

Ray Cheung is the Process Automation and Robotics Practice Leader with over 28 years of experience in risk consulting, automation/process optimization and internal controls. A seasoned architect in leading a cross-functional project team for process re-engineering. Ray has served as the Business Process and IT Controls Lead for several technology clients in the Silicon Valley, working closely with IT, business and IA teams addressing areas such as digital transformation, automation governance, cloud risk assessments, alignment of business process and IT controls, SOX, common controls framework development, SOC attestation, PCI readiness, and operational audits. Prior to Crowe, Ray served as a VP of Technology Management Office for a major credit card company, MD with Big 4 firms, and a former CIO. He's currently on the advisory board of San Jose Chapter of IIA, as well as a Crowe's representative at ISACA-AICPA Blockchain Taskforce.

Tony Klaich, *Managing Partner*

Tony Klaich is a Partner in the Process Automation and Robotic Practice with over 25 years of experience in business process evaluation and optimization, internal audit and internal control. Tony works with all three lines of defense in regards to Process Automation and Robotics and is involved in a variety of use cases for the CFO organization, Customer Service and Sales as well as HR. Furthermore, Tony is involved with RPA use cases for the third line from a Governance perspectives as well as automating a variety of Sox and internal audit processes.

CPE Credit
AIBACP members attending the live webinar will be awarded 1 CPE Credit by the AIBACP.
Crowe LLP will award 1 CPE Credit to its eligible invitees who are non-members.

AIBACP Members must register for and attend the live webinar to earn CPE credit
Please register by clicking the "Register here" button on Page one.

A recording of this webinar will be posted on the AIBACP website
No CPE credit will be awarded for viewing the recording.

Questions?
Please email Rose Napoli at rosenapoli23@gmail.com.