



ACL Connections 2015 October 4-7, 2015 Trump National Doral Miami, FL

Track 1 "Lead Your Team"

Do you ever look at other organizations and wonder what the person in your role does to be successful? This track is hand-crafted to help you, the leader, do what all great leaders do: set a vision for your team. Over the course of two days, we'll give you the inspiration, the current best practices and the networking opportunities you need to build your personal brand as an innovator.

Track 2 "Broadcast Your Value"

What if you could do exactly the right thing, at the right time and everyone immediately recognizes your amazing new contribution? Putting your insight in the spotlight is what the *Broadcast Your Value* track is all about. You'll leave this track with a playbook of super-relevant projects that resonate across the organization and make it easy for you to look awesome in ways like never before.

Track 3 "Advance Your Skills"

Looking for new and innovative ways to take advantage of ACL technology? If you're a day-to-day user of ACL products, this track is built to help you reduce steps, collaborate with other teams and uncover new techniques. With a foundation of opportunities to network with like-minded professionals, you'll leave this series with new colleagues and actionable new skills.

Fields of Study: Auditing, Auditing-Government, Specialized Knowledge and Applications of ACL Recommended CPE: 17 Prerequisites: Basic Finance and Auditing, Basic Knowledge of ACL Analytics, ACL Scripting Delivery Method: Group-live





Monday, October 5, 2015

8:00 am – 8:30 am: General Session 1 "Opening Remarks" Sean Zuberbier, VP, Worldwide Sales, ACL Knowledge Level: Overview

8:30 am – 9:00 am: General Session 2 "Put Your Insight in the Spotlight"

Laurie Schultz, President and CEO, ACL

When we survey ACL customers about what keeps them up at night, "putting my work in an executive context so that others 'get' the value of what I do" is a consistent theme. In this unique session, ACL's President and Chief Executive Officer will share her perspective, her experience and her guidance to GRC professionals on how to be more relevant to executive leadership so you become the most sought-after within your own organization. *Knowledge Level: Intermediate*

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9:00 am – 10:00 am: Keynote Session 1

"Capturing the Opportunity Side of Managing Risk – Panel Discussion" Mark Speck, Chief Compliance Officer & Head of Audit, CPA Global Inder Gulati, Vice President, Head of Internal Audit, LinkedIn Carolyn Saint, Chief Audit Executive, University of Virginia Moderated by Matt Kelly, Editor-in-Chief, Compliance Week Magazine

With mandates of managing risk and providing assurance, is there room to directly drive initiatives that contribute to strategy and performance? For the Audit leader who walks on a fine line between independence and offering value to the business, the blurring of the three lines of defense represents change and uncertainty but also career-making opportunity to add value – especially for those leaders that have deep skills with data. In this plain-talk panel discussion, we will explore the strategies employed by three industry leaders who have been successful in changing their DNA, influencing organizational performance and building a personal brand as innovators in the profession.





10:30 am – 12:00 pm: General Session 3

"YOU are a Rockstar, Show it with Technology" Dan Zitting, VP Product Management & Design, ACL Keith Cerny, VP Research & Development, ACL

It's ACL's vision to create an environment where an organization's Audit, Risk and Compliance professionals are sought-after for their insight into areas that no other department can interpret. That vision guides the development of our products, and we want to show you some newer, bigger ideas.

In this 90-minute session, ACL's product leaders will unveil never-seen-before product innovations and show you how to use them in ways that will make you and your team look awesome in ways like never before. Knowledge Level: Intermediate

1:00 pm – 2:30 pm: Track 1 Session 1

"GRC Architecture – Building Processes and Technology to Optimize Effectiveness across Functions" Michael Rasmussen, Chief GRC Pundit, GRC 20/20 and Chair, OCEG Technology Council

What are the secrets to developing processes and utilizing technology platforms so an organization has an optimized system for governance, risk management and compliance? In this talk, Michael Rasmussen will draw on his experience advising organizations across the lines of defense to provide insight on how to best architect an organizational system that enables everyone to align and succeed. He will also consider how excellence in using analytics across departments can lead to more federated teams and quantifiable value in results.

Knowledge Level: Intermediate

1:00 pm – 2:30 pm: Track 2 Session 1

"Looking Smart Lesson 1: Enterprise Risk Management Using Real-Time Analytics"

Emigdio Zambada, IT Audit Manager, Whirlpool

The objective of this session is to share Whirlpool's approach to enterprise risk management using ACL for data analysis, test validation and procedure automation. Emigdio will cover how his team translates high-level enterprise risks into data, and how they map multiple critical controls to ensure coverage of all key processes.





1:00 pm – 2:30 pm: Track 3 Session 1

"Analyze Text Patterns with Regular Expression Analysis" Thomas Larsen, Project Leader - Data Analyst, Kohler Co. Shane Grimm, Senior Product Manager, ACL

Regular expression analysis of text strings is a powerful technique that is now integrated into ACL Analytics. In this session, data analysis gurus Shane and Thomas will guide you through the top 10 most valuable uses of regular expression analysis in your everyday work. They'll tackle examples from the worlds of fraud detection, operational waste, and IT security. *Knowledge Level: Advanced*

3:00 pm - 4:00 pm: Track 1 Session 2

"Getting Buy-In to Build a Data Analytics Function" Jeremy Clopton, Senior Managing Consultant, BKD CPAs & Advisors Todd Hoffine, Partner, AquantUs

Are you looking to take your team's first steps into data analytics? Perhaps you're making a case for expanding the use of data analytics within your organization? You're not alone. Everyone, from the IIA to Big 4 accounting firms, has set the expectation that data analytics are now par for the course. But, how do you build the business case? Attend this session and learn how to justify the investment and then recruit a team.

Major learning outcomes:

- Articulate the expected ROI obtained with data analytics
- See strategies for approaching management and IT
- Discover what to look for in staffing a data analytics team





3:00 pm – 4:00 pm: Track 2 Session 2

"Looking Smart Lesson 2: An Early Warning System for Your Legal, Compliance, and HR Teams" Ross Fraser, Manager, Corporate Investigations, Iron Mountain

In many organizations, there is a material gap between regulations and policies that concern the Legal, Compliance and HR teams, and what is actually visible to them in terms of organizational behavior. While those teams are well prepared to create policies and communications, they are usually woefully unaware or unable to see if the organization is acting accordingly – this is a great opportunity for you to add value. In this session, we'll look at how a risk assessment system leveraging analytics can create trendbased visibility into aggregate risky behavior that will help you broadcast your value to influential Legal, Compliance and HR teams.

Major learning outcomes:

- Outline both human analytic and data analytic ideas that can assess behavior relative to policy or regulation
- Learn to think beyond exception processing to communicate regular, trend-based stories on behavior that create aggregate visibility
- Deliver results in a context that drives value for non-technical leaders in Legal, Compliance, and HR *Knowledge Level: Intermediate*

3:00 pm – 4:00 pm: Track 3 Session 2

"Harnessing SAP Data with ACL"

David Coderre, President, CAATS

Are you able to easily access and analyze data from your SAP ERP? Dave Coderre, CAATS, will discuss and demo how ACL can be used to produce a standard extract from SAP to support your analysis requirements. He will show you ACL scripts to access, cleanse, and prepare the data; to test SAP and business process controls; and to assess financial risk will be presented. The use of the standard extract to test A/P controls will also be demonstrated in this informative session.

Knowledge Level: Advanced

4:10 pm – 5:10 pm: Track 1 Session 3

"The Data-Driven Deliverables the CEO and Board Actually Want"

Steve Biskie, Managing Director, High Water Advisors

What are most Senior Leadership Teams and Boards getting from audit and compliance teams today? Lists of issues identified and dashboards on the number resolved? Spreadsheet summaries of exceptions, red flags, and other bad transactions? Ongoing notification of new compliance requirements that something must be done about? Far too many organizational leaders are





completely worn down by an endless stream of issues to be resolved and requirements to fill with no clear picture on what doing so is actually achieving for the business.

It's time we rethink key processes and focus on presenting big-picture outcomes so your team can sustainably deliver decisionimpacting value. In this session, we will review strategies and techniques for moving past just reporting information to providing real tools senior leadership will rely on every day to run a higher performance organization.

Major learning outcomes:

- Contrast traditional audit and compliance reporting with tools Senior Leadership Teams and Boards actually rely on when making decisions to take on risk
- Take away specific strategies for transforming traditional reporting processes into strategy-aware and decision-impacting risk intelligence tools
- Cite benchmarks on how other organizations are benefiting from reducing traditional reporting in favor of developing such tools
- Identify changes to existing processes that can be implemented in the short-term to illustrate the value of these techniques and show stakeholders progressive innovation within your function

Knowledge Level: Intermediate

4:10 pm - 5:10 pm: Track 2 Session 3

"Looking Smart Lesson 3: Quantifying Overall Risk Assurance to Clarify Value for Your ERM Team" Kevin Moylan, Vice President, Strategic Risk Management Officer, Cathay Bank

Today's top Internal Audit stakeholders (including ERM, executive management and the Board) expect objectively quantified analysis to drive decision-making and action. And yet, all too often, Internal Audit results and findings are still delivered with subjective high/medium/low type ratings that communicate little relevant value. In this session, learn the specific system used to drive objectively quantified audit finding ratings and overall control assurance levels by business area that resulted in better integrated teams, delivering true value in risk assurance.

Major learning outcomes:

- Clarify ERM team, executive management and Board-level expectations around objectively quantified insight
- Illustrate a practical formula and system for quantifying every individual audit finding based on upfront risk analysis





• Illustrate a practical formula and system for fully quantifying overall control assurance in each key area of business operations

• Illuminate the actual impact of implementing such systems at a top global banking organization

Knowledge Level: Advanced

4:10 pm – 5:10 pm: Track 3 Session 3

"Working with IT: Strategies for Data Access"

Mickie Blank, Internal Auditor III & Senior Data Analyst, Kansas City Southern

If data analysis is part of your role, you feel the pain of obtaining access to the transactional data flowing through your organization, but know that having the right data at the right time is the secret to success. In this session you will learn about the journey of implementing ACL Direct Link at Kansas City Southern and how Mickie became one of the most sought-after employees in the company.

Major learning outcomes:

- Learn how to demonstrate value of your work to the IT team and thereby move up their 'to do' list
- Learn how to overcome IT concerns when implementing ACL Direct Link





Tuesday, October 6, 2015

8:00 am - 9:30 am: Concurrent Session 1

"Townhall with ACL's CEO"

Laurie Schultz, President and CEO, ACL

Meet face-to-face with ACL's CEO Laurie Schultz to discuss what's working, what's not and how ACL can improve the value it delivers to customers. Ask your hard questions and get direct insights into ACL's leadership. *Knowledge Level: Overview*

8:00 am - 9:30 am: Concurrent Session 2

"New Product Enhancements Showcase" Shahed Khalili, Product Design Manager, ACL Shane Grimm, Senior Product Manager, ACL Kevin Legere, Product Designer, ACL

Want to see the latest innovations from ACL? While Connections mostly focuses on applying ACL technology to your own challenges, this session is all about the features. Join three members of ACL's Product Management team as they show off the newest features, the most cutting-edge enhancements, and even some functions that haven't been released yet! *Knowledge Level: Intermediate*

10:00 am - 11:00 am: Keynote Session 2

"Auditing at the Speed of Risk"

Karen Brady, Corporate VP of Audit and Chief Compliance Officer, Baptist Health South Florida

So you think you're doing it right? Maybe, maybe not... learn the shortfalls and challenges identified in the IIA's annual Pulse of Internal Audit Survey and how you compare to your peers. Focus on the ever-increasing importance of continuous risk assessment and identifying the "next big risk". Internal audit's plan must be more flexible and responsive to keep abreast of the evolving risk environment.

Major learning outcomes:

- Develop/refine processes to identify emerging risks
- Learn to break the mold of traditional audit coverage while meeting stakeholder's expectations
- Learn to better link risks and audit coverage





11:00 am – 12:00 pm: Keynote Session 3

"Big Data – Knowing Instead of Guessing"

David Plouffe, SVP Policy and Strategy, Uber / 2008 Obama Campaign Manager

A pioneering force in the field of politics, technology and grassroots leadership, in 2008, David Plouffe built a billion-dollar nationwide organization that inspired millions and made history electing Barack Obama president. In 2012, the Obama campaign didn't rely on the glory of their past triumph, but harnessed the latest technologies including the game-changing use of big data, executed a gritty plan for today's challenges and again made history by winning re-election under the toughest of economic circumstances. An innovator with extensive experience in successfully leading large teams, Plouffe is bringing his expertise as a proven field general and the strategist who built the startup that elected a President to Uber, where he now serves as chief advisor. Data increasingly plays a key role in politics, business and organizations across the world. In this thought-provoking session, Plouffe will reveal how the Obama campaign used data as never before to win an election in an unfavorable environment. He will give insights into how to integrate data throughout the organization, ensure that it is understood by decision makers and impacts all decisions, some of the tensions between modern data and traditional research, and how to blend the two. There is still an art to strategy and the tactics that flow from them, but increasingly, it is the science that leads the way. *Knowledge Level: Intermediate*

1:00 pm – 2:30 pm: Track 1 Session 4

"Lessons Learned from Technology Disrupters"

Phil Lim, Content Solutions Manager, ACL

Cutting edge companies, particularly those in the Silicon Valley, have undeniably changed how leading businesses work over the past 10 years. Phil and his co-speaker will discuss how ERP, agile software development, and Salesforce.com have turned traditional business processes on their head. In particular, they will elaborate on how lessons learned can change the future of Internal Audit and Enterprise Risk Management by tightly aligning related functional areas, delivering value to stakeholders quickly, and leveraging cloud and mobile technologies to transform a workforce.

Major learning outcomes:

- Understand how lessons learned from ERP enabling companies to align processes across Finance, HR and Operations may apply to aligning across GRC-oriented functions and the lines of defense
- Learn how agile software development methodologies deliver fast, reliable value to stakeholders and how the same techniques may be used in Internal Audit





• Learn how Salesforce.com uses the cloud to supercharge sales and customer support organizations around the world and how audit can do the same

Knowledge Level: Intermediate

1:00 pm – 2:30 pm: Track 2 Session 4

"Looking Smart Lesson 4: WOW Compliance and Legal with Your Corruption Management Program" Joe Kaczorowski, IT Audit Leader, MasterCard

Issues of fraud and corruption cut across all three lines of defense. Your team has the skills to wow your Compliance, Finance and Legal teams with a targeted fraud and corruption management program. In this session, we'll explore how to do risk assessment, set up an amazing program, and communicate it to Finance, Compliance and Legal executives for maximum value.

Major learning outcomes:

- Understand what a strong fraud and corruption management program looks like and its key objectives
- Explore ideas for leveraging data to better evaluate risk and monitor fraud and corruption
- See how reporting and dashboards for executive Compliance, Finance and Legal management should look like *Knowledge Level: Intermediate*

1:00 pm – 2:30 pm: Track 3 Session 4

"Using Predictive Analytics to Support Your Risk Assessment"

Ruben Rejon, Product Designer, ACL

Shahed Khalili, Product Design Manager, ACL

Most audit, risk and compliance teams point the power of data analytic efforts at the past, putting fraud, waste or policy violations in sharp relief. But, there is so much potential to drive value by using statistical analysis to predict future risk. In this session, we will give you the strategies and techniques to transform traditional data analysis into forward-looking, risk-predicting tools that enable you to provide the organization with forward-looking assurance.

Major learning outcomes:

- Learn how to use ACL Analytics and Results Manager for predictive data analysis
- Hear how to integrate your analysis with ACL GRC

Knowledge Level: Advanced





3:00 pm - 4:00 pm: Track 1 Session 5

"The Anatomy of a Successful GRC Technology Implementation"

Charles Segal, Innovations Manager & GIA Analytics Manager, Procter & Gamble

In this session, Charles will walk through his experiences implementing GRC technologies within a large and matrixed organization. He will start with how to create a realistic and actionable service strategy and then focus in on areas such as stakeholder management, value tracking and achievement, building a program team that is staffed for success, and many other of the common hurdles faced when implementing new technologies and solutions. The goal of the session is to display the strategy, information and skills needed to successfully implement GRC solutions.

Knowledge Level: Intermediate

3:00 pm – 4:00 pm: Track 2 Session 5

"Looking Smart Lesson 5: Managing Third-Party Risk"

Dan Clark, SVP, Internal Audit, Washington Trust Bank

Your business can create safeguard policies, but does it know if its vendors and partners are delivering on their contracts and agreements? Third-party risk is an area that keeps both your IT and Finance teams up at night and you can be the remedy. In this session, we'll highlight the opportunity to use your unique position to deliver valuable assurance on the performance of your organization's vendors.

Major learning outcomes:

- Understand what a strong third-party risk management program looks like and its key objectives
- Explore ideas for leveraging data to better evaluate risk and monitor third-party performance
- See how reporting and dashboards for executive IT and Finance management should look like

Knowledge Level: Intermediate

3:00 pm – 4:00 pm: Track 3 Session 5

"Practical Usage of Data Visualization"

Alex Fung, Senior Solution Lead, ACL

Persuasion is power. Perhaps the most powerful tool that has recently entered the data analyst's tool kit is visualization. No other medium allows you to so quickly tell a story and, combined with powerful data analytics technology, it changes how we work. In this session, ACL will give you the tips and tricks you need to take advantage of visualization features built into the ACL products you already have.





Major learning outcomes:

- Learn how to incorporate visualization effectively into result interpretations
- Discover substantially more power than you expected with ACL Analytics visualization

Knowledge Level: Intermediate

4:10 pm – 5:10 pm: Track 1 Session 6

"Strengthening the Public Trust – The Opportunity with a Data-Driven Approach to Government Regulation" Barbara Owens, Prior Audit Chief, California Department of Motor Vehicles

There is ever increasing public pressure on government auditors to prevent and detect fraud, waste, and abuse. This requires the implementation of key internal control programs built around the guidance of both U.S. Government Accountability Office (GAO) and the Institute of Internal Auditors Professional Practices Framework to address compliance and legislative requirements. In this talk, learn how a key State Department sees the opportunity to increase efficiency and effectiveness while building public trust with a data-driven approach to detection of high-risk areas of control and audit.

Major Learning outcomes:

- Learn specific technology approaches used to support a successful program aligned to compliance
- Illuminate critical opportunities to leverage data to drive higher quality results and, in turn, build trust and transparency *Knowledge Level: Intermediate*

4:10 pm – 5:10 pm: Track 2 Session 6

"Looking Smart Lesson 6: Data Analytics for the IT Security Team"

Joe D'Agostino, Sr. Manager - IT Risk, Security, and Compliance, Dean Foods

Felicia Isaac, IT Risk & Compliance Lead, Dean Foods

Carla Smith, IT Process Improvement, Dean Foods

The IT team is a key gatekeeper for successful data analytics programs but most Audit and Compliance teams have a hard time getting on their radar for help. This session will show you how to build a set of data analytics that adds major value for IT and helps them achieve their own control objectives. In this way, the next time you need help pushing through a project, you have friends in IT.





Major learning outcomes:

- Learn best practices for monitoring privileged access
- Discover simple but powerful access control analytics
- See how your IT team looks at segregation of duties

Knowledge Level: Intermediate

4:10 pm – 5:10 pm: Track 3 Session 6

"Build a Continuous Monitoring Program in 60 Minutes" Ross Fulton, Director, Customer Success, ACL

There is an application for continuous monitoring in almost every organization. Risk is created in real-time so it makes sense to monitor in real-time too. Join Ross Fulton as he walks you through the steps of setting up a simple continuous monitoring program using ACL Analytics and Results Manager. He'll cover time-saving techniques from setting up scripts to publishing results, as well as simplifying the exception management workflow.

Major Learning outcomes:

- See a clearer definition of continuous monitoring and how to apply it
- Learn how to access pre-written scripts in ACL ScriptHub for easy implementation
- Become familiar with ACL Results Manager features



Wednesday, October 7, 2015

8:30 am – 12:00 pm: Wednesday Training Courses (included in Connections registration fee)

Title	Level/Prerequisites	Capacity	Description
Building your First Audit in ACL GRC	Beginner No prerequisites	50	Intended for users new to ACL GRC. You'll be put in the role of an internal auditor at Vandelay Industries, importer and exporter of fine latex goods. You will be tasked with planning and executing a physical security audit of a latex facility. You'll be taken through the entire process: starting your audit, building out your procedures, executing procedures, capturing evidence, identifying issues and generating findings reports.
ACL GRC Roundtable for Established Users	Intermediate/Advanced Must be a current user of ACL GRC	50	This is a facilitated session to discuss best practices around using ACL GRC. Topics discussed may include learnings from implementing data-driven GRC, tips and tricks, pain-point discussions, and requesting or discussing new features in the product roadmap.
Stop Writing Reports, Start Crafting Stories with Visualizations	Beginner No prerequisites	50	In this hands-on session, we'll cover how to use the ACL Add-in for Excel to investigate results, and publishing these results to Results Manager to create beautiful visualizations that can be shared by the click of a button. We'll then create a workflow for triggering the automated review of results, and create questionnaires to gain further insight into your rich data.
Empowering a Direct Link to SAP	Intermediate Must understand basics of ACL Analytics	50	Intended for users who have SAP as their ERP, and have previous experience with ACL Analytics. This hands-on session will cover some of the most commonly accessed tables for commonly audited areas: Vendor Master, Purchase-to-Pay, and GL. Along the way, you'll also learn how to get the most out of your Direct Link queries.
Auditing Your Concur Data with ACL Analytics	Intermediate Must understand basics of ACL Analytics	No limit	Intended for users who have Concur as their travel expense management system. This hands-on session will cover data access strategies, common data analytic test areas, and other best practices for performing an expense audit on Concur data.
AP Analytics Workshop	Intermediate Must understand basics of ACL Analytics	No limit	Intended for finance professionals, this hands-on session will cover common data analytic tests in the AP area, such as duplicate payment testing, invoice terms testing, and vendor master analysis. We'll also be covering how to automate these controls and conduct continuous monitoring using ACL GRC Results Manager.



Importing Data into ACL Analytics	Beginner No prerequisites	No limit	Recommended for those taking the post-Connections ACL 101 course. This hands- on session will take beginners through importing data from various sources, including PDF, print reports, Excel and ODBC. The materials here will not be covered in the condensed ACL 101 course, so please attend this course if you are intending to take the post-Connections ACL 101 course.
Keyword and Outlier Analysis in ACL Analytics	Advanced Must understand scripting in ACL Analytics	75	Recommended for advanced ACL Analytics users. This hands-on course will focus on strategies and different approaches to performing keyword analysis in ACL Analytics, as well as using the statistical analysis features of ACL to automatically identify outliers in a diverse data population. Topics will include use of FIND(), JOIN MANY, FUZZYDUPs, OMIT(), REGEX, STATISTICS, ScriptHub, etc.
Empowering the Analytics-Illiterate with Analysis Apps and Visualizations	Advanced Must understand scripting in ACL Analytics	60	Recommended for advanced ACL Analytics users. In this hands-on session, we'll show you how to craft Analysis Apps, which will arm your non-technical auditors with powerful data analytics tools that will help extract, analyze and visualize their data. We'll explore how these Analysis Apps can transform your department's Analytic Practice.

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