President’s Message

I can’t believe that it’s been six months since I became President of our great Chapter for the 2017-2018 year! It’s been a great experience and I have enjoyed the interaction with the Board of Governors and our members. This is a great profession and, if done right, we can make significant contributions to our organizations. . .

As a reminder, the leadership team and the Board have established goals and strategies for the Chapter year including:

- Grow the participation and engagement of our Chapter members through valuable programming and events.
- Promote fiscal responsibility by looking for efficient ways to deliver Chapter services.
- Continue to develop the involvement of our younger members through the development of a NextGen program and continue the great work of our Academic Relations Committee.

- Implement the recommendation of our Events Task force which is taking a fresh look at how we deliver our services to our members.
- Grow the reach of the profession and the Chapter through advocacy efforts and social media presence.
- Continue to engage our CAEs through targeted events.

We have had a bunch of great events to date, including the August membership appreciation event at the Phillies game, the September NextGen networking event, and the October course on Audit Planning. Each of the events were well-attended and the feedback has been great. Thanks to all our members for actively promoting and supporting the events.

Our Fall Conference on November 20th [“Agile, Adaptive & Responsive in Times of Uncertainty”] registration has closed and the response has been terrific – 450 attendees. The program committee led by Kristen Herman, Marc Lyman, and Sam Monastra have developed an exciting program which is fully described in this Newsletter.
We have successfully kicked off our NextGen program to engage the younger professionals in our chapter. Our Academic Relations Committee continues to deliver some exciting events: a planned student networking event for early November and the annual case study competition. The ARC has reached out to many of the universities in the area and I have spoken to some classes and attended the Villanova University accounting society event.

The Chapter remains on sound financial health and I am proud to report that the Board has approved the donation to the IIA research foundation to continue its work to advance our profession. As I have said at every chance I get - the key to all of this is - YOU - as a member of our great Chapter. Please be an advocate for our profession and our Chapter and attend our events and encourage your colleagues to do the same. The events offer a great opportunity to network and gain insight and new ideas into how you can increase your contribution to your organization. (And maybe - - make a connection for that next job!)

The Board serves you and strives to deliver great services – but we need your support.

- Consider volunteering to help deliver the Chapter’s initiatives – the more the merrier – and we will always find a place for everyone to contribute. Please email me if you are interested. From my experience, I can tell you that it is very rewarding to give something back and the time and effort is not that extensive since we tend to spread the responsibilities around.

- Encourage your colleagues to attend Chapter events. Programs we have planned include:
  - December 18, 2017 – annual IT event – Cyber at the Cira Center (8 CPEs) with many great speakers and topics (registration is open)
  - January 30, 2018 – Root Cause Analysis (8 CPEs) with nationally known speaker Raven Catlin
  - March 9, 2018 – Annual Fraud Symposium (8 CPEs) – the program is under development and, as always, Jonathan Marks and the program team is putting together a great and relevant array of topics and speakers.
  - April 16, 2018- Philadelphia Internal Audit Summit – We are in the process of planning a great Spring event which will implement the recommendations from our Events Task Force to improve how we deliver our programs and also provide a forum for sharing ideas, tools, and techniques – stay tuned!
  - For our CAEs, we are actively working on some great programs - to be announced shortly.

We do realize that internal auditors are party animals so please stay connected with us on Twitter, Facebook, and LinkedIn for more exciting CAE, social and other events as the year progresses.

I am very pleased with how the Chapter year is progressing. But I can’t do it alone and without the vocal and active Board members including our leadership team of Bernadette Robinson (1 VP Programming), Maeve Raak (2 VP Communications), Laurie Riggs (3 VP Membership), Mike Levy (Treasurer), and Margaret Neilon (Secretary) none of this would be possible.

SOOOO – don’t hesitate to email me directly with your suggestions, comments, or your desire to help the Chapter by volunteering.

My email is president@phllyiia.org and I look forward to hearing from you and seeing you at the Chapter events.

Warren Hersh, CPA, CIA, CISA, CFE, CCSA
Upcoming Events brought to you by the Philadelphia Chapter of the IIA

Fall Conference Update
The Fall Conference entitled, “Agile, Adaptive & Responsive is Times of Uncertainty”, will be held on November 20, 2017 at the Sheraton Philadelphia Downtown Hotel. The conference has many new and exciting topics for discussion including, “Blockchains: The Distributed Ledger System”, “Robotic Process Automation and its Impact on Risk Management” and “Performance and Technology Driven Compliance Management”. Additionally, there will be presentations on the general data protection regulation, cybersecurity and fraud. All of the presentations will keep you informed and provide insights into an ever-changing regulatory and political landscape, technology advancements, digital innovation, and ongoing data security threats.

As always, the conference will have two nationally recognized keynotes: Michael Peppers, IIA 2017-2018 Global Chairman of the Board and Chief Audit Executive for the University of Texas, and Todd Cohen, “The Nation’s Leading Voice on Building Sales Culture”, whose message has been shared with his diverse clientele, which includes, NFL Players, Inc., EY, and the AICPA. His message will demonstrate how to integrate these skills to be most effective in the workplace.

Please join us for a great day of networking and professional development!

Samuel Monastra, Kristen Herman, Marc Lyman
Co-Chairs, 2017 Fall Conference

Cyber at the Cira Center
Monday, December 18th
Convene Cira Center
2929 Arch Street, Mezzanine
Philadelphia, PA 19104
8:30am – 4:30pm
Members $240
Non-Members $288

Root Cause Analysis
Tuesday January 30th
Protiviti
50 S. 16th Street
Philadelphia, PA 19103
8:00am – 5:00pm
Members $240
Non-Members $288

Check out our Training and Events page for more information.
Look out for more great events that are still in the works!
- February TBD – IT General Controls
- March 9th – Fraud Symposium at Energy Hall
- April 16th – Philadelphia Internal Audit Summit – Newly designed spring conference.

https://chapters.theiia.org/Philadelphia/Events/Pages/default.aspx

Look for upcoming programs in the fall by following the Philadelphia IIA Chapter on social media.

Twitter: @IIAPhiladelphia
Facebook: www.facebook.com/IIAPhiladelphia
LinkedIn: https://www.linkedin.com/groups/106938
Member Anniversaries & Certifications

The Philadelphia IIA Chapter would like to recognize and thank our long-standing members. Please join us in thanking the following members.

45 Years
Ralph Purpur

40 Years
Bud Allen

35 Years
Joel Schiller

25 Years
George Datto
Linder Fonner
Kathy Keath
Nina Mulrooney
Cookie Rice
Tony Saranchak

20 Years
Alec Arons
Lawrence Cahill
Ande Duda
Linda Lint
Raymond Lukas
Rob Mainardi
Douglas Miller
Don Nash
Jim Sookiasian
Christine Wiesztergom

The following certifications were earned in the past year:

Certified Internal Auditor
Jamie Chambers
Thomas Barnes
Jeemi Dattani
Mihir Jhaveri
Christine Mclaughlin
Michael Johnson
F Clint Guest
Desislava Dabevski
Ryan Donovan
Neha Raghunath
Martin Szakacs
Sahajanand Dave
Rebecca Hemble
Ligia Espaillat Mota
Huguette Essoh Latte
Mary Seng
Yury Steingart
Peter Zoltowski
Emily Bristol
Cynthia Calio
David Stone
David Onimus
Tatiana Van Remoortel
Edward Klusman
Michael Scannapieco
Sean Dalton
Caterina Romeo
Jay Patel
Jennifer Filko
Adam Krick

Certified Professional Environmental Auditor - Environmental Compliance
Marianne Payne
Christopher Hawk

Certified Government Auditing Professional (CGAP)
Julie Luster-Roell
Jeffrey Kowalczyk

Certified Financial Services Auditor (CFSA)
Wayne Tull
Alejandaro Pabellon
Andrea Matheny
Justin Brooks

Certification in Risk Management Assurance (CRMA)
Sandra Hirst
Edward David Coyne
Our Newest Committee: NextGen

The mission of the NextGen Professionals (“NextGen”) group is to develop, engage, and empower young diverse internal audit professionals to grow within the profession and their respective organizations, and become meaningful contributors and future leaders in the Institute of Internal Auditors Philadelphia Chapter. The group is focused on increasing and strengthening the young internal audit professional’s business relationships, internal audit knowledge and skills, leadership skills, and professional development through education, networking and collaboration with fellow professionals as well as mentoring opportunities with more senior members of the Chapter.

NextGen’s objectives in accomplishing its mission will include the following:

- Provide networking and social events to our members.
- Inspire, energize, empower, and engage young professionals to step out of their comfort zone and grow their career by networking with members of the IIA Philadelphia Chapter Board of Governors and other young professionals around the Philadelphia area.
- Provide young professionals with leadership and mentoring program opportunities.
- Provide value-added educational opportunities regarding the Internal Audit profession.
- Create and encourage our future leaders.
- Grow chapter membership, event attendance, and volunteer engagement amongst young professionals.
- Enhance the brand of the IA profession amongst young professionals and promote career paths in the IA field.

On September 26th, 2017, the NextGen’s first Happy Hour event took place. A lot of individuals from different companies in the Philadelphia area came out and participated in the successful event. They showed great interest in the NextGen group and the IIA Philadelphia Chapter. New members, established members, and senior members joined us in our first event. Since we had such a high success rate and excellent feedback, in the future we are looking forward to more networking events. Lastly, we will be participating at this year’s Fall IIA Conference. If you are interested in learning more, please come by to hear more about our group and become a member! We can’t wait to see you there!
Member Spotlights

CAE Spotlight: David Small

David has served for the last ten years as the Chief Audit Officer for CHOP, a top-rated children’s healthcare system consisting of a teaching hospital, an extensive ambulatory network, and a large research enterprise. David leads a department of eight audit professionals and functionally reports to both the Chief Executive Officer and the Chair of the Board’s Audit, Compliance, and Risk Committee. Since joining CHOP, David has transformed the Internal Audit department through the implementation of audit best practices (e.g., data analytics) and expansion of services (e.g., facilities construction audits). He has also implemented a strategic focus, as documented in a strategic plan, to ensure direct alignment of the department’s work with enterprise initiatives.

Prior to joining CHOP, David led the Internal Audit functions at Empire BlueCross BlueShield and Group Health Incorporated, both major health insurers based in New York City, and held audit leadership positions at CIGNA. David started his career at PwC after graduating with honors from the University of Delaware with an undergraduate degree in Accounting. He is a Certified Internal Auditor and Certified Public Accountant.

David is an active member of the Association of Healthcare Internal Auditors (AHIA) as well as the Institute of Internal Auditors (IIA). He currently serves on the Board of Governors as well as the Academic Relations Committee (ARC) of the IIA’s Philadelphia Chapter. David is a frequent speaker at IIA regional and AHIA national conferences on various healthcare internal audit topics. David also has authored case studies that have been used in case competitions sponsored by the ARC of the IIA’s Philadelphia Chapter as well as by Drexel University in their annual Fraud and Internal Controls case competition. In his spare time, David likes to travel, play golf, and ride his bike. This past summer he traveled to Portugal and Spain.

IIA Emerging Leader Award Winner: Everet Zicarelli

Everet currently serves as Senior Internal Auditor at Sallie Mae where he executes operational and financial audit engagements. Additionally, he’s helped to develop the Internal Audit department’s internship program and serve as a mentor for the company’s interns.

Everet joined Sallie Mae in 2015 as a staff auditor and was promoted to Senior Internal Auditor in 2016. Prior to joining Sallie Mae, he worked at Grant Thornton, where he completed audits across a diverse group of industries (Financial Services, Real Estate, Not-for-Profit & Manufacturing).

Accomplishments/Awards:

- This month he was selected as 1 of 15 winners of the IIA’s Emerging Leaders award.
- He received his Certified Internal Auditor designation in 2016 and was a recipient of the 2016 William S. Smith Certificate of Honors Award for his performance on the Examination.
- He received his Certified Public Accountant designation in 2013.
- Passed the Certified Information Systems Auditor examination in September 2017 and is currently working towards certification.
- Graduated from University of Delaware with a BS in Accounting.

In his free time, he enjoys spending time with his family, golfing and watching football.

Congratulations Everet!
**New Member Spotlight: Danielle Ferrante**

After joining us in the last year, Danielle is a new member to the IIA and has begun to partake in IIA trainings, networking events and became one of the founders of the New NextGen Group. She is looking forward to becoming more active in the IIA community.

Danielle is currently in her first year performing Internal Audits with Thomas Jefferson University and Jefferson Health, a regional health system who is both parts of a University and a Hospital System. She is an Audit Associate who is tasked with procedural, financial and operational audits campus wide, as well as regulatory compliance internal audit projects and engages in many young professional networking events. Danielle assists in the reviews of internal controls of Jefferson accounting, financial, and operational systems under the direction of a Senior Audit Associate in a highly automated environment. She enjoys working in a broad range of audits/projects with many different departments around Jefferson’s campus. In addition, Danielle is looking forward to help grow the IIA NextGen Group with many other young professionals from different Internal Audit Companies around the Philadelphia area.

Prior to joining the Internal Audit department within Jefferson, Danielle worked in a smaller department at Jefferson called Population Health. She completed numerous reviews on hospital based practices workflows and patient flows. These reviews were setup to assist hospital based practices in certifying or re-certifying their Patient-Centered Medical Home application (PCMH), a model of care that is run by the National Committee for Quality Assurance (NCQA) focuses on care coordination and communication with the patient and their primary care physician, before deciding to specialize in internal audit.

Danielle has a BS in Business Management and a minor in Accounting from Eastern University in Wayne, PA. She is in the process of completing her MBA in Management Information Systems from Rowan University. In the future, she is interested in taking the Healthcare Management Information Systems (Certificate) at Thomas Jefferson University.

In her spare time, Danielle enjoys traveling, being around her family, and staying fit.

**Member Spotlight: Alicia Preddy**

Alicia is a Director in the Risk Advisory Services practice at RSM US, the leading U.S. provider of audit, tax and consulting services focused on the middle market. Alicia’s role includes performing financial, operational and compliance audits for clients across various industries, including financial institutions / financial services, professional services, consumer products, non-profit and REITs.

Alicia has over 15 years’ experience in internal and external audit. Her past internal audit experience includes Sony Corporation of America, Viacom, and was Head of Internal Audit for Page Group, a UK based recruitment company. Her industry experience includes Sarbanes-Oxley implementations, UK Corporate Governance Code compliance, fraud investigations, data analytics, enterprise-wide risk assessments, and FCPA reviews, as well as internal audits in over 20 countries across 5 continents. Alicia graduated from UCLA and is a California CPA with 4 years of assurance experience with BDO.

Alicia joined the Philadelphia chapter in 2015, and co-chaired the Spring 2017 conference, “Our Profession in Focus”. She also serves as a member of the Philadelphia chapter’s Board of Governors and has been the Chair of the Academic Relations Committee since 2016. The Committee’s focus is to promote careers in internal audit to local university students and IIA awareness through on campus events and the annual case study competition. Alicia is also a mentor for the Collective Success Program, which provides support and resources to low-income, first-generation college students.
Chapter Achievement Program (CAP) Report

The CAP report is a management tool used by Chapter Leadership to track service activities provided to our membership during the chapter year. Service categories eligible for CAP points include:

- Service to Members;
- Service to Profession; and
- Chapter Administration.

A minimum number of points are required within each of the categories for the Chapter to qualify for the various performance levels. The performance levels include:

- Bronze 685 points
- Silver 1,060 points
- Gold* 1,560 points

*Chapters earn Platinum by achieving Gold 10 out of 11 consecutive years.
*Chapters earn Ruby by achieving Platinum for 10 consecutive years.
*Chapters earn Sapphire by achieving Platinum for 15 consecutive years.
*Chapters earn Diamond by achieving Platinum for 25 consecutive years.

Based on the dedicated service of our leadership and our members the Philadelphia Chapter has achieved a Platinum performance level since 2013! All Chapter members can play a role in the Chapter’s success. By informing the Secretary when you participate in various activities specific to the “Service to Profession” category, this will help to increase our CAP point submission. The various activities include areas such as:

- Advocacy: Participation by any chapter member in a Junior Achievement Program / Event;
- Advocacy: Host an Internal Audit event at work, (i.e. Lunch and Learn);
- Advocacy: Schedule meeting with legislator or local politician to discuss IIA, legislation etc.
- Audit Channel: TV submission to the Audit Channel;
- Audit Executive Center (AEC): Contribute thought leadership to the AEC Knowledge Center;
- Certification: Participate in writing examination questions for the following IIA certifications: Certified Internal Auditor (CIA), Certified Financial Services Auditor (CFSA), Certification in Risk Management Assurance (CRMA), Certified Government Auditing Professional (CGAP), and Certification in Control Self-Assessment (CCSA);
- Editorial: Articles submitted to the Internal Auditor magazine;
- Editorial: Articles published in the Internal Auditor magazine;
- Editorial: Articles published in other professional journals;
- Speakers: Speaking engagements by chapter members both in and outside of the US, Canada, and the Caribbean. The chapter is eligible for CAP points as long as speaker is not compensated. Additionally, presentations can be outside of the Internal Audit profession.

If you have participated or plan to participate in any of the activities described above, during the period of June 1, 2017 through May 31, 2018 please communicate this information to the Chapter Secretary, Margaret Neilon (margaret.neilon@experis.com) and provide a brief description of the activity/event. If activity is related to a speaking engagement please provide the date of the presentation, a brief description of the event/presentation, and the length of time you presented.

We appreciate your participation in helping the Chapter to once again achieve a Platinum status for this Chapter Year!
Chapter Feedback
If you have any questions, suggestions, comments, or concerns please don’t hesitate to reach out to Communications@phillyiia.org.

Comic Strip
Some lighthearted internal audit humor

Career Opportunities
As a service to our Philadelphia Chapter membership we provide and maintain a Career page on our Chapter’s website allowing members who are need of an opportunity (or a change of scenery) to pursue opportunities with local employers who are looking to fill their audit related staffing needs. This service has always been provided at no cost, and viewed as a continuing benefit of membership in our Chapter. If you are looking to fill a staffing need, we can post your job opportunity(s) on our IIA Philadelphia Chapter website. The posting will remain active on our website for a period of three months (or until you inform us that the position has been filled). If you would like to extend the posting beyond three months, please let us know as we approach the end of the initial three month period and your job opportunity will be renewed for an additional three months.

For job seekers, here is the link to the Chapter’s website and current audit opportunities:

https://chapters.theiia.org/Philadelphia/Pages/default.aspx

If you are searching for staff, please supply your job opportunity(s) / description(s) in individual Word docs, including your contact information (i.e. name, title, email address, phone, etc.) with each; click on the career page to get an idea regarding format needs. Please contact Dave Aubrey, Chairman, Employment Committee (djaubrey@msn.com) to post a position, or with any questions pertaining to employment and the Chapter Website’s Career page.
Freedom Pass Program

- The Freedom Pass program is a bundle purchase of seminars sold in CPE increments.
- A Freedom pass can be purchased in four different bundle sizes.

<table>
<thead>
<tr>
<th>Bundle Size</th>
<th>Package Price</th>
<th>Cost per CPE</th>
<th>Approximate Savings</th>
</tr>
</thead>
<tbody>
<tr>
<td>40 CPE Hours</td>
<td>$1330</td>
<td>$33.25 per CPE</td>
<td>5%</td>
</tr>
<tr>
<td>80 CPE Hours</td>
<td>$2,520</td>
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<tr>
<td>160 CPE Hours</td>
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<tr>
<td>320 CPE Hours</td>
<td>$8,400</td>
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<td>25%</td>
</tr>
</tbody>
</table>

*Regular member cost of CPE is approximately $35 per CPE

- Freedom passes are used in a credit format, which makes it easier for companies to spend their credits (i.e., 5 people could attend an 8 credit seminar for 40 credits of usage).
- Freedom pass credits expire 18 months from the date of purchase.
- Every Quarter, a reporting of “used” Freedom passes will be sent to each account holder.
- Freedom Pass bundles must be purchased by an IIA Philadelphia chapter member.
- Freedom passes are only good for programs sponsored by the Philadelphia Chapter of the IIA.
- Most programs offered by the IIA Philadelphia are eligible to be purchased by Freedom pass.

THREE REASONS TO BUY A FREEDOM PASS
1. Share your Freedom Pass amongst a Group or Team
2. Budget your training costs for the year
3. Save money on training by locking in your price per CPE.

ORDER ONLINE AND PAY BY CREDIT CARD OR CHECK
Visit our website: [http://www.etouches.com/freedompass1617](http://www.etouches.com/freedompass1617)

If you have questions or need additional information, please contact us:
E-mail [events@phillyiia.org](mailto:events@phillyiia.org)