The Chapter is always looking for event speakers, volunteers, regional job postings, upcoming webinars and trainings, and any additional information that could be added to the newsletters.

Please Contact:
Secretary, Paige Hiller
Chapter185@iiachapters.org
MESSAGE FROM THE PRESIDENT

Dear IIA Northeastern Pennsylvania Members,

Welcome to the 2019 - 2020 Chapter Year!

I am honored to serve as President of the IIA NEPA chapter for the 38th chapter year.

Our 37th chapter year was another successful year as we maintained our Ruby Achievement by serving our members, serving the internal audit profession and meeting the IIA requirements for chapter administration. New this year, we achieved an award for being a 2019 Chapter of Excellence for advancing the profession by supporting the CIA Learning System.

The NEPA Chapter Officers and Board Members are currently working on planning events for this upcoming year and information will be available shortly. For all the latest chapter news, updates and events, feel free to browse our chapter website and check your email for monthly newsletters and other notifications.

The chapter is always looking for new volunteers and ideas for events. Please feel free to contact myself or any officer if you are interested in becoming more involved within the chapter or if you have any suggestions to improve the program.

I look forward to seeing everyone at all our upcoming chapter events!

Thank you,

Katelyn Wojcik
Northeastern Pennsylvania Chapter President
Institute of Internal Auditors
2020 Tentative Schedule

- **March** – Ethics CPE Event—March 18, 2020
- **April** – Report Writing CPE Event—TBD
- **May** – Annual Seminar—TBD
- **Spring 2020** – Member Social—TBD

Stay up to date with upcoming events by following us on Facebook! [https://www.facebook.com/IIANEPAChapter/](https://www.facebook.com/IIANEPAChapter/)
Join us on March 18, 2020 at Amadeo’s for a 2 Hour Ethics CPE event. See below for details:

◊ **Wednesday, March 18, 2020; RSVP by Tuesday, March 10, 2020**
  ◦ Presentation will be from 5:00—6:45 PM with dinner to follow.
  ◦ Please arrive prior to 5:00 PM to submit your dinner orders.

◊ **CPE:** 2 CPE credits, Behavioral Ethics

◊ **Located at Amadeo’s**
  ◦ 4001 Birney Ave, Moosic, PA, 18507

◊ **Presentation Summary**
  ◦ Whether you are an auditor, business professional, student, or worker in any industry, you face ethical dilemmas. Join us for a presentation on ethics to learn what ethics actually is, how ethics compare to values, and why you should be ethical. You’ll also have an opportunity to share your opinion on ethical situations in brief roundtable discussions and consider how to work through ethical dilemmas. The presentation will also address the IIA’s principles and rules of conduct and how to apply them to create a strong ethical culture. You don’t have to be an auditor to benefit from this presentation on ethics, so make your reservation today and join our discussion on ethics!

◊ **Speaker:** Paula A. Ralston Nenish, MBA, CIA, CRMA, CCBCO, CRCM; IIA NEPA Chapter Governor
  ◦ Paula is the Vice President of Compliance and Community Reinvestment Act Officer at The Dime Bank, headquartered in Honesdale, PA where she is responsible for the direction and oversight of the bank’s compliance management system including developing the compliance plan which covers compliance administration, monitoring, training, board reporting, and complaint resolution. Paula is also responsible for ensuring proper adherence to the provisions of the Community Reinvestment Act (CRA). She leads the compliance and CRA committees, monitors changes in bank regulations, performs research, communicates changes to personnel, and ensures effective implementation of regulatory changes.
  ◦ Prior to joining The Dime Bank, Paula served as Director of Internal Audit for a financial institution headquartered in Northeast Pennsylvania where she was responsible for the direction and oversight of the bank’s internal audit program, including directing the Sarbanes-Oxley effort, managing the whistleblower program, leading audit committee meetings, managing audit risk, and investigating fraud cases.
  ◦ Paula shared her expertise in internal audit and business communications as a presenter at national audit conferences and was named one of the Top 25 Women in Business in Northeast Pennsylvania by the Northeast Pennsylvania Business Journal. She was an adjunct business professor at Marywood University for eight years where she taught auditing and organizational communication courses to undergraduate students.
ETHICS FOR ALL AND THE AUDITOR’S ROLE IN ETHICS

MARCH 2020 CPE PRESENTATION

◊ Speaker: Paula A. Ralston Nenish, MBA, CIA, CRMA, CCBCO, CRCM; IIA NEPA Chapter Governor
  ◊ Paula is chairperson of her borough’s Planning Commission, serves on the Board of Governors for the Northeast Pennsylvania Chapter of the Institute of Internal Auditors, and is an active volunteer for various community organizations.
  ◊ She earned her B.S. in Accounting from Indiana University of Pennsylvania and her M.B.A. with a concentration in Information Systems from Marywood University. Paula is a Certified Internal Auditor, Certified in Risk management Assurance, Certified Community Bank Compliance Officer, and Certified Regulatory Compliance Manager.

Cost: $30.00 for Members / $35.00 for Nonmembers

Please send your RSVP by Tuesday, March 10, 2020

Reservations should be sent to:
◊ Paige Hiller, NEPA IIA Secretary: Chapter185@iiachapters.org
Events in our District

Below is a list of upcoming district meetings, seminars, and webinars:

<table>
<thead>
<tr>
<th>Chapter</th>
<th>Date</th>
<th>Description</th>
<th>City</th>
</tr>
</thead>
<tbody>
<tr>
<td>Philadelphia</td>
<td>3/20/2020</td>
<td>Fraud Symposium at PECO Energy Hall</td>
<td>Philadelphia, PA</td>
</tr>
<tr>
<td>Central Pennsylvania</td>
<td>3/19/2020</td>
<td>Enterprise Risk Management &amp; Internal Audit and Crisis &amp; Change Management</td>
<td>Harrisburg, PA</td>
</tr>
</tbody>
</table>

District Information by Chapters

<table>
<thead>
<tr>
<th>Chapter</th>
<th>Website</th>
</tr>
</thead>
<tbody>
<tr>
<td>Philadelphia</td>
<td><a href="https://chapters.theiia.org/philadelphia/Pages/default.aspx">https://chapters.theiia.org/philadelphia/Pages/default.aspx</a></td>
</tr>
<tr>
<td>Lehigh Valley</td>
<td><a href="https://chapters.theiia.org/lehigh-valley/Pages/default.aspx">https://chapters.theiia.org/lehigh-valley/Pages/default.aspx</a></td>
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<tr>
<td>Central Jersey</td>
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<td>Central Pennsylvania</td>
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<tr>
<td>Northeastern Pennsylvania</td>
<td><a href="https://chapters.theiia.org/northeastern-pennsylvania/Pages/default.aspx">https://chapters.theiia.org/northeastern-pennsylvania/Pages/default.aspx</a></td>
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</tbody>
</table>

A key goal is to increase collaboration between chapters.

Visit each chapter’s website for full details on chapter meetings.
IIA Online Seminars Parts 2 and 3:
Part 2: February 3 – 14, 2020. Monday/Wednesday/Friday, 6:00 – 8:20 PM ET.
https://na.theiia.org/training/courses/Pages/CIA-Learning-System-Comprehensive-Instructor-led-Course-Part-2.aspx
Rice University (Online)
Lori Cykala, (713) 348-6870

Part 3: March 30 – April 10, 2020. Monday/Wednesday/Friday, 6:00 – 8:20 PM ET.

Montgomery College (Online)
Transcie Almonte-Sabio, (240) 567-3828

UCLA Extension (Online)
John Caruso, (310) 206-1708

In-Person CIA Courses – Orlando, FL
Course Location: IIA Headquarters, 1035 Greenwood Blvd, Suite 401, Lake Mary, FL 32746, USA

Part 1: Essentials of Internal Auditing February 18-19, 2020
https://na.theiia.org/training/courses/Pages/CIA-Learning-System-Comprehensive-Instructor-led-Course-Part-1.aspx

Part 2: Practice of Internal Auditing February 20-21, 2020
https://na.theiia.org/training/courses/Pages/CIA-Learning-System-Comprehensive-Instructor-led-Course-Part-2.aspx

St. John’s University Spring 2020 CIA Examination Preparation Class Offerings

1. St. John’s University will be starting Part 1 of its Spring 2020 Saturday series of CIA examination preparation classes on February 1, 2020. This premier CIA Exam preparation program is the only IIA-partnered, instructor-led program in the New York metropolitan area, and is based on the IIA’s CIA Learning System. It delivers the global CIA exam syllabus in a blended learning format of customized workbooks and web-based learning software (provided with the registration fee). It is also CPE eligible.

   Class dates:

   Spring 2020:
   Part 1: Internal Audit Basics: February 1, 22, and 29
   Part 2: Internal Audit Practice: April 4 and 18
   Part 3: Internal Audit Knowledge Elements: May 2, 9 and 16

   Tuition:

   Part 1—$1,100
   Part 2—$850
   Part 3—$1,100
   Combination package—$2,750

   Registration:

   The link to registration and further information is https://sjureg.mycoursecenter.com/collections/internal-audit-curriculum/products/spring-2020-saturday-certified.internal-auditor-cia-exam-prep

2. **NEW:** St. John’s is now also offering a custom version of our multi-session CIA examination preparation class, delivered on site at client organizations (assuming sufficient participant scale). This will afford participants and companies more flexibility, and can be tailored to the company’s and CAE’s learning objectives and staff time availability. St. John’s has already delivered this for a major financial institution with great success. Interested parties can contact Herb Chain at (718) 990-3974 or chainh@stjohns.edu.
IIA Learning Webinars

Below is a list of upcoming IIA webinars

<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
<th>CPE Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>3/17/2020</td>
<td>A Plan for Regulatory Change</td>
<td>1 Credit</td>
</tr>
<tr>
<td>4/7/2020</td>
<td>Environmental, social, and Corporate Governance (ESG) and its Growing</td>
<td>1 Credit</td>
</tr>
<tr>
<td></td>
<td>Importance to Corporate</td>
<td></td>
</tr>
<tr>
<td>4/22/2020</td>
<td>New IIA Member Webinar: Learn How to Take Advantage of All Your Benefits</td>
<td>0 Credits</td>
</tr>
</tbody>
</table>

IIA Educational Guide

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<thead>
<tr>
<th>CIA Learning System Online Classes</th>
<th><a href="http://www.learnicia.com/3partcia/classes-offered">http://www.learnicia.com/3partcia/classes-offered</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>IIA Research Foundation Bookstore</td>
<td><a href="http://www.theiia.org/bookstore/">http://www.theiia.org/bookstore/</a></td>
</tr>
</tbody>
</table>
Internal Audit News

Specialist or Generalist?

Bringing Clarity to the Foggy World of AI

Running on Empty

A Plan for Regulatory Change
FNCF Bank’s Internal Audit Unit is seeking a highly motivated and analytical candidate for a Staff Auditor III position in our Corporate Center located in Dunmore, PA.

**General Responsibilities/Job Summary:**

This senior auditor will be responsible for performing, supervising and reviewing audits focused primarily on compliance regulations. Work involves reviewing accounting, financial, and operating records, as well as appraising internal controls and operational and administrative functions for efficiency and effectiveness primarily pertaining to compliance with banking regulations as well as financial reporting areas.

The successful candidate should be able to accomplish the following essential functions and duties:

- Develop an understanding of regulatory requirements and subsequent changes that impact Bank operations and the related audit environment.
- Supervise audits to ensure that the audit is completed within the budgets established in the audit schedule.
- Keep abreast of changes in the business, regulatory and accounting and control environment in which the financial institution operates.
- Maintain proficiency in current accounting, audit procedures and techniques as well as changes in laws and regulations impacting Bank operations.
- Complete or assist in the completion of assigned segments of the audit program to include reviewing elements of internal controls, preparation of work papers, review of findings, recommendation of corrective/preventative actions and preparation of audit reports.
- Participate in the presentation of audit findings to management.
- Assist in the preparation of the Internal Audit Risk Assessment and Audit Schedule.

**Minimum Qualifications:**

**Education/Training:**

Associates Degree in Accounting, Finance or related field is preferred, but relevant experience in a banking environment would be considered. Professional certifications, including but not limited to the Certified Internal Auditor (CIA), Certified Public Accountant (CPA), Certified Financial Services Auditor (CFSA), Certified Anti-Money Laundering Specialist (CAMS), Certified Regulatory Compliance Manager (CRCM) or other professional certifications as approved by the Audit Officer are required; however, candidates pursuing such certifications will be considered.

**Knowledge/Skills/Abilities:**

Proficient reading, writing, mathematical and communicative skills.
Proficient in MS Word and Excel or other related software programs.
Possess a working knowledge of all areas within a financial institution.
Ability to work independently with little or no supervision.
Strong interpersonal skills including the ability to work effectively in a professional team environment.

**Experience:**

Qualified candidate will have a minimum of 5 years relevant work experience focused on compliance regulations as well as financial reporting areas, preferably in a financial institution.
Please visit our website [www.fncb.com](http://www.fncb.com), go to the “About FNCB” tab, and click on the Careers link to apply for this position.
CAREER OPPORTUNITIES

Frontier—Senior Manager, Internal Audit

Position Summary:
The Senior Internal Audit Manager is a key member of the Internal Audit team and has responsibility for managing financial, operational and compliance audits. He/she will be responsible for managing SOX 404 compliance testing activities, and a variety of internal audit assignments and projects, often in partnership and collaboration with other Internal Audit team members. The ideal candidate will bring a demonstrated understanding and desire to help drive a strong overall internal control environment for Frontier. With that, a keen ability to connect this work to the needs of the business bringing both a strong professional presence and technical expertise to their work. This role reports to the Director, Internal Audit.

Responsibilities:

- Perform the following in accordance with professional standards and department protocols:
  - Manage and develop audit team members, including performance feedback designed to further strengthen and develop skill sets.
  - Delegate and clearly communicate work responsibilities to team members to ensure continuous delivery of desired work. Provide adequate support to ensure delegated tasks are completed timely, efficiently and accurately.
  - Manage and lead risk-based financial, operational, and compliance audits, which includes, but is not limited to the planning, fieldwork, and report writing phases of the audit. Effectively identify underlying root causes, best practices in control design and operational effectiveness and communicate results to management.
  - Assist in developing and executing the annual audit plan.
  - Manage and lead the planning and execution of SOX 404 and External Audit Direct Assist testing in accordance with previously developed test plans and document results in accordance with testing guidelines.
  - Support the external audit function and effectively communicate with the external auditors.
  - Drive the development and execution of data analytics and automation procedures
  - Monitor and report on the progress of management action plans resulting from past audits.
  - Conduct risk assessments to help identify high-risk exposure areas and as a result, help the organization prioritize mitigation efforts.
  - Participate in fraud investigations in response to Compliance Hotline or other similar activities.
  - Support other Internal Audit assignments, as needed.
Frontier—Senior Manager, Internal Audit

Required Qualifications:
- Bachelor’s and/or Master’s degree in Accounting or Finance or an equivalent degree.
- 8+ years of professional experience in public accounting, internal audit, or consulting and/or relevant strong financial background.
- 4+ years of supervisory experience
- Demonstrated clear understanding of accounting and audit theories and principles
- CIA, CPA, MBA or working towards certification preferred.
- Limited travel required, domestically.

Desired Skills & Abilities:
- Ability to prioritize work and to perform multiple tasks simultaneously while adhering to deadlines. Excellent project management skills.
- Proven ability to collaborate, influence and drive for results at all levels of the organization.
- Strong facilitation and presentation skills.
- Astute communicator, knowing when and what to communicate with relevant stakeholders to ensure no missed opportunities and/or no surprises.
- Demonstrated experience and strong desire to work as part of a team
- Strong analytical and critical thinking skills.
- Detailed oriented
- Brings a focus on continuous improvement to his/her work and desire to bring value-added results
- Proficiency in MS Office (Excel, PowerPoint, Word).
- Working knowledge of data analytics and tools (ACL, IDEA, robotic process automation or similar tools).
- Relevant industry experience is a plus.
- Brings high level of energy to his/her work and a positive, can-do attitude.

More information about Frontier is available at [www.frontier.com](http://www.frontier.com) and view our exciting career opportunities at [www.frontier.com/careers](http://www.frontier.com/careers).