Hello All,

During the March program we elected the next leaders for the chapter. I want to congratulate following new officers to their roles starting June 2019:

Ahmad Ghafouri – President
Miguel Barajas – VP of Programs
Ferdinand Erhard – VP of Seminar
Michelle Dizon – Treasurer
Courtney Mantle – Asst. Treasurer
Tyson Toscano – Secretary

See below for the approved Officers/ Governors/ Committee Chairs slate. The Chapter has also made some updates to its By-Laws and would be requesting members to approve the updates on April 18th during the Seminar event. Board approved By-Laws are available on our website at members only section. (https://chapters.theiia.org/northern-california-east-bay/Pages/default.aspx)

We currently have Academic Relations Committee Chair position open and looking for a volunteer.

Following are the responsibilities for this role and the time commitment is 2-3 hours per month:

- Provide status update to the Board about upcoming events and hosts events if want to at school campuses.

If you are interested in the above role, reach out to me or Ahmad.

Thanks

Mushtari Nagpurwala
Chapter President
Northern California East Bay Chapter

Greetings,

Our fourth and last seminar for 2018-2019 chapter year will include multiple topics (Committee of Sponsoring Organizations (COSO)/Enterprise Risk Management (ERM), Robotics Process Automation (RPA), and Cyber & Vulnerability Management) on Thursday, April 18 (8:30am-4:30pm, 8-8:30am, registration/breakfast will start at 8am) in Chevron Park in San Ramon. This is a great opportunity to earn 8 CPE credits at a very low cost which will include breakfast and lunch too! Our speakers will be from Protiviti (Bob Hirth & Scott Glover), Deloitte & Touch LLP (Bryce Doyle), and Grant Thornton (Orus Dearman & Dhawal Thakker).

Bob Hirth served as COSO Chair from June 2013 to February 2018. He is a Senior Managing Director of Protiviti, a global internal audit and business risk consulting firm that operates in 22 countries. Scot Glover is a Managing Director in Protiviti’s San Francisco office and focuses on helping companies assess, understand and mitigate their key risks to drive key business improvements.

Bryce Doyle (CISA, CISSP) has 15 years of experience assisting organizations with their
financial audits, internal auditing, compliance, and system control requirements.

Orus Dearman is a Managing Director with Grant Thornton’s Cyber Risk and Privacy practice in San Francisco and has 19 plus years of experience providing advisory services to clients. Dhawal Thakker is Senior Manager-Cyber Risk & Privacy and has over 19 years of experience leading and coordinating IT advisory engagements across several industries, with a focus on the financial services, technology services and healthcare sectors.

The registration invite was sent during week of March 25th. Incase if you didn’t get a chance to register yet, please register for this seminar through the below web link. The registration ends on Tuesday, April 16 at 9am.


If you have any questions, please let me know (AGhafouri@chevron.com).

Ahmad Ghafouri
VP Seminars

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**Employment Opportunity**

**Internal Auditor**

While we’ve been named a ‘best place to work,’ our proudest accomplishment comes from serving nearly 17 million AAA members. Through our commitment to service, growth and our people, CSAA Insurance Group will create AAA members for life by fulfilling our promise to be there when they need us.

We are looking for a data savvy, experienced auditor to join our team. In this position you will be responsible for conducting or assisting in the performance and documentation of audit projects. You will provide assistance to senior auditors in the execution of audit tests and programs that evaluate CSAA IG’s system of financial and operational controls, company goals and objectives, accuracy/integrity of data and compliance with regulation (including Model Audit Rule). You will provide input on continuous auditing analytics and review data mining results.

**Job Summary**

- Leads or assists in performing audit engagements.
- Assists in the development of project objectives and programs to test internal controls. Defines project objectives and/or programs on simple audit projects.
- Performs testing to evaluate the design, accuracy and adequacy of internal controls.
- Performs risk assessment to determine audit scope (areas of testing).
- Drafts or assists in the preparation of audit work papers and audit reports for audit projects.
- Assists in the internal control over financial reporting compliance effort, including review of process documentation and testing of controls.
- Works with audit analytics subject matter expert in developing new analytics to uncover control breakdowns, fraud, premium leakage, and other non-compliance behavior.

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**Programs**

Greetings Everyone,

Our May Social event will be held on May 30th at the Callippe Preserve Golf Course from 12pm to 3pm. Details goes as follows:

- Registration/Networking/Lunch Buffet is from 12pm to 1pm
- Program Event (2 CPEs) presented by Vicki McIntyre from 1pm to 3pm

We look forward to seeing everyone and invitations will be coming soon.

If you have any questions, please let me know (mabarajas@chevron.com).
Knowledge, Skills and Abilities

Required:
- Effective written and verbal communication skills
- Ability to apply critical thinking and analytic techniques
- Knowledge of Institute of Internal Auditor's professional standards

Preferred:
- Knowledge of ACL and TeamMate software
- Ability to quickly comprehend the critical inputs, outputs and processes within a variety of business units and apply that understanding to planning, assignment, and/or execution of tasks for an audit project required.
- Ability to identify areas for continuous auditing efforts, develop the analytics needed to perform those duties and implement for regular review and follow up

Education, Work Experience, Licenses & Certifications

Required:
- Bachelors or higher level degree in finance, accounting, business administration or related field of study, or equivalent work experience
- 2-3 years of experience in auditing, accounting and/or financial/data analysis, of which 2 years is internal auditing experience

Preferred:
- Sarbanes-Oxley or Model Audit Rule experience
- Actively pursuing Certified Internal Auditor certification

Job Posting Link:

Sr. Internal Auditor
Location: San Jose, CA

Summary:
The Sr. Internal Auditor will report directly to the Sr. Internal Audit Manager and will be responsible for the execution of various initiatives such as Sarbanes Oxley compliance, internal audits, various other regulatory compliance needs (FCPA, Conflict Minerals) and other ad hoc projects.

Essential Duties and Responsibilities:
- Responsible for supporting Internal Audit’s SOX effort, including scoping, planning and executing against the plan
- Assist in scoping, planning and executing for various internal
- Complete various tasks related to overall compliance initiatives related to FCPA, Conflict Minerals as required
- Ability to identify deficiencies or opportunities for improvement and appropriately communicate these through company channels
- Conduct follow up of open findings and assist in driving to closure
- Provide consultation to business leads on internal controls and identify process dependencies between various part of the business
- Keep current on audit, accounting, internal control and governance regulations through continuing education and participation in industry groups
- Support ad hoc projects and investigations as necessary
- Willing to travel up to 10 – 15% a year

Qualifications:
- 3 – 5 years of experience in internal or external audit or accounting related fields
- Bachelor’s degree preferred in one of the following areas: Finance, Accounting or related degree
- Strongly preferred: CPA or CIA certification
- Proficiency in MS Office applications
- Familiar with Oracle or other ERP system a plus
- Unquestionable integrity and credibility
• Strong analytical and interpersonal skills and the ability to interface at all levels, both internally and externally
• Highly organized, detailed and the ability to multitask and meet deadlines

If you’re interested, you can apply at: https://chp.tbe.taleo.net/chp01/ats/careers/v2/viewRequisition?org=NETGINC&cws=37&rid=3428

About Arlo:
At Arlo, we are empowered to make a difference. We turn ideas into innovative networking products that connect people, power businesses, and advance the way we live. We're a performance-driven, talented and diverse team that's committed to delivering world-class products for our customers. As a company, we value our employees who are the most essential building blocks of our success. We strive to attract top talent and create a great workplace where people feel engaged, inspired, challenged, proud and respected. If you are creative, forward thinking, passionate about technology and are looking for a rewarding career to make an impact, then you have what it takes to succeed at Arlo. Join our network and help us shape the future of connectivity.

Lending Club
Senior IT Auditor

About the Role
LendingClub is seeking a self-motivated, adaptive, self-starter Senior IT Auditor who can run and prioritize an evolving workload in a fast-paced environment independently. In this role, you will be working on examining, evaluating, and verifying operating systems, procedures, internal controls, and recorded data for the information technology and information security departments of the LendingClub. You will build relationships throughout the company, as well as with the co-sourced team, to facilitate the risk assessment process and to effectively perform internal audits. You will also help to identify innovative methods and tools to bring efficiencies to the audit process and leads their implementation. In addition, you will help to continuously monitor the business for changes that may affect the risk environment and, therefore, require revisions to the internal audit plan or to the scope of a planned internal audit. You will report to the Senior IT Audit Manager and work closely with our Senior Internal Audit Manager and Chief Audit Executive.

What You’ll Do
• Work individually or as part of a team to lead and perform various IT Audits, integrated audits and SOX testing in accordance with standards and expectations set forth in the Internal Audit Charter, Manual and Methodology.
• Execute and supervise the activities throughout the internal audit process, including: perform research, planning and scoping; conduct interviews and walkthroughs; identify key risks and controls; draft flowcharts and/or narratives; gather evidence and perform testing; prepare and review audit work papers; discuss and clearly articulate findings, observations and related risks with auditees throughout the process.
• Draft thoughtful and persuasive written internal audit reports and memos that clearly articulate the scope, objectives, issues, risk, root cause, and recommendations for remediation.
• Find opportunities to utilize data analytics techniques where appropriate to evaluate large and complex populations of data.
• Assist with issue follow-up through check-ins with the business on progress and validate effective remediation through testing.
• Commit to continuous skills and knowledge development regarding industry trends, emerging risks, and internal audit tools and techniques.
• Provide mentoring to other team members, as needed.
• Anticipate and manage obstacles and formulate effective solutions.
• Build, develop, and maintain strong business relationships with business and technology partners, acting as a trusted advisor.
• Strive to build institutional knowledge of specific products, systems, and processes to become a subject matter resource.
- Support the strategy of the company by providing assurance to third parties and potential investors.

**About You**
- 2-4 years of information systems/information security audit experience is required.
- Possess strong information technology foundation, with an ability to identify risks and controls in various IT related areas (e.g. security, operations, change management, etc.).
- Knowledge of auditing of the following areas is highly preferred: COBIT control framework, risk identification, mitigation, and reporting and NIST information security standards. CISA designation or equivalent is required for this role.
- CISSP, CIA and/or CPA is plus.
- Bachelor’s Degree in IT, IS, Accounting, Finance or related field is required.
- Master’s degree a plus.
- Strong knowledge of general computer controls and Sarbanes-Oxley related requirements.
- Big 4 and/or financial services industry experience a plus.
- Experience working in a co-sourced environment a plus.
- Knowledge and experience evaluating the design, effectiveness and regulatory compliance of processes and controls within a bank, broker-dealer, or related financial institution a plus.
- Able to work on multiple assignments simultaneously and prioritize accordingly.
- Excellent analytical, verbal and written communication, exceptional interpersonal, and relationship building skills.
- Able to collaborate with business partners and identify and address business needs through building solid relationships.
- Ability to work in a fast-paced environment and adaptive to change very quickly.
- Demonstrate balanced skills with common-sense and an excellent ability to communicate both verbally and in writing.

**Job Posting Link:**


**Lending Club**
**IT SOX Audit Manager**

**About the Role:**
The Lending Club IT SOX Audit Manager is a motivated self-starter who thrives working in a fast-paced environment and who easily adapts to change. The IT SOX Audit Manager is a member of the Internal Audit team and is responsible for partnering with the SOX Program Director to help with the coordination of the SOX Program by working with process owners, co-sourced providers, and external auditors to ensure SOX 404 objectives, deliverables, and timelines are met.

**Job Description:**
- Support the Director in performing annual scoping and risk assessment, and determine overall timeline, testing schedules and deliverables.
- Evaluate changes to IT/business processes, risks, controls and systems that have a direct impact to the financial statements and related disclosures.
- Help oversee updates to all Section 404 documentation, as required, including COSO framework mapping, process and control flowcharts, risk and controls matrix, and testing approach.
- Supervise co-sourced providers and review work product to ensure that standards of quality are maintained and to evaluate and conclude on control assessments.
- Independently perform data gathering, walkthroughs, flowchart updates, testing and remediation of IT controls and submit high-quality workpapers.
- Provide subject matter expertise to conclude on control design adequacy and operating effectiveness.
- Assist in SOC-1 report reviews and mapping of user control considerations / end user controls.
- Research and assess the impact of potential issues and recommend mitigation strategies.

**Job Posting Link:**

• Evaluate control deficiencies in accordance with the framework for evaluating control exceptions.
• Coordinate and track control testing progress, control gaps, and remediation efforts.
• Identify opportunities to optimize controls design or testing to drive efficiencies and increase external audit reliance on our controls.
• Create status updates to senior management, external audit and for use in Audit Committee reporting.
• Anticipate and manage obstacles and formulate effective solutions.
• Commit to continuous skills and knowledge development regarding industry trends, emerging risks and internal audit tools and techniques.
• Build, develop and maintain strong working relationships with business and technology partners.
• Strive to build institutional knowledge of specific products, systems and processes to become a subject matter resource.
• Support the performance of internal audits and ad-hoc projects, as needed.
• Act as a trusted advisor.

Requirements/Qualifications:
• BA/BS in Computer Science, Management Information Systems, Accounting or Finance.
• 6+ years of experience in Public Accounting, Internal Auditing, SOX and/or IT-related areas (with 2+ years in a supervisory role) or similar experience.
• Experience in leading the execution of an end-to-end SOX IT program. Should have strong project management experience in IT audit or IT controls. Experience in designing and implementing internal controls, including elements of IPE and IUC, preferred.
• Ability to define deliverables; draft budgets and project plans and align consulting resources to assignments.
• Solid understanding of risks and controls for both Information Technology and Business Processes, including ITGCs, ITACs and business process controls.

• Strong knowledge of PCAOB and SOX standards, US GAAP and COSO guidelines.
• Detail-oriented with ability to work on multiple assignments simultaneously and prioritize accordingly.
• Team-oriented with excellent analytical, verbal and written communication, exceptional interpersonal and relationship building skills.
• Comfortable collaborating with business stakeholders and identifying and addressing business needs through building solid working relationships.
• Demonstrate a balance of audit skills with common-sense and the ability to sufficiently explain or negotiate with business partners and external auditors.
• Professional certification(s), such as Certified Information Systems Auditor (CISA), Certified in Risk and Information Systems Control (CRISC), Certified Information Security Manager (CISM), CPA, CFA, CIA and/or PMP are preferred.
• Big 4 Accounting Firm experience, including internal controls assessments and financial statement audits, is preferred.
• Prefer banking and/or financial services experience, primarily focused in IT SOX or internal audit.
• Experience with BWise tool is a plus.

Job Posting Link:
Please send your announcements, articles, employment advertising and other information to the editor, Phillip Poma at: phillip.poma@csaa.com

Visit the NCEB Chapter Website by scanning the QR code below with your smartphone!
## NCEB Board & Committees Slate for Approval

### Officers

<table>
<thead>
<tr>
<th>Role</th>
<th>Companies/Organizations Represented</th>
<th>Email Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chapter President</td>
<td>Ahmad Ghafouri, Chevron</td>
<td><a href="mailto:aghafouri@chevron.com">aghafouri@chevron.com</a></td>
</tr>
<tr>
<td>VP of Programs</td>
<td>Miguel Barajas, Chevron</td>
<td><a href="mailto:mabarajas@chevron.com">mabarajas@chevron.com</a></td>
</tr>
<tr>
<td>VP of Seminars</td>
<td>Ferdinand Erhard</td>
<td><a href="mailto:erhf@chevron.com">erhf@chevron.com</a></td>
</tr>
<tr>
<td>Treasurer</td>
<td>Michelle Dizon, Kaiser Permanente</td>
<td><a href="mailto:michelle.dizon2@gmail.com">michelle.dizon2@gmail.com</a></td>
</tr>
<tr>
<td>Assistant Treasurer</td>
<td>Courtney Mantle, Bio-rad*</td>
<td><a href="mailto:corey_mantle@bio-rad.com">corey_mantle@bio-rad.com</a></td>
</tr>
<tr>
<td>Secretary</td>
<td>Tyson Toscano, Chevron</td>
<td><a href="mailto:TysonToscano@chevron.com">TysonToscano@chevron.com</a></td>
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### Term Governors

#### Expiring in 2020

<table>
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<th>Email Address</th>
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<tr>
<td>Retiree</td>
<td><a href="mailto:ruthpowell19@hotmail.com">ruthpowell19@hotmail.com</a></td>
</tr>
<tr>
<td>Retired</td>
<td><a href="mailto:tnidetz@comcast.net">tnidetz@comcast.net</a></td>
</tr>
<tr>
<td>Lawrence Livermore National Laboratory</td>
<td><a href="mailto:schafer2@llnl.gov">schafer2@llnl.gov</a></td>
</tr>
<tr>
<td>Chevron</td>
<td><a href="mailto:pbecker@chevron.com">pbecker@chevron.com</a></td>
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#### Expiring in 2021

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<tbody>
<tr>
<td>Grant Thornton International</td>
<td><a href="mailto:Ahmed.Tantawy@us.gt.com">Ahmed.Tantawy@us.gt.com</a></td>
</tr>
<tr>
<td>Brenda Roberts</td>
<td><a href="mailto:brenda_roberts@att.net">brenda_roberts@att.net</a></td>
</tr>
<tr>
<td>Nancy Yuen</td>
<td><a href="mailto:yuennancy@gmail.com">yuennancy@gmail.com</a></td>
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#### Expiring in 2022

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<tbody>
<tr>
<td>Chevron</td>
<td><a href="mailto:William.warner@chevron.com">William.warner@chevron.com</a></td>
</tr>
<tr>
<td>Retiree</td>
<td><a href="mailto:vkt50@yahoo.com">vkt50@yahoo.com</a></td>
</tr>
<tr>
<td>Del Monte Foods</td>
<td><a href="mailto:Tracy.West@DelMonte.com">Tracy.West@DelMonte.com</a></td>
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### Past Presidents

<table>
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<tr>
<td>Retiree</td>
<td><a href="mailto:Driscoll9221@sbcglobal.net">Driscoll9221@sbcglobal.net</a></td>
</tr>
<tr>
<td>SRI International</td>
<td><a href="mailto:mushtari.nagpurwala@sri.com">mushtari.nagpurwala@sri.com</a></td>
</tr>
</tbody>
</table>
Committee Chairs & Subcommitee Members

Academic Relations Chair | OPEN | OPEN
--- | --- | ---
Academic Relations - Committee member | John Pingatore, ORTC | JPingatore@ortc.com
Hospitality Chair | Anya Givental, Chevron | anya.givental@chevron.com
Hospitality - Committee Member | Susan Walsh, Chevron | susan.walsh@chevron.com
Hospitality - Committee Member | Shannon Wilhite, Del Monte Foods | Shannon.Wilhite@delmonte.com
Hospitality - Committee Member | Melissa Rice, CSAA Insurance Group | Melissa.Rice@csaa.com
Website | Bill Warner, Chevron | William.warner@chevron.com
Newsletter Editor | Phillip Poma, CSAA Insurance Group | Phillip.Poma@csaa.com
Membership | Ahmed Tantawy, Grant Thornton International | Ahmed.Tantawy@us.gt.com
Chapter Achievement Program | Bill Warner, Chevron | William.warner@chevron.com
Chapter Specialty Centers | Ahmed Tantawy | ahmed.tantawy@us.gt.com
Nominating Committee | Ahmad Ghafouri, Chevron | aghafouri@chevron.com
Nominating Committee | Paul Becker, Chevron | pbecker@chevron.com
Nominating Committee | Mushtari Nagpurwala, SRI International | mushtari.nagpurwala@sri.com
Record Retention Committee | Theresa Nidetz, Retiree | tnidetz@comcast.net

Academic Board Advisor | Nancy Mangold, CSU East Bay | nancy.mangold@csueastbay.edu

District Representative
Paul Becker | Chevron | pbecker@chevron.com
September 13th  
Chief Audit Executive Discussion Panel  
San Ramon Community Center, San Ramon  
Brenda Roberts, City of Oakland; Paul Schafer, LLNL;  
and Lusine Yeghiazaryan, Go-Pro  
The panelists will share how audit is approached within their organization and how the area of audit is changing every day. What are the most common challenges faced within audit in the area of RPA, SaaS, recruiting etc. Best practices, what has worked best for them and where they see audit in the future.

October 25th  
Harnessing the Power of Continuous Monitoring and Top 10 Characteristics of a World Class Audit Organization  
San Ramon Community Center, San Ramon  
Robert Mainardi – Mainardi & Company  
Learn and discuss the continuous auditing methodology and detailed steps of each phase as well as practice each step. Understand the key differences between continuous auditing and monitoring. Also, learn how to successfully plan, develop, implement, test, and maintain a continuous auditing program. Identify and discuss the critical characteristics which define the most effective and efficient audit departments from around the world. Learn how to evaluate and score your department’s status and achieve maximum production in partnering with clients to meet/exceed their objectives.

December 13th  
The Seduction of Fraud: Deception and Manipulation that Lead to Fraud, Waste, and Abuse in the Workplace and Beyond!  
San Ramon Community Center, San Ramon  
Steve Morang – Frank, Rimerman + Co. LLP  
This fun, fast-paced all-day interactive training will use a combination of presentation, movie clips and role plays to take the audience into The Seduction of Fraud. Through case studies of historical and modern-day figures, ranging from Cleopatra and JFK to Bernie Madoff, the participants will become aware of the tools and techniques used by bad actors both in person and via social media to deceive and manipulate others.

January 17th  
GDPR/California Privacy and Cybersecurity  
San Ramon Community Center, San Ramon  
Orus Dearman – Grant Thornton

February 21st  
Forensic Data Mining Tech and Practice  
Chevron, San Ramon  
Lanny Morrow – BKD, LLP  
This course will begin with fraud statistics/motivations and then jump into traditional fraud schemes and analytics designed to catch them with common audit/analysis tools like Excel, ACL, IDEA, Access, SQL. Then flows into advanced analytics with analysis of textual data, email/social media, internet history, digital forensics and machine learning/statistical analysis. We then cover the importance of data visualization and reporting techniques and end the day with selected advanced topics such as handling big data, open-source intelligence techniques, and considerations for coming disruptive technologies like blockchain and the Internet of Things, and how they will impact fraud investigations.

March 7th  
Communication  
Chevron, San Ramon  
Marina Goughlan, E-Arc CAE and Chapter Board of Governor  
This program will cover the following:

April 18th  
Committee of Sponsoring Organizations (COSO)/Enterprise Risk Management (ERM), Robotics Process Automation (RPA), Cyber & Vulnerability Management  
Chevron, San Ramon  
Bob Hirth, Scott Glover – Protiviti  
Purnima Renjen – Deloitte & Touche LLP  
Orus Dearman & Dhawal Thakker – Grant Thornton  
This seminar will be a multi-topic presentation on COSO/ERM, RPA, Cyber and Vulnerability Management.

May 30th  
Code of Ethics for Internal Auditors  
TBD  
Vicki McIntyre – First Plus Resolutions Inc.  
This course is designed to give Internal Auditors at all levels, in business and industry and the public sector, familiarity with the Institute of Internal Auditors (IIA) Code of Ethics, its Principles and Rules of Conduct. This course will explore the applicability and enforcement of the Code of Ethics and can include case studies and ethical dilemmas.