



**IIA - Northern California East Bay (NCEB) Chapter  
Year End Report  
June 1, 2021 – May 31, 2022**



The Institute of  
**Internal Auditors**

Report Release Date: June 28, 2022

# President's Message

Dear NCEB Chapter Members,

The purpose of this annual report is to summarize the activities and events that occurred during the June 1, 2021 to May 31, 2022 chapter year.

I would like to thank all NCEB chapter leaders/volunteers and members for your support in making the chapter year successful!

Respectfully,  
Michelle Dizon  
NCEB Chapter President

# Background



The Northern California East Bay (NCEB) chapter of the Institute of Internal Auditors (IIA) is based in San Ramon, CA. The chapter was originally chartered on November 17, 1986 as the Tri-Valley Chapter. In September 1999, the chapter merged with the Mt. Diablo Chapter to form the NCEB Chapter. The chapter offers networking opportunities and continuing professional education credits to our members.

**The NCEB Chapter is a “Ruby Chapter”.** The Chapter Achievement Program (CAP) is an annual program monitored by IIA headquarters to recognize chapters for activities that align with the North America strategic plan in the categories of programming, certification, advocacy, and membership. The Ruby status indicates the NCEB chapter has met the CAP requirements for the past 20 years.

# Membership

## Examples of member industries:

- Professional, Scientific, and Technical Services
- Executive, Legislative, and Other General Government Support
- Monetary Authorities-Central Bank
- Credit Intermediation and Related Activities
- Insurance Carriers and Related Activities
- Oil and Gas Extraction
- Funds, Trusts, and Other Financial Vehicles
- Securities, Commodity Contracts, and Other Financial Investments Related Activities
- Educational Services
- Hospitals
- Crop Production
- Utilities
- Food and Beverage Stores
- Data Processing, Hosting and Related Services

Membership Count (as of May 31, 2022): 264



# Membership (continued)



Member Organizations with 10 or more members include:

- Bank of the West
- Chevron
- State Compensation Insurance Fund
- TriNet
- Simpson Manufacturing

# Programs and Seminars

12 programs and seminars totaling **35+ continuing professional education (CPE) hours** were offered



Event	Date	Topic	CPE	Location
Program	September 9, 2021	Shades of Ethics - Setting the Thermostat and Auditing for an Ethical Culture that is Resistant to Fraud and Misconduct	2	Webinar
Seminar	October 20, 2021	Fraud Auditing - Part 1	4	Webinar
Seminar	October 21, 2021	Fraud Auditing - Part 2	4	Webinar
Seminar	December 8, 2021	Winter IIA Tri-Chapter Seminar - Day 1: Various Topics including Disruptive Technologies , Fraud Considerations, RPA, Third Party Risk, ESG, IT Governance, Cybersecurity	4	Webinar
Seminar	December 9, 2021	Winter IIA Tri-Chapter Seminar - Day 2: Various Topics including Disruptive Technologies , Fraud Considerations, RPA, Third Party Risk, ESG, IT Governance, Cybersecurity	4	Webinar
Program	January 13, 2022	Managing Relationships & Political Pressure Confirmation	2	Webinar

# Programs and Seminars (continued)

Event	Date	Topic	CPE	Location
Seminar	February 23, 2022	Sarbanes-Oxley (SOX), Internal Controls, and Advanced IT Topics - Part 1	4	Webinar
Seminar	February 24, 2022	Sarbanes-Oxley (SOX), Internal Controls, and Advanced IT Topics - Part 2	4	Webinar
Program	March 31, 2022	Data Analytics for Internal Audit	2	Webinar
Program	April 27, 2022	Work From Anywhere - Share trends, processes and controls to manage risk Economic Update - The training wheels are coming off - Can the economy handle policy normalization?	2	Webinar
Program	May 4, 2022	ESG - Overview of The Art of Possible for IA in ESG Data Insights - D&A Leading Practices in Internal Audit	2	Webinar
Program	May 11, 2022	IT - Cloud security – Microsoft Azure/AWS Process Mining - A 360° view of risk: Harnessing process mining and ERP analytics for risk and continuous control monitoring across the three lines of defense	2	Webinar



# Academic Relations

## Student Events

The chapter attended 2 university events to promote the internal audit profession and to network with students.

Date	Event Description
September 17, 2021	Meet the Firms at California State University, East Bay
November 18, 2021	San Francisco State University, Accounting Student Organization Presentation



## Student Liaison Program

During the chapter year, the student Liaison Program was offered to 2 graduate and undergraduate students. Benefits of the program include:

- \$1,000 stipend
- Paid membership to join the Institute of Internal Auditors (IIA) for 1 year
- Ongoing mentoring for one academic year by members of the NCEB Chapter Board
- The opportunity to gain leadership experience by assisting the IIA-NCEB Chapter Board of Officers, Governors, and Committee Members with various responsibilities



# Certifications



## Certified Internal Auditor (CIA) Exam Grant

**A CIA Grant was offered to 2 members** during the chapter year. This program included awarding 3 grants (worth a maximum of \$500 each) to be put towards CIA exam fees and/or study materials for participants who do not have any of these expenses reimbursed by their employer.

## IIA Certifications

**A total of 8 NCEB Chapter members obtained IIA certifications** during the 2021-2022 chapter year.



# Networking Event

On May 26, 2022 the NCEB Chapter held a Membership Appreciation and Internal Audit Awareness month celebration at Sauced BBQ & Spirits in Walnut Creek.



## Other Highlights

5 new chapter leaders joined the Board

4 chapter leaders attended the IIA Leadership Academy in Lake Buena Vista, Florida

12 newsletters were issued during the chapter year

11 Board meetings were held



# NCEB Chapter Officers and Governors

Role	Leader Name
President	Michelle Dizon
VP of Seminars	Philip Caoile
VP of Programs	Ferdinand Erhard
Treasurer	Corey Mantle
Secretary	Anya Givental
Certifications Officer	Kathryn Kark
Academic Relations Chair	Amos Njoh
Hospitality Chair	Jonathan Smith
Membership Officer	Maya Shriwastava

Role	Leader Name
Governor	Ahmad Ghafouri
Governor	Ahmed Tantawy
Governor	Bill Warner
Governor	Cori Rothe
Governor	Dino Mendoza
Governor	Melissa Rice
Governor	Ziad Hitti

# NCEB Chapter Committee Chairs and Members

Role	Leader Name
Website Administrator	Bill Warner
Newsletter Editor	Phillip Poma
Chapter Achievement Program Administrator	Perry Liu
Academic Board Advisor	Nancy Yuen
Audit Committee Chair	Soo Hyun Yim
Programs/Seminar Committee Member	Miguel Barajas
Academic Relations Committee Members	John Pingatore Jason Salgado
Record Retention Committee Chair	Connie Chin
Record Retention Committee Member	Cori Rothe



# Contact Information

**Email:** Chapter216@iia-chapters.org

**NCEB Chapter Website:** <https://www.theiia.org/en/chapters/united-states/california/northern-california-east-bay/>

**Linked-In:** <https://www.linkedin.com/company/iia-nceb-chapter>

**Please contact us to learn more about volunteer opportunities.**

