

Registration Form

2023 Internal Bank Audit School
December 12-13, 2023
IBA Center for Professional Development
Dept. 15

In person - IBA Member

☐ **\$595 per person**

Virtual Option - IBA Member

☐ **\$595 per person**

Participation in IBA programs is limited to members, associate members and non-members from an eligible membership category at applicable member or non-member rates. Surcharge of 100% for non-members.

Confirmation/Cancellation

When you register for an IBA event, you will receive an e-mail confirmation. If you have any questions, contact Elizabeth DeHaven via e-mail at EDeHaven@indiana.bank or call the IBA office at 317-387-9380.

Within three or more business days prior to the day of an educational program, no cancellation charge will be assessed. Within two days prior, 50% of the fee is assessed. Refunds are not provided for cancellations the day before or absences on the day of the program. Substitutions are accepted at any time.

Bank Name _____ Title _____

Address _____

City _____ State _____ Zip Code _____

Phone _____ Fax _____

Attendees:

Name _____ Email _____

Name _____ Email _____

Method of Payment

☐ Check Payable to: **IBA Foundation, Inc., 8425 Woodfield Crossing Blvd. Suite 155E, Indianapolis, IN 46240**
Phone: 317-387-9380

Please Charge my: ☐ VISA ☐ MasterCard ☐ AMEX

Cardholder's Name _____ CVV Code _____

Card Number _____ Expiration Date _____

Register online at indiana.bank

Indiana Bankers Association
2023 Internal Bank Audit School



December 12-13, 2023
IBA Center for Professional Development
Indianapolis, IN



2023 Internal Bank Audit School

Program Description

The Indiana Bankers Association is pleased to announce the Crowe, LLP will present this timely, two-day program for the IBA membership. Crowe LLP provides innovative business solution in the areas of assurance, benefit plan services, financial advisory, forensic services, performance services, risk consulting and tax consulting.

The 2023 Internal Bank Audit School is formatted to provide detailed guidance over current regulatory hot topics such as how to audit the lending function, mortgage banking functions and current expected credit (CECL). Day two of the school will cover enterprise risk management & internal auditing, the essentials of risk, Basel auditing and also recent trends in financial institution fraud.

Topics

Auditing Electronic Funds Transfer

This seminar will be a practical “hands-on” discussion of effective practices in auditing the Electronic Funds Transfer function. Topics will include:

- Overview of the Electronic Funds Transfer Function and Related Risks
- Internal Audit Objectives and Procedures:
 - ◊ Wire Transfer
 - ◊ Automated Clearing House (ACH)
 - ◊ Internet and Mobile Banking
 - ◊ Cash Management Products
 - ◊ Remote Deposit Capture
 - ◊ Mobile Deposit Capture
 - ◊ NACHA Rules
 - ◊ Real Time Payments (RTP)

Auditing Asset/Liability and Liquidity Management

This seminar will look at the recently focused area of asset liability and liquidity management and discuss effective controls to manage interest rate and liquidity risks.

- Interest Rate Risk (IRR) Management Administration
- IRR Management Operations
- Liquidity

Update Current Expected Credit Loss (CECL)

This seminar will look to explore what has been observed in the first-year implementation and audits of CECL for non-PBE.

- Governance and Oversight
- Technology and Third Party Risk
- Model and Methodology
 - ◊ Risk Identification and Segmentation
 - ◊ Current Conditions
 - ◊ Reasonable and Supportable Forecasts
 - ◊ Acquired Loans
 - ◊ Debt Securities
- Validation
- Reconciliation
- Policy
- Segregation of Duties
- Reporting and Disclosures

Model Risk Management

With the focus on Asset Liability Management and the recent changes in Allowance for Credit Losses, we will cover the following areas:

- Overview of regulatory requirements
- Discussion of evolving expectations and industry perspectives
- Identification of the critical components of managing an effective model risk management program
- Application of prescriptive approaches to model management

FDICIA/SOx Compliance

FDICIA (the FDIC Improvement Act of 1991, as amended) and SOx (the Sarbanes-Oxley Act of 2002) in part, require banks with assets exceeding \$1 billion and/or certain publicly traded companies, to assert that an internal control methodology is in place to assure the integrity of the annual audited financial statements. This seminar will present the following topics:

- Project Planning
- Roles and Responsibilities
- Identification and Testing of Key Controls
- Evaluation of Control Deficiencies

Effectively Communicating Audit Results

To be effective, an internal auditor needs to positively communicate audit issues both verbally and in writing. This seminar will present the following topics:

- Top Ten Techniques for Verbal Presentations
- Audit Report Structure
- Elements of an Audit Finding

Compliance Hot-Topics

Looking to spend time discussing recent compliance-related topics and focuses.

2023 Internal Bank Audit School

Program Instructors

Lynn Peterson, CPA

Lynn Peterson is a Sr. Manager in Crowe’s Consulting practice with over 19 years with Crowe. She joined the firm with 20 years of experience in the financial institutions industry in accounting, financial reporting and internal audit. She is responsible for managing consulting services including full scope and co-sourced internal audit, regulatory compliance, trust, information technology, loan review and Sarbanes-Oxley Section 404 and FDICIA engagements. She works with financial institutions that range from small de novo banks to large, multi-billion dollar financial institutions.

Nancy Kwak, CPA, CFIRS

Nancy Kwak is a Sr. Manager in Crowe’s Consulting practice and is based out of the Chicago office. She is responsible for managing outsourced and co-sourced internal audits, regulatory compliance (primarily 12CFR9), and leading Sarbanes-Oxley (SOx) & FDICIA Compliance programs for financial institutions nationwide. Nancy has broad experience of bank operations and has worked extensively with financial institutions to develop risk assessments, establish risk-based audit plans, and execute internal audit services. Nancy devotes a significant portion of her time specializing in Wealth Management – Trust Administration and Operations, Retirement Plan Services, and SSAE18 (SOC-1) attestations and leads the firm’s Trust/Fiduciary consulting services for Bank Wealth Management Departments, Independent Trust Companies, and Family Offices.

About Crowe, LLP

Crowe LLP (www.crowe.com) is a public accounting, consulting and technology firm with offices around the world. Crowe uses its deep industry expertise to provide audit services to public and private entities. The firm and its subsidiaries also help clients make smart decisions that lead to lasting value with its tax, advisory, and consulting services. Crowe is recognized by many organizations as one of the best places to work in the U.S. As an independent member of Crowe Global, one of the largest global accounting networks in the world, Crowe serves clients worldwide. The network consists of more than 200 independent accounting and advisory services firms in more than 130 countries around the world.

Registration Fees & Info

The following fees include the program, training materials, continental breakfast, lunch and refreshments.

Internal Audit & Risk Assessment School

IBA Member
\$595.00 per person

Virtual Option
\$595.00 per person

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Hotel Information

The IBA has not blocked hotel rooms for this program. For those who need overnight accommodations, call the IBA at 317-387-9380 for a list of hotels in the area.

General Information

Dress: Business casual attire is appropriate for all IBA programs. Because of temperature variations in meetings rooms, please bring a sweater or jacket for your comfort.

Special Accommodations

The IBA is committed to providing the best education in the best facility possible. To that end, we strive to accommodate any special needs bankers may have while attending our programs. If you need any special accommodations or have dietary restrictions, please let us know.

Date and Location

December 12-13, 2023
IBA Center for Professional Development
8425 Woodfield Crossing Blvd. Suite 155E
Indianapolis, IN 46240

Daily Agenda

8:30 a.m.	Registration & Continental Breakfast
9:00 a.m.	Program Begins
12:00 p.m.	Lunch (included)
1:00 p.m.	Program Resumes
4:00 p.m.	Program Adjourns

For More Information, Contact:

Laurie Rees
Vice President of Education & Training
LRees@indiana.bank
317-387-9380