Charlotte Chapter,

In light of our current environment responding to the coronavirus, let me first send my best to you, your teams, and your families as we make it together through this difficult time. So much has changed over the past weeks with the need for social distancing and the significant impact on business operations and the economy. I hope that each of you are well and able to safely connect with those important to you.

Today, the need for qualified professionals trained to assess and advise on risk is paramount. Many of our members are being called upon to help their businesses weather the storm. As each of you encounters new challenges, I encourage you to draw upon the resources of the Chapter and IIA – to leverage the contacts, trainings, and tools available to you as a member.

Anticipating the continued need for training and CPE opportunities, our Officer team and volunteers are working to schedule remote events. I would encourage all to attend our May 28th & 29th training on “Your Road. Your Choices.” Speaker Amanda “Jo” Erven received high ratings from our members in 2019 and this two-day session covering a total of 8 hours will allow attendees to make better choices and enhance their value as internal auditors.

In the pages below, you will find more details and links on the above training and those offered by the IIA. I encourage you to stay current on new opportunities by visiting the referenced websites for updates. As we move forward in this remote environment and test new technology, the Officer team and I appreciate your patience and flexibility. If you have any questions or feedback, please reach out to us at Chapter91@iiachapters.org.

Finally, the end of the 2019-20 Chapter year is coming up quickly. It has been a pleasure serving as President, working with our Board and Officers, and meeting so many members. Please join me in congratulating the 2020-21 leadership team (page 8); I’m proud to say the Chapter will be in very good hands.

Stay safe and take care.

Warm Regards,

Patrick Dunlavey, CIA, CRMA
In these difficult and uncertain times, our greatest concern is the safety and well-being of our families and friends, our communities, and our members, volunteers, and employees worldwide. We face unprecedented challenges with the coronavirus (COVID-19), leading to changes in plans and approaches as we all strive to continue to support the internal audit profession. IIA HQ recently announced the cancellation or modification of a number of events, including Global Assembly for international Affiliate leaders in London, the in-person General Audit Management (GAM) Conference in Las Vegas, and Leadership Academy for new chapter leaders in Orlando, Fla. For GAM, we quickly moved a number of our top sessions to livestreaming, resulting in strong participation from registrants. We are reviewing all in-person events, including training, planned over the next several weeks and enhancing our virtual and other online offerings. More than ever, this is a time to support each other, collaborate, and ensure open communication lines to share information, resources, and ideas. At IIA Headquarters and around the world, we remain One IIA.

Visit The IIA’s Coronavirus Impact Update for the latest information on North American developments.

**Charlotte IIA Data Analytics Committee Announcement**

Has your audit department begun its journey in harnessing the power of data to create more efficient audit/SOX programs or provide value to your business partners by helping create valuable data analytics programs for use in their second line of defense monitoring programs? Or, has your audit department identified the opportunity to build out its data analytics capabilities, but either hasn’t yet started or isn’t sure exactly how to start? If the answer to either of these questions is “yes”, we encourage you to get involved with the Charlotte IIA Chapter’s new Data Analytics Committee. This newly formed committee will be meeting sometime in the near future (once COVID-19 concerns have diminished) to begin sharing strategies and best practices designed to help your audit department provide value to your company through the power of data analytics. If you are interested in participating in this Committee, please contact Committee chair, Robert Hayes (LPL Financial) at robert.hayes@lpl.com.
Don’t forget to visit the Audit Channel, which provides insightful information on various topics, including Leadership and Career Development, Internal Audit Activity, Internal Control, Risk Management, Technology, Industry Spotlight, etc.

Upcoming Trainings

COVID-19 Update: In light of the COVID-19 developments, the Chapter has decided to postpone all in-person training events and meetings until further notice. Our Leadership team is actively monitoring the situation and all events will be evaluated for the opportunity to reschedule or host remotely.

Please see below for the upcoming Continuing Professional Education (CPEs). For events where Slots are available for registration (IIA CLT hosted events), please register accordingly. For additional information, please contact us at Chapter91@iiachapters.org.

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<thead>
<tr>
<th>Date</th>
<th>Topic &amp; Location</th>
<th>CPEs</th>
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<td>IIA North America eLearning - Audit Report Writing</td>
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<td>IIA North America eLearning - Data Analysis for Internal Auditors</td>
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<td>IIA North America Online - IT General Controls</td>
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<td>5.28.20-5.29.20</td>
<td>CLT IIA - Your Road. Your Choices — Save the Date: More information coming soon.</td>
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IIA North America Member Webinars & Online Courses

Click the following Webinars and Online Course title to view a description and outline, along with presenter information and key takeaways.

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<tr>
<th>Date</th>
<th>Topic &amp; Location</th>
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<td>Webinar: Utilizing Technology to Advance Internal Audit and Stay Relevant in a New Risk Environment</td>
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<td>6.17.20</td>
<td>Webinar: Learn How to Take Advantage of All Your Benefits — New IIA Member Webinar</td>
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<td>7.7.20-7.23.20</td>
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</table>
Please Congratulate Our 2020 Newly Certified Members

As we all know and can appreciate, studying for and passing certification examinations can be a challenge. These individuals earned the following certifications and deserve our congratulations:

- Caitlin Barton, CIA
- Kartoe Sakpeider, CIA
- Joshua East, CIA
- Shannon Wiggins, CIA
- Shaundalyn Johnson, CIA

For more information on how you too can become certified, please visit the IIA Certification page.

Good Luck!

IIA CHARLOTTE CHAPTER CERTIFICATION SPOTLIGHT

Name: Shannon Wiggins
Current Position: Senior Auditor at Bank of America
Educational Background: Undergraduate Degree and Graduate Degree in Accounting from Appalachian State University
IIA Certifications: Certified Internal Auditor (CIA)

Why did you choose to pursue your most recently earned IIA cert?
Originally, I pursued the CIA certification with the hopes of earning a promotion. However, going through the studying and exam process, it has proven invaluable in giving me so much more confidence in my Audit work and helping coach and develop my teammates.

What study materials did you use while preparing for your most recently earned IIA cert?
I used the Premium Gleim Package, which includes the book, video lectures, audio lectures and the test bank!

What did you find was most challenging about obtaining your most recently earned IIA cert?
Studying while working full time was difficult at first! Once I figured out a detailed study schedule and got into a routine, it got much easier.

Any words of encouragement for others studying for either the cert you obtained or certs in general?
It is okay to fail – this exam is hard. Do not give up, just think about how hard you have worked for it, study hard and keep trying! It will be worth it in the end!

Drive Your Career Forward

Save up to $230 on CIA Application Fee——For a limited time, The IIA is waiving the application fee for the Certified Internal Auditor® (CIA®) designation. As the only globally recognized certification for internal auditors, becoming a CIA proves expertise, value, and understanding of the International Standards for the Professional Practice of Internal Auditing and how to apply each of the Standards. But wait, being a CIA really means so much more—more credibility, more promotions, more money.*

*Certified Internal Auditors earn on average $38,000 more annually than those without a certification, according to The IIA’s 2017 Internal Audit Compensation Study (based on U.S. responses).
Audit Career Center

Did you know that the IIA can help you find your next great career opportunity in audit? Our Charlotte IIA Chapter publishes local job opportunities on our Careers page. Employers and Agencies that are looking for qualified individuals to fill open positions provide us their job openings. Check frequently for that perfect opportunity waiting for you.

If you are considering that your ‘perfect new job’ might be located in an exciting new area of the country, check out the Audit Career Center located on the IIA North America site. These career resources will help you find the ideal job for which you have been looking.

You are only one click away, so click today….

Please join the IIA Charlotte Chapter in welcoming its newest 2020 members:

Adetomiwa Adedayo Abiodun
Joshua B. Acob
Victoria Andreski
Patricia Arend
Serge Asonganyi Atem
Pelagie Bekissi
Laniece Blackmon
Aunray Bullock
Rafael Cabal
Stephanie E. Cabrera
Jeffrey Cook
John Ervin Dickenson
Spencer Dickson
Carolyn Dignan
Yetunde Fajulugbe
Madelen Fuller
Denish Gandhi
Brittany Marie Garka
Caitlin Godley
Stacey Grissom
Kendle Hansen
Shreedhar Hegde
Thomas Brent Hicks
Hillary Holt
Rachel C. Ishmail
Cindy Jean
Gregory Joseph Jones
Sai Lakshmi
Olufeyisetan Abosed Lala
Alice Lang
Joy Hee Lim
Lauren Lucas
Fannata Mai Moussa
Chelsey Malone
Jason Nark
Carl Neely
Aaron D. Ohlert
Steve M. O'Meara
Bi Ou
Milton Padilha Junior
David James Palincsar
Isaac Pearl
Jeniffer Ribeiro Amorim
Megan Schmidt
Russell Settle
Erin Sewell
Kimberly Nicole Shepherd
Gelu Sherpa
Kimberly Slone
Daniel Kyle Snipes
Seth Stanley
Rachel Stark
Kristen Stiefel
Deireann Stillson
Martha Brock Strickland
Christina Sullivan
Tiara Swann
Fahad Taimur
April Renee Thompson
Justin Winslow Turner
Chinedu Duke Wellington
Debora Lynne Whitehead
Lauren Wright
Amanda Zurita

We look forward to meeting you during upcoming training opportunities.
IIA CHARLOTTE CHAPTER
MEMBERSHIP SPOTLIGHT

Name: Paresh J. Patel, CIA, CRMA, CISA, CRISC, ACFE, FCCA (UK)
Current Position: Operational Risk Officer, Wells Fargo Bank
Educational Background: Bachelors in Accounting, Strathmore University
IIA Certifications: CIA, CRMA (others CISA, CRISC, ACFE, FCCA-UK)

What made you join the Institute of Internal Auditors (IIA)?

I went to college for Accounting, and subsequently worked for a small public accounting firm and thereafter became the Chief Accountant for an aviation company. Those two roles gave me exposure to conducting audits and risk assessments, and supporting auditors, respectively. That was 20 years ago.

After I immigrated to Canada and worked in several industries in a variety of technology and risk roles, I came to realize that I needed to belong to a professional organization, a community. After researching I made the decision of joining IIA.

Having stayed within the audit/risk roles for the past 10 years, in retrospective, I could not have been happier for the decision I made back then. IIA has given me a sense of belonging and has been a great way to get to know, and work with risk professionals and be part of an amazing world-class community.

What member benefits have you found to be the most beneficial to you?

There are countless benefits that I have personally gained. Firstly, it’s the access to the profession’s Standards and Guidance, white papers, audit programs, etc. There is so much knowledge one can gain or increase on specific topics that is available in various formats from the resources at IIA.

Secondly, it’s the trainings, conferences (onsite, in class) and virtual webinars where industry practitioners and professionals share their point of views, industry knowledge on specific topics, their professional journey, etc.

Thirdly, you get access to professionals from around the world which is a huge benefit to increase your network. With a global community of more than 180,000 practitioners from 190 countries, you can easily connect with professionals with similar interest(s), work in specific industry or with members who are in the same geographic location(s).

There are many more benefits that I have probably not tapped into, yet.

Has being an IIA member helped you with your career development? If so, please let us know how.

IIA is an authoritative body when it comes to Standards and Guidance. I use these and the Professional Practices Framework from IIA to increase depth of knowledge, or sometimes to simply know the ‘parameters’ in which we need to operate by use of Standards.

IIA also gives you access to a world-wide network of over 180,000 professionals. I have either been contacted or I contacted professionals for career guidance, or potential roles via the professionals in my network.

Another aspect I look at when I think of career development is “am I getting the tools to do what I enjoy doing?” IIA has a wealth of training materials, past speaker presentations, research resources and being able to access on-demand and use these resources is invaluable.

In today’s world, we are all risk managers in one way or another. And as risk professionals in dynamic industries where business and processes are changing or maturing so quickly, where technology advancement is happening so fast, belonging to an organization like IIA gives you the support knowing IIA is advocating on topics/aspects that matter.

Other benefits I have gained include access to other industry-recognized IIA certifications, award-winning Internal Auditor Magazine, IIA Connections e-newsletter, job postings from corporations, and probably the most important one is giving me a platform to pursue my passion to volunteer—as I call it ‘giving back to the community’.

In the past I have had opportunities to speak at the Charlotte and other chapters, as well as at the IIA Mid-Atlantic Conference, and am very grateful for the invitations. This sort of speaking engagements give me an opportunity to help share my knowledge and experiences, but also develop myself.

I am proud to be part of such an amazing organization. Thank You IIA.
**IIA CHARLOTTE CHAPTER MEMBERSHIP SPOTLIGHT**

**Name:** Anand Patel  
**Current Position:** Director Internal Audit  
**Educational Background:** Master of Science Accounting, Bachelor of Science – Finance, Information Decision Science  
**IIA Certifications:** CISA and CISM

*What made you join the Institute of Internal Auditors (IIA)?*

I joined IIA mainly for the purpose of Networking opportunities provided by IIA and also various trainings offered by Institute helped me obtain current knowledge of the industry and regulations.

*What member benefits have you found to be the most beneficial to you?*

As the global, standard-setting body, The IIA provides internal auditors worldwide with updated and universally accepted standards and guidance. As a Director of Internal Audit, I found this guidance are absolute necessary to keep up with the complexity in compliance world. I use many of IIA guidance and apply them towards my audit risk assessment and that results in our annual audit plan.

*Has being an IIA member helped you with your career development? If so, please let us know how.*

Yes, I believe being an IIA member improved my career and provided me with further knowledge about the industry. Resources and chapter meetings enhanced my career opportunities and network with many like- minded professionals in the industry. I strongly believe IIA membership is totally worth it for my own career development and encourage others to take full advantage out of their membership.

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**Name:** Tawana Turner  
**Current Position:** Audit Director, Risk Center of Excellence, USAA  
**Educational Background:** Bachelor of Science (Cum Laude) in Accounting and Master of Science in Accounting from the University of Missouri Columbia  
**IIA Certifications:** CIA

*What made you join the Institute of Internal Auditors (IIA)?*

I joined the IIA shortly after college graduation to stay current with audit industry seminars and trainings. Additionally, I relocated to another city and was able to utilize my membership as a resource to meet and network with other audit professionals.

*What member benefits have you found to be the most beneficial to you?*

The local chapter seminars and trainings have been the most beneficial for me. It provides me the opportunity to network with local audit professionals while also receiving training that allows me to be more effective in my role.

*Has being an IIA member helped you with your career development? If so, please let us know how.*

The IIA has helped with career development in that it has provided me with training and industry news and articles that has helped to inform my knowledge/awareness of industry best practices. This, in turn, has allowed me to be more effective in my role.
IIA CHARLOTTE CHAPTER
2020-2021 ELECTED OFFICERS

President: Kaila Cole
Kaila Cole is an Audit Manager on the Wholesale Banking audit team at Wells Fargo.

1st Vice President, Programs: Erin Sweeney
Erin Sweeney is an Audit Manager on the Enterprise Functions audit team at Wells Fargo.

2nd Vice President, Academic Relations: Christina Mehltretter
Christina Mehltretter leads the Internal Audit function for Compliance, Legal and Risk, Finance, Human Capital and the Private Trust Company at LPL Financial.

Treasurer: Jay Ferro
Jay Ferro is a Senior Auditor at CommScope.

Assistant Treasurer: Lucie Gove
Lucie Gove is an Internal Auditor at Comporium Communications.

Secretary: Christine Mays
Christine Mays is a Senior Auditor for the Institutional audit team at TIAA.

Membership & Certification Officer: Lara Traynham
Lara Traynham is a Senior Auditor for the Corporate audit team at TIAA.

IIA CHARLOTTE CHAPTER
2020-2021 ELECTED BOARD MEMBERS

The following Members were elected to serve on the Chapter’s Board of Governors beginning in 2020-2021:

Chris Patrick (Second Term)
Chris is the Senior Vice President of Internal Audit at Roundpoint Mortgage.

Michael Zimmerman (Second Term)
Michael is a Principal at Dixon Hughes Goodman LLP.

Thank you all for your time and leadership!
At first glance, the coronavirus pandemic threatening populations around the world appears to fit the textbook definition of a "black swan" event. But looks can be deceiving.

The term black swan describes an event that can't be foreseen but can have serious consequences. Europeans couldn't imagine an actual black swan until they first arrived in Australia and New Zealand, where black swans are quite common. The term has been used with increasing regularity over the years — sometimes appropriately and sometimes not. Some are referring to this year's coronavirus outbreak, and the COVID-19 disease it spawned, as a black swan. However, pandemics are hardly unforeseeable or unimaginable. Human history is replete with pandemics even more devastating than COVID-19. In recent years, both former U.S. President Obama and Microsoft founder Bill Gates spoke in predictive terms about the threat of a pandemic.

So, while COVID-19 may not be a true black swan, its consequences are much greater than one could have imagined from a pandemic in the 21st century. I, for one, could not have foreseen how a single event could entangle itself into so many facets of business and life, and could have such a profound effect on the world's population of 8 billion people. As a CEO, if you had told me a year ago we would have a pandemic in 2020, I would have anticipated a disruption similar to other global catastrophes, such as the 9/11 attacks or the Great Recession of 2007–2009. This, clearly, has eclipsed those events by orders of magnitude.

It has pushed us to the precipice of another global recession and devastated financial markets. It has shut down entire industries and thrown millions out of work. It has temporarily changed how we interact as societies, creating armies of teleworkers and turning once vibrant urban centers into virtual ghost towns. It has imprisoned us within the relative safety of our homes and turned computer monitors into our windows to the world.

This multifaceted, evolving, and insidious test of our good will, fortitude, and patience is not a black swan whose feathers are all the same color. This swan is in Technicolor.

Indeed, the pandemic is not just an unwelcome and damaging pause in our lives that could stretch through most of 2020. Its long-term impact promises to permanently change how we do business and how we interact with each other.

One thing the pandemic has made crystal clear is just how globally interconnected and interdependent our lives and economies have become. The reliable, just-in-time delivery of materials to operate our businesses has virtually ground to a halt. Sources of dependable and affordable labor have been cut off. Businesses and industries that provide and depend on unfettered and convenient travel, hospitality, and entertainment have shut down. Ironically, the only thing that is thriving in isolation is the critical strategy for fighting the spread of the disease.

As internal auditors, we must not only make sense of how COVID-19 is impacting our personal and professional lives; we must take in the overwhelming deluge of risks associated with the pandemic and help our organizations make sense of it. I see this happening in four important steps:
• **Be a part of the team.** We must temporarily set aside the relative safety of being objective third-party assurance providers and lend support in any way we can. We can protect our independence and objectivity while providing critical advice and support. It is easy to use independence and objectivity as excuses to stay out of the fray, but it is not the way to become trusted partners to our stakeholders.

• **Be an inquisitive and informed partner.** Internal auditors by nature seek out information and assess it with a critical eye. This skill is invaluable as our organizations wade through a tsunami of information about the pandemic and its impacts. Be a source of truth for your organization by applying critical thinking skills and healthy skepticism. Be that all-important filter that offers objective and informed assessments to help your organization craft the proper strategies and take the right steps to navigate through the pandemic.

• **Provide foresight and encourage long-term thinking.** This may be the most challenging, yet most valuable, service that internal audit can provide. In the short term, executive management and the board are focusing on weathering the storm. They may not have the luxury of stepping back and assessing the bigger picture. With its broader perspective and ability to identify conditions and causes, internal audit is positioned to see beyond the current crisis.

• **Speak truth to power.** Don’t hesitate to speak up if you see mistakes or incorrect assumptions being made. Remember, no one in your C-suite has ever seen a Technicolor swan, either. I have been a CEO for more than 11 years, yet I wake up every morning surprised by how unprecedented the circumstances are. I assure you that I am not the only CEO who feels that way.

The pandemic is the first significant test of how internal audit will shape its future in the coming decade. How we perform now, and how we are able to demonstrate our value to our organizations, will be crucial — not just for our prosperity, but perhaps for our very survival.

A final thought: I believe the pandemic is pulling back the curtain to show us a glimpse of the future. It has put on display the amazing speed of emerging risks; the global interconnectedness of business, industry, and society; and how we react to adversity as a global community. As practitioners in a profession that is risk-centric, we should glean as many lessons as possible from this trial.

**Vision University**

As global tensions and timely issues heighten internal audit as a critical component for an organization’s success, it is imperative that new chief audit executives (CAEs) or audit leaders are equipped with a strong foundation that prepares them to face the challenges their role presents.

To help you meet these expectations, The IIA developed Vision University (VU) — an immersive training experience for those who have recently joined, or those who are preparing to join, the highest rank of the internal audit profession.

Click [here](#) to obtain more information about the program and to apply today.