IN THIS ISSUE:

President’s Message 1
Chapter News & Announcements 2
Financial Services Center 3
Gold SRD, John Hall, Chattanooga Chapter Webinars 4
Chapter Events 5
Chapter Achievement 6
IIA News, Blogs, Webinars 7
Cancellation Policy 8
Officers and Board of Governors 8

Dear Chapter Members,

We hope you and your loved ones are staying safe and are establishing new routines as we get used to the current working environment. On pages 3, 4, and 7, we have identified several opportunities to attend virtual trainings over the next few months. We hope you can benefit from the available virtual trainings until we kick off our in-person meetings beginning September 2020. Our planned programming for the upcoming Chapter year is displayed on page 5.

We are seeking a volunteer for the Secretary officer position in the 2020 – 2021 Chapter year. Please email the East Tennessee Chapter Officers at chapter85@iiachapters.org for additional information. We are approaching the end of our Chapter term, and will be emailing Officer nominations for membership vote.

Thank you.

Lindsey P. Shepherd
CALL FOR SECRETARY CANDIDATE!

The IIA East Tennessee Chapter is still looking for a Secretary candidate to serve beginning with the 2020-2021 Chapter Year.

Please contact us via the Chapter email to learn more.
chapter85@iiachapters.org

CALL FOR UT PROMISE MENTORS!

The University of Tennessee has asked that we share with you their call for UT Promise Mentors.

Mentors will be paired with two to five students and will be asked to spend a total of one hour per month with each mentee. Mentors are asked to serve for a two-year period. UT faculty and staff will be paired with freshman and sophomores, while UT alumni and friends will be paired with junior and seniors. Trainings will be provided, as well as access to an online mentoring system that will make it easy for mentors to engage and support students.

For consideration, submit a UT Promise Mentor Application. The application deadline to be matched with a mentee for Fall 2020 is May 1.

INTERNATIONAL INTERNAL AUDIT AWARENESS MONTH

May Is International Internal Audit Awareness Month!

As an internal audit professional, you play an important role in raising awareness and elevating the profession. Whether you are an active IIA member or new to internal auditing, there’s something you can do to raise awareness.

For example, you can customize your email signature and social media accounts with the International Internal Audit Awareness Month digital icon (depicted at right). You can hold a lunch-and-learn in your workplace to dispel myths about internal auditing and explain the value that a well-resourced, independent internal audit function can provide. You can also distribute sweet treats or tokens to coworkers with an educational flier about the profession.

Don’t let the opportunity pass to advocate the importance of internal auditing to your coworkers and other stakeholders. For additional ideas, sample programs, tips, and templates, download the free Building Awareness Toolkit from The IIA’s website.
Established in June 2015, the Financial Services Audit Center is designed to address the specific needs of the financial services auditor.

Financial services auditors include audit professionals in the banking, asset management, and insurance sectors and any enterprise that engages in wealth management and protection. Within this heavily-regulated industry, auditors face unique and complicated challenges to mitigate the risks facing their organizations and their clients. The Center represents The IIA’s commitment to the financial services industry by offering unique and meaningful content to service the needs of the industry group representing nearly 25 percent of its membership base.

Mission

The mission of the Center is to advance the professional practice of auditing in the financial services industry through thought leadership, education, professional guidance, and advocacy.

Activities in support of this mission include, but are not limited to:

- Beneficial, cost-effective financial services training.
- Outstanding educational products and research.
- Information of interest through ongoing communication.
- Networking opportunities.

Upcoming Member Webinars

May 7  
**Utilizing Resources and Technology to Advance Internal Audit to Solve Company Problems**

Join AuditBoard’s Director of Solutions Advisory Services Scott Madenburg and Protiviti’s Eric Groen as they discuss how data analytics and new technology can enable audit to validate a department’s need for resources to fix an issue. This session will discuss best practices for effectively integrating data analytics into an audit program, and explore future possibilities for leveraging artificial intelligence (AI) and robotics!

June 2  
**Model Risk Management**

Effective management of model risk is one key to a financial services organization’s success and is a focus of regulators across the globe. Are you familiar with model risk management components and concepts? What is internal audit’s role in assessing model risk management activities? How can internal audit fulfill its role in a way that aligns with IIA standards and the size of their organization? Join Stacey Schabel, North American audit director for Jackson National Life Insurance Company, as she examines best practices related to managing model risk.

August 6  
**Governance Over AI and Robotics**

Financial organizations have spent millions of dollars to secure software, train and hire exceptional personnel, and establish strong operational programs in the Lines of Business. However, how do you examine Machine Learning and institute a well-equipped Audit Program for Robotics to ensure full coverage and mitigate the risk with these emerging technologies? As the business continues to evolve their processes and enter into more unconventional endeavors to drive revenue and keep pace with competitors, internal audit also needs to be innovative and cutting-edge in order to protect the organization.
Due to the unprecedented circumstances that all of us are now experiencing, Danny Goldberg and GoldSRD are offering webinars of our most popular/new courses. Each course is $25 per person and run 60 minutes each (one NASBA CPE hour credit). Sign up on the GOLD SRD website.

April 22 (Noon CST) – Business Continuity Planning – Session will take attendees through leading practices in BCP and how COVID-19 will impact plans moving forward.

April 29 (Noon CST) – Crisis Management – Session will take attendees through leading practices in Crisis Management and how COVID-19 will impact plans moving forward.

John Hall Fraud Training

April 22 (11am EST)  Fraud Red Flags, Indicators & Symptoms
                        2 CPEs in Auditing            $29.00

May 6 (11am EST)     10 Common Mistakes in Fighting Business Fraud
                        2 CPEs in Accounting          $29.00

May 20 (11am EST)    Business Ethics 2020: Challenges, Risks & Response
                        2 CPEs in Behavioral Ethics   $29.00

IIA Chattanooga Chapter

April 21 (12-1:45pm EST)  Ethics and the Human Variable with Jay Taylor
                        2 CPEs in Behavioral Ethics  No cost. Register by noon on 4/16

Companies focus so much attention on creating compliance policies to mitigate risks. They develop codes of conduct to ensure employees’ mindsets are aligned with their company’s mission, values, and processes. However, each employee is equipped with their own value system, which may be at odds with the one set by their employer. This session will discuss ways in which the human element can disrupt even the best developed policies and processes and look at ways to diminish those disruptions.
<table>
<thead>
<tr>
<th>Date</th>
<th>Title</th>
<th>Speaker</th>
<th>Venue</th>
<th>Fee</th>
<th>CPEs</th>
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</thead>
<tbody>
<tr>
<td>SEP 17</td>
<td>Standards for Tennessee CPAs—State Specific Ethics</td>
<td>Dr. Perry Moore</td>
<td>TBD</td>
<td>$TBD</td>
<td>2 CPEs</td>
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<tr>
<td>OCT TBD</td>
<td>Using Data Analytics to Detect Fraud</td>
<td>ACFE Speaker</td>
<td>Rothchild’s</td>
<td>$TBD</td>
<td>8 CPEs</td>
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<td>NOV 12</td>
<td>Topic to be announced</td>
<td>FBI Speaker</td>
<td>UT Culinary Institute &amp; Creamery</td>
<td>$TBD</td>
<td>2 CPEs</td>
</tr>
<tr>
<td>DEC 3</td>
<td>Agile Auditing, AI/RPA, and IT Auditing for Non-IT Auditors</td>
<td>Danny Goldberg</td>
<td>Rothchild’s</td>
<td>$150</td>
<td>8 CPEs</td>
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<tr>
<td>JAN 12</td>
<td>The Politics of Internal Auditing</td>
<td>Steve Goepfert</td>
<td>UT Culinary Institute &amp; Creamery</td>
<td>$30</td>
<td>2 CPEs</td>
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CHAPTER ACHIEVEMENT PROGRAM (CAP)

The Chapter Achievement Program (CAP) is an achievement/recognition program for chapters that uses points to recognize chapter activities that align with The IIA’s North American Strategic Plan in four service categories:

- **Chapter Health**—Focusing on items from the chapter’s reporting calendar and chapter standards.
- **Service to Members**—Focusing on growing our chapter membership, volunteers, certifications and accounts for programming that we offer our members.
- **Professionalism**—Focusing on giving back to the internal audit profession.
- **Leadership Development**—Focusing on the development of local leaders through online training and cross-leader collaboration.

HOW OUR CHAPTER MEMBERS CAN CONTRIBUTE TO OUR SUCCESS

The IIA’s East Tennessee Chapter appreciate your involvement with the internal audit profession. Under the “Professionalism” category of CAP, our members can help the chapter meet its goals by:

- Attending a Chapter event.
- Volunteering with The IIA East Tennessee Chapter.
- Being nominated or appointed to a committee of The IIA.
- Hosting an internal audit event at work (“Lunch and Learn”).
- Meeting with a legislator or local politician to discuss The IIA, legislation, etc.
- Conducting an unpaid speaking engagement inside or outside of the US, Canada or Caribbean.
- Earning an IIA certification.
- Publishing an article in a professional journal or Internal Auditor magazine.

JUNIOR ACHIEVEMENT INVOLVEMENT

Do you volunteer with Junior Achievement? Our chapter receives chapter achievement points for these types of activities, too! Please contact Lindsey Shepherd at chapter85@iiachapters.org if you participated.

CAP LEVELS AND CHAPTER PROGRESS

(as of Mar 2020)

- **CAP LEVELS**
  - BRONZE—685 Points
  - SILVER—1,060 Points
  - GOLD—1,560 Points
NEWS FROM IIA HQ:
2020 Pulse of Internal Audit Uncovers Critical Gaps in Risk Coverage
The IIA Releases New Practice Guide on Auditing Credit Risk Management
NEW! Global Knowledge Brief, Data Ethics—Where does internal audit fit?
NEW! Global Knowledge Brief, “EHS Planning for COVID-19 and Beyond”
Nominate a 2020 Emerging Leader Now
NEW! Global Knowledge Brief, “Remote Auditing for COVID-19 and Beyond”

RICHARD CHAMBERS’ BLOGS:
Pandemic and Looming Recession Demand Internal Audit Step Up
Initial Pandemic Responses Didn’t Leverage Internal Audit

STAY CONNECTED
Stay in the loop with Chapter events by following us on LinkedIn and bookmarking our Chapter website.

MEMBER WEBINARS:
April 22 (No CPEs)
New Member Webinar
June 16
Ransom Attack: What Happens Next?

SPECIALTY CENTERS AVAILABLE NOW TO ALL MEMBERS
The IIA wants to make certain you continue to have access to leading resources, training, and networking opportunities. This means, in addition to the array of many important offerings you’ve come to rely on, you will now also have access to premium content. The IIA’s Financial Services, Public Sector, and Environmental, Health & Safety Audit Centers will now be included with membership, giving you preferred access to industry-specific webinars, Knowledge Briefs, and more at no additional charge. Visit the Specialty Centers page to learn more.

NEW CCMS LAUNCHED
The newly updated Certification Candidate Management System (CCMS) launched on March 23, 2020. The new system streamlines the certification application process, integrates single sign-on and offers an improved user experience. See the CCMS updates made via this page: Access CCMS.

IIA CONFERENCES

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
<th>Location</th>
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<tbody>
<tr>
<td>Jul. 20-22</td>
<td>IIA International Conference</td>
<td>Miami</td>
</tr>
<tr>
<td>Sep. 14-15</td>
<td>Financial Services Exchange</td>
<td>Washington, DC</td>
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<tr>
<td>Sep. 16-17</td>
<td>Women in Internal Audit Leadership Forum</td>
<td>Washington, DC</td>
</tr>
<tr>
<td>Nov. 2-4</td>
<td>All Star Conference</td>
<td>Las Vegas</td>
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IIA INSTRUCTOR-LED CIA COURSES
Online and in-person courses are available. Visit The IIA’s Learning & Events webpage for more information.

CONTACT US
chapter85@iiachapters.org
MEETING AND SEMINAR CANCELLATION POLICY

Our Cancellation Policy is intended to keep cost low for attendees. Unless specifically stated for the event, our Cancellation Policy is as follows:

Cancellation requests must be submitted via Modify Registration Page (link provided in Confirmation Email). No refunds or credits will be issued for cancellation requests received within three business days from the start of the event. Event “no-shows” will not be provided a refund or credit.

If the “Pay at Door” method of payment is selected and registration is not canceled within the required time period, you will owe the registration amount and be invoiced after the event. Substitutions are encouraged.

CHAPTER OFFICERS

President
Lindsey Peresich Shepherd
Home Federal Bank of TN

Vice President
Amanda Chandler
Clayton Homes

Treasurer
Laura Sheppard
PYA

Secretary
Miriam Lara
University of Tennessee

BOARD OF GOVERNORS

April Bailey
Vinnie Beichler
Leigh Cheek
Andrea Griffitts
Gail Lewis
Patty Lowe
Tracy Riggins
Philip Schmidt

Contact us to find out about available volunteer opportunities!
chapter85@iiachapters.org