Dear Chapter Members,

Happy New Year!

We hope 2020 is off to a great start. The new year will kick off with a seminar provided by LBMC on Cybersecurity and Microsoft Power Platforms held at Rothchild’s on January 23. On February 13, the Chapter welcomes Paul Arab from Home Federal Bank who will be speaking on Soft Skills for Auditors at UT’s Culinary Institute and Creamery.

Our March 5 CAE Roundtable will be moderated by Paul Arab followed by a 2 hour session on Compliance Programs and Automation Initiatives presented by Case Mosby and Matthew Rekers from Clayton Homes.

We are looking ahead to the 2020 – 2021 Chapter year and have Chapter Officer volunteer opportunities available. Please contact any Chapter Officer for additional information at chapter85@iiachapters.org.

We hope to see you at an IIA East Tennessee Chapter event soon.

Lindsey P. Shepherd
President
**In-process CIA Candidates, please check the table below to see how updates to the CIA program eligibility window may affect you.**

To align with the three-part CIA exam, the CIA program eligibility window has been adjusted from 4 years to 3 years. This reflects the amount of time typically required to complete the certification process. Candidates who are already approved into the program prior to September 1, 2019 will maintain a 4-year program window. Candidates approved into the program on or after September 1, 2019 will have 3 years to complete the program. Candidates can still request a one-year extension.

In addition, effective September 1, 2019, the waiting period to retake an exam will be shortened from 90 to 60 days. As long as it is still within the program eligibility window, candidates can retake the exam after waiting 60 days.

The following are candidate scenarios related to these changes to program eligibility and exam retake windows.

<table>
<thead>
<tr>
<th>Candidate Scenarios</th>
<th>Recommendation for Candidate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Candidate was approved into the CIA program PRIOR to 1 September</td>
<td>Candidate has 4 years from application approval to complete the CIA program.</td>
</tr>
<tr>
<td>Candidate was approved into the CIA program AFTER 1 September</td>
<td>Candidate will have 3 years from application approval to complete the CIA program.</td>
</tr>
<tr>
<td>Candidate expired out of the CIA program PRIOR to 1 September, reapplied and was approved PRIOR to 1 September</td>
<td>Candidate will have 4 years to complete the CIA program.</td>
</tr>
<tr>
<td>Candidate expired out of the CIA program PRIOR to 1 September, reapplied and was approved AFTER 1 September</td>
<td>Candidate will have 3 years to complete the CIA program.</td>
</tr>
<tr>
<td>Candidate expired out of the CIA program AFTER 1 September</td>
<td>If candidate reapplies to the program, candidate will have 3 years to complete the CIA program.</td>
</tr>
<tr>
<td>Candidate passed a CIA exam part PRIOR to 1 September and wants to take the next CIA exam part</td>
<td>Candidate may schedule their exam anytime.</td>
</tr>
<tr>
<td>Candidate passed a CIA exam part AFTER 1 September and wants to take the next CIA exam part</td>
<td>Candidate may schedule their exam anytime.</td>
</tr>
<tr>
<td>Candidate failed an exam AFTER 1 September and wants to retake the exam</td>
<td>Candidate has a 60-day waiting period to retake the CIA exam.</td>
</tr>
</tbody>
</table>
IIA Announces CRMA, Internal Audit Practitioner Updates  
*New Exams Ensure Relevance and Validity for Professional Designations*

LAKE MARY, Fla. (Nov. 19, 2019) — The Institute of Internal Auditors (IIA), the internal audit profession’s most widely recognized advocate, educator, and provider of standards, guidance, and certifications, today announced changes to the Certification in Risk Management Assurance (CRMA) and Internal Audit Practitioner programs for 2020 to meet the evolving demands for the professional practice of internal auditing.

To keep pace with dynamic global risks, The IIA will be relaunching its CRMA exam in October 2020 to reflect the in-depth organizational knowledge and advanced skill sets that are required to succeed in risk management assurance.

The CRMA will include a new exam delivered in English, as well as updated prerequisites and experience requirements. The CRMA, the only risk management assurance certification for internal auditors globally, will be positioned as a career pathway for internal auditors who have achieved the full CIA designation. Prior to the effective date, current CRMA requirements will remain in effect.

Changes to the Internal Audit Practitioner program, scheduled to go into effect March 1, 2020, include implementation of a new exam and waiving of the educational requirement for active Internal Audit Practitioner designation holders applying into the Certified Internal Auditor (CIA) program. In addition, the Internal Audit Practitioner application and registration fees have been reduced. There is no experience requirement for the Internal Audit Practitioner program.

“As the internal audit and risk landscape continues to expand and change, The IIA recognizes the need for the CRMA and Internal Audit Practitioner programs to keep pace,” said IIA President and CEO Richard F. Chambers, CIA, QIAL, CGAP, CCSA, CRMA. “These new exams reflect the latest knowledge of essential internal audit responsibilities and more accurately reflect the advanced level of internal audit and risk management assurance knowledge required in today’s business world.

Please visit the [CRMA page](#) or the [Internal Audit Practitioner page](#) on The IIA’s website for more information, including all changes going into effect in 2020.

**Contact:**
John Babinchak  
+1-407-937-1240/+1-407-325-5560  
John.Babinchak@TheIIA.org

Suzanne Dawson  
+1-646-941-9140  
sdawson@scprgroup.com
IIA Updates the Certification Candidate Management System (CCMS)

**Important news for IIA-Certified Members**

On January 14, The IIA will adopt Single Sign On (SSO) technology for all Certification Candidate Management System (CCMS) users. SSO will allow CCMS users the ability to have one username and password to manage their access to The IIA’s global website and CCMS.

To allow all CCMS users the opportunity to validate their account with their primary email address, an email will be sent to certified members who currently have an active CCMS account.

If you have any questions about the account validation process, please complete an online help form [nam04.safelinks.protection.outlook.com].

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CALL FOR VOLUNTEERS!

The IIA East Tennessee Chapter is looking ahead to the 2020-2021 Chapter Year. A number of volunteer opportunities are available, including:

- Audit
- Membership
- Future Chapter Officer
- Board of Governors candidate
- Newsletter
- Programming for Meetings & Seminars
- Social Media
- Speakers

Please contact us via the Chapter email to learn more.

chapter85@iiachapter.org
Cybersecurity and Microsoft Power Platform Seminar with LBMC
Rothchild’s — $150 8 CPEs

Soft Skills with Paul Arab — UT Culinary Institute and Creamery — $30 2 CPEs

CAE Roundtable — Location: TBD — No charge. 1.5 CPEs

Compliance Program Overview & Automation Initiatives
Case Mosby/Matthew Rekers — Location: TBD — $30 2 CPEs

Agile Auditing, AI/RPA, and IT Auditing for Non-IT Auditors with Danny Goldberg
Rothchild’s—$150 8 CPEs

Internal Audit Awareness Month Luncheon — The Politics of Internal Auditing with Steve Goepfert
Calhoun’s on the River — $40 2 CPEs
CYBERSECURITY AND MICROSOFT POWER PLATFORM SEMINAR

Morning Session: Cybersecurity Topics with LBMC

Evolution of Ransomware  
*Bill Dean*

PCI 4.0  
*John Dorling*

HITRUST for Everyone  
*Stuart Setliffe*

Third Party Risk Management  
*Kathy Vlcek Murray*

Afternoon Session: Empowering Organizations with Microsoft Power Platform with Aaron Kelly

Organizations large and small are learning the value of business-driven process automation and rich insights from analytics. In this informative and interactive session, you will see how organizations are using Microsoft’s low/no-code cloud-based Power Platform to build innovative solutions to drive efficiencies and gain a competitive advantage in the marketplace. Power Platform consists of three independent cloud-based services: Power BI, Power Apps, and Power Automate.

This session is for anyone serving in a business, financial, or information analyst or leadership role, covering the value of impactful data storytelling, process automation, and user-driven workflow solutions.

At the end of this session, attendees will better understand:

- The challenge big data presents to organizations
- The opportunity analytics and automation bring to the modern workplace
- How Power BI can transform data into powerful and stunning data stories that can be shared throughout the organization
- Why Power Apps and what can Power Apps do for my business?
- Robotic Process Automation (RPA) - What is it and why do we need it?
- Power Automate—Transformative process automation, bringing to life otherwise obscure and very manual processes
- Strategy of empowering an organization with the Power Platform capabilities
- Where do I start? Defining the next steps for your company or team

**WHEN:** January 23, 2020

8:00 AM—4:30 PM

**WHERE:** Rothchild Catering

8807 Kingston Pk.

**FEE:** $150

**CPE:** 8 CPEs

**REGISTRATION:**

Registration is available on The IIA East Tennessee Chapter’s website or click the following: [January 2020 Seminar](#)

**CANCELLATION:**

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.
SOFT SKILLS FOR AUDITORS

“Soft skills” play an increasingly important role in the business world today. Hiring managers, recruiters and employers in general are putting more and more emphasis on “soft skills,” but what exactly does that mean? How can auditors learn these skills and apply them to our everyday tasks? Join us for an in-depth discussion of “soft skills” including what areas are covered under the umbrella, explore the hype, and develop use cases. We will cover some very important areas such as listening skills, self-awareness, body language, critical thinking, communication channels, and so much more!

WHEN: February 13, 2020
3-4:40 PM
WHERE: UT Culinary Institute and Creamery (formerly UT Visitor’s Center)
2712 Neyland Dr., Room CIC A/B 12/129
FEE: $30
CPE: 2 CPEs

SPEAKER:
Paul Arab is an officer at Home Federal Bank of Tennessee and oversees the Audit and Advisory Services Department. His duties include managing an audit staff of 6, advising management on internal controls and risk management, and updating the Audit Committee quarterly. He has been with Home Federal for 12 years and lives with his wife and three children in south Knox County.

Paul graduated Summa Cum Laude from East Tennessee State University with a Bachelor of Business Administration, majoring in Economics. Paul holds several certifications and has been awarded both the Elijah Watt Sells award from the AICPA and the William S. Smith Gold Medal Award from the IIA. Paul is also a graduate of the 2018 AICPA Leadership Academy.

Paul has experience in both audit and accounting in the financial services industry. He also has a background in customer service and management, first in retail and then in banking. His primary skills include: Internal Controls, Risk Management, Financial Analysis, and Strategic Planning.

Paul is involved in several professional organizations as well as with local civic and charitable organizations, including the IIA, AICPA, TSCPA (Financial Institutions Committee 2018-2019; Scholarship Awards Committee 2016-2107), and ISACA. He also serves as volunteer treasurer for his church, Gloria Dei Lutheran.

REGISTRATION:
Registration is available on The IIA East Tennessee Chapter’s website or click the following: February 2020 Meeting.

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

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CAE ROUNDTABLE

The IIA East Tennessee Chapter’s CAE Roundtables bring together the senior-most leaders of an organization’s internal audit function for the opportunity to discuss common issues, share ideas and best practices, and to network with peers. The agenda and content is based upon the issues and topics submitted by the attendees in advance of the meeting. Topics discussed at previous CAE Roundtables include:

- Coordination between internal audit and other departments
- Risk assessments and risk management
- Staffing issues, recruiting and retention
- Auditing tools and techniques
- Audit Committee membership, engagement and communication
- Audit performance measurement /metrics

WHEN: March 5, 2020
1:15-3:45 PM

WHERE: TBD

FEE: No charge.

CPE: 1.5 CPEs

REGISTRATION:
Registration is available on The IIA East Tennessee Chapter’s website or click the following: March CAE Roundtable.

TOPIC SUBMISSION:
Please submit potential topics for discussion no later than Friday, February 28, to Paul Arab via email: paul.arab@homefederaltn.com.

CANCELLATION:
Cancellation requests may be submitted via Modify Registration Page (link provided in Confirmation Email).
COMPLIANCE PROGRAM OVERVIEW AND AUTOMATION INITIATIVES

In today’s burdensome regulatory environment, having an effective and productive independent internal audit function is a critical aspect of any compliance management system. In this interactive session, we will explore practical ways you can utilize technology to automate compliance testing and free up time to pursue more strategic activities. We will also discuss ideas about how to close your technical skills gap, mitigate risks with this type of testing approach, and how to coordinate automated test plans between the different lines of defense without compromising independence.

WHEN: March 5, 2020
3-4:40 PM

WHERE: TBD

FEE: $30

CPE: 2 CPEs

SPEAKERS:

Case Mosby joined Clayton in January 2014 and leads an Internal Audit Team responsible for the completion of Federal Law Compliance Audits for 21st Mortgage Corporation, Vanderbilt Mortgage and Finance, Inc., and Silverton Mortgage. Prior to joining Clayton, Case worked for nine years in Retail Banking, most recently for BB&T. In addition to leading the compliance team, Case is interested in the use of technology and data analytics and how they can provide benefits for internal audit.

Case holds a bachelor’s degree in accounting from Columbia College and is a Certified Internal Auditor. Case received the William B. Smith Certificate of Honor from the Institute of Internal Auditors. Case loves all things BBQ, traveling, and spending time with his wife Kathryn, and son Hudson.

Matthew Rekers joined Clayton Internal Audit in December 2017. Matthew has a B.S. in Business Administration with a major in Accounting from the University of South Carolina and a Master of Business Administration from Winthrop University. He is a Certified Public Accountant, Certified Internal Auditor, and Certified Information Systems Auditor. Matthew has spent over 7 years in Internal Audit from Ryder Systems, Inc. headquartered in Miami, FL as a Staff Auditor to a Co-director of Internal Audit for the Seminole Tribe of Florida performing and overseeing compliance, operational, financial, and IT audits for the Tribe’s seven casino operations, hotel, food and beverage, and retail outlets. He moved to Knoxville in 2013 and joined PYA as a Senior Auditor in their Audit and Assurance Group. He quickly became the Director of ALTA Best Practices Services Group, a new service line that he helped develop servicing the title and settlement industry.

REGISTRATION:

Registration is available on The IIA East Tennessee Chapter’s website or click the following: March 2020 Meeting.

CANCELLATION:

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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

Did you attend the Blind Pig 2019 fundraiser to support Junior Achievement of East Tennessee on 8/3/19? 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 Dec 2019)
CAP LEVELS
BRONZE—685 Points
SILVER—1,060 Points
GOLD—1,560 Points

1180 POINTS
NOW AVAILABLE ON THE IIA WEBSITE

IIA Quality Services has released new Insights to Quality: How the Balanced Scorecard Supports Successful Internal Audit Practices, to help promote continuous process improvement. This quick-reference tool outlines four Standards that focus on the benefits of developing a balanced scorecard.

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Internal Audit Foundation and Deloitte Report: Moving Internal Audit Deeper into the Digital Age Part 1: A Structured Methodology for Leveraging Automation. Part 1 provides internal audit leaders with perspectives on the impact of robotic process automation (RPA) and cognitive intelligence (CI) and machine learning capabilities to handle high-volume, repeatable tasks that previously required humans to perform. These tasks can include, but are not limited to, queries, calculations, and maintenance of records and transactions.

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Global Perspectives and Insights Report: Optimizing Talent Management in an Evolving Audit Landscape. The IIA’s new report explores the evolving challenges organizations are facing when trying to recruit and retain top internal audit talent. It discusses factors like the expanded ground internal audit is charged with covering as well as issues that compound the situation, like technology advancements and tech-based risks.

SPECIALTY CENTERS UPDATE

The IIA has announced that all IIA members will have access to the Financial Services Audit Center, the Environmental, Health & Safety Audit Center, the Public Sector Audit Center, and the Gaming Audit Center, beginning in March 2020.

The Audit Executive Center will remain an add-on to your base membership

Don’t Forget to Earn & Report Your CPEs

The 2019 CPE/CPD reporting window is now open. To report your CPEs, visit The IIA’s website:
The IIA CPE Reporting
MEMBER NEEDS SURVEY
—OUR CHAPTER CAN EARN 300 CAP POINTS FOR YOUR PARTICIPATION—

The IIA sent a Member Needs Survey to members on December 10, 2019, with a reminder email sent on January 13, 2020. The email came from ResearchInsights@iia-communications.org. The email may be routed to a Junk folder or an email quarantine. To request a personalized link, if you did not receive these emails, send a survey request email to Research Insights@theiia.org. Your feedback is greatly appreciated and will be used by the IIA to refine the IIA’s strategic goals and objectives for Chapter management and engagement. If 30 East Tennessee Chapter members participate, the Chapter will earn 300 CAP Points! **The survey deadline is Tuesday, January 21, 2020. We need 5 more responses to earn 300 CAP Points!**

RICHARD CHAMBERS’ BLOGS:

IIA Takes a Principled View of Corporate Governance

10 Events That Defined the Past Decade for Internal Audit

My Top Internal Audit Blog Posts of 2019: Self-awareness and a Little Humor

From the Epicenter of Corporate Governance, Internal Audit Exposes Weaknesses

MEMBER WEBINARS:

January 21
Data Ethics

February 18
IT Change Management

March 17
A Plan for Regulatory Change

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

CONTACT US
chapter85@iiachapters.org

IIA CONFERENCES

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>2020 Mar. 16-18</td>
<td>General Audit Management (GAM)</td>
<td>Dallas/Ft. Worth</td>
</tr>
<tr>
<td>2020 Jul. 20-22</td>
<td>IIA International Conference</td>
<td>Miami</td>
</tr>
<tr>
<td>2020 Sep. 16-17</td>
<td>Women in Internal Audit Leadership Forum</td>
<td>Washington, DC</td>
</tr>
<tr>
<td>2020 Nov. 2-4</td>
<td>All Star Conference</td>
<td>Las Vegas</td>
</tr>
</tbody>
</table>

IIA INSTRUCTOR-LED CIA COURSES

Online and in-person courses are available. Visit The IIA’s Learning & Events webpage for more information.
MEETING AND SEMINAR CANCELLATION POLICY

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CHAPTER OFFICERS

President
Lindsey Peresich Shepherd
Discovery, Inc.

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
Knoxville Chapter Association of Certified Fraud Examiner Presents:

**OUR WINTER ONE DAY SEMINAR**

**INVESTIGATING CONFLICTS OF INTEREST**

Conflicts of interest can present significant fraud risks for corporations, government agencies, fiduciaries, customers and suppliers. It is also one of the most difficult areas of fraud to investigate and obtain adequate evidence. Improper investigations can create counterclaims and civil actions against organizations and fraud examiners.

In this class, gain an understanding of how and why conflicts arise and how to spot the warning signs of a conflict of interest, plus leave with an understanding of issues specific to these types of engagements.

**FEATURING: MARY BRESLIN, CIA, CFE**

JANUARY 21, 8:00 a.m. – 4:30 p.m.
Calhoun’s on the River – 400 Neyland Drive, Knoxville, TN

Participants will learn to:

- Implement investigative techniques for conflict of interest engagements
- Conduct the flow of conflict of interest investigations
- Deal with witnesses and the legal implications of these unique investigations
- Prepare witness statements, documents and electronic evidence
- Obtain appropriate evidence and preserve it to build a conflict of interest case

**Registration**

Registration is available at [www.acfeknoxville.org](http://www.acfeknoxville.org) or by phone at 865-680-2682

**Registration fees:**

- $125.00 for Knoxville Chapter ACFE Members
- $140.00 for non-members (pre-registration)
- $150.00 for non-members day of event

Breakfast and lunch will be served.

Conference participants can earn up to 8 CPE credits.

See our website [www.acfeknoxville.org](http://www.acfeknoxville.org) or our Facebook page (ACFE Knoxville Chapter #138) for details.
Mary Breslin, CIA, CFE  
Founder & Managing Partner  
Verracy

Mary Breslin is the Founder of Verracy and specializes in Internal Audit transformations, Operational and Financial Auditing, Fraud Auditing & Investigations, and Corporate Accounting.

Ms. Breslin’s career spans over 20 years in Internal Auditing, Management and Accounting for companies such as ConocoPhillips, Barclays Capital, Costco Wholesale, and Boart Longyear. With significant International experience, she has managed audit programs in more than 50 countries.

Most recently, Ms. Breslin held the title of Vice President and Chief Audit Executive where she transformed a checklist audit function into a value-add audit department delivering measurable business results. Mary was an early adopter of analytics and has been utilizing data analytics in her career in both audit and fraud work for over 15 years. Through her expertise, she has helped large global organizations leverage analytics to increase coverage, automate continuous auditing and monitoring, and actively fight fraud. Additionally, Ms. Breslin has conducted major fraud investigations on multiple continents including large scale federal cases.

Ms. Breslin attended Rutgers University and received an MBA from the University of Phoenix while living and working overseas. She is a member of the Institute of Internal Auditors (IIA), American Institute of Certified Public Accountants (AICPA), ISACA, the Society of Corporate Compliance (SCCE), and the Association of Certified Fraud Examiners (ACFE) and is currently an instructor and conference speaker for the IIA, The ACFE and ISACA.

**Those who should attend:** Experienced Investigators, Procurement Officers, Governance, Risk Management & Compliance Officers, Human Resource Managers, Internal & External Auditors, Forensic Accountants Controllers, CPAs and other accounting professionals, Government Auditors & Investigators, Certified Fraud Examiners and other anti-fraud professionals

**Conference Policies**

Requests for refunds must be received in writing by **January 16, 2019** - Cancellations received after **January 16, 2019**, are subject to a $50.00 cancellation fee. No refunds will be granted for cancellations received on or after the day of the event.

For more information regarding refund, complaint and/or program cancellation policies, please contact us at 865-680-2682

**Additional Information**

There are no prerequisites for attending this seminar.

No advanced preparation is necessary for this course.

Course Level - Intermediate  
Delivery Method - Group-live

Knoxville Chapter – ACFE is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have the final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: [www.learningmarket.org](http://www.learningmarket.org)