Dear Chapter Members,

The East Tennessee IIA Chapter is committed to the health & safety of our members. As we closely monitor the developments regarding the novel coronavirus (COVID-19), the Chapter Officers and Board of Governors have decided to cancel the two remaining continuing education events through May 2020.

We are in the process of scheduling continuing education events for the remainder of 2020, and have included an updated programming calendar on page 4.

We appreciate your continued support of the Chapter. If you have any questions, please contact our Chapter officers at Chapter85@IIAChapters.org.

Sincerely,

Lindsey Shepherd  
President
CALL FOR VOLUNTEERS!

The IIA East Tennessee Chapter is still looking for Officer candidates 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.
The IIA’s Audit Executive Center (AEC) is an exclusive member-based resource for chief audit executives (CAEs), enabling them to be more successful and relevant in all that they do. For over seven years, the AEC has assisted CAEs in responding to the unique challenges, emerging risks, and increasing demands of the internal audit profession.

Mission

The mission of the AEC is to remain the essential resource for CAEs by providing exclusive leadership development, training, networking opportunities, solutions-based content, and benchmarking tools, enabling CAEs to be more successful, empowered, connected, and relevant in all that they do.

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

- Timely, insightful, solution-based thought leadership.
- Audit Intelligence Suite with benchmarking reports to gauge your audit function performance, skills assessments to evaluate team members’ proficiency, and surveys to gain stakeholder feedback.
- Networking opportunities.
- Beneficial, cost-effective training for CAEs.
- Information of interest through ongoing communication.

Join the Center

With approximately 600 members, the Center is a comprehensive program for CAEs from a variety of industries and organizations of all sizes across the globe. Three levels of membership are offered, containing a variety of benefits allowing you to choose the program best suited for you and your internal audit function.

Center Benefits

Learn more about the benefits you receive as part of your Center membership. Three levels of membership are offered — Essential, Expanded, and All Access — each designed to serve your unique internal audit function needs.

LEARN MORE

Center Leadership

The Audit Executive Center is led by Harold Silverman, Managing Director, CAE Services, and supported by an Advisory Council of experienced internal auditor volunteers.

MEET OUR LEADERS
Due to the unprecedented circumstances that all of us are now experiencing, Danny Goldberg and GOLD SRD 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.

**March 25th (Noon CST)** – *CIA: Continuously Iterative Audit* – Session will take attendees through the modified agile auditing approach that was taken at two clients (Markel Corporation and McDermott). This session was scheduled for the IIA GAM Conference before live sessions were canceled.

**April 1st (Noon CST)** – *Internal Audit Best Practices and Fundamental Principles* – Session will take attendees through a high-level view of leading practices in internal audit.

**April 8th (Noon CST)** – *People-Centric Skills 2.0* – Session will take attendees through a preview of Danny M. Goldberg’s new book, due out in July. Topics include Emotional Intelligence, Determining the Optimal Mode of Communication, Crisis Management and Thinking Quickly on Your Feet.

### FUTURE EVENTS

<table>
<thead>
<tr>
<th>Date</th>
<th>Topic</th>
<th>Speaker</th>
<th>Location</th>
<th>Price</th>
<th>CPEs</th>
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<tr>
<td>SEP 17</td>
<td>Standards for Tennessee CPAs—State Specific Ethics</td>
<td>Dr. Perry Moore</td>
<td>Rothchild’s</td>
<td>$TBD</td>
<td>2</td>
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<tr>
<td>OCT TBD</td>
<td>Using Data Analytics to Detect Fraud</td>
<td>ACFE Speaker</td>
<td>Rothchild’s</td>
<td>$TBD</td>
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<tr>
<td>NOV 12</td>
<td>Topic to be announced</td>
<td>FBI Speaker</td>
<td>UT Culinary Institute &amp; Creamery</td>
<td>$TBD</td>
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<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>
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<td>JAN 12</td>
<td>The Politics of Internal Auditing</td>
<td>Steve Goepfert</td>
<td>UT Culinary Institute &amp; Creamery</td>
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CH**AP**ER 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 Feb 2020)

**CAP LEVELS**
- BRONZE—685 Points
- SILVER—1,060 Points
- GOLD—1,560 Points
IIA Transfers EHS Certifications to BGC

**IIA focuses on core professional certifications for internal auditors;**
**BGC is premier organization for Environmental, Health and Safety credentialing**

LAKE MARY, Fla. (March 4, 2020) — The Institute of Internal Auditors (IIA) and the Board for Global EHS (environmental, health and safety) Credentialing (BGC) announced today that their governing bodies have agreed to transition the Certified Professional Environmental Auditor (CPEA) and Certified Process Safety Auditor (CPSA) certifications from The IIA to the BGC. Both credentials are under the Board of Environmental, Health & Safety Auditor Certifications (BEAC) and encompass five specialties:

- Environmental Compliance
- Health and Safety
- Management Systems
- Responsible Care
- Process Safety

Practitioners holding the CPEA and CPSA will join a family of respected EHS credential and designation holders already under the BGC umbrella, which include the Certified Industrial Hygienist (CIH), the Qualified Environmental Professional (QEP), and the Environmental Professional Intern (EPI). Application and testing for the new Certified Professional Product Steward (CPPS) credential is also scheduled to begin in 2020. This transition provides EHS professionals with access to a wider range of credentials and designations for improving public protection.

The IIA will continue to provide support to its members with insightful and topical EHS-related content and programs to support their activities in environmental compliance and to demonstrate proficiency in key elements of health and safety audits.

“The Board for Global EHS Credentialing is the premier global credentialing body for professionals who protect the health of people and the environment,” said IIA President and CEO Richard F. Chambers, CIA, QIAL, CGAP, CCSA, CRMA. “While BGC will take charge of these important certifications, The IIA will continue our focus on professional internal audit credentials, particularly our flagship Certified Internal Auditor (CIA). These offer a critical step to not only sharpen important skills and proficiencies, but also increase career advancement and earnings potential.”

Added Cynthia Hanko, CIH, Chair of the Board for Global EHS Credentialing, “The leadership of BGC and BEAC recognized the synergies in their respective practice fields and have resolved to bring that spirit to the operations and outreach of their credentials moving forward, resulting in improved public recognition of credentialed-practitioners and better public protection.”

For any questions about your program, to determine the status of your program, or to reinstate your certification, please contact BEAC@theiia.org.

About the Board for Global EHS Credentialing

Originally founded in 1960 as the American Board of Industrial Hygiene, the mission of the Board for Global EHS Credentialing (BGC) is to be the leader in offering credentials that elevate the technical and ethical standards for professionals practicing the science of evaluating, protecting, managing, and enhancing the health and safety of people and the environment. BGC’s credentialing divisions offer the Certified Industrial Hygienist credential (CIH), Qualified Environmental Professional credential, Environmental Professional In-Training designation, and in 2020, the Certified Professional Product Steward credential. Currently, more than 7,600 people around the world hold a BGC credential or designation. For more information, visit www.EHSCredentialing.org.
MEMBER WEBINARS:

April 7
Environmental, Social and Corporate Governance and its Growing Importance to Corporate Boards

April 22
New IIA Member Webinar: Learn How to Take Advantage of All Your Benefits

June 16
Ransom Attack: What Happens Next?

RICHARD CHAMBERS’ BLOGS:

New NIST Privacy Framework: A Tailor-made Resource for Internal Audit

After 440 Blogs, There is One Topic I Dread Most

10 Signs Trouble May Be Brewing for the CAE and Internal Audit

A QAR Should Never Be Weaponized Against Internal Audit

In the Face of the Coronavirus, Internal Auditors Must Do More Than Don Masks

Coronavirus: Life and Death at the Speed of Risk

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.

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

2020
Jul. 20-22
IIA International Conference
Miami

Sep. 14-15
Financial Services Exchange
Washington, DC

Sep. 16-17
Women in Internal Audit Leadership Forum
Washington, DC

Nov. 2-4
All Star Conference
Las Vegas

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

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 cancel- lation 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
Trust Your Quality
to the Experts

Expertise, Resources, and Services to Support Your Quality Assurance and Improvement Program

www.theiia.org/Quality
Qualified, Trusted, and Independent

With quality at the core of everything we do, our mission is to elevate the professionalism within internal auditing. Proper elevation begins and ends with alignment of The IIA’s *International Standards for the Professional Practice of Internal Auditing*, Core Principles, and the Code of Ethics.

Based on IIA Quality Services’ progressive knowledge in the IIA methodology — the *Quality Assessment Manual* — our external quality assessment evaluates levels of conformance to the *Standards* and goes beyond to provide for continuous improvement of your internal audit activity to the level of strategic business partner and valued contributor.

Our assessment process identifies improvement opportunities, counsel to the chief audit executive (CAE) for successful practice implementation, as well as promoting the credibility of the internal audit activity with your stakeholders.

Quality Expertise

As a trusted source in the profession with years of internal audit experience and a deep understanding of the implementation and methodology of the *Standards*, IIA Quality Services assists CAEs in gaining support from the audit committee through an understanding of how an external quality assessment is necessary and valuable.

Organizations around the world have enlisted our experts to provide readiness assessments — roadmaps for developing a quality assurance and improvement program (QAIP), full scope external assessments or validations of self-assessments — meeting the requirement of Standard 1312 to conduct an external assessment once every five years.

As part of our process, we have developed a wealth of global knowledge to benchmark your internal audit activity with similar organizations, address the profession’s latest trends and challenges, and offer a maturity analysis of your internal audit quality capability.

We maintain an expert team of quality assessors who have excellent credentials and many years of combined experience performing external quality assessments (EQA) to implement our process. These audit professionals are recognized quality assessment leaders. They guide internal audit practitioners in collaboration with The IIA’s methodology to perform our assessments for Fortune 500 companies, government agencies, and small businesses, in a wide variety of industries across the globe. Our trusted experts use a consultative approach and share their extensive knowledge and insight regarding effective practices for internal audit activities.
Quality Services

It is essential to validate and continuously improve the internal audit activity in an effort to enhance effectiveness and efficiency. IIA Quality Services’ mission is to elevate conformance with the Standards and the professionalism within internal auditing by providing knowledge resources and quality assessment services to internal audit activities.

There are steps to developing and maintaining your QAIP. IIA Quality Services is here to support your conformance with the Standards, provide counsel, and help prepare internal audit activities for future challenges:

1. **Readiness Assessment** – Identifies risks to conformance with Standards, provides a baseline for new CAEs, and support for creating a successful QAIP.

An independent readiness assessment (gap analysis) is focused on the internal audit activity’s current level of conformance with the Standards, and then offers recommendations for remediation of identified gaps to the IPPF. It can also identify efficiency and effectiveness opportunities.

2. **Self-assessment with Independent Validation (SAIV)** – Approach meets the requirements of the Standards for an external assessment once every five years.

Independent external assessor reviews and substantiates the work of organization’s internal self-assessment team and alignment with the Standards via on-site visit, interviews, via internal audit report signoff or issuance of disparities report.

3. **Quality Assessment (QA)** – The most comprehensive approach supports not only conformance, but provides an objective assessment of your internal audit activity’s effectiveness.

An independent assessment team of experts conducts surveys, interviews, and workpaper reviews leading to a documented opinion on conformance with the Standards, any observed opportunities for continuous improvement, and recommendations for adding value to the organization.

IIA Quality Services can support your internal audit activity from implementing to maintaining your QAIP with resources, advice, and assessment services. Trust the experts at IIA Quality Services.

Quality Resources

In addition to performing external assessments, we provide expert advice related to the continuous review and updates to our universally accepted Standards and guidance, as well as step-by-step instructions for implementing a strong foundation for your QAIP such as:

- Guidance updates and downloads.
- **Quality Assessment Manual**.
- Models (activity, committee, and management).
- Presentations (implementation of QAIP).

Quality Check!

Browse our library of helpful QAIP tools and resources at www.theiia.org/Quality.
Raise Your Quality IQ

Did you know per Standard 1300, all internal audit activities — regardless of industry, sector, size, or source — must maintain a QAIP that contains ongoing internal assessments and an external assessment performed at least once every five years? It will help you:

1. Evaluate alignment with the Standards.
2. Indicate improvement opportunities.
3. Establish benchmarks and metrics.
4. Promote successful practices.
5. Communicate effectively and as required to stakeholders.
6. Align with internal audit and audit committee charters.
7. Support the organization’s risk and control assessment.
8. Ensure effective use of resources.
9. Provide ongoing evaluations of the internal audit activity.
10. Validate your effectiveness and the value added to the organization.
11. Provide assurance to internal audit stakeholders.
12. Assist your audit committee in understanding and carrying out their roles and responsibilities.

Next Steps

Let IIA Quality Services, LLC be your trusted advisor. Our experts can assist you in your QAIP with resources and expertise through a full line of external quality assessment services: quality assessments, validations of self-assessments, and readiness assessments.

Contact Us

+1-407-937-1399
quality@theiia.org
www.theiia.org/Quality