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Dear Chapter Members,

The October CPE events held were quite successful! On October 2, we held a Student Night at UT-Knoxville with a record number of student attendees from Beta Alpha Psi, AIM Accounting Alliance, and National Association of Black Accountants. Our speakers from Clayton Homes, Discovery, UT-Knoxville, and TVA’s Office of the Inspector General spoke to the students about their paths to becoming internal auditors. Thanks to Barbara from Clayton Homes, Mark from Discovery, Thema from UT-Knoxville, and Leslie from TVA-OIG for making this year’s student night topics intriguing and informative for the attendees. We also had the pleasure of having the ACFE Board of Regents Chair, Ryan Hubbs, present at our Fraud Seminar held at Rothchild’s on October 24.

If you haven’t done so already, please join us in November as we welcome Harold Silverman, IIA’s Managing Director of CAE Services, who will speak on the IIA’s recently published report *OnRisk 2020: A Guide to Understanding, Aligning and Optimizing Risk*. On December 5, Frazier & Deeter will be presenting on Data Analytics and Incident & Breach Response at Discovery. Registration is open for both events.

We look forward to seeing you soon!

Lindsey
CERTIFICATIONS

Certification in Risk Management Assurance® (CRMA®)

Drive Risk Ready
The Certification in Risk Management Assurance® (CRMA®) focuses on the key elements to unlocking internal audit’s full potential, and validates one’s ability to provide advice and assurance on risk management to audit committees and executive management.

Earning the CRMA helps address the impact of risk and demonstrates you have the ability to:

- Provide assurance on core business processes in risk management and governance.
- Educate management and the audit committee on risk and risk management concepts.
- Offer quality assurance and control self-assessment.
- Focus on strategic organizational risks.
- Add value for your organizational risks.
- Increase earning potential by up to 51 percent.*

Qualification in Internal Audit Leadership® (QIAL®)

Drive in the Lead Position
Demonstrate your organizational, ethical, and internal audit leadership skills by obtaining the Qualification in Internal Audit Leadership® (QIAL®), the premier designation for internal audit executives. Whether you’re an experienced chief audit executive or aspiring to take the next step in your internal audit career, the QIAL conveys to your stakeholders that you have what it takes to lead a quality internal audit activity and provide senior management and the board with reliable assurance.

Earning the QIAL proves you are among the next generation of innovative leaders with the ability to:

- Drive a high performing audit team.
- Deliver value by addressing stakeholder needs.
- Navigate top-down risks.
- Meet expectations of an evolving marketplace.
- Provide internal audit and organizational leadership.
- Bring ethical, innovative, and change leadership.
- Increase earning potential by up to 51 percent.*

***CHANGES TO THE CERTIFIED INTERNAL AUDITOR® (CIA®) CERTIFICATION***

New CIA Changes now effective as of September 1, 2019:

- The exam waiting period (formerly 90 days) will now be 60 days. This applies to all IIA programs.
- The Certified Internal Auditor® (CIA®) program window (formerly 4 years) will now be 3 years.
- The Internal Audit Practitioner program will no longer require work experience (six months of experience was required previously).
<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
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<tbody>
<tr>
<td>NOV 12</td>
<td>CAE Roundtable with The IIA’s Harold Silverman</td>
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<td>Discovery — No charge. 1.5 CPEs</td>
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<td>NOV 12</td>
<td>The IIA’s New Innovative Research Report of Top Risks in 2020 with Harold Silverman</td>
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<td>Discovery — $40 2 CPEs</td>
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<td>DEC 5</td>
<td>Data Analytics and Incident &amp; Breach Response—Bradley Carroll, Derrick Rice and Devin Wayne</td>
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<td>Discovery — $30 2 CPEs</td>
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<td>JAN 23</td>
<td>Cybersecurity and PowerBI Data Visualization Seminar with LBMC</td>
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<td>Rothchild’s — $150 8 CPEs</td>
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<td>FEB 11</td>
<td>Soft Skills with Paul Arab — UT Visitor’s Center — $30 2 CPEs</td>
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<tr>
<td>MAR 5</td>
<td>CAE Roundtable — Discovery — No charge. 1.5 CPEs</td>
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<td>MAR 5</td>
<td>Compliance Program Overview &amp; Automation Initiatives</td>
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<td>Case Mosby/Matthew Rekers — Discovery — $30 2 CPEs</td>
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<td>MAR 5</td>
<td>Agile Auditing, AI/RPA, and IT Auditing for Non-IT Auditors with Danny Goldberg</td>
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<td>Rothchild’s—$150 8 CPEs</td>
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<td>APR 2</td>
<td>Internal Audit Awareness Month Luncheon — The Politics of Internal Auditing with Steve Goepfert</td>
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<td>Calhoun’s — $40 2 CPEs</td>
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CAE ROUNDTABLE WITH THE IIA’S HAROLD SILVERMAN

The East Tennessee Chapter’s first roundtable of the Chapter year offers a unique and valuable opportunity for chief audit executives to discuss common concerns and challenges, to share lessons learned and to brainstorm with their peers on solutions and best practices. The roundtable is for the senior-most leader of the internal audit function. The agenda and content for this session will focus on the IIA’s research report of top risks for 2020. Please submit any topics/questions by November 11 to Chapter Officers at chapter85@iiachapters.org. This will be a great opportunity to network with the CAEs in East Tennessee. Continuing professional education (CPE) credit is provided and there is no extra charge.

WHEN: November 12, 2019
1:15-2:45 PM

WHERE: Discovery, Inc.
550 Frank Gardner Ln.

FEE: No Charge.

CPE: 1.5 CPEs

MODERATOR:

SPEAKER:

Harold Silverman, CIA, QIAL, CRMA, has more than 20 years of experience in internal audit, and leads the strategic planning, development, & implementation of CAE Services offerings, with a focus on The IIA’s Audit Executive Center, an exclusive member-based resource designed specifically to support CAEs. Harold most recently was Vice President-Internal Audit at The Wendy’s Company, one of the largest quick-service restaurant chains in the world. He was hired at Wendy’s in 2012 to rebuild the internal audit function and led development of the company’s enterprise risk management (ERM) process. Previously, he was Vice President-Internal Audit at Houghton Mifflin Harcourt (2008-12); Senior Manager-Corporate Internal Audit at Raytheon Co. (2004-08); and a senior auditor and manager at major accounting firms.

At The IIA, Silverman has held an array of leadership positions, including member of the Executive Committee; Vice Chairman of the Global Board for Professional Certifications and Global Services; Chairman of the Global Professional Development Committee and the Global Academic Relations Committee; member of the North American Board; member of the International Internal Audit Standards Board; and board member of the Internal Auditing Academic Advancement Fund.

REGISTRATION:

Registration is available on The IIA East Tennessee Chapter’s website or click the following:  November 2019 CAE Roundtable
THE IIA’S NEW INNOVATIVE RESEARCH REPORT ON TOP RISKS FOR 2020

This meeting covers a review of the results and discussion over the IIA's newly released research report *On-Risk2020: A Guide to Understanding, Aligning, and Optimizing Risk.*

See page 8 for your copy of the report.

**WHEN:** November 12, 2019

3-4:40 PM

**WHERE:** Discovery, Inc.

550 Frank Gardner Ln.

**FEE:** $30

**CPE:** 2 CPEs

**SPEAKER:**

Harold Silverman, CIA, QIAL, CRMA, has more than 20 years of experience in internal audit, and leads the strategic planning, development, & implementation of CAE Services offerings, with a focus on The IIA’s Audit Executive Center, an exclusive member-based resource designed specifically to support CAEs. Harold most recently was Vice President-Internal Audit at The Wendy’s Company, one of the largest quick-service restaurant chains in the world. He was hired at Wendy’s in 2012 to rebuild the internal audit function and led development of the company’s enterprise risk management (ERM) process. Previously, he was Vice President-Internal Audit at Houghton Mifflin Harcourt (2008-12); Senior Manager-Corporate Internal Audit at Raytheon Co. (2004-08); and a senior auditor and manager at major accounting firms.

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**REGISTRATION:**

Registration is available on The IIA East Tennessee Chapter’s website or click the following: [November 2019 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:

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.
DATA ANALYTICS

This presentation focuses on identifying the opportunities to use data analytics within internal audit and how to answer questions with data analytics. There will be a cased-based learning (as the IIA termed it at the International Conference) on how we implemented a robust data analytics program in a small audit department.

The session will include practical examples and how data analytics goes beyond the numbers that allow internal auditors to build better relationships with management by bringing solutions, rather than just problems.

INCIDENT AND BREACH RESPONSE

Being prepared to respond to an incident or a breach takes proper planning, testing, and execution. This session will:

- Review high profile breaches
- Participate in an interactive breach simulation
- Learn about the phases of incident response
- Identify opportunities for Internal Audit to improve an organization’s incident response plan

WHEN: December 5, 2019
3-4:40 PM

WHERE: Discovery, Inc.
550 Frank Gardner Ln.

FEE: $30

CPE: 2 CPEs

SPEAKERS:

Bradley Carroll is a Principal in the Process, Risk, and Governance Department with Frazier & Deeter CPAs & Advisors and leads their Financial Services Practice. Prior to joining F&D, Bradley was a Chief Audit Executive for a large financial services organization as well as led internal audit teams within retail and other industries. Bradley is active in IIA for over 25 years and currently serves on the IIA Financial Services Advisory Board. As a member of this Board, he has advocated on Capitol Hill on behalf of IIA initiatives.

Bradley holds several certifications including CPA, CIA, CFSA, CRMA, CFF, and QIAL, and has given presentations on a variety of topics including QAIP, Fraud, Cosourcing and Outsourcing, Annual Risk Assessments, Inherent vs. Residual Risk, Risk Assessment vs Control Evaluations, Data Analytics, BSA Independent Testing, IPPF, KPIs for Audit Committee Reporting, Board Training on BSA and has presented at the IIA’s All Star Conference, IIA Financial Services Exchanges, the IIA’s International Conference, various local IIA Chapters and various banking groups.

Derrick Rice brings 10+ years of experience in information and technology systems management, design, security and support. With his extensive background in IT infrastructure, Derrick is a CIPP, CISA, CISSP, and PCI QSA and provides subject matter expertise and manages the delivery of various security and risk assessments including PCI, HITRUST, SOC and HIPAA. Prior to joining Frazier & Deeter, Derrick was with a boutique cybersecurity firm and has worked with a variety of institutions in both an internal setting as well as a consultant, which included leading information security risk assessments, network penetration testing, incident response table top exercises, developing information security strategies, and security awareness training.

Devin Wayne contributes over 15 years of experience as a professional consultant. Her focus is risk advisory services including internal audit, risk assessments, HITRUST, Sarbanes-Oxley and SOC examinations. Her specialized industry groups include Financial Services, Healthcare, Hospitality & Leisure, Manufacturing & Distribution, Technology and Utilities Providers. Devin is a CPA and CISA and adds value to clients through diligent communication before, during and upon completion of engagements. Before joining Frazier & Deeter, Devin worked as an IT Audit Manager and has more than 15 years of experience as a professional consultant.

REGISTRATION:

Registration is available on The IIA East Tennessee Chapter’s website or click the following: December 2019 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 Oct 2019)

CAP LEVELS
BRONZE—685 Points
SILVER—1,060 Points
GOLD—1,560 Points

[Graph showing CAP levels and points]
It’s the First Report of Its Kind!

*OnRisk 2020: A Guide to Understanding, Aligning, and Optimizing Risk* will change the way organizations view and understand risk. This unique report captures the views of key risk management players and exposes troubling misalignments in perceptions on risk management. The report not only exposes these misalignments, but also provides actionable guidance on how to bring all parties’ perceptions of 11 critical risks facing organizations into closer alignment.

***This report is the focus of our November CAE Roundtable and Meeting.***

Click here to obtain a complimentary copy of this report for your organization.

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**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 fees.

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**Learn. Earn. Report. Retain.**

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](#)

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**IIA NASHVILLE CHAPTER EVENT**

The IIA Nashville Chapter will be hosting a full-day IT Audit Conference focusing on the topic of Audit Information Analytics on November 18, 2019.

To register, visit this link: [IIA Nashville Event](#)
MEMBER WEBINARS:

November 5
PSAC Symposium: Preparing public Sector Auditors for Today’s Terrain

November 12
Blockchain Technology: What Internal Auditors Should Know

December 9
EHSAC Webinar: Regulatory Roll-backs at the EPA

December 17

NEW MEMBERS
Jamie Wykle, TVA

RICHARD CHAMBERS’ BLOGS:

Internal Audit May Work for the Wrong Individuals—But Not the Wrong “People”

When Culture is the Culprit: Lessons From Toshiba, Hertz, and FIFA

Internal Audit Must Monitor Ethics in the Corner Office, Too

Are Companies Capitulating on Cybersecurity Risks?

How Do You Know When It’s Time To Go?

What Happens When Internal Audit Is Ignored? It Happens Too Often

6 Risk Management Lessons I Learned From Hurricane Dorian

Internal Auditors Must Stand Tall—But Know When to Walk

Ready or Not—Here Come the 2020s

Groundbreaking IIA Report Could Reshape Views on Risk Management

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

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<tr>
<th>Year</th>
<th>Event</th>
<th>Location</th>
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<tbody>
<tr>
<td>2019</td>
<td>Public Sector Virtual Symposium</td>
<td>Online</td>
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<tr>
<td>2020</td>
<td>General Audit Management (GAM)</td>
<td>Dallas/Ft. Worth</td>
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<td></td>
<td>IIA International Conference</td>
<td>Miami</td>
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<td></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.
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