Dear Chapter Members,

Our Chapter year began with the September 26th Ethics presentation with Jay Taylor. We had a great turnout - thank you again to all who were able to attend. We hope you can join us this month for our October 24th Fraud Seminar with Ryan Hubbs, the Chair of ACFE Board of Regents.

Our November CAE Roundtable and Meeting with Harold Silverman, the IIA’s Managing Director of CAE Services, is open for registration.

We look forward to seeing you soon!

Lindsey P. Shepherd
President, The IIA East TN Chapter
CERTIFICATIONS

Certified Internal Auditor® (CIA®)

Earning the CIA designation is a valuable accomplishment and a professional advantage for auditors at all stages of their careers, including chief audit executives, audit managers, audit staff, and risk management staff, as well as students enrolled in an accounting or other business or financial degree program.

Prove Credibility & Proficiency

NEW CIA Exam Now Available.
As the only globally recognized internal audit certification, becoming a Certified Internal Auditor® (CIA®) is the optimum way to communicate knowledge, skills, and competencies to effectively carry out professional responsibilities for any internal audit, anywhere in the world.

And, the NEW CIA exam, which is now available in Arabic, English, French, German, Korean, Portuguese, Russian, Spanish and Turkish, is more updated, aligned, and focused than ever. With additional languages released throughout 2019 and into 2020, this is the perfect time to take a fresh look at CIA.

Adding the CIA credential to your resume, LinkedIn profile, and business card will help you stand out and demonstrate you are:

- A credible and trusted internal auditor.
- A true expert who understands and can apply the International Standards for the Professional Practice of Internal Auditing.
- A stronger, more competent professional who is knowledgeable in organizational governance.
- Committed to the profession of internal auditing and equipped for career-advancing opportunities.
- Differentiated from your peers.

Plus, CIAs earn an average of $38,000 more annually than those without a certification.* Join the over 160,000 CIAs in 170+ countries awarded the designation that adds immeasurable distinction with only three letters.

Get started now.

*According to The IIA’s 2017 Internal Audit Compensation Study (based on U.S. responses)
Fraud Seminar with the ACFE’s Ryan Hubbs — Rothchild’s — $150  8 CPEs  OCT 24

CAE Roundtable with The IIA’s Harold Silverman
Discovery — No charge.  1.5 CPEs  NOV 12

The IIA’s New Innovative Research Report of Top Risks in 2020 with Harold Silverman
Discovery — $40  2 CPEs  NOV 12

Data Analytics and Incident & Breach Response—Bradley Carroll, Derrick Rice and Devin Wayne
Discovery— $30  2 CPEs  DEC 5

Cybersecurity Seminar with LBMC — Rothchild’s — Cost and CPEs TBD  JAN 23

Soft Skills with Paul Arab — UT Visitor’s Center — $30  2 CPEs  FEB 11

CAE Roundtable — Discovery — No charge.  1.5 CPEs  MAR 5

Compliance Program Overview & Automation Initiatives
Case Mosby/Matthew Rekers — Discovery — $30  2 CPEs  MAR 5

Agile Auditing, AI/RPA, and IT Auditing for Non-IT Auditors with Danny Goldberg
Rothchild’s—$150  8 CPEs  APR 2

Internal Audit Awareness Month Luncheon — The Politics of Internal Auditing with Steve Goepfert
Calhoun’s — $40  2 CPEs  MAY 7
OCTOBER FRAUD SEMINAR

- Top Ten Reasons Why Hotline Reporting Programs Fail
- Whistleblowers: The Cost of Doing the Right Thing
- DOJ Compliance Program and COSO Fraud Risk Management Overview
- Investigating Shell Companies

WHEN: October 24, 2019
8am-4:30pm

WHERE: Rothchild Catering
8807 Kingston Pk.

FEE: $150
CPEs: 8

NOTE: Breakfast and Lunch will be provided.

SPEAKER:
Ryan C. Hubbs has more than 18 years of experience managing corporate investigations, forensic audits and compliance initiatives. He has conducted hundreds of sensitive internal engagements concerning fraud, corruption, contracts, vendors and suppliers, and employee-related issues. Hubbs also previously served 13 years as a commissioned law enforcement officer in both Louisiana and Texas.

Hubbs currently sits on the ACFE’s Board of Regents. Hubbs is also a member of the ACFE Faculty where he co-presents the CFE Exam Review Course, as well as specialized training such as Interviewing Techniques for Auditors, Auditing for Internal Fraud, Contract and Procurement Fraud, Detecting Fraud Through Vendor Audits, Principles of Fraud Examination and Conducting Internal Investigations. Hubbs co-wrote the guidance to the ACFE Standards and developed the ACFE Chapter Leaders Resource Guide. He has served ten years as an ACFE Chapter President and officer for both the New Orleans and Houston ACFE Chapters. In his role as President of the Houston ACFE Chapter he helped guide the chapter to be recognized as the ACFE’s 2014 Chapter of the Year and the recipient of the ACFE’s 2015 Chapter Newsletter of the Year. Hubbs’ continued involvement and contributions in the anti-fraud profession resulted in him being awarded the Greater Houston Fraud Impact Award in 2014.

Hubbs graduated from Louisiana State University with a Bachelor of Science in Business Administration and a minor in Sociology/Criminology. He later graduated from Louisiana State University with a Master’s in Business Administration. He is a Certified Fraud Examiner (CFE), Certified Internal Auditor (CIA), Certified Compliance and Ethics Professional (CCEP), Certified in Control Self-Assessment (CCSA) and Certified Human Resources Professional (PHR).

REGISTRATION:
Registration is available on The IIA East Tennessee Chapter’s website or click the following: October 2019 Fraud 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.
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 5 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: 2 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 research report of top risks for 2020, with anticipated release by the IIA in October 2019.

WHEN: November 12, 2019
3-4:40 PM

WHERE: Discovery, Inc.
550 Frank Gardner Ln.

FEE: $40

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:

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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 case-based learning (as the IIA seemed 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 will open in November.

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.

Get in touch with a Chapter Officer to learn more: chapter85@iiachapters.org.

CAP LEVELS AND CHAPTER PROGRESS (as of 9/15/19)

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<th>CAP LEVELS</th>
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MEMBER WEBINARS:

October 15
Enhancing Internal Audit Effectiveness Through the Core Principles

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

November 12
Blockchain Technology: What Internal Auditors Should Know

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

CONTACT US
chapter85@iiachapters.org

NEW MEMBERS
Andrew Jurbergs, TVA OIG

NEW STUDENT MEMBERS
The IIA East Tennessee Chapter awarded two student memberships during UT Student Night this year. Welcome to our new student members, Tyler Smith and Jordan Wall!

CHAPTER SCHOLARSHIP
UT Student Annie Tieu was the recipient of The IIA East Tennessee Chapter scholarship for the 2019-2020 Chapter Year. Congratulations Annie!

RICHARD CHAMBERS’ BLOGS:
Writing an Impactful Audit Report: 6 Tips for Being More Persuasive
7 Deadly Internal Audit Sins
7 Characteristics of the Virtuous Internal Auditor
California’s Earthquakes and Europe’s Heat Wave: The Latest Gray Swans

NEWS FROM THE IIA:
NEW PRACTICE GUIDE:
Demonstrating the Core Principles for the Professional Practice of Internal Auditing

NEW GLOBAL KNOWLEDGE BRIEF:
Data Analytics Mandate, Part I: Where do we go from here?

Internal Audit Foundation and Crowe Release New Blockchain Report

IIA CONFERENCES

2019
Oct. 21-23 All Star Conference Las Vegas
Nov. 5 & 7 Public Sector Virtual Symposium Online
2020
Mar. 16-18 General Audit Management (GAM) Dallas/Ft. Worth
Jul. 20-22 IIA International Conference Miami

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