MESSAGE FROM THE PRESIDENT

Fall is officially here. Time for football, pumpkin patches, bonfires and my favorite, the fall weather. We had a great turnout for our September monthly meeting with Jay Wagner. He provided some excellent information for Remote Internal Auditing, which I think we can all relate to in this current environment. Those of us on the call also got to hear from our new IIA District Rep, Timothy Staggs. He is eager to work with our chapter and assist us during the 2020-21 chapter year.

We are excited to have two great CPE opportunities in October. The first is our October monthly meeting. Dr. Marshall has been with JCPS since 1997 and has numerous awards in his academic career. In his recent role of Chief Equity Officer, Dr. Marshall created some of the most innovative programs for students in the district. We are excited to have him and hear his presentation on Racial Equity Analysis Protocol (REAP) tool. This tool is used to ensure groups are not marginalized or mistreated and the JCPS district is using the tool to filter all practices, policies and procedures.

We are also excited to announce the fall seminar we have planned on Data Analytics. It is a 2-day virtual seminar October 21 and October 22 from 1-5pm each day. The chapter has worked hard to offer CPEs at a very reasonable price and we are looking forward to learning from Steve Minder who will be presenting all about analytics which will include exploring capabilities available to all auditors in the EXCEL software application. Steve has presented to several chapter throughout the US and I think our team will find this seminar very beneficial. Following the last day of the seminar we will also have our first virtual IIA Happy Hour from 5-7pm join anytime to stop in and say hello.

As we mentioned last month, we do have some opportunities for chapter members to volunteer, including the membership co-chair and seminar chair. Volunteering with the chapter is a great way to promote the audit profession and get to meet fellow chapter members. If you are interested in volunteering or have question on what specific responsibilities include, please reach out to me, cknable@caesars.com or the chapter email chapter17@iiachapters.org.

Look forward to seeing everyone in our October meetings and Happy Fall!!!

Catie Knable
President, Louisville IIA 2020-21

MONTHLY CAP UPDATE

CAP requirements have changed for the 2020-2021 year. The IIA is no longer assigning points to activities but focusing on the completion of activities. We are steadily making progress to reach our goal of achieving Gold status for the year by submitting required documentation, offering a chapter sponsored program, and promoting IIA conferences, events and membership growth.

In addition to our monthly meetings, the Louisville chapter is hosting an 8-hour CPE event on the topic of Data Analytics on October 21 & 22 via Zoom. This event is priced at $150 for members through October 7th and $175 before October 20th. This is a convenient and cost effective way to earn your CPE requirements and you will be supporting the success of our chapter goals.
**Presentation Summary**

**REAP (Racial Equity Analysis Protocol) Tool**

Dr. Marshall will be presenting on the REAP (Racial Equity Analysis Protocol) tool. It is a tool used to ensure groups are not marginalized or mistreated. The District is using the tool to filter all practices, policies and procedures.

Please register for this session by Monday, October 12th.

**Presenter Profile**

**Dr. John Marshall, Chief Equity Officer**

Dr. Marshall is the chief equity officer for Jefferson County Public Schools (JCPS). He has been employed by JCPS since 1997. Throughout his career, he has won many local and national awards, created school level programs for minority students that became models for other districts and organizations, and has ushered in several changes / created some of the most innovative programs for students in Jefferson County Public Schools.

He traveled all over the nation to assist districts, organizations, and superintendents to create or consider creating positions similar to the one he has created. Dr. Marshall is considered a thought leader in the field of Education, especially as it relates to public school equity, systemic practices that impede progress, and cultural competence.

Dr. Marshall has ushered in district level changes that were long overdue. Changing the Code of Conduct, increasing the numbers of students of Color in the Gifted and Talented Programs, delivering the regions’ largest Equity Institute for public schools, lowering transience of homeless students, creating a nationally acclaimed Equity Scorecard, and ushering in restorative practices are just a few of his accomplishments. These achievements and more have earned him the title “A National Leader to Learn From” according to education’s most lauded magazine Ed Week.

In the midst of those sweeping changes Dr. Marshall ushered in a school/program targeted for males of color which will appropriately be called the W.E.B. DuBois Academy. The school/program is set to start in August 2018.

To date, Dr. Marshall has been published in books, national periodicals, local newspapers, and more. In the book A Guide for White Women Who Teach Black Boys Dr. Marshall’s chapter slices right to the core challenges of public education and racism. That book is close to bestseller status. He has also done a podcast with Harvard University around racism and education. Dr. Marshall is also under contract to write a book exploring leadership and race as well as just having earned the honor of writing and videotaping an introduction for Civil Rights leader Clay Evans.
Derby City Disclosures

October 2020
DATA ANALYTICS SEMINAR

Dates:       Wednesday, October 21st & Thursday, October 22nd, 2020
Meeting Time: 1:00 - 5:00 p.m. on both days
Presenter:     Steve W. Minder, CEO YCN Group, LLC

CPE credits: 8 hours

Cost:        Early Bird (before October 7th)
Member Price: $150
Non-Member Price: $200

Regular (after October 7th)
Member Price: $175
Non-Member Price: $225

Location: Online - Register below by October 20th to receive call in details

Registration: Here

Presentation Summary

Objectives of the Seminar:

✦ To understand the distinction between data and information with emphasis on understanding the need to analyze relevant organizational information
✦ To expand appreciation for the types of analysis that can be performed on available data and the context those analytics have for the audit process
✦ To explore capabilities available to all auditors in the EXCEL software application and how those capabilities can be applied to analytics activities
✦ To provide practice in using analytics tools and techniques within a classroom setting

Seminar Overview:

Day 1
✦ Introduction
✦ Background and Analytics Concepts
✦ Some EXCEL capabilities suited for Analytics
✦ Data Integrity and Information Analytics

Day 2
✦ More EXCEL capabilities suited for Analytics
✦ Practice applying analytics techniques

Presenter Profile

Stephen W. Minder, CEO YCN Group, LLC

Stephen W. Minder is the CEO of YCN Group, LLC. YCN consults with clients providing solutions to improve: internal audit management, risks and controls, I/A quality, fraud management and analytics. YCN’s flagship product, “Information Analytics” code named ACE, is a comprehensive analytics tool using multiple levels of artificial intelligence to identify suspect transactions while minimizing false positives.

Mr. Minder has over 40 years internal audit experience including Vice President – General Auditor and Corporate Compliance Officer. He is a recognized expert and published author in analytics, fraud and internal audit.

Mr. Minder received his BS in accounting, from Illinois Wesleyan University and holds qualifications as: CPA, CIA, CISA, CFE, and CGMA. He has also completed the COSO Internal Control Certificate Program and serves as an adjunct faculty member for Northern Illinois University leading CIA Review classes.
October 2020 Seminar Happy Hour Social Event

Dates: Thursday, October 22nd, 2020
Meeting Time: 5:00 - 7:00 p.m.
Host: Steve W. Minder, CEO YCN Group, LLC
Cost: None — Open to all members
Location: Online - Register by October 21st below to receive call in details
Registration: Here

2020-2021
IIA Louisville Monthly Meeting Subscription Membership

Reminder: All the monthly meetings will be held virtually via Zoom this chapter year, there will not be any subscription memberships available to purchase. You can choose to attend the monthly sessions and pay for the ones you would like to attend. Currently, the members-only cost is $10 per session and $15 for non-members and you get one CPE hour for each session (up to 9 CPE hours worth). There will be polling questions at each meeting to keep track of your attendance.

Call for New Members to Join our Louisville Chapter

The IIA Louisville Chapter offers numerous benefits for members and we are always looking for new members to join our chapter. If you know someone who would like to join, please reach out to Lee Taylor for more information. Some benefits of joining the IIA Louisville Chapter are as follows:

- Members-only rates on conferences, seminars, and executive development through Vision University can save you hundreds of dollars.
- Exclusive monthly Members-only Webinars are part of your core membership benefits and provide you with CPE units without ever leaving your desk or paying additional fees.
- Members-only rates for other specialty webinars and self-study courses provide easy access to advance your knowledge from the convenience of your own desktop.
- And much more!

CIA Certification

No new certified members this month. If you are interested in pursuing and obtaining the Certified Internal Auditor (CIA) designation, see the next page for training material discounts offered by our Chapter.
CIA / CRMA CERTIFICATION NEWS

Certification Online Testing — Available Now
To support the continued professional development of certification candidates around the world and in response to mass Pearson VUE test center closures due to COVID-19, The IIA has adopted online testing to enable candidates to take the Certified Internal Auditor® (CIA®), Certification in Risk Management Assurance® (CRMA®), and CIA Challenge exams from home. This flexible testing option will be available for a limited time. Visit the IIA to learn more about this opportunity to take the CIA and CRMA test from home.

NEW – The IIA’s Financial Services Audit Certificate
It’s the perfect time to enhance your specialized knowledge and showcase your expertise in 11 key areas by completing the new Financial Services Audit Certificate. Passing the program exam demonstrates your competency in today’s most relevant financial services audit techniques and topics and distinguishes you from your peers.

This innovative self-study program is available exclusively through the convenient IIA Training OnDemand platform. To learn more about the new certificate program watch the video - Continuing the Conversation Interview with Lisa Hirtzinger.

Prepare for the CIA Exam with Confidence & Convenience.
Choose The IIA’s CIA Learning System®.
Prepare to pass the Certified Internal Auditor® (CIA®) exam and arm yourself with critical tools and knowledge to excel in your internal audit career. The IIA’s CIA Learning System combines comprehensive reading materials, in printed and e-book formats, with interactive online study tools to teach and reinforce the entire 3-part CIA exam syllabus in a flexible, on-demand program.

To learn more about the CIA designation and The IIA’s CIA Learning System, view a recording of the popular free webinar, Increase Your Chances of Passing the CIA Exam. You can also get a head start on your studies with 10 Free Practice Questions.

Members save up to $100! Order today and save!

In addition, if you are looking to start studying for the CIA exam, take a look at all the classes the IIA has to offer. Visit the IIA’s website here and the seminars listed on the National News section of this newsletter for further details.

CIA Exam IIA Louisville Members Discount on Gleim Study Materials
IIA Louisville members are eligible for up to a 20% discount on Gleim CIA study materials. Visit the Members Only page of the Louisville Chapter site for additional details. You will need to sign in with your IIA credentials to see the page.

CPE REPORTING UPDATE

CPE reporting and the end of the year will be here before we know it. Members holding an IIA certification should be aware that The IIA is not waiving CPE requirements for its certifications during the COVID-19 situation.

CAREER OPPORTUNITIES

Please be sure to visit the IIA Louisville Chapter’s career section to see any current job opportunities including position details in the area.

If you have a job to post, please contact the newsletter editor and/or Webmaster to have it included in newsletter and website.
Lauressa Nelson is a content writer and technical editor, Standards and Professional Knowledge, at The IIA who has recently shared her personal insights through her article titled Beyond Diversity and Inclusion: Click Here for the full article.

Here’s an excerpt from her article:

Today’s social justice movements are demanding responsible action from organizations on social equity — and internal auditors can help them respond. Demands for racial justice went global in recent months, largely in response to the publicized killings of George Floyd, Ahmaud Arbery, and Breonna Taylor in the U.S. The movement that galvanized around this issue followed soon after other recent movements that drew attention to injustice and inequality related to race and ethnicity, gender, religion, and sexual orientation. Increasingly, the importance of social equity and justice is gaining recognition in today’s globally interconnected world.

She says internal auditors can lead discussions with senior management and the board about risks and opportunities related to diversity, equity, and inclusion (DEI) as part of organizational culture. Beyond that, auditors can design a roadmap to reach the organization’s strategic DEI objectives, provide ongoing insight about how to overcome obstacles, and hold the organization accountable to achieve the agreed-upon objectives.

### Future IIA Seminars and Conferences

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<thead>
<tr>
<th>Seminars/Conferences</th>
<th>Date</th>
<th>Location</th>
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<tbody>
<tr>
<td>IIA International Conference</td>
<td>Nov. 2-4, 2020</td>
<td>Online</td>
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<tr>
<td>COSO-Based Internal Auditing</td>
<td>Oct. 5-14, 2020</td>
<td>Online</td>
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<tr>
<td>CIA Exam Preparation - Part 3: Business Knowledge for Internal Auditing</td>
<td>Oct 5-16, 2020</td>
<td>Online</td>
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<tr>
<td>Building a Sustainable Quality Program</td>
<td>Oct 6-15, 2020</td>
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<tr>
<td>Enterprise Risk Management: A Driver for Organizational Success</td>
<td>Oct. 19-28, 2020</td>
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<tr>
<td>Advanced Risk-based Auditing</td>
<td>Oct. 20-29, 2020</td>
<td>Online</td>
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Area employers are eligible for free recruitment postings on the Louisville IIA website and in the monthly newsletter, if at least one employee is a member of the local chapter. Newsletter advertisement rates for employers without a local chapter member and executive search firms are: $50 – ½ page; $100 – full page. Paid advertisements also include posting of recruitment information on the chapter website for one month. Payments must be received prior to posting. For more information, please email the Louisville IIA Chapter President or Secretary.