MESSAGE FROM THE PRESIDENT

It is hard to believe another chapter year is coming to a close for the IIA Louisville chapter. May is an exciting time in Louisville with all the festivities, but it is also a special month for our profession. That’s because May is International Internal Audit Awareness Month. I hope your Internal Audit team is celebrating and getting the word out about our profession this month.

In April, we had a great speaker with Rolanda London, Risk Intelligence Senior consultant at FiveBy who presented on Financial Crimes. Our final virtual lunch meeting will be May 11, 2021, with Ronald Steinkamp from Brown Smith Wallace LLP, he will be presenting to our group on the topic of Top Risks in 2021. We also have an afternoon virtual meeting planned for May 25, 2021. We are excited to have Lisa McKee and Lauren Schaff from Protiviti presenting to our group. I think these topics will be a great way to finish up our programming for the year. Also during our lunch meeting we will also be discussing some updates to our chapter bylaws based on guidance from the IIA.

As the chapter year comes to a close, I want to thank everyone for allowing me to serve as president and vice president these past two years, I have learned so much. I am excited about our chapter’s future and know we are in great hands with Shawn Stevison and Jodi Renn stepping into the President and VP roles. A special thanks to Erin Bukowski for all of her hard work these past two years and to all the chapter members who have volunteered and attended our programming. I encourage everyone to get involved with the chapter in whatever capacity you can volunteer. While this chapter year has presented some unique challenges, I feel our chapter has adapted and overcome the challenges presented. My hope for 2021-22 is that we can have a combination of virtual and in-person meetings.

If you are interested in volunteering or have questions on what specific responsibilities include, please reach out to me cknable@caesars.com or the chapter email chapter17@iiachapters.org. We also 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.

I look forward to seeing everyone in one of our future trainings.

Catie Knable

MONTHLY CAP UPDATE

As the Chapter year comes to a close, leadership is reviewing the CAP requirements to ensure we meet our goal for Gold status. Thank you for all your participation and support throughout the year. Please continue to attend our CPE events, work toward your certifications, advocate for the internal audit profession, and recognize IIA Awareness Month within your workplace.

CALLING ALL LEADERS TO JOIN THE CAE ROUNDTABLE

The CAE Roundtable is active and looking for more Internal Audit (IA) Leaders to participate. If you are the IA Leader in your company and interested in participating, please contact Shawn Stevison. The meetings are on the 2nd Friday of each month at 2:00 p.m. in the afternoon via Microsoft Teams.
May Monthly Virtual Meeting

Date: Tuesday, May 11th, 2021
Meeting Time: 12:00 - 1:00 p.m.
Presenter(s): Ron Steinkamp — Advisory Services & Public Sector Partner at Brown Smith Wallace
CPE credit(s): 1 hour
Cost: Member Price: $10 | Non-Member Price: $15
Location: Online - Register below to receive call in details
Registration: Here

Presentation Summary

Top Risks Organizations Will Face in 2021
The Institute of Internal Auditors (IIA) published "OnRisk 2021: A Guide to Understanding, Aligning, and Optimizing Risk," which discusses the top risks to organizations in 2021 (to include the impact of COVID-19) based on interviews with boards, management and chief audit executives. In this webinar we will discuss:
- COVID’s impact on risk management.
- The IIA OnRisk 2021 report.
- Keys risks to focus on in 2021.
- Evaluating and managing risks.

Please register for this session by Monday, May 10th.

Presenter Profile

Ron Steinkamp, CPA, CIA, CFE, CGMA, CRMA, CCA, CCP
Ron is a Partner in the Advisory Services practice of Brown Smith Wallace and leads our Public Sector industry group as well as our Internal Audit, Construction Audit and Fraud and Forensics practices. He has 30 years of internal audit, fraud & forensics and consulting experience. Ron has been with the firm for over 10 years now.

Ron’s service expertise includes:
- Fraud Prevention and Detection
- Fraud Investigation
- Internal Audit
- Construction Audit
- Process Improvement
- Policies and Procedures

Before joining Brown Smith Wallace, Ron spent several years providing internal and construction audit and fraud and forensic audit and internal control consulting services to his clients. He also previously served as the Internal Audit Executive for the City of St. Louis where he was responsible for all City audits conducted by a staff of 23 auditors and was a Federal Government auditor with the U.S. Army.

Due to COVID-19, in an effort to help keep the coronavirus cases down by social distancing we will be holding our 2020-2021 monthly meetings virtually. You will still receive the CPE hour if you attend virtually. Register for this meeting and you will receive the call in details.

Additionally, if you have registered and attended the past monthly meetings and have not received your CPE certificate, please reach out to Lee Taylor, Catie Knable, or Erin Bukowski.
May Afternoon Seminar

Date: Tuesday, May 25th, 2021
Meeting Time: 2:00 - 4:00 p.m.
Presenter(s): Lisa McKee — Sr. Manager of Security and Privacy solutions at Protiviti
Lauren Schaff — Technology Consultant in Protiviti's Security and Privacy practice
CPE credit(s): 2 hours
Cost: Member Price: $20 | Non-Member Price: $30
Location: Online - Register below to receive call in details
Registration: Here

Presentation Summary

Privacy and Security Controls for Auditors

Abstract: Companies globally are faced with increasing privacy and security regulations domestically and internationally. It can be challenging to understand what is required to be compliant with these new laws. This has increased the need for privacy awareness and practitioners around the world. Privacy requirements are often met with security and technology solutions. Join us for a deep dive into privacy controls and how they integrate with technology solutions to meet industry standards and regulations.

Key Points:
- Identify the key privacy and technology controls are across organizations.
- Discuss what auditors should consider when assessing these controls.
- Learn tips, tools, and techniques for managing compliance and getting management support.

Please register for this session by Monday, May 24th.

Presenter Profiles

Lisa McKee, CISA, CDPSE, PCIP
Lisa is a Sr. Manager of Security and Privacy solutions at Protiviti. She has nearly 20 years of industry experience in Cybersecurity, Information Technology, Privacy, US and International Data Privacy Laws, Vendor Management, Software Development, IT Audit, Compliance, PCI, Risk and Governance. Lisa assists companies conducting security and privacy assessments, implementing security and privacy programs, and managing PCI compliance. She is a highly regarded consultant in the Midwest IT industry and a regular featured speaker at IAPP, ISACA, IIA, ISC2, NEbraskaCERT. She speaks at conferences locally, nationally, and globally for IAPP, ISACA and RSA. Lisa is also a member of the Accredited Standards Committee X9 providing input on industry standards and a member of the IAPP National Privacy Engineering Advisory Board. She is passionate about privacy and security.

Lauren Schaff
Lauren is a Technology Consultant in Protiviti's Security and Privacy practice. She has 5 years of combined experience consulting in Privacy and Compliance. Lauren has worked with a wide variety of businesses across multiple industries, including healthcare, finance, engineering, and media. Lauren enjoys thinking critically to help solve complex problems that organizations face meeting the business requirements and industry standards of the frequently changing Security and Privacy landscapes.
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. IIA May offers you an important opportunity to promote the profession among your stakeholders.

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 raise the profile of your internal audit department’s staff members by featuring their biographies in an article for your company’s intranet or internal newsletter.

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.

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!

Career Opportunities

Note: 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.
Certification Online Testing
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®), Internal Audit Practitioner, and CIA Challenge exams from home. This flexible testing option will be available for a limited time. For more information please visit The IIA’s global website for online proctoring: https://na.theiia.org/certification/Pages/Certification-Online-Proctoring.aspx

Changes Coming to CRMA Program
To keep pace with the dynamic global risk arena, The IIA’s Certification in Risk Management Assurance® (CRMA®) has been updated to reflect the in-depth organizational knowledge and advanced skill sets required to succeed in risk management assurance. Learn more about CRMA program changes.

Put Your Designation on the Map - Internal Audit Practitioner
The launch of revised requirements for the Internal Audit Practitioner program makes it possible for beginning internal auditors, including students, to prove their aptitude and foundational knowledge of the Standards. The designation is active for three years and provides a pathway to becoming a Certified Internal Auditor®. Learn more about the revised program requirements.

Upcoming CIA Exam Prep Opportunities
The IIA has created three courses to assist with your CIA exam prep needs. Our instructor-led courses provide the critical tools and knowledge necessary to earn advanced certifications and broaden your auditing acumen. Register now

The All-New CIA Learning System Version 7.0 is Available!
Choose The IIA’s CIA Learning System®.
The IIA’s CIA Learning System Version 7.0 is all-new and updated to focus on passing the exam parts with speed. It remains a comprehensive and interactive CIA review program that teaches and reinforces the updated CIA exam syllabi and International Professional Practices Framework (IPPF) in a flexible, on-demand format, tailored to current knowledge gaps, learning style, and schedule. Updated online quizzes, study tools and reading materials (printed books available as an optional add-on), provide candidates with the most personalized, flexible, and efficient study experience for express, exam day success.

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.
**National IIA News**

**IIA Online**

Hassan Khayal, CIA, CRMA, is an internal auditor based in the United Arab Emirates and a 2020 Internal Auditor Emerging Leader who has recently shared his personal insights about how through his article titled:

**On the Frontlines: The Information-gathering Phase of Engagements** — Click [Here](#) for the full article.

Here's an excerpt from his article:

A preliminary survey, or process understanding, is usually the first phase of audit field work after completing the engagement planning stage. At this step in the audit's information-gathering phase, internal auditors are primarily collecting background information on the client's operations. During this time, auditors also will obtain the data they will rely on for performing tests and corroborating observations based on the evidence they derive from it.

Auditors may use several tools and techniques to gather data and information during the preliminary survey such as questionnaires, checklists, focus groups, and walkthroughs. Personal interviews are by far my favorite method.

**Future IIA Seminars and Conferences**

<table>
<thead>
<tr>
<th>Seminars/Conferences</th>
<th>Date</th>
<th>Location &amp; CPE hours</th>
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</thead>
<tbody>
<tr>
<td>CIA Exam Preparation Instructor-led Course Part 2:</td>
<td>May 3-14, 2021</td>
<td>Online — 12 CPEs</td>
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<td>Practice of Internal Auditing</td>
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<tr>
<td>Tools for Lead Auditors</td>
<td>May 3-14, 2021</td>
<td>Online — 24 CPEs</td>
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<tr>
<td>IT General Controls</td>
<td>May 4-6, 2021</td>
<td>Online — 4 CPEs</td>
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<tr>
<td>Agile Auditing</td>
<td>May 4-7, 2021</td>
<td>Online — 16 CPEs</td>
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<tr>
<td>Fundamentals of Cybersecurity Auditing</td>
<td>May 4-13, 2021</td>
<td>Online — 16 CPEs</td>
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<tr>
<td>Root Cause Analysis for Internal Auditors</td>
<td>May 11-20, 2021</td>
<td>Online — 16 CPEs</td>
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<tr>
<td>Advanced Risk-based Auditing</td>
<td>May 17-24, 2021</td>
<td>Online — 16 CPEs</td>
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<tr>
<td>CIA Exam Preparation Instructor-led Course Part 3:</td>
<td>May 17-28, 2021</td>
<td>Online — 20 CPEs</td>
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<td>Business Knowledge for Internal Auditing</td>
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<tr>
<td>CIA Exam Preparation Instructor-led Course Part 1:</td>
<td>May 18-27, 2021</td>
<td>Online — 12 CPEs</td>
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<tr>
<td>Essentials of Internal Auditing</td>
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<td>2021 IIA International Conference</td>
<td>Jun. 14-18, 2021</td>
<td>Online—TBD CPEs</td>
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<tr>
<td>2021 Governance, Risk, and Control Conference</td>
<td>Aug. 9-11, 2021</td>
<td>Online—TBD CPEs</td>
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CPE credit is available for those attending live broadcasts of IIA members-only webinars and guidance briefings, and completing polling questions. Registration is required.
### Officers and Committee Chairpersons

**President and Nominating Committee Chair**
- **Catie Knable**  
  Caesars Entertainment  
  (502) 643-2424

**Vice President & Program Chair**
- **Erin Bukowski**  
  Citizens Union Bank  
  (502) 647-7462

**Secretary and Chapter Achievement Program (CAP) Chair**
- **Jenni Schelling**  
  Louisville Water Company  
  (502) 569-3647

**Treasurer**
- **Marcie Smitha**  
  Park Community Credit Union  
  (502) 812-1192

**Academic Relations**
- **Lesley Burnette**  
  Republic Bank & Trust Company

**Advocacy/Diversity**
- **London Lopez**  
  Humana, Inc.

**Myhanh Pham**  
Farm Credit Mid-America

**Audit**
- **Lesley Burnette**  
  Republic Bank & Trust Company

**Certifications**
- **Bob Aemmer**  
  LG&E and KU Energy

**Chief Audit Executive (CAE) Roundtables**
- **Shawn Stevison**  
  Signature Healthcare

**Government Relations**
- **May Porter**  
  Louisville Metro Government

**Junior Achievement**
- **Andrea Higgins**  
  Robert Half Management Resources

**Membership Chair**
- **Lee Taylor**  
  Commonwealth Bank and Trust Company

**Membership Co-Chair**
- **OPEN**

**Newsletter Editor**
- **London Lopez**  
  Humana, Inc.

**Seminars**
- **OPEN**

**Quality Assurance Reviews**
- **Jodi Renn**  
  Jefferson County Public Schools

**Social Activities**
- **Andrea Higgins**  
  Robert Half Management Resources

**Webmaster**
- **Sonja Heath**  
  Humana, Inc.

**Social Media**
- **Aaron Fruit**  
  Humana, Inc.

### Board of Governors

**Elected Member Terms**
- **Chris Elmore** (Thru 12/31/2022)  
  Churchill Downs

**London Lopez** (Thru 12/31/2022)  
Humana, Inc.

**Shawn Stevison** (Thru 12/31/2022)  
Signature Healthcare

**Oksana Smallwood** (Thru 12/31/2021)  
GE Appliances, a Haier Company

**Robert Stutsman** (Thru 12/31/2021)  
Park Community Credit Union

**Past Presidents Terms**
- **Sonja Heath** (Thru 5/31/2021)  
  Humana, Inc.

### Advertisement Policy

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.