



The Institute of
Internal Auditors
Louisville

Derby City



Disclosures

DECEMBER 2024

Louisville IIA
Chapter News

[Chapter Homepage](#)



[LinkedIn](#)



[Instagram](#)



SPECIAL POINTS
OF INTEREST

[Career
Opportunities](#)

[IIA Academic
Relations](#)

[CAP Update](#)

[December Chapter
Meeting](#)

[Chapter's Instagram
Page](#)

[CAE RoundTable](#)

[Upcoming IIA
Headquarter Events](#)

NEWSLETTER
SUBMISSIONS

The newsletter will
be published
monthly from
September 2024
through May 2025.

If you have a
request for a
submission please
email the
information to
sthomas@republicbank.com
and your
submission will be
included in the next
month's issue.

MESSAGE FROM THE PRESIDENT



Greetings IIA Louisville Chapter,

Hope you had a wonderful Thanksgiving! The holidays and year-end are just around the corner, and this year is flying by. Let's all be sure to enjoy a little quality time with friends and family this holiday season.

Last month Shawn Stevison gave an excellent presentation titled "Internal Audit – Beyond the Controls". Thank you to Shawn for taking time to share a little of her knowledge with us!

This month we are excited to welcome Jodi Renn and James Rose to the podium. They will be sharing their knowledge with us through their presentation, "Auditing Governance & Culture: An Integrated Approach." Please join us on December 10th either in-person or virtually.

If you are looking for a way to get more involved with our chapter, please reach out to [IIA Louisville](#).

Looking forward to seeing you at our chapter events. Thank you!

Lesley Clark

IIA Louisville Chapter President

DECEMBER LUNCH
MENU

The in-person monthly meeting includes Panera salad and sandwich options:

LUNCH MENU

Lunch Boxes

Smokehouse BBQ Chicken Sandwich

Roasted Turkey & Avocado BLT Sandwich

Bacon Turkey Bravo Sandwich

Napa Almond Chicken Salad Sandwich

Tuna Salad Sandwich

Deli Turkey Sandwich

Green Goddess Cobb Salad (No Meat)

Green Goddess Cobb Salad with Chicken

Caesar Salad

Caesar Salad with Chicken

Fuji Apple Salad

Fuji Apple Salad with Chicken

Greek Salad

Greek Salad with Chicken

Sides

Chips

Baguette

Apple

Dessert

Cookie

Note that there will also be soft drinks and water available on-site.

DECEMBER MONTHLY MEETING — HYBRID

Date: Tuesday, December 10, 2024
Meeting Time: 12:00 p.m. - 1:00 p.m (All IIA Louisville Chapter Events are held on Eastern Time)

CPE credits: 1 hour

Cost:

Member Virtual Price:	\$15
Non-Member Virtual Price:	\$20
Member In-Person Price:	\$25
Non-Member In-Person Price:	\$30
Student In-Person:	\$10
Student Virtual:	Free

Location: Virtual — Register below to receive call-in details

In-Person @ Dean Dorton (ShelbyHurst Campus)
435 N Whittington Pkwy Suite 400, Louisville, KY 40222

Registration: [Here](#)

VENUE UPDATE: Dean Dorton now has a visitor policy where all visitors must check-in and receive a visitor's badge upon arrival. All in-person attendees should arrive no later than 11:45am Eastern to allow enough time to complete the check-in process.

PRESENTATION SUMMARY

Topic: Auditing Governance & Culture: An Integrated Approach

Presentation Synopsis: Jodi Renn (Dean Dorton) and James Rose (SunHawk Consulting) will be presenting an insightful session exploring the intersection of corporate governance and organizational culture. Through real-world examples, including a case study, learn how internal audit can effectively assess and bridge the gap between formal governance structures and corporate culture.

Key Topics:

Evaluating governance structures and cultural indicators

Modern audit methodologies for cultural assessment

Practical challenges and opportunities in culture auditing

Lessons from Wells Fargo's governance crisis and transformation

Please register for this session by Monday, December 9th.

New Members &
Anniversaries

New Members

Benjamin Weyer

Myles Johnston

Anniversaries

5 Year Anniversary

Denise Fultz

10 Year Anniversary

Mingxin Can, CIA

15 Year Anniversary

John Richmond, CIA

DECEMBER MONTHLY MEETING — CONT.

PRESENTER PROFILE

Jodi Renn — Assurance Services Associate Director, Dean Dorton

Jodi has over 30 years of experience, four years in public accounting, and over 25 years as the head of internal audit departments. She is an expert in supporting businesses to achieve objectives through a systematic review of processes that leads to enhanced compliance and increased efficiency. Notable achievements include establishing an enterprise-wide risk management system to break down silos and create broader conversation; and increasing efficiencies and enhancing accuracy of recording Trustee bond transactions, reducing a two-day process to a few hours, and opening opportunities for other value-added tasks.

She has led cross-functional teams and served as a trusted advisor to embed Internal Audit, break down silos, and make constructive recommendations for change. Jodi has been instrumental in utilizing sound business judgment and in-depth understanding of the control environment to eliminate inefficiencies and release time for value-added activity. She takes a future-focused approach to leadership, promoting succession planning to provide a platform for growth. Jodi is a mission-oriented, strategic thinker who is passionate about supporting organizations achieve their objectives. She works to identify barriers and create streamlined processes to assist people in accomplishing their assignments more efficiently.

James Rose — CIA, CRMA, CPA, CISA, CISSP, Managing Director, SunHawk Consulting LLC

James Rose is a Managing Director with SunHawk Consulting and an experienced in-house and external consultant on regulatory compliance, governance, risk management, and audit. James was formerly CAE at Humana. He served previously as the co-founding chair of the Data Analysis Committee of the Healthcare Fraud Prevention Partnership of the U.S. Department of Health and Human Services and the U.S. Department of Justice. Before Humana, he was Director of Performance Audits for the Commonwealth of Kentucky as well as served as a Foreign Service Officer in the Office of Inspector General for U.S. Agency for International Development.

James regularly presents to C-Suite and Board panels on compliance assessment results and has served as the Audit and Risk Committee Chair for billion-dollar-plus organizations. James just wrapped up the design and implementation of a new compliance program for a publicly traded organization, helping to establish all the elements of a compliance program. He speaks regularly at HCCA events on compliance program topics.

James is a long-time member of the Institute of Internal Auditors, having served on international committees developing global guidance, ethics, and professional standards including the 2024 update of the global Standards.



NEW INSTAGRAM PAGE

Sharing exciting news! We have a new Instagram account to be used to post pictures, videos, announcements, etc. Also, we created it to help increase knowledge about what IA is with the goal of better engagement and increase membership to our chapter. Here is a link below: [IIA Louisville Chapter \(@iaalouisville\) • Instagram photos and videos](#)

As you all have any information, photos, etc., please send to [Sean Byrnes](#) so they can post all the exciting things we are doing. Some ideas can be pictures of members and/or students receiving certification, students receiving scholarships, volunteer work we are doing, social events, etc.

CAP UPDATE

We are steadily making progress to reach our goal of achieving Gold status for the year by submitting required documentation, offering chapter sponsored programs, promoting IIA conferences and events, and growing our membership. Below is a list of some of the things your Chapter leadership is doing to ensure we meet that goal.

- * Deliver a minimum of eight (8) quality CPE hours to membership
- * Offer chapter seminars
- * Promote IIA certifications to achieve 2% certification growth
- * Grow membership by 2%
- * Participate in academic outreach events with local universities and colleges
- * Recruit CAEs to the IIA
- * Highlight milestone member anniversaries in the newsletter
- * Hold events within the Chapter & members within their organizations to celebrate IIA awareness month in May

IIA ACADEMIC RELATIONS

Student Memberships

FREE IIA Student Memberships!

Students can register [HERE](#) for a Free Student Membership, then choose the Louisville Chapter once enrolled. Please continue to encourage your Interns and junior associates to join our IIA Chapter. IIA Student Memberships are now free of charge for any student enrolled in a minimum of 6 credit hours.

Academic Relations Volunteer Opportunities

Occasionally, we may reach out directly to our members to ask for volunteers to participate in various student events. Please consider participating in student events for any of our local Universities. Please reach out to [Zack Estes](#) to discuss opportunities.

Internships

If your company has an open internship position, please share the following with your HR/ Recruiting departments. The Universities require that internships be posted to their respective Career Services sites to satisfy their Equal Opportunity requirements. Handshake and Cardinal Careers are the sites used by the schools. Here's the link for [Cardinal Careers Employer Registration](#), which is used by UofL's School of Business. Here's the link for [Handshake](#), which is used by both Bellarmine and IUS. Please forward any open internship postings to [Zack Estes](#). We can help spread the word further about your internship by reaching out to faculty at the local universities.

CERTIFICATION NEWS

Annual Certification Renewal

The annual certification period is open! Don't forget to earn CPEs before the end of the year and renew your IIA certification(s).

Log in to the [Certification Candidate Management System \(CCMS\)](#) to begin your renewal.

The renewal deadline is 31 December each year. Should you fail to renew your Active certification, it will enter a Grace status, and as a result, you are no longer approved to represent yourself as a certified individual. Individuals remaining in Grace for 2 years will enter a Revoked status and must submit a recertification application and take the corresponding exam if they wish to become certified again.

As an IIA certified or qualified professional, you are responsible for ensuring that your certification is renewed annually. Get more information on [certification renewal steps](#) for Active and Grace status certification holders.

NEED CPEs...

Choose from a variety of online training options to earn your CPEs by December 31. You can learn what you need to succeed, when you can, from wherever you are with our OnDemand courses, free-to-member webinars, certificate programs, and virtual or in-person instructor-led training.

[EXPLORE OPTIONS](#)

CAE ROUNDTABLE

“Calling all Auditors – Audit Roundtables” The Louisville Chapter of the IIA will begin offering roundtable discussions for Staff level and for Senior level auditors to facilitate networking, open dialogue, and upon establishment of interests of the attendees, begin to include training topics in the roundtable meetings. If you are interested, please contact Shawn Stevison at shawnstevison@yahoo.com.

Call for New Members

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 **Catie Knable** 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!

UPCOMING IIA HEADQUARTERS EVENTS

IIA Conferences

The IIA offers a wide variety of dynamic events focused on emerging issues in internal auditing. IIA conferences are designed to allow for networking with peers, gaining a greater understanding of leading practices, and taking your career to the next level.

2024 AuditSphere: A virtual Conference for Small Audit Teams: December 5, 2024 Virtual Only - [Register Here](#)

This event will provide the small shop auditor with additional guidance and expertise to be able to manage the unique relationships and challenges faced by those with small staff yet increasing board expectation.

2025 Fraud Virtual Conference: February 20, 2025, Virtual Only - [Register Here](#)

The Fraud Virtual Conference is part of a series of one day conferences designed to help internal auditors stay ahead of critical issues and be more responsive in their work.

UPCOMING IIA HEADQUARTERS EVENTS CONT.

GAM Conference: March 10 - 12, 2025 - [Register Here](#)

Join the most esteemed gathering of internal audit innovators, leaders, and trailblazers at 2025 GAM: Great Audit Minds. Immerse yourself in a dynamic learning environment where you can collaborate and tackle today's pressing business and audit challenges while pioneering the frontiers of tomorrow. By participating, you will gain invaluable insights, forge meaningful connections, and acquire the tools and knowledge necessary to bring true value to your organization. Embrace the future of internal audit and revolutionize your impact today.

International Conference: July 14 - 16, 2025 - [Register Here](#)

The IIA's 2025 International Conference sets the stage in sharing new and forward-looking information and leading practices in pursuing excellence in internal audit. As internal auditors increasingly become trusted advisors and an integral part of their organizations, they are compelled to broaden their arsenal of skills. This conference will prepare audit professionals to embrace and learn new technologies and implement new tools and techniques to effectively respond to shifting business and risk landscapes.

UPCOMING IIA HEADQUARTERS EVENTS CONT.

GRC Conference: August 2025 - Exact Date TBD - [Register Here](#)

For the 12th year, The IIA and ISACA will partner to gather the leading minds in governance, risk management and control to provide dedicated professionals like you with world-class content, innovative ideas and practical guidance.

Please visit the [IIA Learning Conferences webpage](#) for additional training opportunities.

LOUISVILLE/CINCY IIA COLLAB

Topic: AI and Audit: How can Audit departments best leverage AI

- **Description:** Join Christian Heffron, a partner at MorganFranklin Consulting as we talk about the emergence and impact of AI within internal audit. In this presentation, we'll introduce AI, discuss its impact, and provide case studies on how internal audit can leverage AI to drive efficiency and effectiveness.
- **Time/Date:** Tuesday, December 17, 2024; 12:00 PM - 1:00 PM (ET)
- **CPE:** 1 hour
- **Cost:** Members: \$10; Non-members: \$15
- **Event Format:** Virtual (Zoom link is included in event registration confirmation email)

[Registration Link](#)



CAREER OPPORTUNITIES

Sr Auditor (Republic Bank)

The Sr. Auditor is responsible for evaluating operating guidelines and processes related to the bank's traditional banking services and Republic Processing Group ("RPG") services. This position will ensure that such controls are adequate, functional and in accordance with industry standards, regulatory requirements and corporate policies. This position is responsible for planning and conducting reviews of organizational and functional activities along with evaluating the adequacy and effectiveness of management controls over those activities in accordance with the accepted professional standards.

Reach out directly to:

Erin Bukowski, CPA, CIA, SVP, Managing Director Internal Audit, Republic Bank

(502) 560-8684 office

ebukowski@republicbank.com

Or Apply at: [Careers at Republic Bank](#)

JANUARY MONTHLY MEETING—VIRTUAL ONLY

Date: January 14, 2025, Noon—2p Eastern Time

Presentation Title: Dilemma Management

Presentation Synopsis:

In our complex world, leaders are often faced with decisions that have no clear right or wrong answer. To successfully navigate the gray, leaders need tools to find the best solution. In this session, leaders will learn strategies to do just that by using a personal ethics statement they create in the session as a guide.

Speaker: Victoria Alexander-Carney, Aspire Solutions, LLC



Registration Link: [Click Here to Register](#)

Note: All IIA Louisville Chapter Events are held on Eastern Time.

OFFICERS AND COMMITTEE CHAIRPERSONS

PRESIDENT AND CHAPTER PROGRAM CHAIR

Lesley Clark
Federal Reserve Bank of St.Louis

VICE PRESIDENT & PROGRAM CHAIR

Myhanh Pham
Synchrony

CHAPTER ACHIEVEMENT PROGRAM (CAP) CHAIR

Jenni Schelling
Louisville Water Company

TREASURER

London Lopez
Humana, Inc.

SECRETARY

Robert Stutsman
Credit First National Association (CFNA)

MEMBERSHIP CHAIR

Catie Knable
Caesars Entertainment

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Zack Estes
Republic Bank & Trust Company

Roy Holden
Kentucky Lottery

ADVOCACY/DIVERSITY

London Lopez
Humana, Inc.

Myhanh Pham
Synchrony

AUDIT CHAIR

Brittany Myers
Republic Bank & Trust Company

CERTIFICATIONS CHAIR

Bob Aemmer
LG&E and KU Energy

CHIEF AUDIT EXECUTIVE (CAE)

ROUNDTABLE CHAIR
Shawn Stevison
Humana, Inc.

GOVERNMENT RELATIONS CHAIR

May Porter
Louisville Metro Government

NEWSLETTER CHAIR

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Andrea Higgins
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WEBMASTER

Sonja Heath
Humana, Inc.

SOCIAL MEDIA

Sean Byrnes
Humana, Inc.

BOARD OF GOVERNORS

ELECTED MEMBER TERMS

Ariana Campbell (Thru 12/31/2025)
Fannie Mae

Zack Estes (Thru 12/31/2025)
Republic Bank & Trust Company

Roy Holden (Thru 12/31/2026)
Kentucky Lottery

May Porter (Thru 5/31/2025)
JCPS

Grace Wilson (Thru 12/31/2026)
Humana

PAST PRESIDENTS TERMS

Catie Knable (Thru 5/31/2024)
Caesars Entertainment

Shawn Stevison
Humana, Inc. (Thru 5/31/2025)

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. Advertisements also include posting of recruitment information on the chapter website for one month. Those interested, please email the Louisville IIA Chapter [Newsletter Chair](#).

