

# INTERNAL BANK AUDIT AND RISK ASSESSMENT SCHOOL

August 12, 2020  
*Virtual-only program*

*Program Cosponsored by*



TNBankers.org

## INTERNAL BANK AUDIT AND RISK ASSESSMENT SCHOOL

The Tennessee Bankers Association is happy to announce that Crowe LLP will present a one-day virtual internal audit seminar on August 12, 2020, covering the following topics:

### **Program Topics**

#### **Auditing Current Expected Credit Loss (CECL)**

- Governance and oversight
- Project management/gap assessment
- Technology and third-party risk
- Model and methodology
  - Risk identification and segmentation
  - Current conditions
  - Reasonable and supportable forecasts
  - Reversion
  - Acquired loans
  - Debt securities
- Data (inventory, governance)
- Validation
- Reconciliation
- Policy
- Segregation of duties
- Reporting and disclosures

#### **Ethics per the IIA Standards**

- Discuss code of ethics—principles
  - Integrity
  - Objectivity
  - Confidentiality
  - Competency
- Discuss applicable standards as they relate to the ethical application of the internal audit profession:
  - 1010 – Recognizing mandatory guidance in the internal audit charter
  - 1100 – 1130 - Independence and objectivity standards
  - 1200 – 1230 - Proficiency and due professional care standards

#### **Auditing Asset/Liability Management**

- Interest Rate Risk (IRR) Management Administration
- IRR management operations
- Liquidity

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### **About Crowe LLP**

Crowe LLP ([www.crowe.com](http://www.crowe.com)) is a public accounting, consulting and technology firm with offices around the world. Crowe uses its deep industry expertise to provide audit services to public and private entities. The firm and its subsidiaries also help clients make smart decisions that lead to lasting value with its tax, advisory, risk and performance services. As an independent member of Crowe Global, one of the largest global accounting networks in the world, Crowe serves clients worldwide. The network consists of more than 200 independent accounting and advisory services firms in more than 130 countries around the world.

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## Presenters

### E.Micheal Thomas

CPA, CIA, CBA, CFE, CRP, CFF, CRMA

Mike Thomas is a partner in Crowe LLP's Financial Institution Risk Consulting practice in the Southeastern United States. He has more than 40 years of broad-based experience, specializing in the financial services industry. Thomas' responsibilities include advising clients in areas such as risk management, fraud prevention, and quality assurance assessments. Thomas is a member of the Institute of Internal Auditors, the Association of Certified Fraud Examiners, the American Institute of Certified Public Accountants, and the Bank Administration Institute.

### Russell W. Dailey

CPA, CAMS

Russell Dailey is a manager in Crowe LLP's Financial Institution Risk Consulting practice in the Southeastern United States. He is responsible for managing internal audit engagements across the region. Dailey has developed a split specialization within the financial services space focused on both audit and consulting services. Dailey holds a B.S. degree in accounting & finance from Indiana University.

### Matthew Davis

Matt Davis is a Senior Manager in Crowe, LLP's Financial Institution Consulting practice. He is responsible for managing internal audit engagements; overseeing the strategy and testing of SOX and FDICIA control environments; designing and leading data analysis projects; as well as guiding clients on a wide range of risk related issues. Matthew is also a frequent speaker to industry groups and professional associations, presenting on a wide range of topics within financial services industry. In addition, Matthew is speaker and co-host of an Internal Audit seminar offered through multiple state banking associations. His client experience ranges from small de novo banks to large multi-billion asset sized financial institutions. Matthew holds a Bachelor of Science degree in Management with a concentration in Finance from Purdue University. He is a Certified Internal Auditor and trained in Lean Six Sigma.

## Dates & Location

August 12, 2020

Virtual-only event

## Schedule

8:30 a.m.

9:00 a.m.

Noon

1:00 p.m.

4:00 p.m.

Login and Registration

Training begins

Lunch

Training resumes

Adjourn

## Continuing Education Credit



Attendees qualify for 6.5 hours of Continuing Professional Education (CPE) credit in the area of Specialized Knowledge.

This program has not been pre-approved for continuing education (CE) credit by ABA Professional Certifications. Attendees who require CE credits should go to [www.aba.com/Training/Certifications/Pages/CEProviders.aspx](http://www.aba.com/Training/Certifications/Pages/CEProviders.aspx) for further instructions.

## Delivery Method and Audience

This live, overview program is for internal auditors and senior staff who work within this area in the bank with varied levels of experience. This seminar incorporates several internal audit issues with accompanying valuable reference materials. The instructors will take time to discuss FAQs and will have opportunities to work through common problems and situations.

**Prerequisites:** Familiarity with basic lending principles

**Advance Preparation:** No advance preparation is required for this program

**Program Level:** Basic

**Delivery Method:** Group-live

## Program Fees

	TBA Members / Associate Members	Nonmembers
Registration	\$270	\$540
<b>Registration deadline is August 7.</b>		

Virtual fee covers instruction, instructional materials, and virtual programming connection. **The TBA office must receive registrations by close of business on August 7.** No written confirmation of seminar registration will be sent from the TBA. Participation in TBA programs is limited to members, associate members, and nonmembers from an eligible membership category at applicable member or nonmember rates.

## Social Distancing and Virtual Learning

TBA will follow guidance issued by the CDC, Tennessee Department of Health and any applicable federal or regulatory requirements in place at the time of this program. In addition to these precautions for students attending the school in-person, this program is also available to attend via virtual participation. TBA's Virtual Live Training option allows for one participant per paid registration. The paid registration gives access to program resources for effective learning. If additional attendees would like access to the program resources (including but not limited to online link/connection, program manuals, and interaction with the facilitator/speaker) an additional paid registration is required. We appreciate your assistance in ensuring that each event participant is registered with TBA and all applicable fees are paid. This will help our organization continue to provide exceptional resources to its members. CPEs and attendance records are kept for all programs. In order to receive documentation for completion of TBA programming, participants must be registered and complete the interactive activities during the Virtual Live program.

## TBA Contact

### Monique White

Director of Education

[mwhite@TNBankers.org](mailto:mwhite@TNBankers.org)

615-244-4871 or 800-964-5525

[www.TNBankers.org](http://www.TNBankers.org)



# Internal Bank Audit and Risk Assessment School

August 12, 2020 – Virtual-only event

Please print or type.

1. Name \_\_\_\_\_ Nickname \_\_\_\_\_ SS# \_\_\_\_\_  
 Job Title \_\_\_\_\_  
 Email \_\_\_\_\_

Include last 4 digits for educational tracking

2. Name \_\_\_\_\_ Nickname \_\_\_\_\_ SS# \_\_\_\_\_  
 Job Title \_\_\_\_\_  
 Email \_\_\_\_\_

Include last 4 digits for educational tracking

Company \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Contact \_\_\_\_\_

Phone \_\_\_\_\_ Email \_\_\_\_\_

TBA Members / Associate Members	Nonmembers
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Registration deadline is August 7.	

**2 WAYS TO REGISTER!**

1. Register online at [www.TNBankers.org](http://www.TNBankers.org) with a credit card or ACH.
2. Mail this form along with a check to the address below.

Check number: \_\_\_\_\_  
 Amount: \_\_\_\_\_

**RETURN COMPLETED FORM AND PAYMENT TO:**  
 Tennessee Bankers Association  
 ATTN: Monique White  
 PO Box 306377 • Nashville, TN 37230-6377  
 Phone: 615-244-4871 or 800-964-5525 Fax: 615-324-1990