The Institute of Internal Auditors
Progress Through Sharing

AUDIT VOICE

Northeast Ohio Chapter March 2010

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Co-President's Message

Welcome to Spring! The end of the chapter year, like the school year, is fast approaching. Your governors and officers have been identifying and preparing leaders for next year. Elections will be held at the May 3 meeting at the I-77 Rockside Holiday Inn. We're also preparing for the annual golf outing at Coppertop of Cherokee Hills on Friday, June 4, 2010. Remember to save the dates! Please refer to the golf outing announcement within the newsletter for additional information relating to this event, including volunteering and sponsorship opportunities.

Whoa, Nelly, let's get through April first. We are excited to partner with ISACA to bring in a guest speaker to cover the topic of Business Continuity in detail on April 5, 2010 from 11:45 a.m. to 4:45 p.m. During this session, **Understanding Business Continuity: Preparing Internal Audit for Your Organization's BCP Initiative**, you will gain an understanding of business continuity that will allow you to effectively participate in and even lead Internal Audit's role in a BCP effort within your organization. Registration has started at Acteva (**http://www.acteva.com/go/neoiia**). Did you catch the change? We're starting **15 minutes earlier** (11:45 a.m.) to avoid 15 minutes of rush hour traffic at the program's end.

Thanks for the remarkable turnout at March 4's "Internal Audit Boot Camp" at John Carroll University – over 250 participants. Have you done your homework – shared a positive factoid about Northeast Ohio with a colleague, friend, or your children? Northeast Ohio has a great past, present, and future. Let's show leadership to secure a prosperous future for our region.

Did you know that NASA Lewis (now Glenn) persuaded The Illuminating Company to generate electricity (in the 1950's) to test propulsion systems? NASA Lewis used more electricity testing overnight than the whole region used during the day. When the space program was cut back in the 1970's, this region had plenty of energy capacity for growth. Now, that's strategic leadership and regional advantage! Until the blackout of August 14, 2003. Yes, I had to bring it back to business continuity. Were you proud of your company's and family's preparation and response to the power failure that started in Parma, Ohio and blacked out over half the nation?

Speaking of leadership and preparation, the Institute of Internal Auditors International Conference in Atlanta, Georgia June 6 – 9, 2010, offers more than 75 concurrent sessions. Conference Keynote Speakers include Carole B. Tomé, The Home Depot's Chief Financial Officer and Executive Vice President of Corporate Services and Audit Committee Chair at UPS; Zanny Minton-Beddoes – *The Economist's* Editor on Global Economic Outlook; and Mark Sanborn – Author of *The Fred Factor: How Passion in Your Work and Life can Change the Ordinary into the Extraordinary* . In addition to the expected sessions on leading internal audit practices, tools, and fraud; the international conference will address leading governance practices, risk management techniques, and compliance best

practices. Visit the conference Web site, **www.iia2010atl.org**, to **register** or for additional **program information**.We remember and support members who are transitioning between employers two ways. First, the Northeast Ohio Chapter has developed the "In Transition" group. The goal of the group is for our members to network, share search strategies, and discuss what is going on in the market. If you are interested in participating in these meetings, please contact Jay Simon at **jaysimon@patinasolutions.com**. Second, members who are between employers can attend meetings without charge (for free.) Meetings help you meet continuing professional education requirements and, again, provide networking and job search opportunities.

Thank you for all of your support this year. We look forward to seeing you at the April meeting.

Sue Schueller
Co-President

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The Board of Governors of the Northeast Ohio IIA Chapter has approved a chapter sponsored "In Career Transition" Group for our members.

During these challenging economic times, jobs are not plentiful. Too many are looking for too few opportunities. And the search can be a stressful, lonely, and emotional roller coaster. While we are aware that many of these groups exist, we wanted to reach out to you and offer our help.

We have not yet formulated a plan of meetings, time, frequency, and related logistics. To help in the planning process we would like your input as to how we can help and make the group a success.

Please contact Jay Simon at **jaymarksimon@gmail.com** with your thoughts as we develop a plan for the group.

Understanding Business Continuity

Preparing Internal Audit for Your Organization's BCP Initiative

Joint Meeting – IIA and ISACA

Monday, April 5, 2010 11:45 pm – 4:45 pm

(New time: Lunch hour begins at 11:45, Meeting content begins at 12:45 to avoid rush hour at closing)

Holiday Inn - Independence 6001 Rockside Road Independence, OH 44131

To Register Online - Go to **www.acteva.com/go/neoiia** **4.0 CPEs**

We are excited to bring in a guest speaker to cover the topic of Business Continuity in detail.
During this session, you will gain an understanding of business continuity that will allow you to effectively participate in and even lead Internal Audit's role in a BCP effort within your organization.

Summary

Business Continuity is the processes of identifying, mitigating, preparing for, responding to, and recovering from a disaster or business interruption. It involves anticipating the crises that could befall your organization, mitigating them where possible, planning for these contingencies, and making certain that your organization can continue to function.

Any Business Continuity Program should have at its core the intent and purpose to protect life and health, the business assets of the organization, and the reputation of the organization. This goal can be met by relevant planning, implementation, training and awareness, and development of an ongoing program.

A simplified, practical and proactive approach by an organization to address situations of a critical nature, and to ensure its recovery and continuity in the face of a disaster or other major outage, is at the core of an effective Business Continuity Program. Plans and methodologies are determined by strategy, policies and procedures, actions to be followed during the course of an emergency, and the recovery process that must follow.

Learning Objectives

Understand the basics of Business Continuity Planning
Understand the basics of Emergencies
Understand the basic components of a Business Continuity Plan

Carolyn Carlson, CBCP, has been in the industry for ten years. She is currently the Contingency Planning Administrator for FirstMerit Bank, where she is responsible for administering the Business Recovery Program, including Business Resumption as well as Disaster Recovery. Prior to FirstMerit, she was the Business Continuity Coordinator at AmTrust Bank. She has worked in the banking, retail, manufacturing, and insurance industries.

She is frequently invited to speak at conferences and teaches an Organizational Recovery class at Cleveland State University. Additionally, Carolyn is a member of her local Community Emergency Response Team or C.E.R.T. and is the current President of Contingency Planners of Ohio (CPO).

REGISTRATION INFORMATION

Session Cost: Members **$55**
Registrants will earn 4.0 CPEs by attending this meeting.

NOTE: Registration for both the IIA and ISACA is being handled by the Northeast Ohio Chapter of the IIA. Please utilize their registration methods.

Online Go to: **www.acteva.com/go/neoiia**

Cash & Checks will be accepted at the door. **NO** credit card payments will be accepted at the door. Make checks payable to the Northeast Ohio Chapter, Institute of Internal Auditors tax ID 23-7405461.

Pre-payments should be mailed to: Daniel J. Leo
4200 Westbrook Drive, Suite 206
Brooklyn, OH 44144

Understanding Business Continuity Planning

Training Objectives

- Understand the basics of Business Continuity Planning
- Understand the basics of Emergencies
- Understand the basic components of a Business Continuity Plan

What is Business Continuity Planning?

- Why Plan?
- Examples
- Common Themes
- Definitions

Business Continuity Framework

- Establish Need
- Develop a comprehensive program
- Mission of the program
- Benefits of the program
- Governance
- Components of a Business Continuity Program
- DRII Professional Practices

Getting the Program Started
Risk Assessment / Analysis

- Vulnerability Identification & Analysis
- Types of Disasters/Interruptions and Onsets
- Examples of Risks
- Additional Factors to Consider
- Asset Identification
- Event Assessment

What is a BIA?
BIA Framework

- Fact Finding
- Data Gathering
- Review Existing Plans & Procedures
- Establish your goals
- Put the Plan together
- Crisis Communications

Plan Focus

- Emergency/First Response Plan
- Incident Management Plan
- Business Resumption Plan
- Disaster Recovery Plan

Eight Stages of the Disaster/Interruption Process

Emergency/First Response Planning

- Factor in Regulations/OSHA
- What Employees must know
- Emergency Instructions

Incident Management Plan Framework

- Assign Teams and Leadership
- Develop and Incident Command Center
- Incident Management Decision Tree
- Break Tasks into Teams

Getting the Program Started

- Recovery Time Objective (RTO)
- Recovery Point Objective (RPO)
- Recovery Capacity Objective (RCO)
- Countermeasures
- False Assumptions

Business Resumption Planning

- Develop Business Continuity Strategies
- Recovery Questions to Ask
- Business Process Focus

Disaster Recovery Planning

- Develop Disaster Recovery Strategies
- Getting Good Recovery Images
- Options
- Hot Sites
- Warm/Cold Sites
- Quick Ship
- Mobile Sites
- Mirror Sites

Business Continuity Framework

- Recovery Considerations
- Employee Training and Awareness
- Test or Exercise the Plan
- Details, Details, Details!
- Make sure you have considered everything!

Additional Resources

Making the Most of Your Meetings

Yawning. Glazed-over eyes. Compulsive watch-checking.

These are just a few signs that a meeting is unnecessary, has gone on too long, or is just plain boring. While nobody wants to be the leader of a meeting gone awry, it can happen to the best of professionals. The good news is that you can guard against ineffective gatherings by taking these steps:

Break the habit. In many companies, certain meetings have become such a habit that no one — not even the facilitator — steps back to ask whether there's still a compelling reason to get together. Remember: Just because a gathering is standard practice doesn't mean it's necessary. Before automatically booking the usual conference room, ask yourself if a routine meeting has outlived its original purpose. Sending an e-mail or memo is often a more effective way to share information that doesn't require significant group input.

Select invitees with care. You've likely been required by your boss to attend meetings where your only thought was, *"Why am I here?"* Don't perpetuate the problem. Before calling a meeting, always review your list of invitees to determine if everyone on it truly *needs* to be in on the discussion. Participants should have a stake in the majority of items on your agenda. If your list is extensive, it can be a signal that you've A) planned an overly ambitious meeting or B) invited some people whose time would be better utilized elsewhere. Moreover, when you include individuals as a courtesy but their presence isn't really required, be sure to list them as "optional."

Respect the time of participants. Perhaps the biggest challenge for any meeting leader is maintaining focus. Minimize time-wasting tangents by creating an outline covering the key points of discussion and any pertinent background details. Provide it to participants ahead of time so that they can prepare accordingly. Once the meeting starts, stick closely to your agenda, and rein in the conversation the minute it begins to meander off track. Even if an exchange is on-topic, be prepared to cut off discussion if that one item begins to jeopardize the time remaining for other issues. And if there's still important ground

to cover when you're approaching the scheduled ending time, set aside the last few minutes to arrange a brief follow-up meeting.

This article is provided courtesy of Robert Half Management Resources, North America's largest consulting services firm providing senior-level accounting and finance professionals on a project basis. For further information, visit ***www.roberthalfmr.com*** *or follow Robert Half Management Resources on Twitter at* ***twitter.com/roberthalfmr***

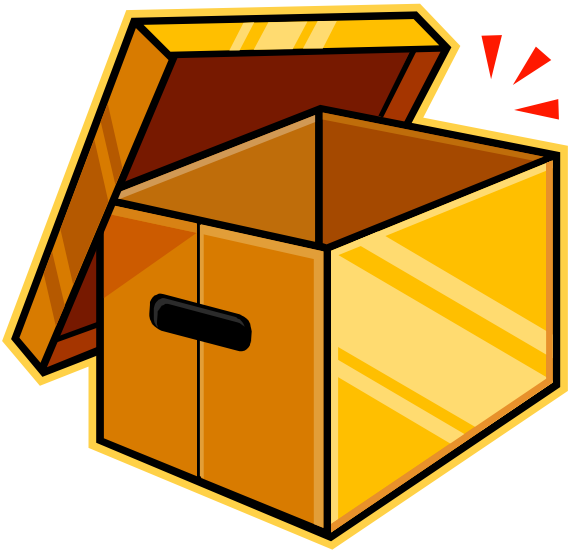
Stay informed by updating your profile. Keep it current!

Did you change jobs? Get promoted? Earn a certification? Are you moving? Getting a new email address?

If you can answer YES to any of the above questions, it is time to update your Member Profile with the IIA. Two methods exist to update your profile; 1) call national customer service 2) update on the IIA Member Profile website. Some items cannot be changed on the website and require calling the National IIA customer service at **407-937-1111**. These items include:

- Change in Chapter Affiliation (or region)
- Change in Name of Employer
- Addition of New Certifications

If you have a change that is not listed above, access IIA website to enact your changes. **https://www.theiia.org/iia/profile/index.cfm**.



Chapter CAP Award

Recall that the CAP program is designed to recognize activities that promote the IIA's strategic objectives. This program is established on the premise that the primary mission of a chapter is to serve its members first and then the internal audit profession. Points can be earned in three categories: Service to Members, Service to Profession, and Chapter Administration.

2009-2010	
Service to Members:	924.71
Service to Profession:	149.92
Chapter Administration:	255.00
Total CAP Points	**1329.63**

Points may be gained by member participation in events such as meetings and seminars, published articles, speaking engagements, and chapter administration and activities. So, get involved and help the Northeast OH Chapter be the best we can be!

If you have published articles relating to internal auditing or have participated in speaking engagements relating to internal auditing or the profession contact Dave Schmidt at **dave.schmidt@roadway.com**. Your efforts in helping further the cause of our profession will help us achieve our platinum status.

Employment Opportunities

The chapter's Employment Committee serves as a clearinghouse for members seeking positions and organizations seeking personnel by reviewing resumes of applicants and attempting to match them with employer requirements. All inquiries are confidential. If you are looking for a position or are trying to fill a position contact Dan Bross at **(330) 534-2598** or e-mail him at Auditman42@yahoo.com.

Let Your Voice Be Heard!

Do you have any links, updates or industry news to share? Questions? Comments? Contact the NEO IIA Audit Voice Editor: **Anna.Stroup@protiviti.com**

Update Your Membership Information

Keep your IIA member records current with the IIA's new real-time "Update Profile" feature. Using this interactive web-tool, IIA members can make changes online and see the results on-screen immediately after submission. This is the best way for you to ensure that the IIA and your local chapter have the most accurate information. This profile information is used to create the email lists used to send out the newsletter and other chapter information. Check your record now at: **https://www.theiia.org/iia/profile/index.com**.

Chapter Library

Our chapter has a variety of reference materials available for members to use. These items can be borrowed for up to 2 weeks at a time. If you are interested in borrowing a publication from the Chapter's library, please e-mail Chris Boetto, at Chris.Boetto@OMNOVA.com or call him at (330) 869-4419.

Congratulations on Platinum Status in 2008!

Job Postings – March 2010

March	
Company	**Position**
Amtrust Bank	Sr. IT Auditor
Amtrust Bank	Ohio IT Director
Amtrust Bank	Sr. Internal Auditor
Federal Reserve Bank of Cleveland	Manager, IT Audit

Visit the News and Career Opportunities tab of the NEO IIA website for details and additional job postings.

http://www.theiia.org/chapters/index.cfm/view.news/cid/7