RESEARCH ALLIANCE

Advancing the Internal Audit Profession with The IIA RESEARCH FOUNDATION

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The IIA Research Foundation

9/13/2011

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Dear Friend,

Organizations, Chapters/Institutes and Individuals who have partnered with The IIA Research Foundation to advance the internal audit profession through research embrace our vision, to understand, shape, and advance the global profession of internal auditing by initiating and sponsoring intelligence gathering, innovative research, and knowledge-sharing. The IIARF has always been forward-thinking, proactive, and trend-setting, as well as trend-depicting by embracing a wide variety of research methodologies, and partnering with like-purposed minds.

We are reaching out to you because we recognize your interest in the investment and advancement in the profession. You understand the indisputable value of ongoing research for establishing and maintaining good business practices and protecting stakeholder interests.

Our alliance partners not only commit monetarily, but can also contribute at a level to help establish research initiatives. We are seeking alliance partners that will help to advance the profession by:

- Funding, partially or in full, one of the current research priorities.
- Funding and/or co-developing a white paper or other research on topics relevant to both organizations.
- Co-branding through marketing activities on products of interest to our target audiences.
- Supporting the Foundation's greatest need through an unrestricted gift.

By partnering with The IIARF, you are able to validate assumptions and trends with objective research from a 35-year old professional association dedicated to the global internal audit profession. In addition, the IIARF offers a variety of recognition levels. This packet of information outlines our programs and services, current research initiatives and levels of recognition your contribution will receive.

The IIARF welcomes the opportunity to sit down with you to address our mutual research interests. We have worked with hundreds of organizations and individuals over the last 35 years and have developed over 200 studies to enhance the development of the internal auditing profession.

Sincerely,

Margie Bastolla
Vice President, Research
The IIA Research Foundation
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THE RESEARCH FOUNDATION PROGRAMS AND SERVICES

The IIA Research Foundation provides:

- ***Innovative Research*** – Investment in the latest research advancing the internal audit profession. The IIARF has published over 200 comprehensive studies providing:
  - Forward-thinking research - theoretical, discipline-based content; medium to long-term; what is unknown but could happen
  - Emerging issues – on the cusp of happening or just around the corner; practitioner-based content with an immediate need
  - Current practices – applied content: currently occurring and always will, but more is needed
- ***Relevant Educational Products*** – The IIARF Bookstore has developed and offers hundreds of educational products that provide internal auditing practitioners with current information and guidance.
- ***Credibility*** – Over 35 years as a 501(c)(3) nonprofit organization providing and expanding research and education for the benefit of the internal auditor, the internal auditing profession, the business and government communities, and the general public.
- ***Objectivity*** – As the internal audit profession's global voice, recognized authority, acknowledged leader, chief advocate, and principal educator, the IIA and IIARF provide independent insight and review by internal auditors from practice, academia, and government.
- ***Subject Matter* Expertise** – By representing the global industry, The IIARF is able to source highly qualified practitioners, researchers, educators, stakeholders and authors.
- **Accessibility** – The IIA as an international association offers the IIARF access to practitioners and stakeholders anywhere in the world.
- ***Global Distribution*** – The IIA and IIARF have numerous channels of communication and distribution including a global web site, database, social media, IIARF online Bookstore, Amazon.com, IIA conferences, international institutes and North American chapters.
- ***Comprehensive Surveys*** – Ability to reach nearly 170,000 *IIA members* via survey, interview, or focus group.
- ***Global Data Access*** – The Global Internal Auditor Survey (component of the CBOK study) and the Global Audit Information Network (GAIN), and other survey data.
- ***National and Global Recognition*** – The IIA and IIARF market and communicate globally online and in print.
- ***Dedicated Staff*** – The IIARF provides a seasoned staff of internal audit, research, and publishing experts that support and provide comprehensive project management to deliver these innovative studies and educational materials.

AVAILABLE RESEARCH TOPICS
2012

Title/Researcher	Objective	Amount needed
Research in Progress		
Adapting Internal Auditing Through the Business Cycle - Birmingham City University	This project will investigate the comparative impact of the changing business cycle and identify alternative approaches / solutions to emerging problem areas. It will focus on internal audit's (IA) role across the economy in government, private and charity sectors, looking at the different challenges facing each sector through the cycle stages.	$35,000 *(Lehigh Valley Chapter is sponsoring $500)*
Corporate Governance and the Board: What Works Best, 2nd Edition - PricewaterhouseCoopers LLP	This second edition will provide insight into how leading practices have evolved and assist directors with discharging their responsibilities more effectively. It will set the bar for boards in improving their effectiveness and enhancing shareholder value - commensurate with the best of today's boards' resources and shareholder expectations.	~~$35,000~~ FULLFILLED *(*Total cost of project is $70,000, PricewaterhouseCoopers LLP is contributing $35,000 in kind, Philadelphia Chapter is sponsoring $35,000)*
Enhancing the Chief Audit Executive's Effectiveness in Working with the C-Suite	This product will assist CAEs develop more effective business relationships with key executive managers and Board members and promote wider acceptance of CAEs as respected and trusted members of the C-suite team.	$25,000 *(Total cost of project is $50,000, however, Chicago Chapter is sponsoring $25,000)*
Case Studies in Organizational Governance: Different Approaches by Different Organizations	Different organizations have approached and organized differently to achieve governance objectives. Internal auditors need to effectively interface with the approach and functions adopted by their organization. By researching and describing different governance strategies and internal audit's role within those structures, internal auditors who are in the process of defining or enhancing their role in overall corporate governance will have examples of better practices to consider.	$40,000
Internal Auditing and Organizational Governance: Combined Assurance Frameworks	Combined Assurance is a coordinated effort to integrate all audit and assurance functions within an organization into a single risk and control framework. The objective of this research is to determine if effective combined assurance models exist and if so, what are the characteristics and benefits of such a model?	$30,000

Title/Researcher	Objective	Amount needed
Governance Risk and Control (GRC): What is it? How is it Different than Enterprise Risk Management (ERM)?	The purpose of this study is to assist enterprise oversight function(s) and internal auditing in defining and clarifying the state of their GRC and/or ERM implementation. The common, or "generally accepted," components of GRC and ERM need to be identified and put in context relative to each other.	$15,000 *(Albany Chapter is supporting partial funding of project)*

If you are interested in a new research initiative, The Research Foundation is more than happy to work with you and discuss your needs.

The Institute of Internal Auditors Research Foundation

RECOGNITION LEVELS

Level	Recognition
Donations may be designated for a specific research project or to the greatest need of the Foundation. Recognition is for a rolling 12 month period	
VISIONARY CIRCLE $50,000+	Receive the amenities of levels below, **plus**: • Invitation to participate in The Foundation's research priority planning process. • IIARF Web Ad – 8 weeks – Reaching over 600,000+ visitors/members • Logo placement on all IIARF e-blast communications – (12-16/yr.) • Feature article in the IIARF and IIA Today newsletters • Option to receive five copies of all RF publications published during year.
CHAIRMAN'S CIRCLE $25,000-49,999	Receive the amenities of levels below, **plus**: • Prominent logo placement on signage at select conferences • A seat on the project review team for selected research project** • Ten copies of selected published product ** • Option to receive three copies of all RF publications published during year.
TRUSTEE'S CIRCLE $10,000-24,999	Receive the amenities of levels below, **plus**: • Feature article interview for a selected IIA publication • Listing as sponsor or co-sponsor on product title page** • Five copies of selected published product** • Option to receive two copies of all RF publications published during year.
PARTNER'S CIRCLE $5,000-9,999	Receive the amenities of the levels below, **plus**: • Name on the Foundation's homepage with linkage • Listing on plaque at IIA Headquarters • Listing in all published research products for the year • Option to receive one copy of all RF publications published during year.
SUSTAINER $1,000-4,999	Receive the amenities of the levels below, **plus**: • Name on The Foundation's website • Listing on annual IA magazine RF Page • Listing in annual Internal Auditor donor ad • Listing on signage at select conferences – *Research Foundation area*
SUPPORTER $1-999	Receive the amenities of the levels below: • Donor ribbon at select conferences *(individual donors)* • Listing on the IIARF Website

***If funds are designated for a specific research project- recognition is for that particular project.*
NOTE: CBOK designated donations are recognized seperately, contact the Research Foundation for more details.

CHAPTER/INSTITUTE ADDITIONAL BENEFITS

-In addition to those listed on previous page if applicable-

Donor Level	Small Chapter/ Institute (1-60 members)	Medium Chapter/ Institute (61-125 members)	Large Chapter/ Institute (126-250 members)	X-Large Chapter/ Institute (over 250 members)	Recognition
DIAMOND	**$500-$999**	**$1,000-$2,499**	**$2,500-$4,999**	**$5,000+**	**Receive the amenities of the levels below, plus:** • Listing as a sponsor in research publications • Listing on signage at select conferences – *Research Foundation area*
EMERALD	**$250-$499**	**$500-$999**	**$1000-$2,499**	**$2,500+**	**Receive the amenities of the levels below, plus:** • Chapter listed on annual IA magazine RF Page
RUBY	**$150-$249**	**$250-$499**	**$500-$999**	**$1,000+**	**Receive the amenities below:** • Chapter listed on RF Website • Opportunity to apply for a matching grant (up to $500) to support a chapter led research project • CAP credits *Chapters only

IIARF Research Participants

Name	Description
IIA- Dallas Chapter	One-time contribution (2011) to fund: • *Auditing Outsourced Functions*
IIA-New York Chapter	One-time contribution (2011) to fund: • *Insight – As a Key Element of Internal Audit Value*
IIA-Chicago Chapter	5-year commitment. Has elected to direct funding (2008-2013) to: • *Implications of IFRS on Internal Auditing: Performance Assurance Measurement and Control* • *Audit Committee Effectiveness: What Works Best, 4th Edition* • *Enhancing the Chief Audit Executive's Effectiveness in Working with the C-Suite*
IIA-Houston Chapter	5-year commitment (2011-2015) to fund the greatest need and a one-time contribution (2010) to fund the greatest need.
IIA-Philadelphia Chapter	One-time contribution (2010) to fund: • *Audit Committee Effectiveness: What Works Best, 4th Edition*
IIA-San Jose Chapter	Two year commitment (2010-2011)to fund the greatest need.
IIA-Washington, Baltimore and Northern Virginia Chapters	Joint funding of: • *Internal Audit's Role in Corporate Governance: Sarbanes-Oxley Compliance*
IIA Australia	Co-sponsor with The IIARF of: • *The Changing Governance Paradigm and Its Impact on Internal Auditing* • *The Role of Internal Audit in Corporate Governance and Management in Australia*
IIA Norway	One-time contribution (2009) to fund: • *Effective Sizing of Internal Audit Departments*
IIA Netherlands	One-time contribution (2009) to fund the greatest need.
Association of College and University Auditors	One-time contribution (2009) to fund: • *Effective Sizing of Internal Audit Activities for Colleges and Universities*
Deloitte LLP	In-kind funding of: • *A Call to Action: Stakeholders' Perspectives on Internal Auditing* • *Insight- As a Key Element of Internal Audit Value*
Intel Corporation	One time contribution (2003) to fund: • *PC Management Best Practices: A Study of the Total Cost of Ownership, Risk, Security, and Audit*
Oracle Corporation	One time contribution (2011) to fund: • What is Internal Auditing's Role in Risk Management?
PricewaterhouseCoopers LLP	In-kind funding of: • *Audit Committee Effectiveness: What Works Best, 4th Edition* • *Board Effectiveness: What Works Best, 2nd Edition*
The Sloan Foundation	Grant to The IIARF for: • *Auditor Roles in Government Performance Measurement*
University of California Systems	One-time contribution (2008) to fund: • *Effective Sizing of Internal Audit Activities for Colleges and Universities*

For over 35 years The IIA Research Foundation has been the global leader in sponsoring, disseminating, and promoting research and knowledge resources to enhance the development and effectiveness of the internal audit profession.

The IIARF has provided funding for research on issues important to the internal auditing profession and has produced more than 200 research reports, starting with the 1977 Systems Auditability and Control *report to the hot topics of today concerning governance, risk and control.*

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For further information, contact:
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