



AGENDA

- Introduction to the Government Advisory Committee
- Review 2017 Survey of Internal Audit Functions
- Introduction to the Panelists
- Auditing Social Media
- Business Continuity Planning / Disaster Recovery Risk Assessment

IIA-CHICAGO GOVERNMENT ADVISORY COMMITTEE

Overview

- **Education:** Host government-specific CPE at a low cost that enable auditors to develop and hone skills.
- **Networking:** Host networking opportunities that strengthen the government audit community.

Events

- IIA Chicago Annual Seminar Government Track
- Fall Into Training Event
- Events with partner organizations including the Association of Government Accountants (AGA) and the Association of Certified Fraud Examiners (ACFE)
- And more!

REVIEW 2017 SURVEY OF INTERNAL AUDIT FUNCTIONS

In 2017, the Government Advisory Committee conducted a survey of gov. IA functions; here's what we found with respect to IT auditing:

- Focus of IA (it was 4th out of 5)
- Professional Development Needs (80% of respondents indicated that it was a need)
- Sophistication of IT Audit – average of 52 out of 100 (100 is most sophisticated)

AUDITING SOCIAL MEDIA

CHRISTINE MONTEIRO, CFE, CIA, INTERNAL AUDITOR / NORTHERN ILLINOIS UNIVERSITY

AUDITING SOCIAL MEDIA – TOPICS OF DISCUSSION

Social Media

Social Media in Government

Why Audit Social Media?

Risks Associated with Social Media

Areas to Review

OBJECTIVES

- By the end of this course, you will be able to:
 - Discuss risks associated with Social Media
 - Identify best practices controls and mitigation strategies
 - Construct a basic assurance audit of Social Media

SOCIAL MEDIA IN GOVERNMENT

- Where do you work?
- What social channels are used in your agency?

WHY AUDIT SOCIAL MEDIA? OR QUESTIONS THAT (SHOULD) KEEP MANAGEMENT AWAKE AT NIGHT

- Who is speaking on your behalf?
- Who is listening?
- Do you have control over either of the above questions?

RISKS ASSOCIATED WITH SOCIAL MEDIA

- Federal Laws
- State Regulations
- Special Regulatory Agency Considerations
- Reputation

AREAS TO REVIEW

- Policies and Standards
- Governance and Oversight
- Compliance with State and Federal Regulations
- Metrics and Analytics
- Social Media Administration Across the Enterprise
- Training
- Monitoring

QUESTIONS AND ANSWERS?

AUDITING SOCIAL MEDIA

BUSINESS CONTINUITY PLANNING/DISASTER RECOVERY RISK ASSESSMENT

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BUSINESS CONTINUITY PLANNING / DISASTER RECOVERY RISK ASSESSMENT – TOPICS OF DISCUSSION

Topic
Business Continuity/Disaster Recovery Concepts
Understand your assets
Threat Landscape and Exposures
Questions and Answers

OBJECTIVES

- By the end of this course, you will be able to:
 - Understand the difference between Business Continuity Plan (BCP) and Disaster Recovery (DRP) Plans
 - Understand your organization's critical assets
 - Learn how various roles and responsibilities impact BCP/DRP Programs

BUSINESS CONTINUITY/DISASTER RECOVERY CONCEPTS

- Crisis management (CM): a key component of BCM and deals with communicating pertinent information about the crisis to the organization's stakeholders. CM is a key component of BCM that is triggered when the disruption of business service rises to the level of a crisis or disaster.
- Business continuity management (BCM): prepares organizations for future incidents or crises that could interfere with the achievement of business objectives.
- Business Continuity Plan (BCP): A documented collection of procedures and information that is developed, compiled, and maintained in readiness for use in an incident to enable an organization to continue to deliver its critical products and services at an acceptable predefined level.
- Business Impact Analysis (BIA): The process of analyzing business functions and the effect that a business disruption might have upon them.
- Call Tree Test: A test designed to validate the currency of contact lists and the processes by which they are maintained.









BUSINESS CONTINUITY/DISASTER RECOVERY CONCEPTS

- Critical Business Function (CBF): Vital functions without which an organization will either not survive or will lose the capability to effectively achieve its critical objectives.
- Desk Top Exercise: Technique for rehearsing emergency teams in which participants review and discuss the actions they would take according to their plans, but do not perform any of these actions; can be conducted with a single team, or multiple teams, typically under the guidance of exercise facilitators.
- Disaster Recovery Planning (DRP): The activities associated with the continuing availability and restoration of the IT infrastructure.
- Impact: Evaluated consequence of a particular outcome.
- Probability: The chance of a risk occurring. It is the same as Likelihood.
- Threat: A potential cause of an unwanted incident, which may result in harm to individuals, assets, a system or organization, the environment, or the community.

UNDERSTAND YOUR ASSETS

- People:
 - Internal, contractors and third parties
- Process:
 - HR, operations, credit cards,
- Technology:
 - Hardware (don't forget printer, fax)
 - Software (desktop and apps)
- Data:
 - Customer-facing, internal-use and employee information

THREAT LANDSCAPE AND EXPOSURES

	Threat	Probability	Timeframe	Potential Impact	Recent Examples	Impact
Geo - Political	Korean Peninsula •North Korea •Winter Olympics - South Korea (Feb-18)	Moderate	Moderate	•Risk to Operational interests in the region •Market volatility		
	Elections Indian states will hold assembly elections in November – Mar 2018	Moderate	3-6 months	•Risk to Operational interests in the region •Travel disruption, protests, bandhs •Operational Concentration Risks		
Terrorism	Domestic	Moderate	Ongoing	Locations where "Your Company" has operational impact	Baltimore, Berkeley, DC, NY, Southern US States,	
	International	Moderate	Ongoing	Locations where "Your Company" has operational impact and/or high level international travel	London, Paris, Brussels	
Market Activity	Debt Ceiling	Moderate	Q4, Q1 2018	•Market volatility	2013 Government Shutdown	
	National Day of Mourning 5 Past Presidents Two > 90 yrs old	Certain	Unknown Likelihood increasing	Unplanned market closure	Hurricane Sandy	
Weather	Significant Weather Events / Natural Disasters	Monsoon season Hurricane Season US Winter storms	Likely	"Your Company" associates and business partners in recovery mode	Hurricanes Harvey, Irma Chennai Rains, Tropical Storm Vardha	
Routine & Events	Extraordinary Routine Events	Power Issues, Fire Alarms, Contagious Illness, Systems Event				

QUESTIONS AND ANSWERS?

BUSINESS CONTINUITY PLANNING / DISASTER RECOVERY RISK ASSESSMENT

THANK YOU FOR YOUR TIME AND ATTENTION!

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