

# From Policy to Procedure: Building Your Risk Analysis Program

March 15, 2007  
IBA Conference Center  
9:00 a.m. to 4:00 p.m.

Presented by: **infotex**

Technology permeates the operations of the entire institution and defies departmentalization. Technology enables you to develop, deliver, and manage your products and services. An effective IT risk management process should identify, measure, control, and monitor operations risk.

The standards themselves call for a risk assessment of all electronic banking applications. It also says – The risk assessment process should:

- Identify all transactions and levels of access associated with Internet-based customer products and services;
- Identify and assess the risk mitigation techniques, including authentication methodologies, employed for each transaction type and level of access; and,
- Include the ability to gauge the effectiveness of risk mitigation techniques for current and changing risk factors for each transaction type and level of access.

## Agenda

- The FFIEC Standards and Effective Risk Management Strategy
- Management Awareness Training
- Vulnerability Assessments and other Tests
- The Risk Analysis Procedure
- GLBA / BSA / OFAC / Patriot Act Risks
- Risk Metrics
- Risk ranking
- Executive Summary
- Safeguard implementation

## Deliverables

- Board-level Risk Management Policy
- Procedure-level Risk Analysis Procedure
- Gap Analysis on Your Existing Policy/Procedure
- GLBA / BSA / OFAC / FACTA / Patriot Act Risk Assessment Boilerplates with benchmarks
- Vulnerability Assessment Program/Procedures

## Who Should Attend

This workshop is directed to bank management, compliance personnel, and information technology managers . . . anyone involved in your bank's CIRT or involved in developing information security policies / procedures should attend this **hands-on** workshop.

## What You Should Bring

You **DON'T** have to bring anything, as this workshop will help you build your Risk Management System from the ground up. However, if you already have one...

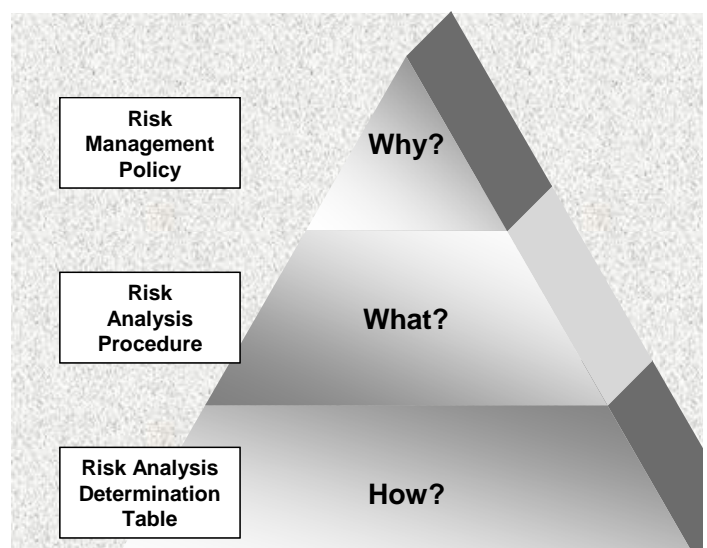
Please bring a current copy of your Risk Management Policy, your Risk Analysis Procedure, and your Risk Analysis Determination Table. This is a **hands-on** workshop, so bringing your policy and procedure will help you get the most out of your time!

## About the Speaker

### Dan Hadaway, CISA, CISM

Dan has worked extensively with banks on policy issues, engaging on projects ranging from gap analysis to developing a full policy set for denovo banks. He can tailor his consulting to any size bank, working on simple user-level policies with banks as small as one location to overseeing the entire IT strategy for a publicly held company. He has provided management-level regulatory compliance training for Fortune 500 companies as well as user-level awareness training for the smallest of banks. His strength is helping banks decide where in the "security/compliance spectrum" they should be. **He has helped create risk assessment programs for banks ranging in size from 40 million to 2.5 billion in assets.**

He is the Managing Partner of **infotex**, an IBA Preferred Service Provider in several areas, including Risk Assessments and Information Security Training.



# Registration Information

## From Policy to Procedure: Building Your Risk Management System

### Registration Fees:

#### IBA Members -

- \$195 for the first attendee
- \$145 per additional attendees

#### Non-Members

- \$340 for each attendee

Registration fee includes workshop material, continental breakfast, lunch and refreshments. Registration begins at 8:30 a.m. The workshop runs from 9:00 a.m. to 4:00 p.m.

**Cancellation Policy:** Within three (3) or more business days prior to the day of an educational program, no cancellation charge will be assessed. Within two (2) days prior, 50% of fee is assessed. Refunds are not provided for cancellations or absences that occur on the day of the program. Substitutions are welcome at any time.

### Four easy ways to register



#### Register by Mail –

Indiana Bankers Association  
6925 Parkdale Place  
Indianapolis, IN 46254-4673



#### Register by Phone -

(317) 387-9380



#### Register by Fax -

(317) 387-9374



#### Register online –

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

Bank Name \_\_\_\_\_

Billing Address \_\_\_\_\_

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

Phone \_\_\_\_\_ Fax \_\_\_\_\_

### Attendees

Name \_\_\_\_\_ Fax \_\_\_\_\_

Name \_\_\_\_\_ Fax \_\_\_\_\_

Name \_\_\_\_\_ Fax \_\_\_\_\_

Name \_\_\_\_\_ Fax \_\_\_\_\_

**Credit Card Information**     MasterCard     Visa

Card Holder Name \_\_\_\_\_

Credit Card Number \_\_\_\_\_ Expiration Date \_\_\_\_\_

Card Holder Signature \_\_\_\_\_

Please bill me     Request CPE Certificate    Total Amount Enclosed \$ \_\_\_\_\_