

Enterprise Risk Management Workshop

Training Agenda

7:30 – 9:00: Registrations, breakfast, and networking

9:00 – 9:15: Welcome, introductions and overview of the workshop

Speaker: **Kelly Dowell**
Executive Director, CUISPA

- Learning Objectives
- Overview of agenda and training materials
- Speaker Introductions

9:15 – 10:15: Designing, Staffing, and Managing an Enterprise Risk Management Function

Speaker: **Tom Tam**
Vice President, ERM & Internal Audit, WesCorp

- Establishing departmental objectives
- The inter-relationships between three critical components (ERM, Compliance, Internal Audit)
- Skills and capabilities
- In-source, out-source, or co-source
- Optimizing “return on effort”
- Measuring and reviewing performance
- Success stories

10:15 – 10:30: Break

10:30 – 11:30: Overview of Risk and Control Frameworks & Methodologies

Speaker: **Joe Visconti**
President, Visconti Consulting

- Introduction to the COSO framework
- Terminology overview (Policy vs. Procedure, Risk Assessment vs. Audit, etc.)
- The critical components of policies and objective setting
- The basics and terminology of risk assessment and analysis
- NCUA’s seven areas of risk management
- Risk surveys and data gathering techniques

11:30 – 12:30: Documenting and analyzing business processes, risks, and controls

Speaker: **Mishel Kaufman**

Vice President, Internal Controls, Redwood FCU

- Key elements of business processes and sub-processes (owners, inputs, outputs, etc.)
- Determining the start and end of a process
- Documenting the role of information systems
- Examples of risks and risk response options, strategies, and analysis
- Identifying control points and evaluating design

12:30 – 2:00: Lunch and Learn: Establishing and maintaining controls monitoring and measurement

Special Guest Speaker: **Sri Ramamoorti, Ph.D., CIA, CPA, CGAP**

Partner, National Corporate Governance Group, Grant Thornton LLP

- Role and purpose of monitoring in the ERM and compliance system
- The responsibility of the board in monitoring and the governance process
- The responsibility of management in monitoring and the governance process
- Designing monitoring controls for effective and efficient assurance
- Documenting controls performed and evidence retention requirements
- Examples of monitoring and oversight controls in compliance systems

2:00 – 3:00: Control testing and preparation for regulatory review

Speaker: **Ruth Razook**

Founder & CEO RLR Management

- The role of internal audit and peer reviews
- Planning and managing a control testing program
- Conducting internal control questionnaires for lower ranking risks
- Basic audit techniques and work paper requirements
- Understanding and creating the linkage between internal controls and the NCUA exam requirements

3:00 – 3:15: Break

3:15 – 4:15: Speaker Roundtable and Q&A

Speakers: Ruth Razook, RLR Management
Tom Tam, WesCorp
Miriam Neal, South Western Federal Credit Union
Sri Ramamoorti, Partner Grant Thornton LLP
Joe Visconti, Visconti Consulting
Alan White, Vital Insight

4:15 – 5:00: Available Technology for Enabling ERM

Speaker: **Alan White**
President & CEO, Vital Insight, Inc.

- ERM Technology Landscape and Definitions
- Prioritizing and planning for technology purchases
- Governance Insight - ERM Essentials Overview

5:00 – 7:00: Cocktail Hour and Networking