

# Conducting an Annual Security Review & Audit

## Live or On-Demand Webcast



Live Webcast • Wednesday, September 30, 2009 • 7:00 a.m. – 2:00 p.m. Mountain Time

Every financial institution should conduct a comprehensive security review annually, and more frequently if the institution's environment changes rapidly. Examples of these environmental conditions include:

- **The introduction of a new product or service**
- **A change in security regulations or laws**
- **The institution's entry into a previously-inexperienced market**
- **A change in leadership or other key personnel**
- **The acquisition of a previously-owned banking facility**
- **The construction of a new banking facility**

The purpose of the security review is to identify conditions that may result in a loss or a legal action tomorrow -- or thirty years from now. In other words, this review simply targets an institution's "loss potential" by using a standardized, practical and cost-effective methodology for analyzing the condition and contributions of the security function, and for identifying the institution-wide "windows of opportunity" for loss from all sources. Your review & subsequent report should involve security and related issues as they affect the five (5) most common, industry-standard security priorities and areas of exposure, including:

- **Employees and other institution-affiliated parties and their families**
- **Customers and other persons lawfully present on the premises, including vendors**
- **Facilities that you own, manage, maintain, rent or control**
- **Assets that are tangible and intangible, particularly the institution's image**
- **Records from internal and external sources, both paper and electronic**

This interactive presentation suggests a basic methodology and appropriate techniques for conducting an initial and continuing an institution-wide security review. Using a simple, industry-standard evaluation process, this presentation also addresses the use of consultants, department managers and other personnel to gather the necessary information for the Security Officer or Auditor to use in making recommendations regarding policies, procedures and processes. How you conduct your security review depends upon your training, education, experience, background and your attitude -- but mostly it depends on your Board's viewpoint about the security function, in general -- and about pro-active solutions, in particular. In other words: how far should you go? You'll be able to make better decisions, and recommendations, about what your security review should encompass after this presentation.

### Agenda

- **The Security Review Process**
- **Assessing & Establishing The Priorities**
- **Determining The Focus**
- **Locating Or Developing The Tools**
- **Creating & Submitting The Report**
- **Case Examples & Participant Interaction Exercises**

### About Your Presenter

**Dana Turner** is a security practitioner based in Pipe Creek, Texas. Dana has served as a law enforcement officer in several capacities, including the investigation of business and banking crimes, and he is celebrating his 38th entertaining year of crime. As a speaker & conference facilitator, Dana has delivered thousands of platform, telephone & Internet presentations. He has designed & participated in continuing education programs offered by state & national banking and credit union associations, state & federal examining and law enforcement agencies and state & national security, audit & human resources organizations.

### Who Should Attend

Security Officers, Security Committee Members, Board of Directors, Auditors, Human Resource Managers, Facility Managers, Training Managers and Compliance Officers will all benefit from this seminar.

### Webcast

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