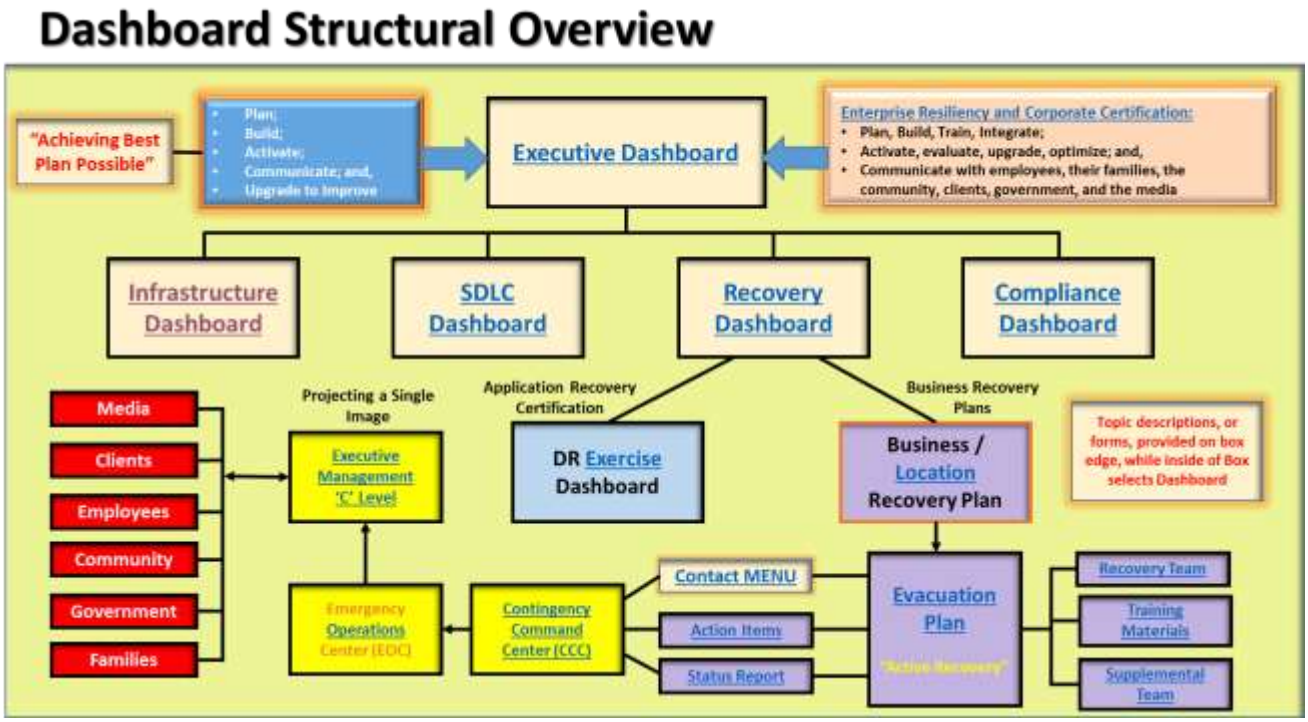
Management Dashboards

Introducing a new approach to Dashboards that can provide you with the information you need to achieve business goals on-time and within budget, in a much more efficient manner than is accomplished today.



In today's world of Global Projects, in which companies are trying to provide a controlled Information Technology Environment, while achieving a 100% Green Leeds certification, it is becoming increasingly more important to insure that your staff is utilizing the most current and accurate information possible and that project goals, timeframes, and budgets are understood and optimized.

Too often you'll find people using out-of-date information, which leads to confusion, chaos, and project slippage. This is particularly true for projects that cross continents, countries, cultures, languages, and time zones. The Dashboard system that I am introducing will help you overcome those obstacles and make it easier for personnel to instantly access the most current and accurate documents they need to accomplish their assigned tasks.

Have you ever found it difficult to locate the right document? Does it take you forever to find the document amongst the many libraries that you have, and when you do locate the document are you sure it is the right document and not out-of-date? The approach I have employed uses your existing data and simply provides a Dashboard front-end that can control document releases, only allowing the latest release to be displayed or worked on. This approach works for both Forms contained in databases, and flat files used for: Manuals; Standards and Procedures; PowerPoint Presentations; Excel Files; and all MS Office types of documents; along with adobe documents; and, even Project Plans.

The Dashboard can be accessed from anywhere and at any time, so you do not have to rely on Conference Calls and Remote Meetings to view data or obtain status updates. If you find yourself worried in the middle of the night about the status of a project, and it's affecting your sleep, you can simply log-on and view the current status. You can even Drill-Down to the person performing the task and be connected directly to that person so you can have a discussion, provide additional information, or provide guidance or expert assistance, that would allow the person to complete their work and get the project back on schedule.

This tool provides training materials, project descriptions, Statements of Work (SOW), Forms, and Flow Charts. Project Plans can be provided to allow people to see what they are currently responsible for and to determine the other tasks they must complete. Resource charges can be accumulated as Purchase Orders (PO's) associated with the time and the resources used to complete work. The PO's can be accumulated against a Work Order (WO) so that a charge-back system can be created to bill for work performed. This Charge-Back System can be used to judge the expenses and time associated with future work of a similar nature, so that more accurate cost and time projections can be made.

A Work-Flow Management System, combined with a Personnel Training System can be used to log, track, analyze, and report on activity so that you can make improvements based on past experience, thereby allowing you to optimize the skill-set of your staff and the duration of projects and real-time activities. This savings and improved morale will result in reduced costs, a happier staff that will be reflected to clients and co-workers, better retention, and a client base that receives excellent attention. Those clients will become better references and would be more likely to recommend your services to other people in their field.

Through this process, the company will be better equipped to implement, maintain, test, assure quality, and perform production activities. The ability to recover from unexpected problems and disaster events will be enhanced, and your company's ability to adhere to Service Contracts and Compliance Requirements will be greatly improved.

Through the use of the Dashboard System, your company's reputation will be improved and your bottom line increased.

The Dashboard System can be obtained through a License Agreement, which will include all product materials and, training, and my time as a consultant to assist your company implement the product and achieve its rewards.

If you believe that a product like this would help your company achieve its goals better, while using existing data, then please contact me at:

Thomas Bronack

Email: bronackt@dcag.com

Phone: (917) 673-6992

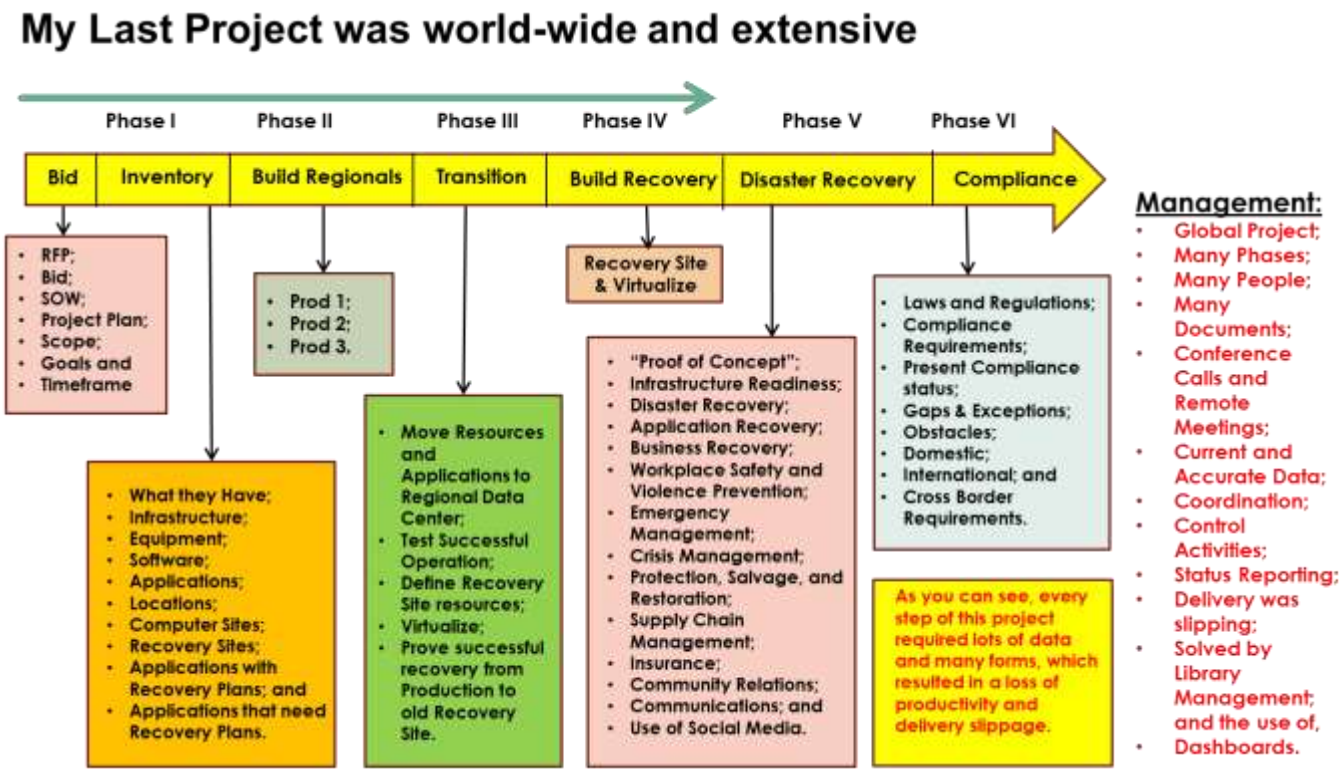
A video presentation, or on-line demonstration, of the Dashboard System can be obtained upon request, so that you will better understand its flexibility and how you can benefit from its usage.

Thank You,

Thomas Bronack

Why I created the Executive Dashboard System

This project was similar to other projects I worked on and had similar project management and communications problems that affected productivity and needed to be addressed.



My last project was similar to many projects that may have been performed in the past, are currently active, or are being planned for future implementation. These projects may cross Continents, Countries, Cultures, Languages, and Time Zones, all of which result in work instructions and status meetings being conducted through Conference Calls and Remote Meetings where screen displays and presentations could be utilized. Unfortunately, the control of current and accurate documentation may be lacking and can lead to misinformation, confusion, and sometimes chaos – all of which may result in project slippage and increased expenses.

The many Project Phases within these projects may include:

1. Respond to Request for Proposal (**RFP**) with a **Bid** and then a **Project Plan** detailing time frames, deliverables, resources, and costs associated with achieving the goals stated in the RFP.

2. Conduct an **Inventory** of existing locations, the applications and clients serviced, the communications required to support client contracts and personnel needs, and the costs associated with vendor contracts for facilities and services provided. From this Inventory a **Configuration Management** can be created for all locations presently outside of the client's direct control. Since our overall goal was to develop a Global Resource Inventory and Configuration Management System, it was important to establish a format for the collection of resource information that could be combined into an Enterprise-Wide Repository.

3. From the Inventory and Growth Projections, we next calculated the size of the **Production Sites** needed to support current and future operations, but under the direct control of the client. In this project we constructed Production Sites to support Europe, Asia / Pacific, and the Americas.

4. Our next step was to **Transition** the original equipment from the current locations to the designated Production Site for the client office or Business Unit. This was simply picking up the old equipment, moving it to the new Production Site and connecting it.

5. Once the equipment was transitions and connected it had to be **tested to verify** that the services originally provided to the client were indeed being provided in the same or better manner than before.

6. When Testing was completed, we could **eliminate unnecessary vendor contracts** and reap a savings.

7. At this point we could begin construction of an internal **Recovery Site** to support production sites and the applications residing at the specific Production Site. The Inventory we created from the Production Site inventories was used to calculate the size of the recovery facility and to order the "**Available Pool of Resources**" we believed necessary to support the production sites should a Disaster Event occur. The Recovery Site Available Pool of Resources would be drawn from to create a "**Dedicated Pool of Recovery Resources**" to support Application Recovery Certification and Information Technology Recovery Operations. Resources would be drawn from the Pool of Resources and assigned to the application, or IT Facility, going through recovery verification. These resources would be Allocated and Dedicated to the Application or IT Facility to support Recovery Management demands going forward.

8. The equipment and facilities at the Production and Recovery Sites were then converted to a VMware, Cisco, EMC (**VCE**), environment that supported **Virtual Operations**, so that the latest technologies could be utilized to reduce footprints and infrastructure costs, while allowing for a more rapid and less burdensome recovery operation. This **Transformed** environment had to be tested to certify recovery operations and laid the foundation for the company to move towards **VBLOCK** and **VPLEX** virtual computing going forward. This new technology would allow the company to place smaller VBOCK machines at office locations and connect them to very large VBLOCK machines at the Production or Recovery Site. VPLEX would be used to support data synchronization through Recovery Point Application (RPA) from EMC in a **Metro LAN** (up to approximately 200 km) and **GEO LAN** world-wide configuration as needed. The use of the **VBOCK /VPLEX combination** would be able to support **High Availability (HA) and Continuous Available (CA) applications** (sometimes referred to as "**Active - Active**") as business and regulatory requirements dictated. The VBLOCK configuration consists of Network (Cisco), Memory (EMC), and Processing (VMware) and is considered a complete computing configuration, which is designed by Pre-Sales Engineers, constructed at the VCE Factory, delivered within 30 days of order, and installed at the client site in 1 to 2 days with testing and training provided on-site to the client team.

9. A "**Proof of Concept**" was performed to validate that recovery operations could support each of the Production Data Centers should a disaster event occur, so sample applications were selected from each production site for recovery testing. This recovery testing included: Connectivity; Security; and Functionality for applications. DR Exercise Booklets had to be created and personnel trained in order to succeed in this project goal. All information needed to prepare the Recovery Site Infrastructure was defined and provided to Recovery Site personnel long before the Recovery Test was scheduled so that they could allocate resources and synchronize data between the Production and Recovery Site in support of Application Recovery Certification being

performed during the Proof of Concept test. A six step process was defined and followed in support of Recovery Management, which included:

a. **DR Planning Session** in which management and technical personnel selected applications, IT Facilities, or Business Locations for Recovery Testing, and then set scope, objectives, and goals, defined success / failure conditions, and finally planned the recovery test (A Meeting Agenda was created to supplement this meeting).

b. A **Recovery Site Infrastructure** Form was create to provide Recovery Site personnel with the information they needed to draw resources from the Available Pool and assign them to the Dedicated Pool of Recovery Resources and to Synchronize Data between the Production and Recovery Sites. A final Back-up Tape was delivered to the Recovery Site and restored to the Virtual Tape Library and used to synchronize the Recovery Point Applications in the Production and Recovery Sites going forward. From that point on, backup data from the Production Site was reduced through Data Deduplication utilized by the Virtual Tape Library and through automated the RPA's data synchronization process.

c. A **Pre-Stage** form was created to supply the Recovery Site team with the specific information related to the Application Recovery Certification test, so that they could set-up the recovery site to support the planned recovery test for the selected application(s).

d. The **Actual DR Test** was performed when the application was connected to the recovery facility and the Production IP Addresses switched to the Recovery IP Addresses. The Application Recovery Team used their "**Production Job Run Book**" to test the application because it looked exactly the same in Recovery as it did in Production. The transition from Production to Recovery was transparent to the end users.

e. **Post-Test** activities were conducted after the Recovery Testing was completed and consisted of: gathering Actual Times and Estimated Times for Recovery Steps; listing any Encountered Problems; and, assembling any Comments provided by personnel associated with the recovery test. This information was then assembled into a Report and Presentation to be delivered at the **Post Mortem Meeting** where management and technical personnel would review recovery operations and make **recommendations for improvement**. Selected recommendations were added to the Recovery Process and recovery operations monitored to record any improvements. Through this process of Test, Review, Improve we were able to produce the **Best Recovery Plan possible** for our environment.

10. Our next project phase was responsible for implementing **Recovery Management** throughout the Enterprise (which is sometimes referred to as **Enterprise Resiliency**). During this phase we developed a **Global Application Catalog** from a Configuration Management Data Base (CMDB) tool and appended personnel and criticality information to the records (which an automated tool could not extract). We also sub-divided the Global Application Catalog into **Configuration Management Catalogs** associated with each physical location (this information was used to support Business Impact Analysis (BIA) functions). We then developed supportive documentation and guidelines to help personnel select applications for certification and to perform Enterprise Resiliency operations.

11. The last major phase of the project was **Compliance Management** (sometimes referred to as **Corporate Certification**), in which we had to define all of the laws we had to adhere to, both domestically and internationally, and create an "**Audit Universe**" describing our compliance responsibilities. This process developed a Technology Risk Management and Audit Compliance process, where: Gaps; Exceptions; and

Obstacles were identified and repaired so that a "**Letter of Attestation**" could be supplied to the Regulator's by Executive Management stating that the company is in compliance.

12. As an ending to this project, we integrated an **Automated Personnel Productivity System** that allowed new activities to be entered (Strategic, Tactical, and Operational) so that personnel skill and work load levels could be examined. As new skills were required, or workloads became too high for assigned resources, then requirements went into the **Automated Recruitment System** for broadcast to recruiting organizations, or internal personnel were scheduled for training through the **Automated Training System** to prepare them for future work assignments. Once the work task was required, the **Automated Work Flow Management System** was activated (see Personnel Productivity System). Work tasks were prioritized and due dates established so that work could be sorted by due date and priority and placed on the individual assigned to the work task in most important order from top to bottom. The individual would come to work, go to their "**Work To-Do List**" screen and select the top item, then complete the task and submit it to the **Work Router** for assignment to the next individual needed to respond to the work request until completed. This information was logged, tracked, analyzed, and reported on so that **Work Flow Improvements** could be made based on factual data.

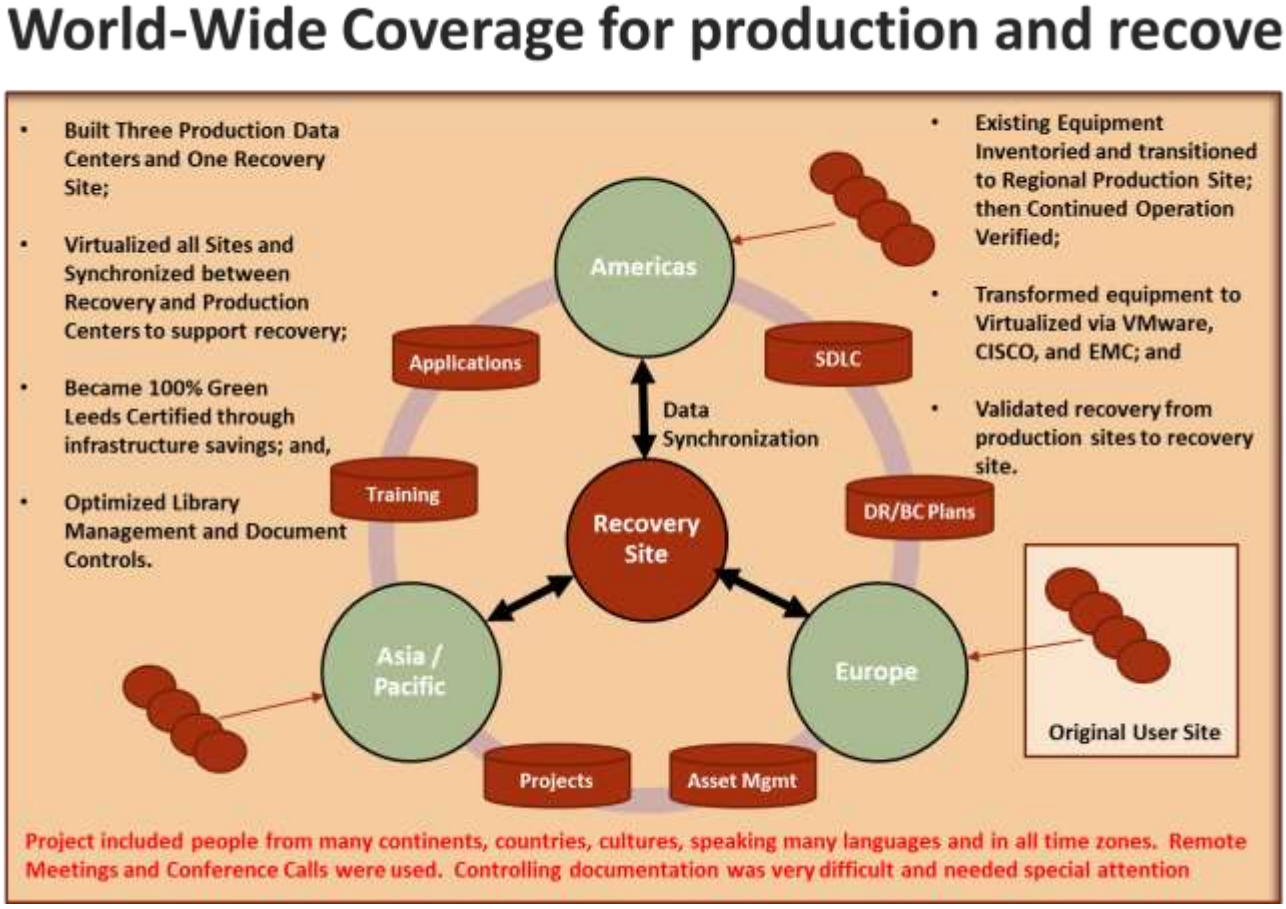
13. A **Support Organization** was created to respond to encountered problems and incidents. When changes had to be made in order to repair a problem, then a Change Request was created and submitted to the **Change Management System** for processing. As part of this effort, we created "**Command Centers**" for Network, Operations, Incident, Help Desk, Contingency Command, and connected them to the **Emergency Operations Center**.

14. Finally, we had to develop a **Schedule of Activities** that would maintain our enterprise in a ready state that was capable of supporting production and recovery operations going forward. This included periodic Audits and Recovery Testing.

15. When completed, the entire process was **integrated within the Everyday Functions** performed by personnel to insure that documentation, safeguards, and compliance was always maintained in a current and accurate fashion through **Version and Release Management**.

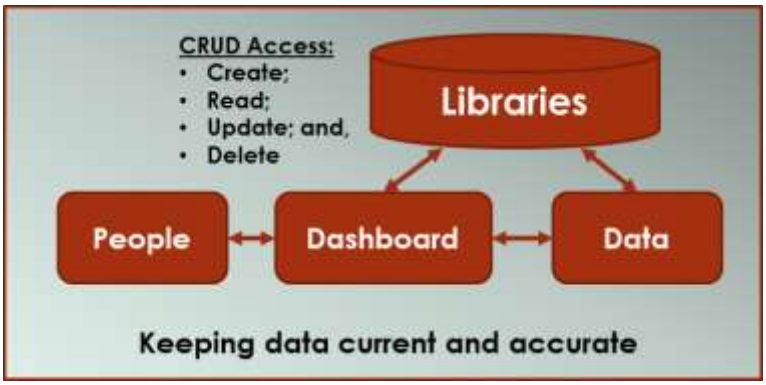
As you can see, this was a complicated and long-term project that required many people, many documents, procedures, status reporting, and management control. We eventually found that creating a Repository of Information that was Front-Ended by a Dashboard was the only way to achieve this task. That is why I finalized the Executive Dashboard System and added sub-dashboards for Infrastructure, Systems Development Life Cycle, Recovery Management, and Compliance.

A different perspective of the project and its goals is shown below.

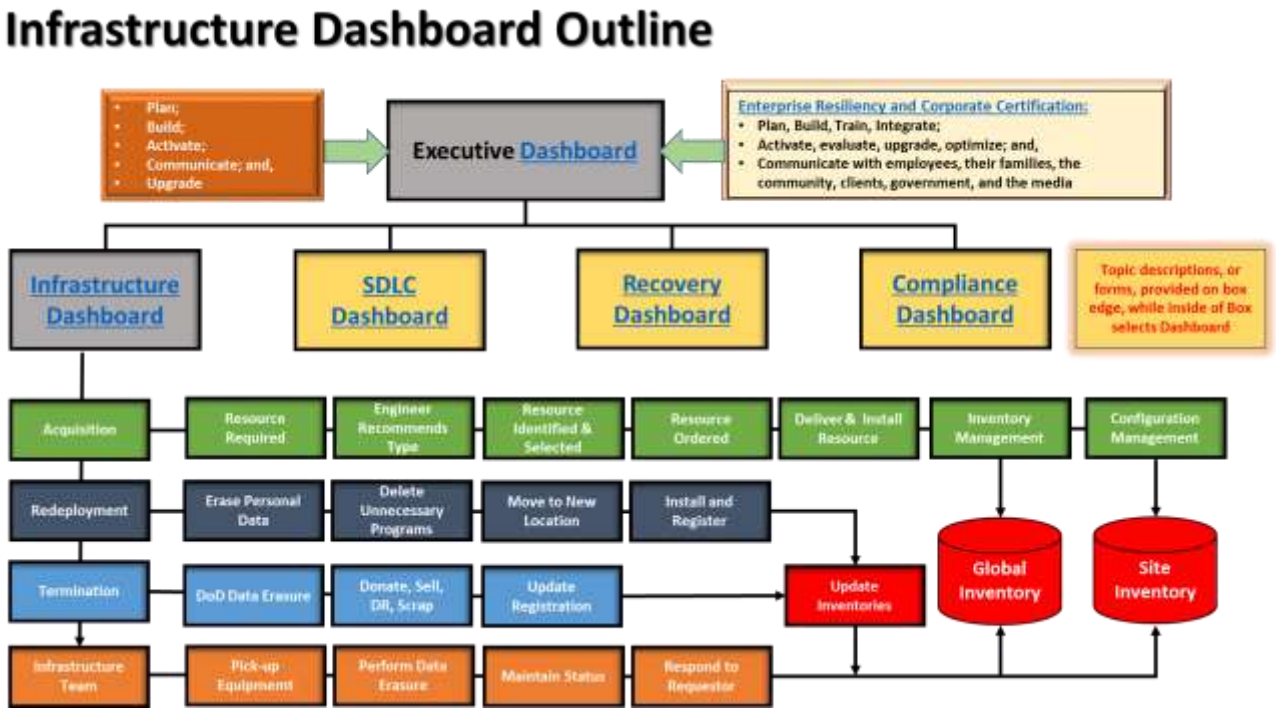


How the Dashboard System initially started was through a simple interface between a Repository of Information and the general User Community. Its purpose was to provide quick access to current and accurate information so that personnel would know what was expected of them to achieve our combined goals, as described in the Statement of Work and Project Plans.

A picture of how the initial Dashboard was used to interface between personnel and documentation is shown below.



Other Sub-Dashboards



We first performed an **Equipment Inventory** of all of the client locations, then built the production data centers and **transitioned** their equipment to the new production sites and tested the environment to verify it still operated successfully. We were then able to **eliminate outside contracts** with vendors and service providers.

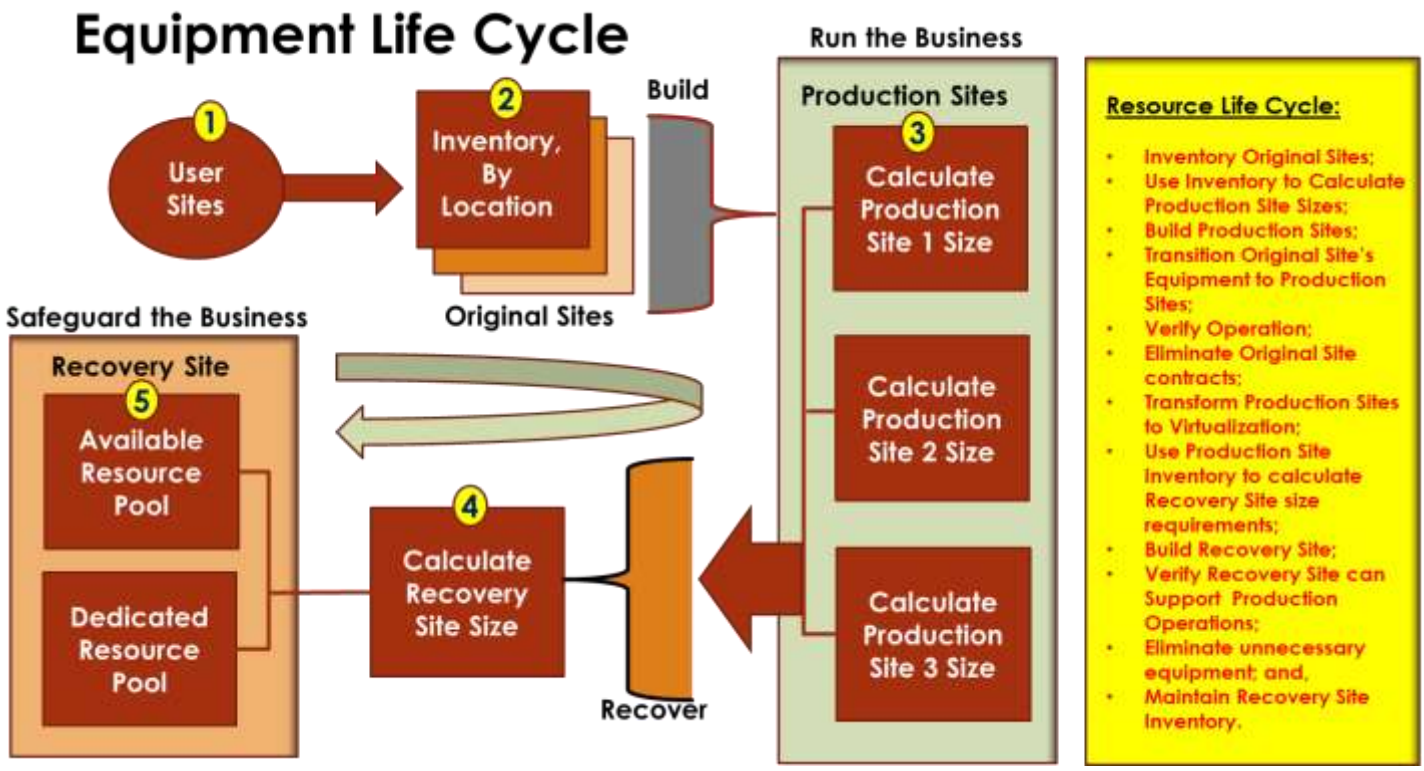
Our next phase required us to virtualize the equipment and eliminate old equipment that the virtualized environment replaced (another savings to the client). In this process we were able to achieve Green Leeds 100% certification.

Next we built an internal recovery site and connected it to the production sites and validated that we could recovery Production applications at the internal recovery site. We implemented an "**Application Recovery Certification**" process, an **IT Recovery**, and finally **Business Recovery** process.

Finally, we accomplished **Enterprise Resiliency** (Recovery Management) and **Corporate Certification** (Compliance Management).

At the end of this project, the company was totally prepared to meet recovery requirements associated with regulatory practices and client service contracts throughout the world.

An overview of the Equipment Life Cycle associated with this project is shown below.



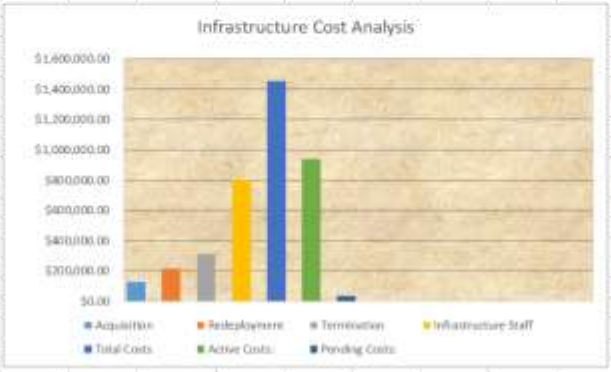
As the project progressed we were able to identify metrics that could be used for management reporting in a normal Dashboard manner. These metrics were based on:

1. Number of active projects, per category of responsibility:
    a. Asset Acquisition;
    b. Asset Redeployment;
    c. Asset Termination; and,
    d. The use of Infrastructure personnel to assist in these tasks.
2. Project Descriptions were created and broken into units that were Completed, Active, or Pending to determine:
    a. How much was already spent;
    b. How much was currently being spent; and,
    c. How much was yet to be spent.
3. We then defined personnel costs and the average duration associated with their work functions, wwhich allowed us to calculate:
    a. Average Costs;
    b. Average Hours per task;
    c. Total Hours for tasks (Completed, Active, and Pending);
    d. Total Costs;
    e. Active Costs;
    f. Pending Costs; and,
    g. Percentage Complete.
4. This information was then charted into the presentation shown below.

Infrastructure Management Expense Chart

Infrastructure Technology Cost Analysis

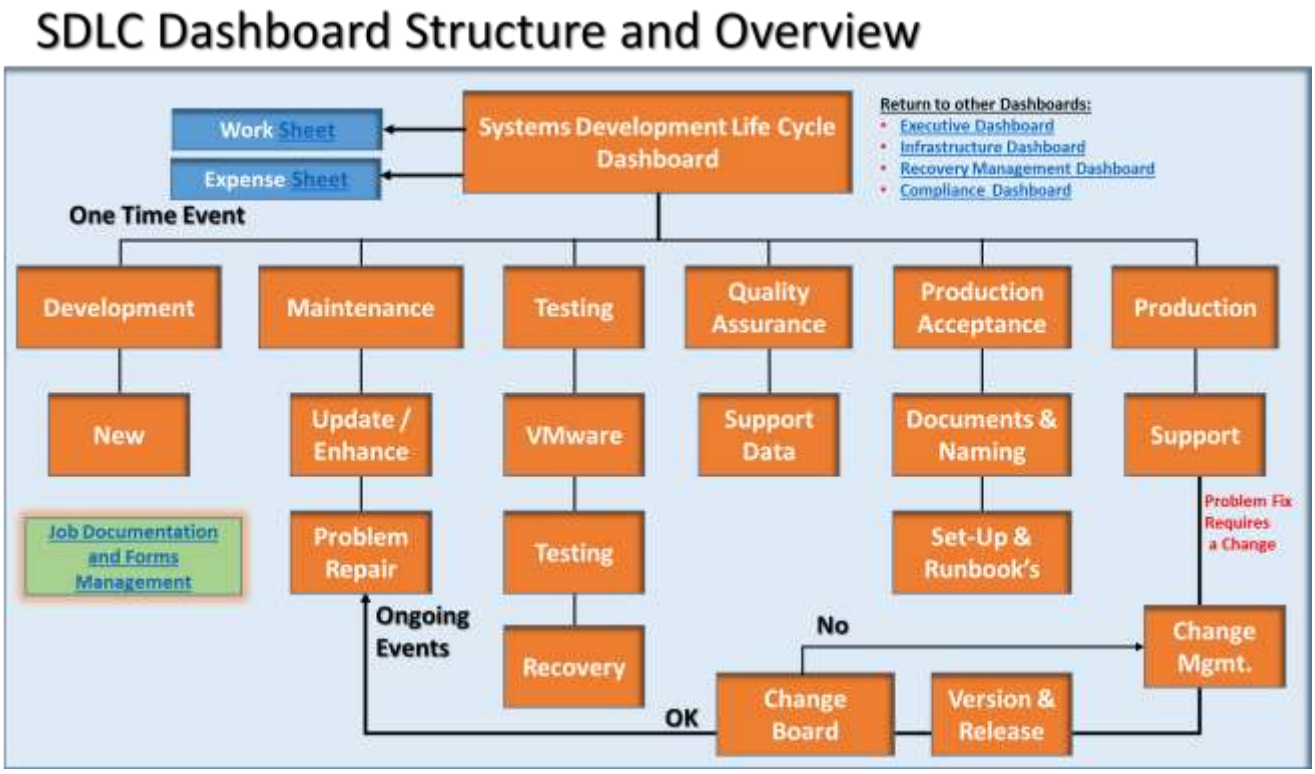
		Project Descriptions				Project Costs								
Area:	Category:	Total Projects:	Active Projects:	Pending Projects:	Number of Personnel:	Average Cost:	Average Hours:	Total Hours:	Active Hours:	Pending Hours:	Total Costs:	Active Costs:	Pending Costs:	Percentage Complete:
Infrastructure	Acquisition	16	12	4	6	$65.00	20	320	240	80	$124,800.00	$93,600.00	$31,200.00	75.00%
	Redeployment	35	23	12	4	$65.00	24	840	552	288	$218,400.00	$143,520.00	$780.00	65.71%
	Termination	50	30	20	4	$65.00	24	1200	720	480	$312,000.00	$187,200.00	$1,300.00	60.00%
	Infrastructure Staff	101	65	36	4	$55.00	36	3636	2340	1296	$799,920.00	$514,800.00	$1,980.00	64.36%
	Total Costs							0			**$1,455,120.00**	**$939,120.00**	**$35,260.00**	



Having these metrics available to management proved to be an excellent manner to communicate project status and costs to management and they appreciated having it available to them.

As the project went on, we discovered that we could create similar reports for the Systems Development Life Cycle (SDLC), Recovery Management, and Compliance Management – which just made the use of the Dashboard Management System that much more powerful and helpful in achieving our goals while providing management with the information they needed.

Systems Development Dashboard

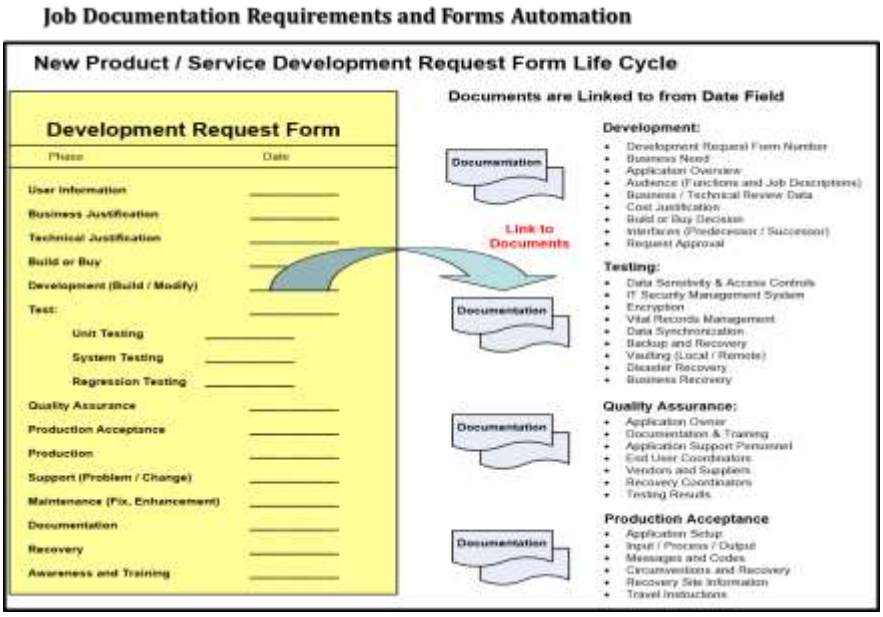


A Systems Development Life Cycle (SDLC) dashboard was create and connected to the Executive Dashboard for rapid access. Its use was to illustrate the steps required to develop and maintain applications within the Enterprise Environment.

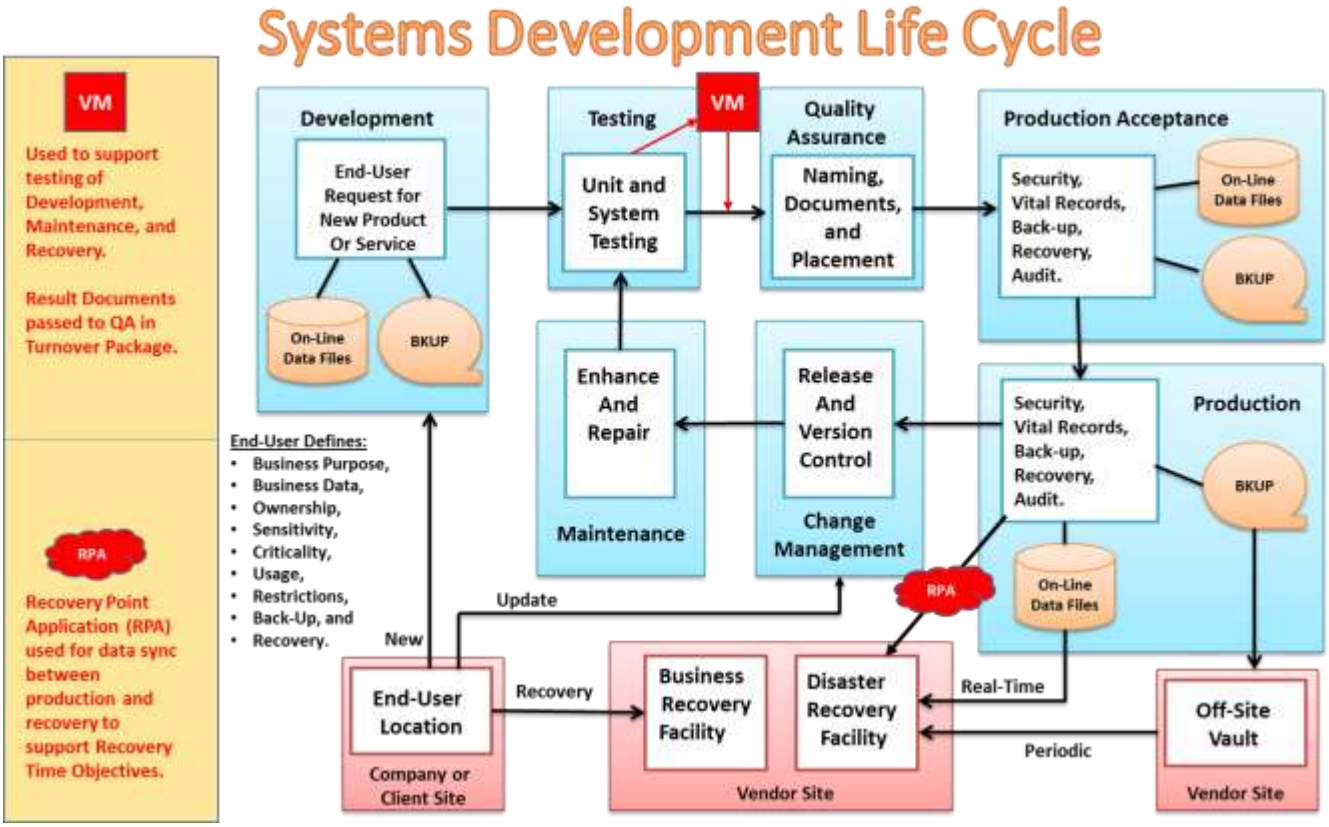
The steps used to create applications, and the information required by the Requester, was submitted in a "Work Order (WO)" to the Applications Department. The Work Order was then broken down into "Purchase Orders (POs)" for processing throughout the SDLC to show what actions were performed, their duration and resources used, and the cost per activity. From this information, it was possible to generate a Charge-Back System comprised of Work Orders and their associated Purchase Orders. Charges were then submitted to the Requester.

Throughout the SDLC, it was necessary to provide forms to drive work activities and documents to describe accomplishments. These documents were associated with specific SDLC steps and placed within a table of documents for every step completed. In order to better monitor SDLC activity and gain an understanding of activities performed, it was necessary to create **Sub-Menus** for SDLC phases and a **Master Menu** for the entire project. Through this mechanism, it was possible to track SDLC activity through the Dashboard System as shown below.

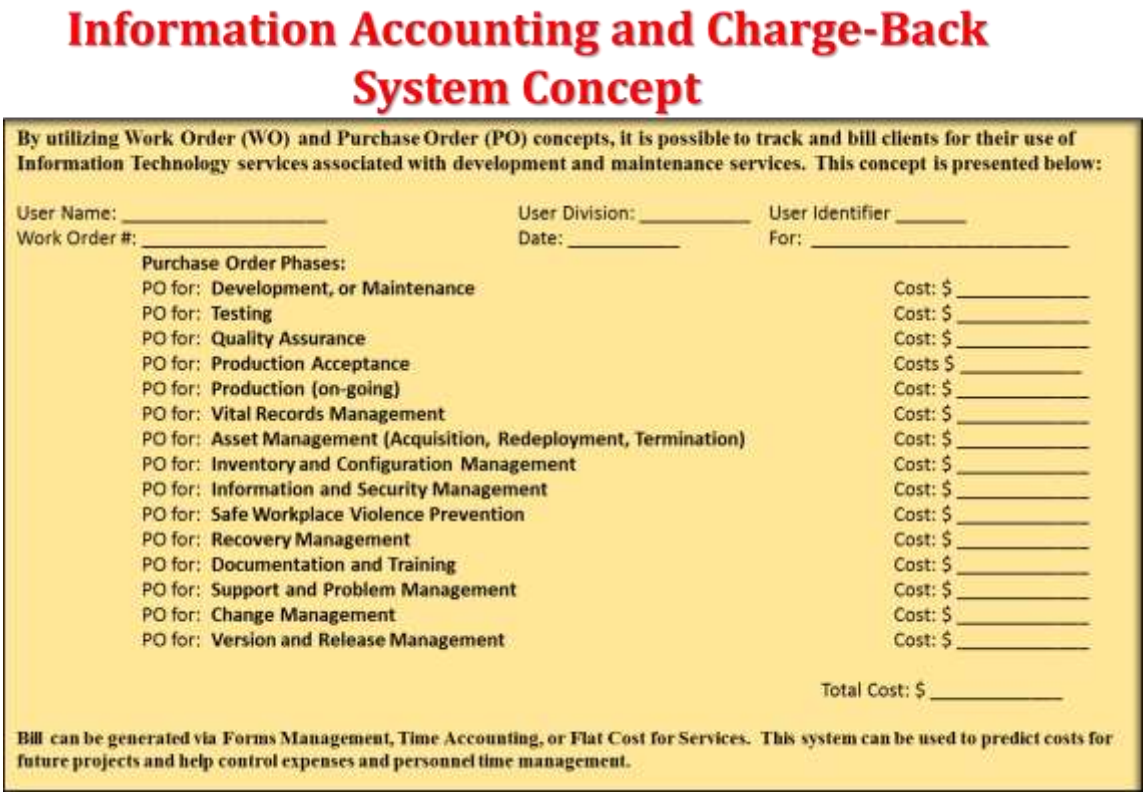
Job Documentation associated with the SDLC



The SDLC Documentation Menus are shown above and another, more complete description of the SDLC shown below.



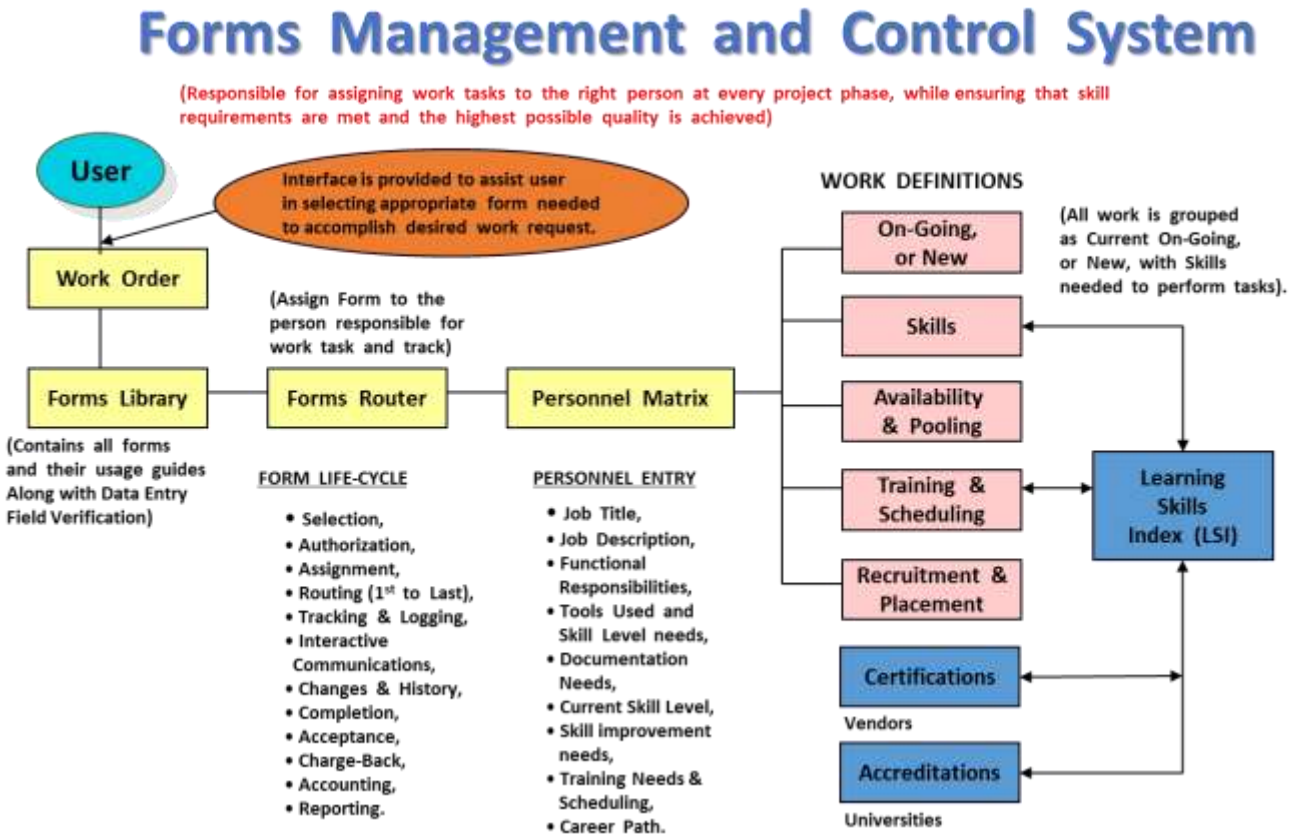
The Job Accounting and Charge-Back System used for the SDLC is shown below.



The Charge-Back System related Purchase Orders (PO's) to Work Orders (WO's) submitted by Requestor's asking for specific types of work to be accomplished. As the work progressed through its Life Cycle PO's were completed and associated with the Requestor WO Number. Once the Work Order was completed and accepted by the Requester the Total Cost was calculated and submitted to Accounting for Posting to the General Ledger System as an Account Receivable to Information Technology and an Account Payable to the Requester's Department.

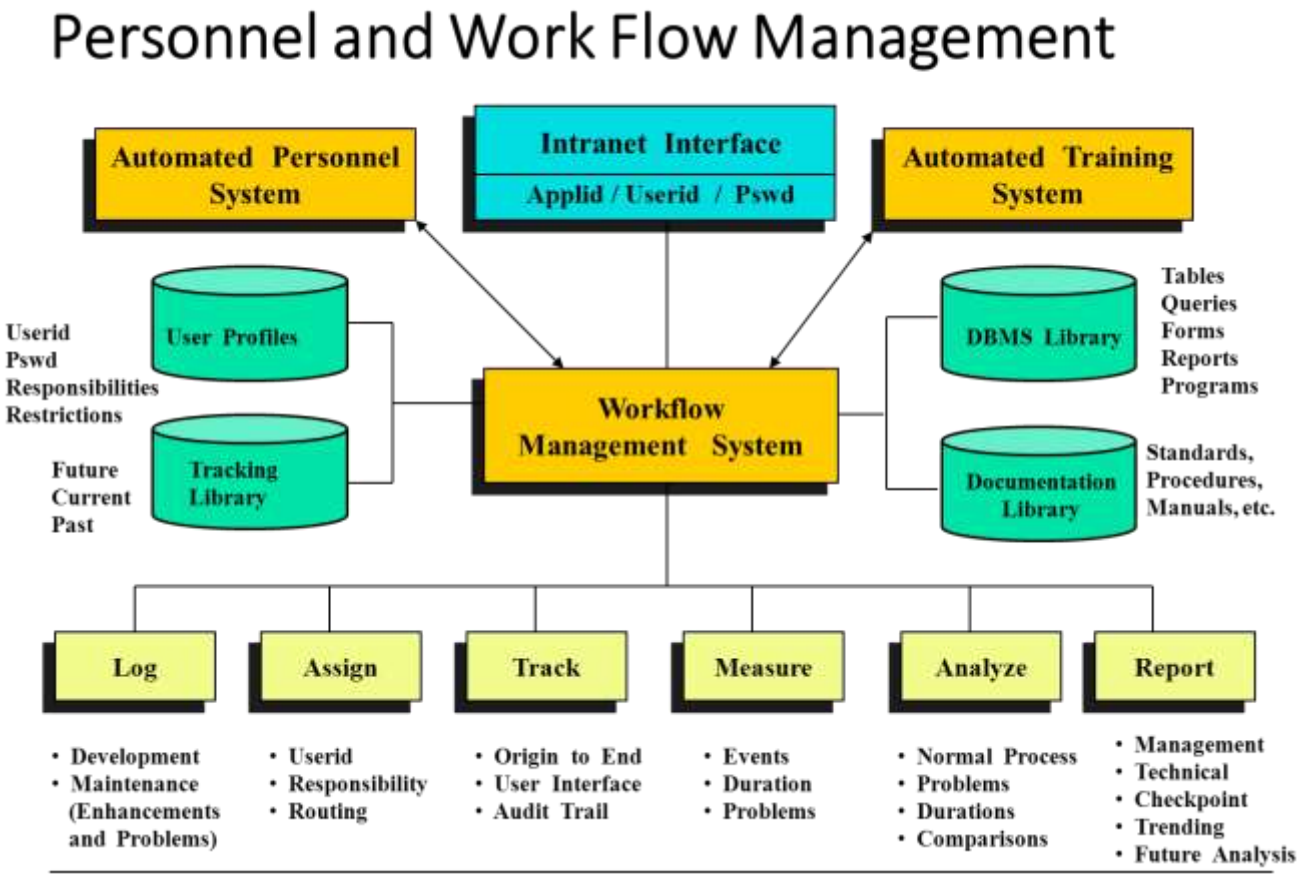
This system allowed the Information Technology Department better become a "Profit Center" and not a "Cost Center".

Forms Management and Control System



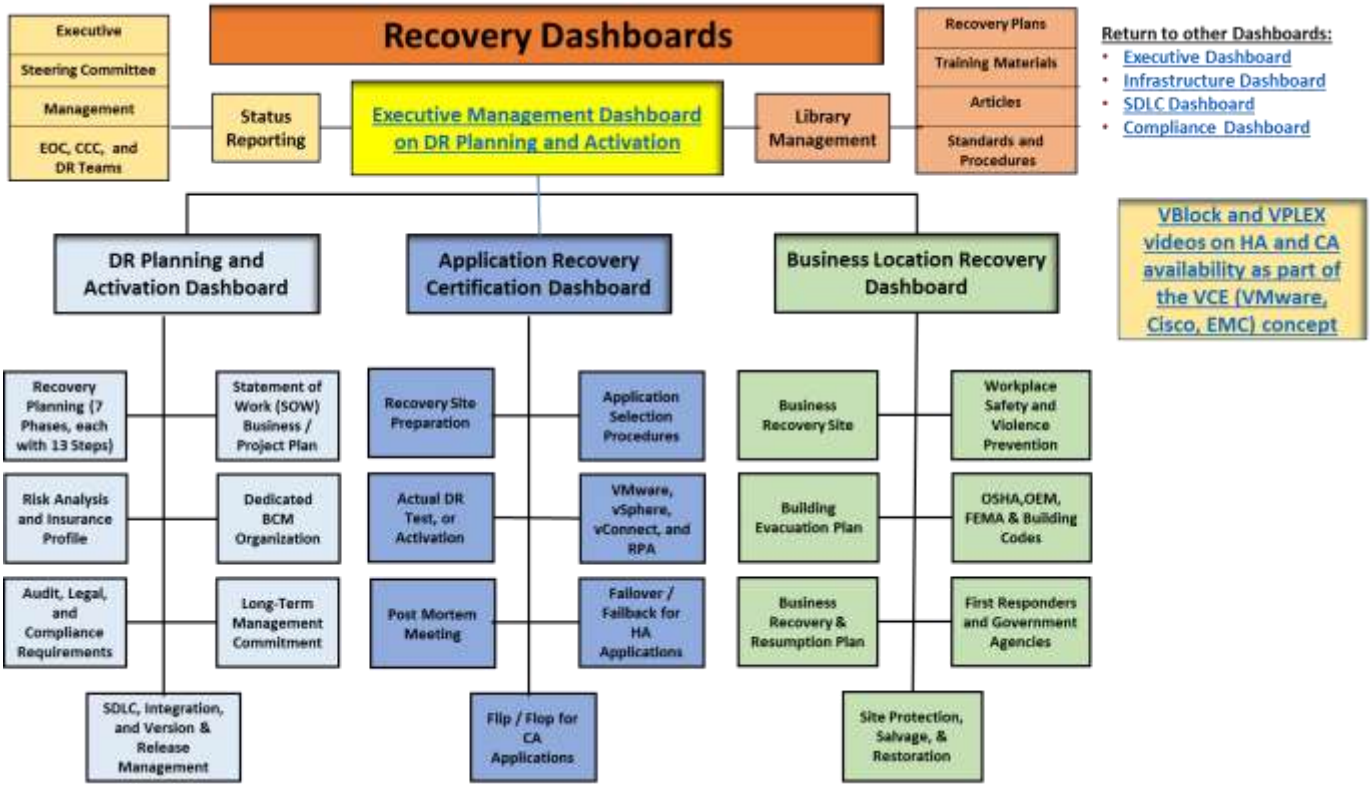
This system will guide you in selecting the right form to use when requesting work to be performed, then provide you with help and data entry validation to insure you have **completed the form correctly**. Once completed, the **Forms Router** will log the work request, authorize it, and assign it to the individuals designated to accomplish the work (from first person to last). Work will be assigned on a "**To-Do List**" in due date and priority order, so the individual simply takes the top item from the list and completes their work, returning it to the Forms Router for assignment to the next step in its processing schedule. At the end of the work, the Requestor is notified and they approve the work. Should personnel require training in order to complete the work, the **Automated Training System** will schedule them for training in time to adhere to project / work schedules. Vendor Certifications and University Accreditations are added to the personnel profile and efforts are made to help personnel achieve their desired career paths during this process.

Automated Personnel System, with Work Flow Management



The **Workflow Management System** is designed to process work through the enterprise from, inception to completion, so that work-flow can be optimized. Access to the system is via a front end that can be accessed from anywhere and at any time, with interfaces to the **Automated Personnel** and **Automated Training Systems**. User Profiles and a Work Tracking Library are included along with a Data Base of Forms and a Library of Flat Files. User Work Requests (WO's) are Logged and the work item is Assigned and Tracked for the individuals who are responsible for performing the actions associated with the request from first to last action (Purchase Orders or PO's are used to monitor time and resource usage for charge-back). Measurements are stored and analyzed to determine the Life-Cycle and Time Frames associated with work items. Finally, a reporting mechanism is used to report on Work-Flow so that improvements can be made to **optimize how work flow** through your organization.

Recovery Management Dashboard



The Recovery Management Dashboard is sub-divided into three areas, which are:

1. **Disaster Recovery Planning and Activation** – where planning sessions are conducted to select applications, IT Environments, and Business Locations for Recovery Testing.
2. **Application Recovery Certification** – which includes Recovery Certification for Applications and IT Locations.
3. **Business Location Recovery** – for Business Sites and Business Units, and includes Evacuation Plans, Business Recovery Site occupation and return instructions, Security, Salvage, and Restoration Activities, Vendor Management, and many other activities used to relocate a business operation to a recovery facility and maintain production throughout an Emergency or Disaster Event.

This Dashboard will link you to sub-dashboards for each of the categories listed above. Once there, the sub-dashboard will provide you with training materials, recovery manuals, and instructions to follow in order to recover the failing function.

An example of the Recovery Management Dashboard is provided below.

Disaster Recovery Management Dashboard

Disaster Recovery Planning Management Dashboard						
Statements of Work	Project Overview	SOW - End of Transformation Phase	SOW - Implementing Enterprise Resiliency and Corporate Certification	SOW - Selecting Applications for Recovery Certification	ISO 22301 International DR Standard Glossary	ISO 23301 - 2012 ISO International Standard on BCM
Training Materials	Initial Training Course	DR Planning Guide	Data Center Infrastructure Optimization	Five Ways to Improve Business Recovery with vSphere and Vmware	EMC Recovery Point Overview Presentation	EMC Business Continuity and Disaster Recovery Solutions
	Recovery Management Executive Dashboard	Optimizing the IT and Business Environment through Dashboards	How IBM can help you develop Mobile Applications			
Presentations	Executive Presentation on Enterprise Resiliency and Corporate Certification	Proof of Concept	Introduction to Virtualization	VMware - vSphere, vCenter, and SRM Prep and setup presentation	VMware - vSphere, vCenter, and SRM Recovery and Migration uses	vSphere 5 overview
	vCenter - SRM for DR	Application Migration Guidelines	Asset Management	Personnel Productivity System	Technology Risk Management	Workplace Safety and Violence Prevention
	Recovery Management Executive Dashboard	Tape Vaulting and Encryption				
DR Exercise Booklets	DR Exercise Booklet Template	Proof of Concept DR Exercise Booklet	Hyperion DR Exercise Booklet	Quintiq DR Exercise Booklet	Business Continuity Plan Overview	
Supportive Materials	Escalation List and Organization Chart	Contact List	Global Application Catalogue	MS Project Plan	DR Status Meeting Action Tracker	Weekly DR Status Report
DR Phases	1. Recovery Site Infrastructure Readiness	2. DR Planning Sessions	3. DR Pre-Test Phase	4. DR Application Actual Test	5. DR Post-Test Activities	6. Post Mortem Meeting and report on Lessons Learned.
Phase Documents	Pre-Staging Document	Planning Meeting Agenda	Pre-Test Activities	Actual Test Activities Sheet	Post Test Activities	Post Mortem Meeting
	Application Inventory Form	Attendees	Pre-Test Activities Work Sheet	Actual Test Work Sheet	Post Test Work Sheet	Recommendations for improvement
	Application Profile	DR Planning Guidelines	Recovery Vendors List	Software Contract Right to use product for DR Test / Event	Post Test Master Work Sheet	Escalation Matrix
Additional Forms	Infrastructure Readiness	Action Items Tracking Form	Supply Chain Vendors	Supplemental Personnel Matrix		
	Contact List	Contingency Command Center Personnel	Emergency Operations Center Personnel	Steering Committee Peronnel	Executive Management	Recovery Team Members
	DR Teams and Members	Inventory and Status Report	Required Activities and Work Sheets	Application Sign-Off Sheet		Recovery Activities Status Log

There are many links contained within this Dashboard that will provide the user with Statements of Work, Training Materials, Presentations, Exercise Booklets, and the Forms used to complete Exercise Booklets for IT and Application Recovery Certification.

Metrics found through this Dashboard Approach

Recovery Management Expense Chart

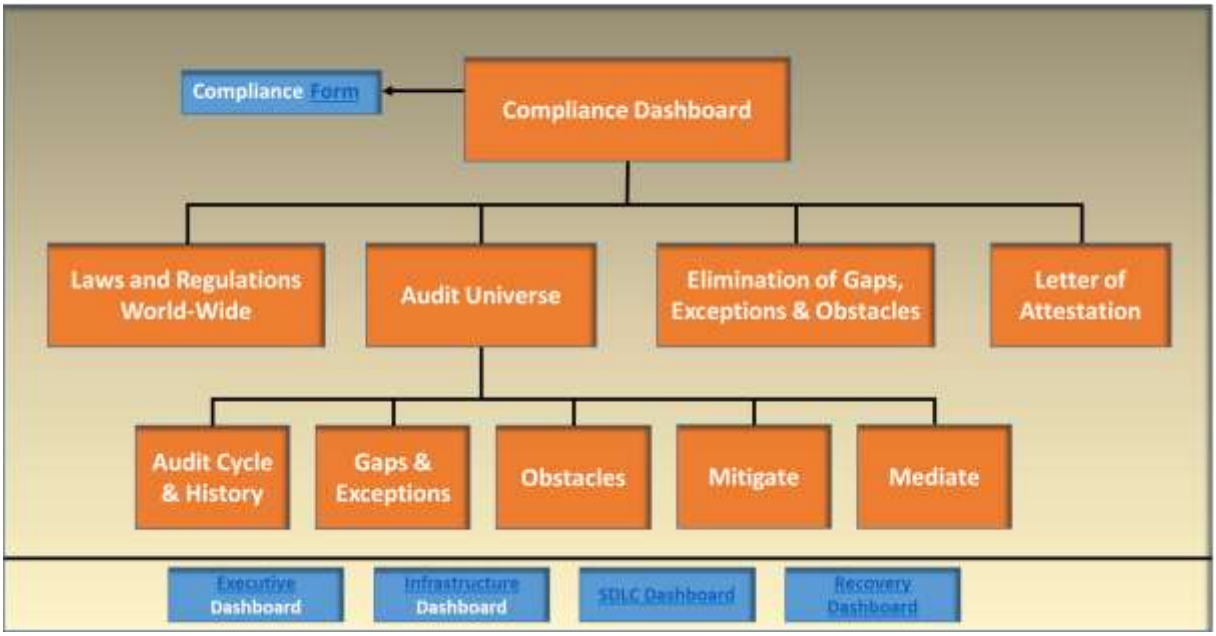
Recovery Management Cost Analysis

		Project Descriptions				Project Costs								
Area:	Category:	Total Projects:	Active Projects:	Pending Projects:	Number of Personnel:	Average Cost:	Average Hours:	Total Hours:	Active Hours:	Pending Hours:	Total Costs:	Active Costs:	Pending Costs:	Percentage Complete:
Recovery Management	New DR Tests	16	12	4	6	$85.00	50	800	600	200	$408,000.00	$306,000.00	$102,000.00	75.00%
	Repeat DR Tests	35	8	6	4	$85.00	20	700	160	120	$238,000.00	$54,400.00	$510.00	22.86%
	Completed DR Tests	20	20	0	4	$85.00	24	480	480	0	$163,200.00	$163,200.00	$0.00	100.00%
	Post Mortem Meetings	20	16	4	4	$85.00	12	240	192	48	$81,600.00	$65,280.00	$340.00	80.00%
	Total Costs										**$890,800.00**	**$588,880.00**	**$102,850.00**	

Again, we were able to define metrics associated with Recovery Management that proved helpful to management and are shown above.

Compliance Management Dashboard

Compliance Dashboard Overview and Structure



The Compliance Dashboard provides a look into the actions performed by the Audit and Legal departments to safeguard the Enterprise from violation of the laws and regulations that they have to adhere to, both domestically and internationally. These actions are demonstrated in the Spreadsheet provided below.

Compliance Management Project Activities Status Display								
Laws and Regulations:	Include in Audit Universite	Assigned to:	Group:	Start Date:	End Date:	Activity Description:	Encountered Problems:	Comments:
Sarbanes Oxley		Thomas Bronack				Review Law and Regulation to see if it applies to company	Gaps, Exceptions, or Obstacles.	Develop Risk Management and Compliance Plan to respond to Gaps, Exceptions, and Obstacles.
HIPAA						Develop "Audit Universe" for company		
Patriot Act						Establish Audit Procedures		
Grahm Leach Bliley						Perform Audit and List Gaps, Exceptions, and Obstacles		
						Mitigate Gaps and Exceptions		
						Mediate Obstacles		
						Re-perform Audit to insure problems have been repaired		
						Create Management Report on Findings		
						Create Management Presentation of Findings		
						Generate "Letter of Attestation"		
						Develop Audit Cycle		
						Conduct Audits as per developed Cycle		

A mechanism was also developed to guide how the Enterprise would respond to Compliance Requirements, so that a "Letter of Attestation" could be generated to validate that the Enterprise was in Compliance with all required Laws and Regulations. An example of this mechanism is shown below.

I hope you enjoyed this White Paper and have gained from it. Should you have any questions or comments, please direct them to me at:

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Thank you.