Data Analytics

A Presentation to the IIA Jacksonville Chapter
May 16, 2014
Agenda

• Introductions
• Expectations
• What is Data Analytics
• Why use Data Analytics
• Data
• Data Analytics Function
• Ten Steps to a Data Analytics Project
• Case Studies
• Resources
• Closing
Introductions

Patricia Rowlett, CISA, CISSP
Information Technology & Security Consultant
16+ years internal and external audit experience
Prior IT helpdesk, network support, and programming experience
US Air Force Veteran
ManpowerGroup Overview
Strong and Connected Brands

PARENT
Global Leader in Innovative Workforce Solutions
We make it possible for businesses to access the talent they need by connecting their visions with the people that will deliver on them—and their success leads to our success.

PROFESSIONAL
Accelerated Personal and Business Success
We accelerate organizations’ growth by intensely attracting, assessing and placing specialized (Verticals) expertise to deliver in-demand talent for mission-critical positions.

STAFFING
Business Agility and Personal Flexibility
We provide the agility businesses need with a continuum of staffing solutions, from incidental to strategic, for organizations of all sizes.

RIGHT MANAGEMENT
Optimizing Workforce Performance
We create solutions for organizations to grow and engage their talent, increase productivity and optimize business performance.

POWERING THE WORLD OF WORK
ManpowerGroup – Strength in Numbers

- 80 countries and territories
- $22B total revenue
- 4 million employees worldwide
- 400,000 worldwide clients
- $2.5B Professional Global revenue
- 457,000 North American employees
Our leadership and ethical practices have been recognized by publications and organizations around the world

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<th><strong>Experis</strong></th>
<th><strong>Wednesday, May 14, 2014</strong></th>
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<tr>
<th><strong>Ranked #1 in Industry: Temporary Help on Fortune’s list of the World’s Most Admired Companies</strong></th>
<th><strong>Ranked 143rd on the 2010 Fortune 500</strong></th>
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<tr>
<td><strong>STAFFING INDUSTRY ANALYSTS</strong></td>
<td><strong>Dow Jones</strong></td>
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<td>Ranked top overall MSP performer by buyers and suppliers in their 2010 report</td>
<td>Named to the Dow Jones Sustainability Index third consecutive year</td>
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<td><strong>NelsonHall</strong></td>
<td><strong>FTSE4Good</strong></td>
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<td>Ranked #1 in global RPO revenue</td>
<td>Listed on FTSE4 Good Index Series</td>
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<td><strong>HRO! Baker’s Dozen Customer Satisfaction Ranking RPO Providers 2010 Winner</strong></td>
<td><strong>FORTUNE</strong></td>
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<td>Manpower Inc. RPO offering ranked in top 5 in HRO Today’s Global Market Leaders List</td>
<td>First in Social Responsibility and Global Competitiveness among staffing industry</td>
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<td><strong>EVEREST GROUP</strong></td>
<td><strong>Institutional Investor</strong></td>
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<td>Ranked highest in scale, technology capability and global delivery footprint in their 2011 report</td>
<td>America’s Most Shareholder-Friendly Company for fourth year in a row</td>
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<td><strong>Newsweek</strong></td>
<td><strong>Ethisphere</strong></td>
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<td>One of the Greenest Big Companies in America</td>
<td>Ethisphere named Manpower Inc. one of the Most Ethical Companies for 2011</td>
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</table>
What We Deliver: Professional Talent Resourcing

Our recruiting methods and assessment techniques identify the right professional talent for any position.

Interim Placement

Permanent Placement

Career and Skill Development

Recruiters: Experts Finding Experts

- 9+ years on average, 4 in specialty area
- Nearly 250 recruiters
- Focused by occupation/skill vertical
- Multi-tiered recruiting model: branch, centralized and offshore
What We Deliver: Project Solutions

Experis brings you the specialized offerings and the right talent to keep your workforce agile and your initiatives on track. We provide clients with:

- **Flexible Service Delivery**
- **Governance**
- **Analytics**
- **Continuous Improvement**
- **Program & Project Management**
Key Partnerships and Alliances

- SAP Partner
- IBM Business Partner
- SAS Alliance Gold Member
- Oracle PartnerNetwork
- Microsoft Gold Certified Partner
- Cisco Partner
- Salesforce.com Authorized Consultant Level II
- ektron Premier Partner 2012
- Citrix
- Symantec
Experis Project Solutions Clients

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The World Bank
General Dynamics
Johnson & Johnson
KRONOS
AIG
T. Rowe Price
Kohler
Emptoris
QUALCOMM
Goodrich
National Geographic
ExxonMobil
Pfizer
GlaxoSmithKline
American Chemical Society
WM
Microsoft
JPMorgan
bp
Expectations
What are your expectations?
What is your exposure to data analytics?
What is Data Analytics?
What is Data Analytics – Term Definitions
What is Data Analytics – Term Definitions

“Data Analytics Involves processes and activities designed to obtain and evaluate data to extract useful information”

*ISACA Data Analytics – A Practical Approach*

Data analysis is a body of methods that help to describe facts, detect patterns, develop explanations, and test hypotheses. It is the process of finding the right data to answer your question, understanding the processes underlying the data, discovering the important patterns in the data, and then communicating your results to have the biggest possible impact.

*GTAG -16 What is Data Analysis Technologies Presentation*
What is Data Analytics – Big Data

Large, quickly growing or varied types of information.

*Generating Value from Big Data Analytics, An ISACA White Paper January 2014*

Data which “exceed(s) the capacity or capability of current or conventional methods and systems.” In other words, the notion of “big” is relative to the current standard of computation.

*National Institute of Standards and Technology (NIST)*

Big data is the term increasingly used to describe the process of applying serious computing power—the latest in machine learning and artificial intelligence—to seriously massive and often highly complex sets of information.”

*Microsoft*
What is Data Analytics – Big Data Analytics

Big data analytics is the application of advanced analytic techniques to very large, diverse data sets that often include varied data types and streaming data.

What is Data Analytics – Term Definitions

**Data Warehouse** - A data warehouse is a copy of transaction data specifically structured for querying and reporting.

*Source: Ralph Kimball, The Data Warehouse Toolkit*

**Business Intelligence (BI)** - unites data, technology, analytics, and human knowledge to optimize business decisions and ultimately drive an enterprise’s success. BI programs usually combine an enterprise data warehouse and a BI platform or tool set to transform data into usable, actionable business information.

*Source: http://tdwi.org/portals/business-intelligence.aspx*
What is Data Analytics – Term Definitions

**ETL** - Extract, Transform, and Load is the process of extracting data from the source, standardizing the data (formatting, semantics, lexicon) and loading into a persistent or virtual data store (often a data warehouse)

**Apache™ Hadoop®** is an open source software project that enables the distributed processing of large data sets across clusters of commodity servers. Hadoop is a method.
Why use Data Analytics?
Why use Data Analytics - Examples

Peter Shankman Tweet Joke Leads To Morton's Surprise Steak Dinner At Newark Airport
Why use Data Analytics

• To solve a business problem
• To Increase efficiency in process
• Performance improvement
• Ad targeting
• Business intelligence
• Identify customer insights
• Fraud detection
• Risk analysis
• Measure policy compliance
• Determine if controls are operating effectively
Why use Data Analytics - Industries

- Media, advertising
- Retail
- Manufacturing
- Financial services
- Service providers such as telecommunications companies
- Healthcare organizations

*Just about any industry can benefit from applying data analytics to gain insights into their business!*

Why use Data Analytics - Which Departments

• Internal Audit
• Compliance
• Information Security
• Operational
• Accountants
• Marketing
• Sales
• Information Technology
Why Use Data Analytics - Audit Opportunities

• Use Analytics to
  – Identify areas to examine (where are the risks)
  – To increase efficiency in audits
  – To expand number of transactions examined (no more sampling!)

• Audit Analytic functions within the organization
  – Evaluate the processes to create and maintain analytics
  – Examine the results produced
  – Determine if privacy and security controls are in place
Why use Data Analytics - Risks

- Incorrect conclusions
- Aggregated data may be
- Repositories may be target for internal or external hackers
Data
Data – Data vs. Information

- Data - Raw or unorganized data elements that refers to or represents conditions, ideas, or objects.

- Information is data that is (1) accurate and timely, (2) specific and organized for a purpose, (3) presented within a context that gives it meaning and relevance, and (4) can lead to an increase in understanding and decrease in uncertainty.

Information is valuable because it can affect behavior, a decision, or an outcome. For example, if a manager is told his/her company's net profit decreased in the past month, he/she may use this information as a reason to cut financial spending for the next month. A piece of information is considered valueless if, after receiving it, things remain unchanged.

Source: Businessdictionary.com
Data
Information

May 16, 2014
To: Patricia Rowlett
From: Human Resources

Dear Ms. Rowlett:

We are downsizing and have merged departments. You have been selected as the new manager. Congratulations on your promotion!
Data - Where is the data?

- What are the sources (systems, applications)?
- What are the types of databases (Oracle, SQL)?
- How will you access the data?
  - Application query tool
  - Extract
- How will the data be updated?
- Can you access the live production database or will a separate data warehouse be created?
- Is the data internally or externally hosted (i.e., cloud service)?
Data – Assessing the Quality of the Data Source

• How reliable is the information? How do you know it is reliable?
• What input controls are in place on the collection of the data?
• Is data cleaning needed?
• Is there duplication?
• Is the data standardized?
• Is the data complete, consistent, accurate?
Data – Security

Determining Needs

- What are the security requirements for the data?
- What are the security requirements for the results?
- Are they the same?
- Do the results have the same classification as the individual data?
- Do data elements need to be scrubbed? (i.e., obfuscate Social Security Numbers)
- How long will the data be retained?

Securing the Data

- Monitor the access and use of the data warehouse
- Consider tools to identify data leakage (i.e., Data Loss Prevention)
Data Analytics Function
Questions

- Do you have the people in place to build a DA capability?
- Do you have the right skillsets?
- Do you have tools or a budget to acquire technology?
- Can you obtain needed data?
- Is the volume manageable?
- Does management support the use of analytics?
- Do the perceived costs outweigh the projected benefits?
- Do you know where to start?
Data Analytics Function

- People
- Process
- Technology
Data Analytics Function - People

Top barrier for implementation of big data analytics is “inadequate staffing or skills for big data analytics.”
(Source: Data Warehousing Institute (TDWI))

Who will create, run, and maintain the queries?
• Audit Staff
• Analytic Staff
• Application developers
• Internal or External resources

Data scientists - As defined by the Harvard Business Review, a specialized role with a hybridized blend of technical and statistical skills. “The sexiest job of the 21st Century!”
Data Analytics Function - Process

- Develop a Data Analytics Strategy
- Implement a Governance Structure that addresses:
  - Change Management - Ensures structured, approved changes to scripts and queries
  - Validation – Identified balancing and validation processes for results
  - Access Control – issue and monitor access
  - Data Security Needs
  - Documentation
  - Maintenance
- Determine how the function success will be evaluated
- Pilot the newly established process
Data Analysis Function – Maturity Continuum

- **Ad Hoc** - One use process, initial investigation.
- **Repeatable** – predefined, scripted, perform the same tests on similar data on a scheduled basis.
- **Centralized** – Development, storage, and operation of the analytics in a central repository
- **Continuous Monitoring** – fully automated analytics, running at scheduled intervals, embedded into production systems, include notifications and workflows, remediation tracking, dashboards.
Data Analytics Function - Technology

- What tools will be used to create and run the analysis?
- Specialized DA tool or Excel?
- Where will the data be stored? Consider size of the data.
- How will the data be transferred or sent to the storage location?
- Does the data need to be encrypted?
Data Analytics Function - Technology

Analytic Tools
Vs.
Integrated Tools
Data Analytics Function – Technology - Tools

Industry Analytic Tools

- ACL
- Lavastorm
- Tableau

+Pros /-Cons

+ Robust built-in functions
+ Run scheduled analytics
+ Combine data from many systems

- Manually configure connections to obtain the data
- Table relationships are not established
- Additional costs
- Learning curve/specialized skill
- All or nothing access to data
Data Analytics Function – Technology - Tools

Integrated Tools

- SAP Business Objects
- PS Query tools

+Pros /-Cons

+ Integrated security
+ Table relationships are established
+ Run Schedule analytics

- Impacting the production system
- Limited query organization options
Analytic Tools - ACL

Products

ACL Solutions - Data-driven Insight for Better Assurance

The ACL product family includes three technology solutions designed to help professionals across governance, risk and compliance groups identify, investigate, and mitigate business risk. ACL solutions help organizations save time and protect the bottom line through proven approaches:

- **Data Analysis** – Ad-hoc analysis of data populations to detect transactions that fall outside of business norms, internal control standards or regulatory requirements.
- **Enterprise Continuous Monitoring** – Recurring analysis of transactional data designed as an early detection system to help prevent and mitigate business impacts through identification of operational deficiencies or control gaps.
- **GRC** – Management and measurement of risks and controls against business objectives in accordance with regulations, standards, policies and business decisions.

Whether your organization needs a data-driven GRC solution or a robust data analysis solution, ACL’s years of experience and depth of knowledge ensures you get the exact solution that your organization needs. One vendor for all of your business assurance needs means you receive a holistic and integrated solution.

Globally, ACL technology is used by groups that span, but are not limited to, the following functions:
Analytic Tools - IDEA

- **Journal Entries Posted on Weekends**
  - Description:
    - The audit test can be used to create a list of journal entries with posting dates on Saturday or Sunday (default) or any other specified day of the week.
    - The resultant **Journal Entries Posted on Weekends** database will return the records where the Posted Date falls on a Saturday or Sunday as specified.
Analytic Tools - Lavastorm

TO EXECUTE: Select All (Ctrl+A) & Press the Green Run Button Above

Acquisition | Data Preparation | Rules Analytics | Impact Analytics | Publishing
Analytic Tools - Tableau
First Break

10 Minutes
Ten Steps to A Data Analytics Project
How to attack a data analytic project

• Assumptions
  – Roles, responsibilities have been identified
  – Tools have been selected and implemented
  – Processes to grant access to data sources and tools have been implemented
  – Change Management process for script development have been implemented
  – Data sources have been identified and technology connections established
How to attack a data analytic project

Project Step

1. Define the objective of the analytic

Questions

• What will the analytic tell us?
• What business problem will it solve?
Ten Steps of a Data Analytic Project

Project Step

1. Define the objective of the analytic
2. Identify the information needed (data, population, and criteria)

Questions

- What data fields are needed to determine the results
- What data fields are needed in the result file
- How will the population be identified
- What criteria will be used to identify the population
- What is the data classification (security and privacy concerns)
- Is the data captured
Ten Steps of a Data Analytic Project

Project Step

1. Define the objective of the analytic
2. Identify the information needed
3. Map the information to the data sources

Questions

- What systems contain the needed information
- What tables within the systems contain the information
Ten Steps of a Data Analytic Project

**Project Step**

1. Define the objective of the analytic
2. Identify the information needed
3. Map these information to the data sources
4. Identify relationship between data sources

**Questions**

- How can the tables be joined
- Are the tables from the same system or from different systems
- Is the timing the same for the data sources
Ten Steps of a Data Analytic Project

**Project Step**

1. Define the objective of the analytic
2. Identify the information needed
3. Map these information to the data sources
4. Identify relationship between data sources
5. Identify standardization needed

**Questions**

- Are the field sizes and types the same
Ten Steps of a Data Analytic Project

**Project Step**

1. Define the objective of the analytic
2. Identify the information needed
3. Map these information to the data sources
4. Identify relationship between data sources
5. Identify standardization needed
6. Define validation methods

**Questions**

- How will you determine if the analytic is accurate
- How will you determine if the analytic includes all source data
- At what points in the analytic can the results be validated
- Who will validate
Ten Steps of a Data Analytic Project

**Project Step**

1. Define the objective of the analytic
2. Identify the information needed
3. Map these information to the data sources
4. Identify relationship between data sources
5. Identify standardization needed
6. Define validation methods
7. Develop analytic

**Questions**

- What evaluations are needed
- What is the logic
- Are input parameters needed
- What is the format of the output
Ten Steps of a Data Analytic Project

Project Step

1. Define the objective of the analytic
2. Identify the information needed
3. Map these information to the data sources
4. Identify relationship between data sources
5. Identify standardization needed
6. Define validation methods
7. Develop analytic
8. Validate results

Questions

• Did we receive the results we intended
Ten Steps of a Data Analytic Project

Project Step

1. Define the objective of the analytic
2. Identify the information needed
3. Map these information to the data sources
4. Identify relationship between data sources
5. Identify standardization needed
6. Define validation methods
7. Develop analytic
8. Validate results
9. Interpret results

Questions

- What are the results telling you
Ten Steps of a Data Analytic Project

Project Step

1. Define the objective of the analytic
2. Identify the information needed
3. Map these information to the data sources
4. Identify relationship between data sources
5. Identify standardization needed
6. Define validation methods
7. Develop analytic
8. Validate results
9. Interpret results
10. Communicate results

Questions

- Who will receive the results
- What actions will follow the results
Ten Steps of a Data Analytic Project

1. Define the objective of the analytic
2. Identify the information needed (data, population, and criteria)
3. Map the information to the data sources
4. Identify relationships between data sources
5. Identify standardization needed
6. Define validation methods
7. Develop analytic
8. Validate results
9. Interpret results
10. Communicate results
Case Study #1 – Background

Property Management Bank Reconciliation

• The internal audit staff of a property management company was auditing the processes to reconcile the bank statements with the credit card payments.

• Multiple banks are used by multiple properties and the credit card payment information is represented in three files – all of different formats. There were no common fields among all files.
Case Study #1 – Steps 1, 2, 3

1. Define the objective of the analytic
To facilitate the reconciliation of the bank statement files and credit card payment files. (Complete automation was not an initial goal.)

2. Identify the information needed (data, population, and criteria)
Monthly files from each of the banks, monthly payment files from each credit card company.

3 Map the information to the data sources
All information was provided by outside entities (i.e., banks and credit card files). Why would we not use information from the property company systems?
Case Study #1 – Steps 4, 5

4. Identify relationships between data sources
What would tie the credit card files to the bank statements? Unfortunately, there were no common data fields available in the files. There was, however, information that can be joined to make common fields. The bank statements had a location (property) number and partial transaction number. The credit card payment file had property number and transaction fields.

5. Identify standardization needed
Joining the fields required making the fields the same size and trimming leading zeros. In addition, property names were not consistent among the files and had to be matched with a manually maintained cross reference file.
Case Study #1 – Steps 6, 7

6. Define validation methods
Each file could be balanced against information provided by either the bank or the credit statements.

7. Develop analytic
The components of the analytic were developed as defined by the documentation standards:
- Import script
- Validation script
- Checking file totals, and for valid property names, valid accounts, and valid dates.
- Preparation script (making the fields consistent)
- Join Script
- Create output including identifying unreconciled items
Case Study #1 – Steps 8, 9, 10

8. Validate results
The result files were compared against the manual reconciliations performed.

9. Interpret results
Inconsistencies in the matching performed in the manual reconciliations were identified. Errors in reconciliations were identified.

10. Communicate results
- Errors in reconciliations were communicated with accounting management.
- IA worked with Accounting to provide this analysis on an ongoing basis.
Case Study #1 - Recap

**Company:** Property Management

**Audit Task:** Confirm reconciliations between bank records with credit card transactions. The business unit’s current process was labor intensive and done by copying and pasting in Excel.

**Analytic Activities:** Combined files from multiple banks in multiple data field formats and field sizes. Created validation checks that identified exceptions.

**Result:** Identified inconsistencies in information provided by banks. Accounting now uses audit developed scripts to more efficiently and accurately perform reconciliations.
Case Study #2 - Background

Gas Utility DIMP Reporting Audit
Pipeline and Hazardous Materials Safety Administration (PHMSA) published the final rule establishing integrity management requirements for gas distribution pipeline systems on December 4, 2009 (74 FR 63906).

The regulation requires operators, such as natural gas distribution companies to develop, write, and implement a distribution integrity management program addressing numerous elements including threats, risks, pipeline knowledge, measures to address risks, monitor results, and period evaluations to identify program improvement.
Case Study #2 – Step 1

1. Objective

Internal audit wanted to determine if the information provided in the PHMSA reporting was accurate and process driven. Analytics would be used to recreate the most recently submitted report.
Case Study # 2 – Step 2

2. Identify the information needed (data, population, and criteria)

A long list of data elements (most quite technical) was identified. Some of these included:

- Specific information about existing pipeline
- Location, report date, and status of reported leaks
- Inputs to threat evaluations
- Incident details including causes
- Pipeline replacement updates
- Pipeline materials
- Mechanical fittings
- Planned excavation information
Case Study #2 – Step 3, 4, 5

3. **Map the information to the data sources**
Information was identified in repair ticketing systems, inventory systems, operational systems, and even financial systems.

4. **Identify relationships between data sources**
The relationships between the data sources were not straight forward. In some cases, there was no logical connection between the data.

5. **Identify standardization needed**
Various formatting changes were necessary to create fields which the files could be joined.
Case Study #2 – Steps 6, 7, 8

6. Define validation methods
The primary validation method expected was to compare the results of the internal audit analytic with the information reported to PHSMA by the DIMP team.

7. Develop analytic
Several attempts to retrieve the data based on perceived criteria were made. The data retrieved by internal audit could not be fully reconciled to the information retrieved by the DIMPL team.

8. Validate results
Validation results were not finalized as reconciliation between the internal audit analytics and the reported information were not achieved.
Case Study #2 – Steps 9, 10

9. Interpret results
The result of the activity was not a finished analytic, but rather findings in the process to create the DIMP reporting.

10. Communicate results
The results communicated included the finding that the process was not sufficiently documented and the process contained a large percentage of institutional knowledge or knowledge that could not otherwise be retrieved from existing systems. The combination of the two findings made the risk high.
Case Study #2 - Recap

**Company:** Gas Utility

**Audit Task:** Examine process to produce Distribution Integrity Management Program regulatory report.

**Analytic Activities:** Process discussions identified activities to obtain and combine data. Audit independently obtained the data and used ACL to combine the data, but was not able to balance to information prepared by business analysts.

**Result:** Audit identified additional ‘scrubbing’ performed that was not previously revealed. Scrubbing was not deemed to be invalid; however, it emphasized the reliance on one individual and the increase risk of not having the process documented.
Case Study #3

**Organization:** Oklahoma City Government

Municipal authorities work with an operating budget of US $470 million and a general fund budget of almost US $300 million. City Auditor leads the eight-person Oklahoma City Audit department team.
Case Study #3 – Background & Objective

Challenges: Oklahoma City’s audit team must sift through vast quantities of data drawn from citywide agencies to evaluate and assess operational performance. Most municipal departments do not have the processes or technology to effectively track their own performance, much less to compare and benchmark it against other city, state, or national performance indicators. In many instances, such performance indicators simply do not exist.

The Audit department needs a reliable way to create, monitor, and report on performance measures, to track operational timelines and outcomes, and to identify opportunities for improvements ranging from workflow optimization to staffing allocations.
Case Study - #3 - Results

• Monitor state sales tax revenues and identify missing payments, inconsistent application of statutes and fees, and improper vendor reporting recovery of US $3 million in lost revenues for one project alone.

• Identify and recommend service timeline and performance standards, resulting in improved levels of municipal service to citizens.
Case Study - #3 - Results

• Transform large volumes of data from a wide range of IT systems and applications into meaningful information that serves the needs not just of the Audit and Finance departments, but operations staff in various other city agencies.

• Analyze operational data to assess existing programs and services as an aid to developing strategic plans and performance targets for various city departments, drawing on audits’ ability to serve as value-added business consultants.
Resources – IIA Standards & Guidance

• Standard 2300 – Performing the Engagement
  Internal auditors must identify, analyze, evaluate, and document sufficient information to achieve the engagement’s objectives.

• Standard 2310 – Identifying Information
  Internal auditors must identify sufficient, reliable, relevant, and useful information to achieve the engagement’s objectives.

• Standard 2320 – Analysis and Evaluation
  Internal auditors must base conclusions and engagement results on appropriate analyses and evaluations.
Resources – IIA Standards & Guidance

Interpretation:

Sufficient information is factual, adequate, and convincing so that a prudent, informed person would reach the same conclusions as the auditor. Reliable information is the best attainable information through the use of appropriate engagement techniques. Relevant information supports engagement observations and recommendations and is consistent with the objectives for the engagement. Useful information helps the organization meet its goals.
Resources – IIA Standards & Guidance

Related Practice Advisories:

• PA 2320-1 – Analytical Procedures
• PA 2320-4 – Continuous Assurance

GTAG 13 – Fraud Prevention and Detection in an Automated World
GTAG-16  - Data Analysis Technologies

Look for the results of the IIA research project – Data Analysis Framework (possibly early 2015)
Resources – Free Data

Reviews

This report provides summarized data for five fiscal or calendar years, including current year to date information, on all types of reviews (Motor Carrier Safety Compliance Reviews, Cargo Tank Facility Reviews, Security Contact Reviews, etc.) conducted on motor carriers that transport property or passengers in interstate or intrastate commerce.

These reviews are conducted to investigate potential safety violations, to investigate complaints, or in response to a carrier’s request for a change in safety rating. It is intended that through education, heightened safety regulation awareness, and the enforcement efforts of the reviews, motor carriers will improve the safety of their commercial vehicle operations and, ultimately, reduce their involvement in crashes.

Summary of Reviews by Type

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<tr>
<th>Review Type (National)</th>
<th>FY 2013</th>
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<tbody>
<tr>
<td></td>
<td>Fed</td>
</tr>
<tr>
<td>Total Reviews</td>
<td>10,724</td>
</tr>
<tr>
<td>Motor Carrier Safety Compliance Reviews</td>
<td>0</td>
</tr>
<tr>
<td>Cargo Tank Facility Reviews</td>
<td>66</td>
</tr>
<tr>
<td>Security Contact Reviews</td>
<td>207</td>
</tr>
<tr>
<td>Non-Rated Reviews (excludes DCR &amp; CSA(SHC))</td>
<td>1,897</td>
</tr>
<tr>
<td>CSA OTR</td>
<td>135</td>
</tr>
<tr>
<td>CSA On/Off / Focused OR / Focused CR</td>
<td>5,842</td>
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<tr>
<td>CSA OTR Comprehensive</td>
<td>2,474</td>
</tr>
<tr>
<td>Total Security Contact Reviews</td>
<td>520</td>
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The reviews counted in this report are federal or state reviews that have been processed at the state level and entered into the Federal Motor Carrier Safety Administration’s Motor Carrier Management Information System (MCMIS). The reported review activities are based on the review date (the date the review was conducted) as opposed to the date a safety rating might have been issued.

Data Source: FMCSA Motor Carrier Management Information System (MCMIS) data snapshot as of 2/21/2014.

The data presented above are accurate as of this data, but are subject to update as new or additional information may be reported to MCMIS following the snapshot date.
Resources – Analysis Services
Closing
Contact

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