

James P. Roth, Ph.D., CIA

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EXPERIENCE

- 1993-present **President, *AuditTrends, LLC***, a training/consulting firm devoted to identifying and communicating the best of current risk management, control, governance, and internal audit practice. Primary service is a program of seminars. Other services include value-added Quality Assurance Reviews (self-assessment with independent validation only) and consulting on:
- COSO implementation
 - Techniques for evaluating soft controls
 - Integrated risk management
- Frequent speaker at internal audit and corporate governance conferences. Participant evaluations of 4.5 on a 5 point scale are common for seminars delivered.
- Achievements:** 2008 recipient of the Bradford Cadmus Memorial Award, the IIA's highest award for contributing to the advancement of the internal audit profession
- 1987-1992 **Audit Manager**, United Consulting Corporation. Providing audit services to Marquette Bank Minneapolis and 32 community banks. Total assets \$4.8 billion.
- 1981-87 **Internal Auditor**, Norwest Audit Services. Prepared quarterly and annual reports to senior management and the Board of Directors, did annual planning and scheduling for corporate audit group, supervised three direct reports, led first-time audits of units throughout corporate office and a variety of non-bank financial service companies.
- 1969-1980 **College English Teacher**, Universities of Minnesota and Wisconsin-Milwaukee. Designed and taught writing and literature courses.

EDUCATION

- 1980 **Ph.D.**, University of Wisconsin-Milwaukee. Major: English.
- 1969 **B.A.**, University of St. Thomas, St. Paul, Minnesota. Major: English.

PUBLICATIONS

- 2009 (in process) *Best Practices: Evaluating Soft Controls* (IIA Research Foundation)
- 2009 (in process) *Using Surveys in Internal Audits* (IIA Research Foundation – primary author Hernan Murdock)
- April 2007 “Myth vs. Reality: Sarbanes-Oxley and ERM,” *Internal Auditor*

March 2007	<i>Four Approaches to Enterprise Risk Management — and Opportunities in Sarbanes-Oxley Compliance</i> (IIA Research Foundation)
February 2006	“Risk Watch: An Enterprise Risk Catalyst,” <i>Internal Auditor</i>
August 2004	“Risk Watch: The Matrix Revisited,” <i>Internal Auditor</i>
June 2004	“On the Road to Change,” one of ten “thought leaders” interviewed for this article in <i>Internal Auditor</i>
April 2004	“Governance Perspectives: Getting to the Heart of the Problem,” <i>Internal Auditor</i>
June 2003	<i>Internal Audit’s Role in Corporate Governance: Sarbanes-Oxley Compliance</i> (IIA Research Foundation)
February 2003	“How do Internal Auditors Add Value?,” <i>Internal Auditor</i>
March 2002	<i>Adding Value: Seven Roads to Success</i> (IIA Research Foundation)
May 2001	“Value-Added Internal Auditing,” interview with James Roth, <i>Financial Accounting & Management Report</i>
June 2000	<i>Best Practices: Value-Added Approaches of Four Innovative Internal Auditing Departments</i> (book)
March 1999	<i>Tools & Techniques for the Beginning Auditor</i> (IIA seminar)
May 1998	“Validating CSA,” <i>Internal Auditing Alert</i>
February 1998	“‘Soft, Dangerous, Essential,’ an Interview with Jim Roth,” <i>Internal Auditor</i>
January 1998	“What’s COSO/CoCo Got To Do With It (CSA)?” <i>CSA Sentinel</i>
January 1998	<i>Vision University</i> (the IIA’s executive training program for chief auditors)
October 1997	<i>Control Model Implementation: Best Practices</i> (IIA Research Foundation)
May 1997	<i>Value-Added Business Controls: The Right Way to Manage Risk</i> (IIA seminar)
March 1997	“World-Class Audit Committees,” <i>The Corporate Board</i>
January 1997	“A Tale of Two Trips” and “CSA Software” – <i>CSA Sentinel</i>
March 1995	<i>A COSO Implementation Guide</i> , Comprehensive Instructional Package
January 1995	<i>Operational Auditing</i> (IIA seminar)
March 1994	<i>Evaluating Internal Control: A COSO-Based Approach.</i> (IIA seminar)
September 1993	<i>Reinventing the Internal Audit Function</i> (IIA seminar)
August 1993	“Fear of Flying: the Employee Involvement Adventure,” <i>Internal Auditor</i>

PROFESSIONAL DEVELOPMENT

1999-present	Member , IIA International’s Communications Advisory committee
1993-1998	District Representative , IIA Midwestern Region, District 4.
1989-90	President , IIA Twin Cities Chapter, a 550 member professional organization.