

I.S. Auditing: The First Step

COURSE DURATION: 2-days

CPE HOURS: 16

LEVEL: Beginner / Group-Live

PREREQUISITES: None

ADVANCE PREPARATION: None

This intensive seminar provides Financial Auditors or new Information Systems Auditors with a basic understanding of information systems auditing. The primary objective of this presentation is to provide participants with the skills necessary to conduct their first audit of local area networks, data centers and system development. The course modules have been structured so that the knowledge gained from completing one audit acts as a stepping-stone to the next audit. This progression eases the transition into information systems auditing. Classroom discussion and comprehensive handouts will prepare the participants to perform their first information systems audit.

All attendees will receive detailed checklists and comprehensive audit programs for use in their audit efforts. Furthermore, the instructor will add valuable insight on how to locate, identify, and rectify control weaknesses discovered in the course of their audits. This seminar is ideal for on-site presentation.

WHO SHOULD ATTEND

This class is targeted to financial auditors or new Information Systems auditors.

SEMINAR OUTLINE

I The I.S. Audit Function

- The role of the I.S. auditor
- Understanding I.S. Risks
- The I.S. audit domain
- Integration with the financial audit

II Auditing the Data Center

- Physical & Logical security
- Computer Operations
- Job Scheduling
- Program Change Control
- Back-up, Recovery & Insurance
- Budgets and Accountability
- Data Storage and Retrieval
- Quality Assurance
- Output Distribution
- Audit Checklists
- Class Exercise Review Questions

III Auditing Local Area Networks

- LAN Components
- Software Requirements
- Acquisition & Installation Controls

• Auditing Physical Security

- Server
- Cabling Systems
- Networks Access Cards

• Controlling User Functions

- LAN Management & Security
- Intruder Detection Techniques
- Detailed Audit Programs & Checklists
- Class Exercise Review Questions

IV Auditing System Development

- The need for Audit Involvement
- Systems Development Process
- Risk Assessment
- Key Areas of Audit Emphasis
- Audit Techniques and Approach
- Sample Audit Recommendations
- Class Exercise Review Questions

V Disaster Preparedness

- Types of Disasters
- Preventive Techniques
- Containment Techniques
- Recovery Techniques
- Data and Remote Archiving
- Hot Sites
- Sample Disaster Plan
- Suggested Audit Programs
- Class Exercise Review Questions

VI Use of Computer Assisted Audit Techniques

- Understanding CAATS
- Use of Audit Software
- Identification of Potential Applications
- The Development Process
- Effective Reporting Techniques
- Documentation
- Glossary of Audit Tests by Application and Industry
- Class Exercise Review Answers