

IS Auditing for Integrated Auditors

Course Duration:	2 Days
CPE Hours:	16 Hours
Level:	Beginner/Group-Live
Prerequisites:	None
Advanced Preparation:	None

This seminar is targeted for integrated or financial auditors preparing to perform a general controls review of a small data center or a series of local area networks. Participants will gain an understanding of the risks facing small and medium-sized data centers as well as the controls required to mitigate these risks. In addition, participants will learn the Canaudit Cooperative Audit Approach for the general controls audit. This COSO-compliant approach uses a series of checklists to assist in gathering information and documenting critical information system controls before the field work begins. The field work consists of interviews and audit testing to provide solid examples of control weaknesses. A series of risk/control tables, provided for each audit module, helps auditors summarize the risks, suggest viable controls and report audit issues. Coverage includes physical security, logical security and access control, administrative procedures, backup, recovery and business continuance. This seminar is the perfect how-to primer for auditors embarking on their first review of small LANs or small to medium-sized data centers.

Who Should Attend:

This seminar is intended for Integrated or Financial Auditors who will be performing a data center audit. It is also ideal for IS Auditors with less than six months experience.

Seminar Outline:

I) Introduction

- Requirements for a general controls audit
- Responsibilities of the IT Auditor

II) Physical Security

- Physical access controls
- Rule of least access
- Physical security hazards
- Doors, locks and person traps
- Automated entry systems
- Managing physical access
- Risk/Control Tables
- Audit Checklists
- Audit Program

III) Logical Security and Access Control

- Data ownership vs. security
- Confidential information
- Securing data in a multi-platform environment
- Granting access to groups & users
- Access control techniques
- Monitoring access violations

- Monitoring successful access
- Risk/Control Tables
- Audit Checklists
- Audit Program

IV) System Administration

- User and group administration
- System administration
- Data administration
- Neighbor maintenance
- Software administration
- Backup and recovery
- Resource management
- Risk/Control Tables
- Audit Checklists
- Audit Program

V) Backup and Recovery

- Identifying required backups
 - ⇒ System backups
 - ⇒ Incremental backups
- Verification of backups
- Offsite and remote requirements
- Restoration procedures
- Risk/Control Tables

- Audit Checklists
- Audit Program

VI) Business Continuance and Disaster Preparedness

- Building fault-tolerant applications
- Building fault-tolerant systems
- Disaster prevention
- Disaster containment
- Disaster recovery
- Risk/Control Tables
- Audit Checklists
- Audit Program

VII) Reporting Techniques

- Shortening the reporting timeframe
- Building the report
- Exit interview techniques