



The International Leader
in Audit & Information
Security Training

IT Audit School

A Guide to the Essential Skills

You Need to Perform IT Audits

May 12-15, 2009
San Francisco, CA

August 17-20, 2009
Boston, MA

- Update your technical and operational knowledge to better audit IT and automated business systems
- Explore important auditing standards, including Sarbanes-Oxley and PCAOB
- Cover required controls when auditing currently installed systems and new systems under development
- Learn auditing techniques that can be applied to mainframe, distributed processing, and client/server-based applications
- And much more

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IT Audit School

A Guide to the Essential Skills You Need to Perform IT Audits

Seminar Objective

This four-day course is designed for financial, operational, business, and IT auditors who need to update their technical and operational knowledge to audit information technologies and business application systems. You will cover the concepts of information technology as they relate to key risks in the IT environment, and explore such IT areas as operating systems, database management systems, and networks. You will review the IT audit concepts you need to know to effectively audit existing application systems, new systems under development, mainframes, and distributed systems. Focusing on a top-down, risk-based approach to auditing application system transactions, you will master techniques you can apply to all types of applications from batch, to on-line, to real-time systems. You will leave this intensive seminar with a solid foundation in the basics of information technology as they apply to IT risks, audit, information security, and business application systems.

Prerequisite: *None*

Learning Level: *Basic*

Field: *Auditing*

BONUS

You will receive a copy of *MIS' Information Technology & Audit Acronym Dictionary*, defining hundreds of IT terms and acronyms and the *MIS Applications Control Handbook*.

Who Should Attend

Financial, Operational, Business Applications, and External Auditors; new Information Technology Auditors

Online Registration

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1. Introduction to IT Audit

- audit objectives and requirements
- role of IT within the organization
- management and security risks in an automated environment
- internal control defined
- processes and control points
- physical space vs. logical space
- identifying control points

2. Planning the IT Audit

- objectives of an IT audit
- IT audit strategies
- application vs. general controls
- IT audit control reviews
- IT control categories
- the audit deliverable
- building the audit team

3. Auditing Organizations and Standards

- AICPA and SAS
- GAO and other certification organizations
- The IIA
- The Treadway Commission
- COSO Integrated Framework
- ISACA and the IT Governance Institute
- COBIT®
- ISO 27002 security standard
- ITIL – IT Infrastructure Library

4. Information Technology Basics

- computer hardware and CPU operation
- software, programs, and processing
- distributed systems and client/server technology
- the Open Systems Interconnection (OSI) model
- combining OSI and C/S models
- maintenance and security
- firewalls
- what is a policy?

5. Shared General and Application Controls

- logical security
- encryption: information access
- business continuity/disaster recovery
- system development technologies

6. Database Technology and Controls

- managing information
- database terminology
- database management systems
- types of databases
- database audit concerns

7. Infrastructure General Controls

- operations controls
- physical security
- environmental controls

8. Network Technology and Controls

- networking risks
- auditing networks
- LANs, WANs, and MANs
- network devices/audit objectives
- complete networks
- Internet communications
- Internet applications

9. Business Application Transactions

- objectives of an application audit
- transaction-based application auditing
- transaction life cycle
- application risk assessment factors
- establishing audit priorities

10. Top-Down Risk-Based Planning

- planning the application audit
- top-down, risk-based planning
- defining the business environment
- determining the application's technical environment
- performing a business information risk assessment
- identifying key transactions
- developing a key transaction process flow

ABOUT THE INSTRUCTOR

Richard H. Tarr, CIA, CISA, is an audit and information systems consultant and President of Richard Tarr and Associates, a consulting practice that specializes in the development of, and training in, integrated internal auditing functions, quality assurance reviews, application and general control reviews, strategic planning, business continuity planning, project management, and SOX testing and compliance. A 30-year audit and IT veteran, he has participated in the design and acquisition of software and hardware architectures for both centralized and distributed environments. Previously, he was with the Walt Disney Company, where he initiated and developed the information systems audit function, and served as the Corporate Information Systems Audit Manager. He was the Manager of Quality Assurance Review for The IIA and is has authored two publications on establishing internal audit activities.

- evaluating and testing application controls
- 11. Data Input and Processing Models**
 - comparing pros/cons of input and processing models
 - batch input/batch processing
 - on-line input/batch processing
 - on-line input/on-line processing
 - real-time input/real-time processing
 - 12. Application Controls**
 - business applications
 - information objectives
 - COSO: application controls
 - business application auditing
 - application transaction life cycle
 - transaction origination
 - logical security
 - completeness and accuracy of input/output
 - completeness and accuracy of processing
 - output retention and disposal
 - data file controls
 - user review, balancing, reconciliation
 - end-user documentation
 - training
 - segregation of duties
 - business continuity planning
 - Sarbanes-Oxley application
 - 13. Testing Application Controls**
 - testing automated and manual controls
 - testing alternatives and sample size
 - sampling terminology
 - negative assurance testing
 - types of audit evidence
 - functional/substantive testing
 - CAATs
 - data analysis
 - Sarbanes-Oxley: testing requirements and examples
 - 14. Documenting Application Controls**
 - evaluating and documenting internal controls
 - internal control questionnaires
 - narratives
 - flowcharts/process flows
 - control matrix
 - 15. End-User Computing**
 - growth of end-user computing
 - end-user computing risks
 - general IT control risks
 - change control risks
 - purchased applications risks
 - spreadsheets: typical errors
 - spreadsheet risk factors
 - practical steps for evaluating spreadsheet controls

REGISTRATION INFORMATION

Mail to MIS Training Institute, 498 Concord Street, Framingham, MA 01702-2357

Call: (508) 879-7999

Fax: (508) 872-1153

E-mail: mis@misti.com

Web: www.misti.com, **E-Z Access ITG121**

IMPORTANT: Please refer to the Registration Code on the mail panel when you register.

Tuition: The \$2295 tuition covers seminar materials, refreshments, and hospitality reception. Tuition must be paid in advance by cash, company check (US dollars), VISA, MasterCard, Diners Club, Discover, or American Express. Add \$100 if you register five business days or less before the session start date.

Class Hours: Class is held from 8:30 am - 5:00 pm daily and concludes at 1:00 pm on the last day.

The High-Yield/No-Risk Guarantee: Attend this seminar and receive information, tools, and techniques that will help you do your job better. If you do not, simply tell us why on your company letterhead within 30 days of the event and we will give you a full credit toward another seminar.

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Hotel Information: Hotel arrangements should be made after you register for a seminar. Please contact the hotel directly (phone numbers are listed below) and be sure to inquire about corporate, AAA, AARP, or other discounts for which you may be eligible.

San Francisco: Hyatt at Fisherman's Wharf
415-563-1234

Boston: Hilton Boston Back Bay 617-236-1100

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Phone Fax

Supervisor Job Title

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