



5 day course

What past delegates have said about this course:

"IT audit school gave me a new horizon about IT audit"

AVP,
PT Bank Mandiri (Persero) Tbk

"Very Good! It puts you on the right track for auditing tech"

Senior Application Programmer,
Saudi Industrial Development Fund

"The course is very well organised..."

Senior Audit Officer,
Monetary Authority of Macao

WHO SHOULD ATTEND?

- Financial, operational, business applications, and external auditors
- New IT auditors

LEARNING LEVEL:

Basic

CPEs: 38

IT Audit School

26-30 July 2010
Hong Kong

A guide to the essential skills you need to perform IT audits

- 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

Expert Course Director:

Fred C. Roth, CISA

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COURSE OBJECTIVE

This five-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.

Registration commences at 8:30
Programme runs from 9:00 - 5:00 daily

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

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

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

Information technology basics

- Computer hardware and CPU operation
- Software, programmes, and processing
- Distributed systems and client/server technology
- The Open Systems Interconnection (OSI) model
- Maintenance and security
- What is a policy?

Network technology and controls

- Networking risks
- Auditing networks
- LANs, WANs, and MANs
- Network devices/audit objectives
- Complete networks
- Internet communications
- Internet applications

Shared general and application controls

- Logical security
- Encryption: information access
- Business continuity/disaster recovery
- System development technologies

Database technology and controls

- Managing information
- Database terminology
- Database management systems
- Types of databases
- Database audit concerns

Infrastructure general controls

- Operations controls
- Physical security
- Environmental controls

Business application transactions

- Objectives of an application audit
- Transaction-based application auditing
- Transaction life cycle
- Application risk assessment factors
- Establishing audit priorities

Biography

Fred C. Roth, CISA

Fred C. Roth is Vice President of MIS Training Institute's IT Audit Division, where he is the primary developer of its IT Audit and Sarbanes-Oxley IT Audit curriculum. Mr. Roth has also provided extensive direction and training to organizations worldwide in planning and assessing IT risk areas for Sarbanes-Oxley compliance.

Previously, Mr. Roth spent more than 28 years in system development and information technology audit and security with Eastman Kodak Company. As Corporate Audit Project Manager, he had worldwide responsibility for planning and coordinating Kodak's IS/IT audits in the United States, Asia, Europe and South America. Mr. Roth was a key player in Kodak's

successful worldwide SAP implementation, where he was responsible for the Corporate Audit partnership on the project and for assessing controls during system design and implementation. He is a frequent speaker at international conferences and does IT control and security training on a worldwide basis.



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
- Evaluating and testing application controls

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

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 control requirements

Testing application controls

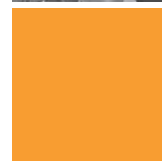
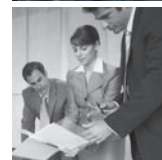
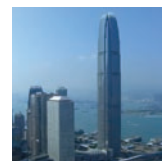
- Testing automated and manual controls
- Testing alternatives and sample size
- Sampling terminology
- Negative assurance testing
- Types of audit evidence
- Functional/substantive testing
- CAATs
- Data analysis
- Sarbanes-Oxley: testing requirements and examples

Documenting application controls

- Evaluating and documenting internal controls
- Internal control questionnaires
- Narratives
- Flowcharts/process flows
- Control matrix

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



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To find out more about in-house training, please contact:

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Book by 28 June 2010 to secure your place.

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Register before

28 June 2010

5 easy ways to register

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My email address is _____.

Please fax back to +852 2866 7340 or email your details to update@euromoneyasia.com.

Please include the code that appears on top of the address label above in your email.

Registration form

Yes, please register me for:

IT Audit School (MH4496)
on 26-30 July 2010, Hong Kong

Can't make this date? We schedule our courses throughout the year. Please contact us to check for alternative dates and locations.

Delegate details (all of the following is required to process your registration)

Surname _____ Mr/Mrs/Ms

First name _____

Position _____ Department _____

Company _____

Address _____

Telephone _____ Fax _____

Email _____

IIA Membership No.: _____

ISACA Membership No.: _____

How did you hear about the course? _____

Please tick which best describes your company:

- | | |
|--|--|
| <input type="checkbox"/> Accountancy - 0005 | <input type="checkbox"/> Energy Company - 0193 |
| <input type="checkbox"/> Bank and Financial Institution - 0020 | <input type="checkbox"/> Other _____ |
| <input type="checkbox"/> Corporate - 0149 | |

Course fee: US\$4,125

All fees are net of withholding, business and local taxes.

Seat is confirmed only upon receipt of payment.

Payment details (please tick as appropriate)

- Cheque Invoice Credit card[#]

[#]To make this payment by credit card, please call +852 2520 1481.

I have read and understood the booking terms and conditions

Signature _____ Date _____

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IIA Hong Kong members save 15% ISACA Hong Kong members save 15%
Other IIA members save 10% Other ISACA members save 10%
This discount cannot be used in conjunction with any other offer.

Group booking discount

When two colleagues from one institution book together on the same course, there is a 5% discount on the second booking. Further discounts are available for larger groups.

Venue

All of our courses are held in 4 – 5 star hotels, chosen for their location, facilities and level of service. You can be assured of a comfortable, convenient learning environment throughout the duration of the course. Due to the variation in delegate numbers, we will send confirmation of the venue to you approximately 2 weeks before the start of the course.

Disclaimer

MIS Training reserves the right to alter any part of the published programme or faculty. In the event of course cancellation by MIS Training due to unforeseen circumstances, MIS Training limits its liabilities to refunding the tuition fee of the course.

Fee includes tuition, documentation, lunch and refreshments. Delegates are responsible for their own flights and accommodation. An invoice will be sent upon receipt of registration form.

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Cancellation policy

If any registered delegate cannot attend our course, a replacement is always welcome for the course. Cancellations must be made in writing (letter or fax) with MIS Training's acknowledgement. Written cancellations must reach this office 30 days before the programme commences. A full refund less an administration charge of US\$150 will be given. For any written cancellation requests that reach us less than 30 days before the event, no refunds will be given. However, if you wish to attend another MIS Training course in the Asia-Pacific region, a 75% discount voucher which values not more than 75% of the initial payment will be issued. Please note that the subsequent course must take place within 1 year of the

initial registration. Discount vouchers are transferable within the same organisation, but not to be used in conjunction with any other discount schemes. Discount vouchers will not be issued for no-shows without cancellation. MIS Training reserves the right to the final decision if any dispute arises.

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