



SC Midlands Chapter 54 of ISACA August 2009 Newsletter

In This Issue

New Look for the Web

ISACA eLibrary

Auditing Business

Applications

17th Annual State Internal

Audit Conference

From Data Analysis to

Continuous Auditing

CISA Review Course

New Look for the Web

We offer many thanks to our webmaster, Kareem Briggs, for his efforts on updating the look and functionality of our website.

Be sure to visit us at <http://www.scisaca.org> to see the many new things available on our site. We are continually working to bring the latest and welcome your thoughts. Registration will be completely online this year, and your CPE forms will be emailed to you after the event, saving us and you paper and time. We are working on a member's only section and will let you know when that is ready. Thanks again Kareem.

ISACA eLibrary



ISACA eLibrary is a comprehensive collection of content from nearly all ISACA/ITGI published books and over 250 additional titles - all available free-of-charge as a benefit of your ISACA membership investment. Today's dynamic business climate commands you to know and do more, often demanding

From the President

Welcome to the new training year for SC Midlands Chapter of ISACA®! We are excited to be able to provide to you the calendar of events for the upcoming year. Many of the classes are available now to register in advance. Take advantage of these low Early Bird prices now and make your training dollars stretch.

All of the event details and registration will still be online at our chapter website at <http://www.scisaca.org>. You will still be able to pay by check or credit card. The mailing address has changed for sending your checks, so make sure that you change that address with your Accounts Payable Departments. Members - when you register, use your email address that you have provided ISACA® International. This is how we will know you are a member. As always, we welcome affiliate members from other professional organizations and have provided a discount price for you. Non-members are welcome, but consider signing up for membership and see how much you can save.

Our first event is scheduled for September 9th and will be co-hosted by the Palmetto IIA chapter. Stu Holoman from MIS Training Institute is returning to conduct a one day seminar over Auditing Business Applications. We will be meeting at the Capital City Club, downtown, and parking will be validated. Regular registration is ongoing through August 21. Late registration begins on August 22nd and ends on September 2nd.

The State Audit Conference IT Track this year will be presented by Derek Melber, one of only 10 MVP's for Windows Group Policy. Registration has begun for the State Audit Conference - the brochure is being sent out under a separate email. Save the dates of October 19, 20th, and 21st. See you there!

A special benefit offered to all members is the ISACA International eLibrary. I checked this out just this week! It is easy to search, easy to use, and you get 5 chapters a month from the publications you can download. Take the time to go see if new information for your project is within reach of your finger tips at [e-Library](#). Sincerely,

Sue Rusher

2009 -2010 President

"Auditing Business Applications" taught by Stu Holoman Co-Hosted by SC Midlands Chapter of ISACA and by Palmetto IIA Chapter

Date: September 9, 2009
Time: 8:30 am - 4:30 pm

Location:
Capital City Club
1201 Main Street
25th Floor,
Columbia, SC 29201

Parking will be validated. Bring your stub in. You can park on the 4th

immediate knowledge and expertise. ISACA eLibrary gives you on-demand access to a goldmine of readily usable information.

Key Benefits:

- Access all books and browse the content immediately - when you need it .
- Download up to five chapters per month from the available book titles.
- Find exactly what you are looking for with a robust searching mechanism.
- Place the most frequently accessed book titles on your own private bookshelf.
- Easily purchase the book after you had an opportunity to browse it online.
- Bookmark the content you use most.
- Effortlessly create citations

Please Note:

By the end of June an additional 43 ISACA publications will be added to the eLibrary. Titles such as:

- COBIT Control Practices: Guidance to Achieve Control Objectives for Successful IT Governance, 2nd Edition
- COBIT User Guide for Service Managers
- IT Assurance Guide: Using COBIT
- Security, Audit & Control Features Oracle E-Business Suite: A Technical and Risk Management Reference Guide, 2nd Edition
- COBIT Security Baseline, 2nd Edition
- ...And many more!

[Join Our Mailing List!](#)

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floor and up. The entrance to the building is the 2nd floor of the garage. The entrance to the garage is on both Assembly Street and Lady Street.

Pricing:

Registration August 22nd - September 2nd: \$200

Payment by Credit Card or Check accepted in advance

[Register here](#)

8 CPEs

Breakfast at 8:00am

Lunch served at 12:00 noon

What you will learn:

1. Introduction to Business Application Systems

- types of automated business applications
- objectives of an application audit
- types of applications audits
- system environmental considerations
- application control ownership
- integrated auditing
- data vs. information

2. Business Application Transactions

- what is a transaction?
- transaction-based application auditing
- transaction life cycle
- application risk assessment factors
- establishing audit priorities

3. 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

4. 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
- completeness and accuracy of processing
- completeness and accuracy of output
- 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

5. Testing Application Controls

- testing automated and manual controls
- testing alternatives
- testing sample size
- sampling terminology
- negative assurance testing
- types of audit evidence
- functional/substantive testing
- computer assisted audit techniques (CAATs)
- data analysis: planning and data verification
- Sarbanes-Oxley: testing requirements and examples

Stuart Holoman is a Senior Consultant for MIS Training Institute. He has over 35 years of experience in computer and data processing systems design, management, and audit and security consultation and training. In recent years, he has specialized in computation and distributed processing systems. Formerly with NorTel, Mr. Holoman directed computer/telecommunications operations, software/hardware acquisition, and software development. Prior to his work at NorTel, he was with Bell Laboratories, where he was involved in communications systems design

and development. While at Bell, he developed new techniques and methodologies for the formal and systematic specification of computer systems. Mr. Holoman also pioneered work in abstract protocol theory and was a technical contributor to the ISO for the OSI Reference Model, which today forms the basis for many existing and emerging communications standards. As a principal consultant for HOLOCON, Inc., Mr. Holoman has been involved in network specification, vendor selection, and networking support. He has also designed and implemented numerous communications protocols and interfaces among disparate computing and process control systems. Recently, for the audit and security communities, he has been reapplying and simplifying engineering tools and developing new methodologies for auditing and securing interconnected computing systems with differing implementation philosophies (such as client/server systems and mainframes). Mr. Holoman's fundamentally new approach to this rapidly changing environment concentrates on analyzing expected or required functionality rather than concentrating on specific hardware or software packages. Mr.

Columbia, SC 29229

Pricing:

Early Bird: August 10, 2009 - September 9, 2009

\$20 - SC Midlands ISACA Members

\$25 - Affiliate Members of IIA, SIAA, IMA, other ISACA chapters, etc.

\$40 - Non-Members

Regular Registration: September 10, 2009 - September 30, 2009

\$30 - SC Midlands ISACA Members

\$35 - Affiliate Members of IIA, SIAA, IMA, other ISACA chapters, etc.

\$60 - Non-Members

Late Registration: Oct 1, 2009 - Oct 6, 2009

\$40 - SC Midlands ISACA Members

\$45 - Affiliate Members of IIA, SIAA, IMA, other ISACA chapters, etc.

\$80 - Non-Members

What you will learn:

Many audit shops have experience with data mining and data analysis as a way to improve the efficiency and depth of their audit testing.

Increasing the frequency of risk and control assessment is often the next objective, including moving toward Continuous Auditing as department goal. Somehow, that goal is rarely achieved, even in today's highly digital age.

Join Joe Oringel from Visual Risk IQ in a practical workshop where he presents their firm's proven Continuous Auditing Maturity Model as a road map of how other audit shops are progressing from basic data analysis and annual risk assessment toward more frequent and in-depth testing, including real-time Continuous Auditing.

The model is distinctive in that it provides practical guidance on all aspects of driving value with data analysis and continuous auditing.

Though technology is part of the model, more important success factors are people, risk assessment, stakeholder reporting, and governance. This will be a lively and interactive session, with practical takeaways that consider the experiences of session participants."

Biography:

Joe Oringel is a CPA and CIA with twenty years of experience in internal auditing, fraud detection and forensics. He has over ten years of Big 4 external audit, internal audit, and risk advisory experience, most recently with PricewaterhouseCoopers prior to helping found Visual Risk IQ. His corporate experience includes information security, internal auditing, and risk and control of large ERP systems for companies in highly regulated industries, including Pharmaceuticals, Utilities, and Financial Services.

Joe earned a BS in Accounting from LSU, and an MBA from the Wharton School in 2003. He and his business partner Kim Jones left PwC in 2006 to start Visual Risk IQ, where they help large, complex organizations take advantage of new technologies for continuous auditing, continuous monitoring, visual reporting and risk-focused data analysis.

Visual Risk IQ is an alliance partner and implementation specialist for Oversight Systems, Metaprxaxis, and ACL Services and delivers tailored solutions for clients both directly and in concert with other consulting firms. Joe and his partner Kim are frequent speakers and authors about continuous auditing and data analysis, and have presented similar topics at MISTI's SuperStrategies, the IIA's Governance Risk and Compliance Conference, and numerous Chapter and District Conferences around the country.

CISA Review Course

Plan to join us if you are taking the December test!

Where:

BlueCross BlueShield of SC

4101 Percival Road

Columbia, SC 29229

4th Floor 3rd Wing, Corporate Audit Training Room

Parking:

Parking is in any spot at the front of the Percival building.

When: Tuesdays and Thursdays, Oct 13th - Dec 3rd, 2009

Time: 7 pm to 9 pm

Plan to be at the Security Desk in Lobby at approximately 6:45 pm.

What to purchase and bring: The 2009 CISA Review Manual from the ISACA bookstore. Member cost is \$105

We have put together a team of local experienced CISA practitioners to help you review the material the CISA exam requires for you to pass. We will also provide practice exam questions over all of the domains of the test. You will be provided the power points at the first session. Please bring these to each meeting. The last session will be a two hour practice test and you will receive your "grade" that evening.

Schedule:

Chapter 1 - The IS Audit Process

October 15th

Chapter 2 - IT Governance

October 27th

Chapter 3 - Systems and Infrastructure Life Cycle

November 3rd and 5th

Chapter 4 - IT Service Delivery and Support

November 10th

Chapter 5 - Protection of Information Assets

November 12th and 19th

Chapter 6 - Business Continuity and Disaster Recovery

December 1

Practice Exam

December 3rd

Cost:

You may choose to register and simply receive a Completion Certificate only for the low cost of \$50. If you need CPEs, we are providing a CPE certificate for 20 CPEs. Costs for these are as below.

Completion Certificate Only	\$50
Members to receive 20 CPEs	\$180
Affiliate Members to receive 20 CPEs	\$270
Non-members to receive 20 CPEs	\$360

Register at: <http://www.scisaca.org>

[Forward email](#)

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