

# Off-Line

The SC Midlands Chapter of the Information Systems Audit & Control Association

CHAPTER 54

SEPTEMBER 2008

## \*\*Upcoming Seminar –Register by 9/16/08 \*\*

A three-hour seminar will be held Tuesday, **September 23<sup>rd</sup>** at Seawell's in Columbia. The topics will be Risk Assessment and Business Continuity.

### Risk Assessment - Presented by John Gatto

There are many risks within an organization. One of the more challenging is identifying and quantifying the risks within the IT Organization. This presentation will focus on an IT Risk Assessment methodology from an operational and system development perspective.

### Business Continuity and the Auditor - Michael Upfield

The ability to continue operations without interruption has become a requirement of almost all organizations. This presentation will look at the evolution of business continuity as a method to address continuous operational requirements, and examine the elements of a business continuity program.

This seminar will provide 3 CPE credit hours and lunch will be served. The cost is \$40. If you have ordered your **free ISACA Golf Shirt**, it will be available at the seminar. You may register for the seminar by completing and submitting the Registration Form on page 2 by September 16, 2008.

## You Speak... We Listen...

Beginning with the seminar on **September 23<sup>rd</sup>**, topics have been selected based on your input from the questionnaire you completed. We will be providing more details regarding the upcoming programs.

**October 6<sup>th</sup> – 8<sup>th</sup>**: How to Audit Business Application Controls, IIA Fall Conference. *For more information on this conference, see pages 4-6.*

November 20<sup>th</sup>: Black Hat Discussion and Demo, Noah Schiffman – *“Overall, one of the strongest educational assets I bring to the IT community is my (reckless, foolish and regretful) years of experience being on the other side of security-- the black hat hacker.”*

January 21<sup>st</sup> – 23<sup>rd</sup>: Securing and Auditing Your Web-Enabled Applications, Ken Cutler.

March 19<sup>th</sup>: Ethical Hacking Discussion and Demo, Kevin Beaver

## In This Newsletter:

September Event and Important Dates – Page 1

September Meeting Registration Form – [Page 2](#)

Letter from the Pres. – [Page 3](#)

Internal Audit Conference Brochure – [Pages 4 - 6](#)

## Important Dates

September Meeting & Seminar –

- Registration Deadline – **September 16<sup>th</sup>**.
- Event Date – **September 23<sup>rd</sup>**.

IIA Fall Conference – October 6<sup>th</sup> – 8<sup>th</sup>

Deadline for CISA and CISM:  
Early Registration – August 20<sup>th</sup>

Final registration deadline – September 24<sup>th</sup>

Exam Date – December 13<sup>th</sup>

November Chapter Meeting – November 20<sup>th</sup>



## SC MIDLANDS CHAPTER REGISTRATION FORM

### Three-Hour Seminar: Risk Assessment and Business Continuity

**Location:**

Seawell's  
1125 Rosewood Drive  
Columbia, SC 29201  
803-771-7685

**Dates:**

Tuesday, September 23, 2008  
Doors Open: 8:30 AM  
Presentation Time:  
9:00 AM – 12:00 PM  
12:00 noon Lunch is served  
3 CPEs

### Registration

Registration is required for the seminar and is requested by Tuesday, September 16, 2008.  
Please complete this registration form and submit to:

Phil Brock, Chapter Secretary at [pbrock@scana.com](mailto:pbrock@scana.com)

I will attend the seminar ..... \$ 40.00

I am a member of ISACA\_\_\_\_\_ IIA\_\_\_\_\_ Both groups\_\_\_\_\_

NAME: \_\_\_\_\_

COMPANY: \_\_\_\_\_

E-MAIL: \_\_\_\_\_ PHONE: \_\_\_\_\_

I will bring payment to the seminar \_\_\_\_\_

Please prepare a bill for me to present to my company \_\_\_\_\_

**President's Letter:**

Dear SC Midlands Chapter of ISACA,

Hey...again! We are starting off the chapter year with a good registration for our first meeting on September 23rd so we can learn about Risk Assessment and Business Continuity. Both speakers are from the Blue Cross organizations and we are looking forward to hearing about their experience in implementing these two important controls in their environments. If you have not registered yet, send in your information by Tuesday, September 16. We are looking forward to seeing you there.

For some news on up and coming trends impacting our world of Internal Audit, please take some time to review the referenced source document, [Internal Audit 2012](#), a report published by PricewaterhouseCoopers. Also, please take advantage of your ISACA membership by frequenting the [ISACA](#) website. New updates and material for understanding ValIT, IT Governance, and ITAF are available by logging in as a member and downloading the following new documents:

- Val IT Framework <http://www.isaca.org/valit>
- ITAF: A Professional Practices Framework for IT Assurance <http://www.isaca.org/itaf>
- IT Governance <http://www.isaca.org/governance>

Please join me in welcoming Kathleen Deprez Hall as our new Vice President. We look forward to working with her this year, and will provide a bio on her shortly. Thanks to all of you who are thinking about helping us to fill some voids on chapter committees. We will be collecting your names at the meeting and setting up meeting times shortly after that.

We have two Academic Advocates helping us with the College of Charleston and USC. We will be discussing various opportunities with them on how to include our student members in our meetings, on the potential for student scholarships and internships. If your company would like to consider an intern for the summer or even the school year, please let us know.

We need to all pull together to make this chapter thrive. Please let us know how you can help. We look forward to seeing you in the coming months!

Sincerely,

Sue Rusher  
President  
South Carolina Midlands Chapter of ISACA

Coastal Carolina Chapter IIA  
c/o Myra Rose, Santee Cooper, A202  
P. O. Box 2946101  
Moncks Corner, SC 29461-6101

**October 6 – 8, 2008  
Beach Cove Resort  
4800 S. Ocean Boulevard  
Windy Hill Section  
North Myrtle Beach, South Carolina**



**16<sup>th</sup> Annual  
Statewide Internal Auditing Conference**  
Jointly Sponsored by:  
Coastal Carolina Chapter IIA, Hosts  
Palmetto Chapter IIA  
Western Carolinas Chapter IIA  
State Internal Auditors Association  
SC Midlands Chapter of Information Systems Audit Control Association

## **Audit Skills for Every Member of Your Staff!**

Participants may choose 1 of the following 2½ day seminars by the best in internal audit training, at “in house” rates.  
(Each Seminar qualifies for 20 hours CPE.)

### **1. Skills for the New Auditor-in-Charge**

*Presented by: John McKeever, CFE, CQA, CPC, CBM, CCSA*

*Your Opportunity to...*

- Master project management techniques through effective planning, organizational techniques, and expecting the unexpected.
- Learn eight simple planning tools that ensure success.
- Find out how to control the audit by using well-established supervisory, communication, and the time-management techniques.
- Identify six steps of effective delegation.
- Learn how to train auditors to perform assigned tasks, solve problems, and document audits properly.

*Calling All...*

- Recently promoted auditors-in-charge or auditors assuming the role of lead auditor of an audit project.
- And for those auditors aspiring to be an auditor-in-charge in the near future assuming new responsibilities.

### **2. Operational Auditing: Advanced**

*Presented by: Paulette Keller, CIA, CPA, MBA*

*Your Opportunity to...*

- Expand your auditing beyond financial and compliance audits.
- Practice setting organizational objectives and understand the tools managers use to achieve them.
- Extend internal controls beyond the Sarbanes-Oxley world.
- Learn more about the “alphabet-soup” organizations use to achieve objectives-COSO, CoCo, ISO, TQM, Six Sigma, etc.
- Practice four specific operational audit tools, focused on risk, efficiency, self-assessment, and process flow analysis.
- Discuss internal audit leading practices and a common observation from external QAR’s related to operational audit.
- Discuss the technologies that help enable the audit process-sampling, computer software and continuous monitoring.

*Calling all...*

- Staff auditors entering the operational auditing environment.
- Auditors making the transition from public accounting, government auditing, or compliance auditing to operational auditing.
- Operations managers and operations staff new to audit.
- Auditors with 3+ years experience in Operational Auditing and a good understanding of control frameworks
- Auditors in a position in their organizations to discuss the strategy and make decisions related to operational auditing approaches.

### **3. Auditing Business Applications Systems**

*Presented by: Stuart Holoman*

*Your opportunity to ...*

- Focus on a top-down risk-based approach to auditing application system transactions.
- Techniques that can be applied to all types of applications from batch to on-line to real-time systems.
- Learn how to access key risk and control in each stage of the application processing cycle.
- Learn how to prioritize your audit approach to achieve optimal results in an effective and efficient manner.
- Learn how to assess all aspects of a business application, including completeness and accuracy of input, processing and output, transaction authorizations, processing flow balancing and reconciliations.
- Learn about IT general controls risks and control objectives for critical aspects of the IT infrastructure.

*Who Should Attend?*

- Financial, Operational, and IT Auditors.
- Auditors who need a technical and operational understanding to audit automated business applications.

### **3. CIA Review**

*Presented by: Dr. Garland Granger, Ph.D., CPA, CIA, Professor of Accounting, Guilford University, Greensboro, NC*

- Corresponds to the four parts of the Certified Internal Auditor exam administered by IIA.
- If you do not need to review for all 4 parts of the exam, you can sit in on another class.
- Even if you are not registered for the exam you may find this a good overview of Internal Auditing, or a chance to learn what the exam is all about.

## General Information

### Conference Hotel

The conference will be held at the luxurious Beach Cove Resort, 4800 South Ocean Boulevard in North Myrtle Beach, SC. Beach Cove Resort has offered rates of \$70.00 per night single or double occupancy for a 1-bedroom condo (+ \$7.70 Sales Tax and \$6.66 resort fee = \$84.36). Beach Cove requires a deposit of one night's rate plus 10% tax to confirm reservation. Call for reservations at: 1-800-331-6533. When making your reservation, identify that you are with The Institute of Internal Auditors. You must present a photo ID upon check-in. PLEASE MAKE YOUR ROOM RESERVATIONS AS SOON AS POSSIBLE!

### Meeting Facilities

All meetings will be held in the hotel Conference Facility.

### Directions *(Along the Coast)*

Hwy 17 or 17A to Murrells Inlet. Hwy 17 Bypass begins at Murrells Inlet and continues northward until it merges with Kings Hwy (17 Bus). Continue toward Barefoot Landing, and turn right onto 48<sup>th</sup> Ave. S., (at the Alabama Theater Sign).

### *(From the Midlands)*

Take I-20 to Florence. Bear left onto US- 76 E, which becomes SC-576 E and then Hwy 501 S. Bear right onto SC-22 E/ Veterans Hwy. Merge onto Hwy 17 (Kings Hwy). Continue toward Barefoot Landing ~ 2.8 miles, turn right onto 48<sup>th</sup> Ave. S., (at the Alabama Theater Sign) which becomes Ocean Blvd. S. The Beach Cove is located at the end of 48<sup>th</sup> Ave. on the right.

### Conference Registration

#### Early Bird Registration – On or Before 8/31/08

\$525 Members  
\$575 Non-Members

#### Regular Registration – 9/1/08 – 9/30/08

\$575 Members  
\$625 Non-Members

#### After 9/30/08

\$625 Members  
\$675 Non-Members

#### Hardship Tuition:

For those paying out of pocket, not reimbursed, call or e-mail for information.

#### CIA Review Session.

- \$150 per part, or
- Tuition per fee schedule (see above) for any/all parts, if less than four parts, (free) choice of Session 1, 2 or 3.

### Attire

Dress for all events is casual. Since temperatures in meeting rooms vary, a sweater might be a good idea.

### Parking

Free on-site covered parking garage.

## REGISTRATION- DEADLINE OCTOBER 1, 2008!

Name: \_\_\_\_\_  
 Title: \_\_\_\_\_  
 Employer: \_\_\_\_\_  
 E-Mail: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 City: \_\_\_\_\_  
 State: \_\_\_\_\_ Zip: \_\_\_\_\_  
 Phone: \_\_\_\_\_  
 Fax: \_\_\_\_\_

Mark all that apply:

- \_\_\_\_\_ IIA Coastal Carolina Chapter  
 \_\_\_\_\_ IIA Palmetto Chapter  
 \_\_\_\_\_ IIA Western Carolinas Chapter  
 \_\_\_\_\_ SIAA Member  
 \_\_\_\_\_ ISACA  
 \_\_\_\_\_ Non member

Registration is on a first-come, first-served basis. No refunds will be made, however substitutions are allowed.

#### Session Selection:

- \$ \_\_\_\_\_ Skills for the New Auditor-in-Charge  
 \$ \_\_\_\_\_ Operational Auditing: Advanced  
 \$ \_\_\_\_\_ Auditing Business Applications Systems  
 \$ \_\_\_\_\_ CIA Review (for less than 4 parts CIA Review I would like to sit in on :)  
 \_\_\_\_\_

- \$ \_\_\_\_\_ Part(s) \_\_\_ I \_\_\_ II \_\_\_ III \_\_\_ IV of CIA Review  
 Please bring your own Gleim manuals for CIA Review. (13<sup>th</sup> Ed.)

- \$ \_\_\_\_\_ Total Registration (Includes course materials, lunches and breaks. CIA Review manuals are extra and are priced separately).

Mail registration, along with a check payable to:  
 Coastal Carolina Chapter IIA  
 c/o Myra Rose, Santee Cooper, A202  
 P.O. Box 2946101  
 Moncks Corner, SC 29461-6101  
 EIN # 57-075-2356