

PAPER – 6 : INFORMATION SYSTEMS CONTROL AND AUDIT

ISCA-3

Answer **all** questions.

Each question carries 20 marks.

Marks

1)

a) As an internal IS Auditor of an enterprise which is undergoing the phase of system acquisition, how will you prepare the checklists for the following:

- i) Evaluation and validation of the software package to be acquired,
- ii) The support service to be given by the vendor, and
- iii) Evaluation of the Software License Agreement (SLA).

4x3=12

b) Upon implementation of ERP, every organisation is stated to migrate to a regime of new risk and governance issues. Identify the major risks and governance issues for an organisation that has implemented ERP. 8

2)

- a) Describe the various types of back-up techniques with various backup devices. 10
- b) Describe various concurrent audit techniques. 10

3)

- a) Differentiate between the following :
 - i) Sub system and Supra system
 - ii) Boundary and System environment 5
- b) New information systems led to a gap between the need to protect a system and the degree of protection applied. Explain the causes of this gap. 7
- c) Briefly state the need to install a 'fire suppression system' in an information processing facility and various installation techniques. 8

4)

- a) What is the role of HIPPA in ensuring privacy and security of health data? 8
- b) Describe a typical security organisation structure for information security. 12

5)

- a) What is the scope of Post Implementation review [PIR] ? Discuss various activities to be undertaken during PIR ? 5
 - b) Briefly discuss the role of IS auditor in acceptance testing. 5
 - c) Describe the risk ranking procedure. 5
 - d) How is risk mitigated in an organisation? 5
- 5

😊 Aall the best 😊

SUGGESTED ANSWERS / HINTS

1)

a) chap-2 . As an internal IS Auditor of an enterprise which is undergoing the phase of system acquisition, how will you prepare the checklists for the following:

- i) Evaluation and validation of the software package to be acquired,
- ii) The support service to be given by the vendor, and
- iii) Evaluation of the Software License Agreement (SLA).

4x3=12

b) Chap -7 Upon implementation of ERP, every organisation is stated to migrate to a regime of new risk and governance issues. Identify the major risks and governance issues for an organisation that has implemented ERP. 8

2)

- a) Chap-6 Describe the various types of back-up techniques with various backup devices. 10
- b) Chap -4 Describe various concurrent audit techniques. 10

3)

- a) Chap -1 Differentiate between the following :
 - i) Sub system and Supra system
 - ii) Boundary and System environment 5
- b) Chap -9 New information systems led to a gap between the need to protect a system and the degree of protection applied. Explain the causes of this gap. 7
- c) Chap -3 Briefly state the need to install a 'fire suppression system' in an information processing facility and various installation techniques. 8


4)

- a) Chap 8 What is the role of HIPPA in ensuring privacy and security of health data? 8
- b) Chap 9 Describe a typical security organisation structure for information security. 12

5)

- a) Chap -3. What is the scope of Post Implementation review [PIR] ? Discuss various activities to be undertaken during PIR ? 5
- b) Chap -3 .Briefly discuss the role of IS auditor in acceptance testing. 5

- c) Chap-5 .Describe the risk ranking procedure. 5
- d) Chap-5. How is risk mitigated in an organisation? 5

 GOOD LUCK 