MASENO UNIVERSITY

UNIVERSITY EXAMINATIONS 2016/2017

THIRD YEAR SECOND SEMESTER EXAMINATIONS FOR THE
DEGREE OF BACHELOR OF SCIENCE IN INFORMATION AND
TECHNOLOGY

MAIN CAMPUS

CIT 311: INFORMATION TECHNOLOGY CONTROL AND AUDIT

Date: 6ᵗʰ June, 2017   Time: 3.30 - 6.30 pm

INSTRUCTIONS:

- Answer question ONE and any other TWO questions

CIT 311: INFORMATION TECHNOLOGY CONTROL AND AUDIT

DATE: JUNE 2017   **TIME: 2 HOURS**
INSTRUCTIONS: Answer Question _ONE_ and any other TWO questions in this paper.

Question One: (30 Marks)

1. Consider the following scenario to answer part (a) and (b) of this question:

   You are the Project manager of an audit team of five members; who are all spread out across the five different branches of the organization you are auditing. You decide to use Teammate a popular CAAT in use today. Teammate allows all the members to log in and upload their entire work plan and operations and allows you to view your team members' activities throughout the entire audit process.

   a) Describe any two main benefits that *Teammate* has to you as a Project manager.
                                                                                (4 marks)
   b) List any TWO documents you as the project manager will have to produce *before* and *after* the IT audit process.   (2 marks)

2. Briefly describe the THREE phases of an IT Audit.   (3 marks)
3. Differentiate between the following terms:
   a) IT audit and Financial audit.   (2 marks)
   b) Live Testing and Dead Testing   (2 marks)
4. Describe what an IT control.   (2 marks)
   a) Outline the TWO categories of IT controls.   (2 marks)
   b) State any THREE examples of IT controls   (3 marks)
5. Briefly describe what a *Security Patch* is and give a scenario where you would require one.
                                                                                (4 marks)
6. As an IT auditor, explain ONE reason you would recommend an audit on an organization's VPN.
                                                                                (3 marks)
7. Explain COBIT as used in IT auditing.   (3 marks)

Question Two: (20 Marks)

1. Discuss the FIVE main steps in the Audit *Planning Phase*   (10 marks)
2. Describe any THREE *critical operations* that an organization has to frequently carry out IT audits.   (6 marks)
3. How does SOX and ITIL *differ*?   (4 marks)

Question Three: (20 Marks)

1. Discuss the TWO types of CAAT as used in IT Audit; clearly describe *how (i.e. the method)* they can be integrated into an IT system; and give TWO advantages of integrating these CAAT in to the system.   (10 marks)
2. Outline any TWO roles of an IT Auditor.   (4 marks)
3. Describe any TWO scenarios where you would have to use a *sniffer tool* during an audit.
                                                                                (6 marks

Question Four: (20 Marks)

1. Discuss any FIVE common *IT Audit Findings*; their *risks* and *countermeasures*.

(15 marks)

2. Explain the following statement, "*An effective test data should include both data with errors and data without errors.*" (3 marks)

3. Describe any TWO benefits of creating *audit trails* (2 marks)

Question Five: (20 Marks)

1. Describe any FIVE *IT Internal Controls (Policies)* that *need frequent appraisal*. Mention at least ONE countermeasure for each control you discuss. (15 marks)

2. Explain any TWO criteria to consider when selecting a CAAT (5 marks)

All The Best and Good Luck!!!