



# BASIC IT AUDIT TECHNIQUES FOR NON-IT AUDITORS

## OVERVIEW

In the current world where we rely a lot on technologies, a basic understanding of IT and systems, and the associated risks are fundamental for non-IT auditors to achieve effective risk management during their audits. With limited resources, non-IT auditors may not have sufficient confidence to tackle IT-related processes during their business/financial/operational audits.

This two-day workshop is designed to provide non-IT auditors an overview of basic IT Audit Techniques. Our award-winning facilitator will explain the IT environment, IT concepts, terminologies, and jargons in order to allow the non-IT auditors to at least speak the same IT-language when dealing with IT people. Secondly, our facilitator will provide some common and practical IT audit techniques that can be used to ensure that the key IT risk areas are covered.

## OUTLINE

- An overview of IT department structure, who they are, their roles and responsibilities, and why IT department is organised this way
- Introduction to IT environment, their system architecture, networks, IT security, terminologies, jargons, and how to communicate IT coverage to the Audit Committee
- An overview of System Development Life Cycle (SDLC) IT Auditor's role in the IT world and why we need to perform IT audits
- Security Principles - The CIA (Confidentiality, Integrity, Availability) Model
- Types of IT Audits - IT General Controls Audit, IT Technical Audit, Project Review, and IT Application Controls Audit
- Key IT Risk Areas from non-IT auditors perspective and what are the
- Expected key control measures
- Common IT audit weaknesses / Frauds
- Case Studies



## BASIC IT AUDIT TECHNIQUES FOR NON-IT AUDITORS

### TARGET AUDIENCE

LEVEL I-II

### ADMINISTRATIVE DETAILS

**DATE**

24-25 FEBRUARY 2020

**COURSE CODE**

KL13

**LOCATION**

KUALA LUMPUR

**MEMBER'S FEE**

RM3,000.00

**NON MEMBER'S FEE**

RM3,500.00

**FEES**

*(Early Bird Fee: 10% discount for registration with full payment received one (1) month prior to respective workshop dates)*

Time: 9.00am – 5.00pm  
(Registration on Day 1 at 8:30am)

CPD Points: 16

Trainer: Professor Frank Yam  
FHKIoD, FHKCS, FFA, FIPA,  
FHKITJC, CISA, CIA, CFE, CFSA,  
MBCS

### ABOUT THE TRAINER

**PROFESSOR FRANK YAM**

FHKIoD, FHKCS, FFA, FIPA, FHKITJC, CISA, CIA, CFE, CFSA, MBCS

Professor Frank Yam started his professional career in international auditing and information security in 1984. He has held management positions at KPMG, and a number of multi-national corporations, including several leading international financial institutions. He is currently the Chairman and CEO of Focus Strategic Group Inc, a consulting firm providing Business and Technology advisory services, with special focus on internal auditing, IT auditing, compliance, cyber-security, risk management and IT system implementations. He has been very active in professional and community services and served in leadership role of numerous local and international professional bodies. Most notably, Professor Yam served six terms as the Director and International Vice President of ISACA International with over 140,000 members around the world. He also served as President of ISACA China Hong Kong Chapter from 1996- 1998, Chairperson of Hong Kong Computer Society's Information Security Specialist Group from 2002-2011 and was the Founder of the Hong Kong Chapter of the Association of Certified Fraud Examiners. Professor Yam is currently a Governor of IIA Hong Kong and its Chair of the IT Committee.

Professor Yam has been an adjunct professor and part-time lecturer for universities in China, Hong Kong, USA, Canada, and Australia, and is a frequent article contributor to several professional journals. He is a very popular speaker of a wide variety of topics at seminars and conferences for professional organisations and government agencies, including many Central Banks, the INTERPOL and the Asian Development Bank. In recent years, Professor Yam has been focusing on promoting the awareness and best practices of Innovation based on Design-Thinking, Corporate and IT Governance, Risk Management and Internal Controls, Frauds, Cyber-security, and Governance of Emerging Technologies around the world.

Professor Yam is the recipient of numerous awards for his contribution to the profession, including the prestigious International Best Speaker Award by ISACA International, and the top alumni honour, Alumni Achievement Medal, by the University of Waterloo's Faculty of Mathematics. He was elected as Fellow of several leading professional associations, including the Hong Kong Institute of Directors, the Hong Kong Computer Society, The Institute of Public Accountants, the Institute of Financial Accountants, and the Hong Kong IT Joint Council. Professor Yam also has an Executive Master degree in Innovation Leadership, and was awarded as Outstanding Student by the Hong Kong Polytechnic University.

## ENQUIRY & REGISTRATION

1-17-07, Menara Bangkok Bank, Berjaya Central Park, 105 Jalan Ampang, 50450, Kuala Lumpur, Malaysia  
Tel: +603 2181 8008 ext 210/213/212 Fax: +603 2181 1717 Email: training@iiam.com.my Website: www.iiam.com.my

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## COURSE DETAIL

Course Title \_\_\_\_\_

Course Code \_\_\_\_\_

Course Date(s) \_\_\_\_\_

## DELEGATE 1

\*Full Name (as per IC) \_\_\_\_\_

\*Designation \_\_\_\_\_

\*Mobile No. \_\_\_\_\_

\*Email Address \_\_\_\_\_

Member  Non-Member "Membership No. (only applicable for members)" \_\_\_\_\_

Dietery Preferences  Vegetarian  Non-Vegetarian

## DELEGATE 2

\*Full Name (as per IC) \_\_\_\_\_

\*Designation \_\_\_\_\_

\*Mobile No. \_\_\_\_\_

\*Email Address \_\_\_\_\_

Member  Non-Member "Membership No. (only applicable for members)" \_\_\_\_\_

Dietery Preferences  Vegetarian  Non-Vegetarian

## DELEGATE 3

\*Full Name (as per IC) \_\_\_\_\_

\*Designation \_\_\_\_\_

\*Mobile No. \_\_\_\_\_

\*Email Address \_\_\_\_\_

Member  Non-Member "Membership No. (only applicable for members)" \_\_\_\_\_

Dietery Preferences  Vegetarian  Non-Vegetarian

## CORPORATE DETAILS (only applicable for corporations)

Corporate Member Corporate Membership No: \_\_\_\_\_

Corporate Non-Member

## CONTACT DETAILS

Organisation Name \_\_\_\_\_

Mailing Address \_\_\_\_\_

Contact Person \_\_\_\_\_

Designation \_\_\_\_\_

Telephone \_\_\_\_\_

Fax \_\_\_\_\_

Email Address \_\_\_\_\_

## BILLING DETAILS

please tick if billing details are the same as contact details.

Contact Person \_\_\_\_\_

Designation \_\_\_\_\_

Billing Address \_\_\_\_\_

Telephone \_\_\_\_\_

Fax \_\_\_\_\_

Email Address \_\_\_\_\_

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## PAYMENT DETAILS

Payment Details	Member Rate (per person) for KL-code related courses	Non-Member (per person)	6% SST	Total with SST
Fee (per pax) RM				
No. of pax				
Subtotal				

All registrations **MUST** be accompanied with full payment. Upon receipt of your registration, you are deemed to have read and understood the registration procedures and accepted the terms and conditions contained therein. (Please tick (✓) the chosen method)

Enclosed is a cheque/bank draft no. \_\_\_\_\_ for the sum of RM \_\_\_\_\_ payable to **THE INSTITUTE OF INTERNAL AUDITORS MALAYSIA**

### LOCAL PAYMENTS BY CHEQUE / INTERBANK GIRO

All payments should be crossed and made payable to **THE INSTITUTE OF INTERNAL AUDITORS MALAYSIA**

Bank Details: United Overseas Bank (M) Bhd. USJ Taipan Branch, No.7, Jalan USJ 10-1, USJ Taipan Triangle, 47620 UEP Subang Jaya, Selangor

Account No.: 165-301-514-9 Bank Swift Code: UOVBMYYK

### OVERSEAS PAYMENTS BY WIRE TRANSFER (USD only)

Beneficiary: **THE INSTITUTE OF INTERNAL AUDITORS MALAYSIA**

Address: 1-17-07, Menara Bangkok Bank, Berjaya Central Park, 105 Jalan Ampang, 50450 Kuala Lumpur, Malaysia

Beneficiary's Bank: STANDARD CHARTERED BANK MALAYSIA BERHAD

Beneficiary's Bank Address: Level 18, Menara Standard Chartered, No.30 Jalan Sultan Ismail, 50250 Kuala Lumpur

Account No.: 312-170-024-235 Bank Swift Code: SCBLM-YK-XXXX

All wire transfer payments should include USD\$30.00 (overseas) and RM25.00 (local) for wire transfer processing fee. For GIRO, please include RM1.00 as bank charges. (Please fax the bank-in slip to +603 2181 1717 or email to training@iiam.com.my)

### CREDIT CARD

I hereby authorise **THE INSTITUTE OF INTERNAL AUDITORS MALAYSIA** to charge to my credit card. to the value of

RM \_\_\_\_\_ Card Type:  VISA  MASTER

Card Number:

Expiry Date: \_\_\_\_\_ Cardholder's Name \_\_\_\_\_

I understand that any amount drawn from my credit card will first be cleared with the credit card authorisation facility.

Signature (As per credit card) \_\_\_\_\_ Date \_\_\_\_\_

## TERMS & CONDITIONS

### FEE

- Fee is payable to "THE INSTITUTE OF INTERNAL AUDITORS MALAYSIA". Please state your name, payment advice number, phone number and Workshop Code number at the back of the cheque/bank-in slip. Admittance will only be permitted upon receipt of full payment
- The fee covers the hard copy course material, lunches, refreshment and Certificate of Attendance.
- Full payment is to be made before the date of the course. Fee is subject to 6% SST.
- Walk-in delegates will only be allowed if full payment is made, subject to the availability of the seat.

### CANCELLATION

- Upon registering, participant(s) are considered successfully enrolled in the course. Should participant(s) decide to cancel/transfer their registration, a cancellation/transfer policy shall be applied as follows.
  - a) Written cancellations should be received by 14 working days before the workshop date to get the refund.
  - b) Written cancellations should be received by 7 working days before the workshop date to get a partial refund after deduction of 50% administrative charge. Unpaid registrations will also be liable for 50% administrative charge.
  - c) Written cancellations/no-show on the day of the workshop.
    - No refund will be entertained.
    - Unpaid registrations will also be liable to full payment of the registrations fee.
    - Partial cancellation is not allowed.
  - d) You can substitute an alternate delegate(s) if you wish to avoid cancellation charges. Any differences in fees will be charged accordingly.

### RESERVATION

- The Institute reserves the right to make changes to the venue, date, topic, speaker including cancellation if warranted by circumstances beyond its control.
- The Institute is not responsible for the action, advise or representations of the trainer / speaker.
- Registration will be on first-come, first-serve basis.
- Upon signing this form, you have deemed to have read and understand the registration term and condition and therefore have accepted the terms contained herein.
- Certificates of Attendance will be issued an "E-certificate" via email. For this purpose, it is COMPULSORY to fill in the email address clearly. Certificate will only be given to participant who attended the session in full.

### DATA PROTECTION

Personal Data is gathered in accordance with the Personal Data Protection Act 2010 (Act 709). The Institute of Internal Auditors Malaysia (IIA Malaysia) hereby inform you that your personal data will be processed, retained and used by IIA Malaysia in relation to this Workshop. Your personal data may also be retained and used by IIA Malaysia to market and promote other training programmes conducted by IIA Malaysia.

### DISCLAIMER

The Institute of Internal Auditors Malaysia (IIA Malaysia) reserves the right to change the speaker(s), date(s) or to cancel the Workshop should circumstances beyond its control arise. IIA Malaysia also reserves the right to make alternative arrangements without prior notice should it be necessary to do so. Upon signing the registration form, you are deemed to have read and accepted the terms and conditions.