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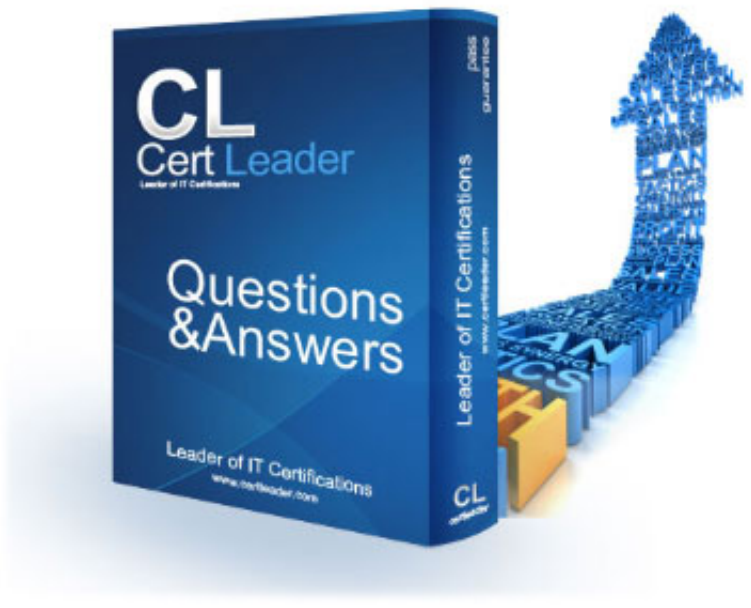

NEW QUESTION 1
- (Topic 1)
IS management has decided to rewrite a legacycustomer relations system using fourth generation languages (4GLs). Which of the following risks is MOST often associated with system development using 4GLs?

A. Inadequate screen/report design facilities
B. Complex programming language subsets
C. Lack of portability across operating systems
D. Inability to perform data intensive operations

Answer: D

Explanation:

4GLs are usually not suitable for data intensive operations. Instead, they are used mainly for graphic user interface (GUI) design or as simple query/report generators.

NEW QUESTION 2
- (Topic 1)
Which of the following would be the BEST method for ensuring that critical fields in a master record have been updated properly?

A. Field checks
B. Control totals
C. Reasonableness checks
D. A before-and-after maintenance report

Answer: D

Explanation:

A before-and-after maintenance report is the best answer because a visual review would provide the most positive verification that updating was proper.

NEW QUESTION 3
- (Topic 1)
Which of the following is a benefit of using callback devices?

A. Provide an audit trail
B. Can be used in a switchboard environment
C. Permit unlimited user mobility
D. Allow call forwarding

Answer: A

Explanation:

A callback feature hooks into the access control software and logs all authorized and unauthorized access attempts, permitting the follow-up and further review of potential breaches. Call forwarding (choice D) is a means of potentially bypassing callback control. By dialing through an authorized phone number from an unauthorized phone number, a perpetrator can gain computer access. This vulnerability can be controlled through callback systems that are available.

NEW QUESTION 4
- (Topic 1)
A call-back system requires that a user with an id and password call a remote server through a dial-up line, then the server disconnects and:

A. dials back to the user machine based on the user id and password using a telephone number from its databas
B. dials back to the user machine based on the user id and password using a telephone number provided by the user during this connectio
C. waits for a redial back from the user machine for reconfirmation and then verifies the user id and password using its databas
D. waits for a redial back from the user machine for reconfirmation and then verifies the user id and password using the sender's databas

Answer: A

Explanation:

A call-back system in a net centric environment would mean that a user with an id and password calls a remote server through a dial-up line first, and then the server disconnects and dials back to the user machine based on the user id and password using a telephone number from its database. Although the server can depend upon its own database, it cannot know the authenticity of the dialer when the user dials again. The server cannot depend upon the sender's database to dial back as the same could be manipulated.

NEW QUESTION 5
- (Topic 1)
Which of the following data validation edits is effective in detecting transposition and transcription errors?

A. Range check
B. Check digit
C. Validity check
D. Duplicate check

Answer:

B

Explanation:

A check digit is a numeric value that is calculated mathematically and is appended to data to ensure that the original data have not been altered or an incorrect, but valid, value substituted. This control is effective in detecting transposition and transcription errors.

NEW QUESTION 6
- (Topic 1)
In an EDI process, the device which transmits and receives electronic documents is the:

A. communications handle
B. EDI translato
C. application interfac
D. EDI interfac

Answer: A

Explanation:

A communications handler transmits and receives electronic documents between trading partners and/or wide area networks (WANs).

NEW QUESTION 7
- (Topic 1)
The MOST significant level of effort for business continuity planning (BCP) generally is required during the:

A. testing stag
B. evaluation stag
C. maintenance stag
D. early stages of plannin

Answer: D

Explanation:

Company.com in the early stages of a BCP will incur the most significant level of program development effort, which will level out as the BCP moves into maintenance, testing and evaluation stages. It is during the planning stage that an IS auditor will play an important role in obtaining senior management's commitment to resources and assignment of BCP responsibilities.

NEW QUESTION 8
- (Topic 1)
Which of the following network configuration options contains a direct link between any two host machines?

A. Bus
B. Ring
C. Star
D. Completely connected (mesh)

Answer: D

Explanation:

A completely connected mesh configuration creates a direct link between any two host machines.

NEW QUESTION 9
- (Topic 1)
A data administrator is responsible for:

A. maintaining database system softwar
B. defining data elements, data names and their relationshi
C. developing physical database structure
D. developing data dictionary system softwar

Answer: B

Explanation:

A data administrator is responsible for defining data elements, data names and their relationship. Choices A, C and D are functions of a database administrator (DBA)

NEW QUESTION 10
- (Topic 1)
An IS auditor reviewing the key roles and responsibilities of the database administrator (DBA) is LEAST likely to expect the job description of the DBA to include:

A. defining the conceptual schem
B. defining security and integrity check
C. liaising with users in developing data mode

D. mapping data model with the internal schem

Answer: D

Explanation:

A DBA only in rare instances should be mapping data elements from the data model to the internal schema (physical data storage definitions). To do so would eliminate data independence for application systems. Mapping of the data model occurs with the conceptual schema since the conceptual schema represents the enterprisewide view of data within an organization and is the basis for deriving an end-user department data model.

NEW QUESTION 10
- (Topic 1)
A sequence of bits appended to a digital document that is used to secure an e-mail sent through the Internet is called a:

A. digest signatur
B. electronic signatur
C. digital signatur
D. hash signatur

Answer: C

Explanation:

A digital signature through the private cryptographic key authenticates a transmission from a sender through the private cryptographic key. It is a string of bits that uniquely represent another string of bits, a digital document. An electronic signature refers to the string of bits that digitally represents a handwritten signature captured by a computer system when a human applies it on an electronic pen pad, connected to the system.

NEW QUESTION 12
- (Topic 1)
A critical function of a firewall is to act as a:

A. special router that connects the Internet to a LA
B. device for preventing authorized users from accessing the LA
C. server used to connect authorized users to private trusted network resource
D. proxy server to increase the speed of access to authorized user

Answer: B

Explanation:

A firewall is a set of related programs, located at a network gateway server, that protects the resources of a private network from users of other networks. An enterprise with an intranet that allows its workers access to the wider Internet installs a firewall to prevent outsiders from accessing its own private data resources and for controlling the outside resources to which its own users have access. Basically, a firewall, working closely with a router program, filters all network packets to determine whether or not to forward them toward their destination. A firewall includes or works with a proxy server that makes network requests on behalf of workstation users. A firewall is often installed in a specially designated computer separate from the rest of the network so no incoming request can get directed to private network resources.

NEW QUESTION 13
- (Topic 1)
Which of the following hardware devices relieves the central computer from performing network control, format conversion and message handling tasks?

A. Spool
B. Cluster controller
C. Protocol converter
D. Front end processor

Answer: D

Explanation:

A front-end processor is a hardware device that connects all communication lines to a central computer to relieve the central computer.

NEW QUESTION 16
- (Topic 1)
The use of a GANTT chart can:

A. aid in scheduling project task
B. determine project checkpoint
C. ensure documentation standard
D. direct the post-implementation revie

Answer: A

Explanation:

A GANTT chart is used in project control. It may aid in the identification of needed checkpoints but its primary use is in scheduling. It will not ensure the completion of documentation nor will it provide direction for the post-implementation review.

NEW QUESTION 21
- (Topic 1)
Which of the following translates e-mail formats from one network to another so that the message can travel through all the networks?

A. Gateway
B. Protocol converter
C. Front-end communication processor
D. Concentrator/multiplexor

Answer: A

Explanation:

A gateway performs the job of translating e-mail formats from one network to another so messages can make their way through all the networks.

NEW QUESTION 23
- (Topic 1)
A LAN administrator normally would be restricted from:

A. having end-user responsibilitie
B. reporting to the end-user manage
C. having programming responsibilitie
D. being responsible for LAN security administratio

Answer: C

Explanation:

A LAN administrator should not have programming responsibilities but may have end- user responsibilities. The LAN administrator may report to the director of the IPF or, in a decentralized operation, to the end-user manager. In small organizations, the LAN administrator also may be responsible for security administration over the LAN.

NEW QUESTION 25
- (Topic 1)
Which of the following systems-based approaches would a financial processing company employ to monitor spending patterns to identify abnormal patterns and report them?

A. A neural network
B. Database management software
C. Management information systems
D. Computer assisted audit techniques

Answer: A

Explanation:

A neural network will monitor and learn patterns, reporting exceptions for investigation.

NEW QUESTION 30
- (Topic 1)
For which of the following applications would rapid recovery be MOST crucial?

A. Point-of-sale system
B. Corporate planning
C. Regulatory reporting
D. Departmental chargeback

Answer: A

Explanation:

A point-of-sale system is a critical online system that when inoperable will jeopardize the ability of Company.com to generate revenue and track inventory properly.

NEW QUESTION 32
- (Topic 1)
Which of the following is a continuity plan test that uses actual resources to simulate a system crash to cost-effectively obtain evidence about the plan's effectiveness?

A. Paper test
B. Post test
C. Preparedness test
D. Walk-through

Answer: C

Explanation:

A preparedness test is a localized version of a full test, wherein resources are expended in the simulation of a system crash. This test is performed regularly on different aspects of the plan and can be a cost-effective way to gradually obtain evidence about the plan's effectiveness. It also provides a means to improve the plan in increments.

NEW QUESTION 33
- (Topic 1)
An organization having a number of offices across a wide geographical area has developed a disaster recovery plan (DRP). Using actual resources, which of the following is the MOST costeffective test of the DRP?

A. Full operational test
B. Preparedness test
C. Paper test
D. Regression test

Answer: B

Explanation:

A preparedness test is performed by each local office/area to test the adequacy of the preparedness of local operations for the disaster recovery.

NEW QUESTION 35
- (Topic 1)
Company.com has contracted with an external consulting firm to implement a commercial financial system to replace its existing in-house developed system. In reviewing the proposed development approach, which of the following would be of GREATEST concern?

A. Acceptance testing is to be managed by user
B. A quality plan is not part of the contracted deliverable
C. Not all business functions will be available on initial implementatio
D. Prototyping is being used to confirm that the system meets business requirement

Answer: B

Explanation:

A quality plan is an essential element of all projects. It is critical that the contracted supplier be required to produce such a plan. The quality plan for the proposed development contract should be comprehensive and encompass all phases of the development and include which business functions will be included and when. Acceptance is normally managed by the user area, since they must be satisfied that the new system will meet their requirements. If the system is large, a phased-in approach to implementing the application is a reasonable approach. Prototyping is a valid method of ensuring that the system will meet business requirements.

NEW QUESTION 36
- (Topic 1)
In a public key infrastructure (PKI), the authority responsible for the identification and authentication of an applicant for a digital certificate (i.e., certificate subjects) is the:

A. registration authority (RA).
B. issuing certification authority (CA).
C. subject C
D. policy management authorit

Answer: A

Explanation:
A RA is an entity that is responsible for identification and authentication of certificate subjects, but the RA does not sign or issue certificates. The certificate subject usually interacts with the RA for completing the process of subscribing to the services of the certification authority in terms of getting identity validated with standard identification documents, as detailed in the certificate policies of the CA. In the context of a particular certificate, the issuing CA is the CA that issued the certificate. In the context of a particular CA certificate, the subject CA is the CA whose public key is certified in the certificate.

NEW QUESTION 40
- (Topic 1)
A control that detects transmission errors by appending calculated bits onto the end of each segment of data is known as a:

A. reasonableness chec
B. parity chec
C. redundancy chec
D. check digit

Answer: C

Explanation:

A redundancy check detects transmission errors by appending calculated bits onto the end of each segment of datA.

NEW QUESTION 45
- (Topic 1)
What is the primary objective of a control self-assessment (CSA) program?

A. Enhancement of the audit responsibility

B. Elimination of the audit responsibility
C. Replacement of the audit responsibility
D. Integrity of the audit responsibility

Answer: A

Explanation:
Audit responsibility enhancement is an objective of a control self-assessment (CSA) program.

NEW QUESTION 48
- (Topic 1)
IS auditors are MOST likely to perform compliance tests of internal controls if, after their initial evaluation of the controls, they conclude that control risks are within the acceptable limits. True or false?

A. True
B. False

Answer: A

Explanation:
IS auditors are most likely to perform compliance tests of internal controls if, after their initial evaluation of the controls, they conclude that control risks are within the acceptable limits. Think of it this way: If any reliance is placed on internal controls, that reliance must be validated through compliance testing. High control risk results in little reliance on internal controls, which results in additional substantive testing.

NEW QUESTION 52
- (Topic 1)
How does the process of systems auditing benefit from using a risk-based approach to audit planning?

A. Controls testing starts earlie
B. Auditing resources are allocated to the areas of highest concer
C. Auditing risk is reduce
D. Controls testing is more thoroug

Answer: B

Explanation:
Allocation of auditing resources to the areas of highest concern is a benefit of a risk-based approach to audit planning.

NEW QUESTION 53
- (Topic 1)
What type of risk results when an IS auditor uses an inadequate test procedure and concludes that material errors do not exist when errors actually exist?

A. Business risk
B. Detection risk
C. Residual risk
D. Inherent risk

Answer: B

Explanation:
Detection risk results when an IS auditor uses an inadequate test procedure and concludes that material errors do not exist when errors actually exist.

NEW QUESTION 57
- (Topic 1)
A primary benefit derived from an organization employing control self-assessment (CSA) techniques is that it can:

A. Identify high-risk areas that might need a detailed review later
B. Reduce audit costs
C. Reduce audit time
D. Increase audit accuracy

Answer: C

Explanation:
A primary benefit derived from an organization employing control self-assessment (CSA) techniques is that it can identify high-risk areas that might need a detailed review later.

NEW QUESTION 62
- (Topic 1)
What should an IS auditor do if he or she observes that project-approval procedures do not exist?

A. Advise senior management to invest in project-management training for the staff
B. Create project-approval procedures for future project implementations
C. Assign project leaders
D. Recommend to management that formal approval procedures be adopted and documented

Answer: D

Explanation:
If an IS auditor observes that project-approval procedures do not exist, the IS auditor should recommend to management that formal approval procedures be adopted and documented.

NEW QUESTION 63
- (Topic 1)
Who is ultimately accountable for the development of an IS security policy?

A. The board of directors
B. Middle management
C. Security administrators
D. Network administrators

Answer: A

Explanation:
The board of directors is ultimately accountable for the development of an IS security policy.

NEW QUESTION 65
- (Topic 1)
Proper segregation of duties normally does not prohibit a LAN administrator from also having programming responsibilities. True or false?

A. True
B. False

Answer: B

Explanation:
Proper segregation of duties normally prohibits a LAN administrator from also having programming responsibilities.

NEW QUESTION 68
- (Topic 1)
A core tenant of an IS strategy is that it must:

A. Be inexpensive
B. Be protected as sensitive confidential information
C. Protect information confidentiality, integrity, and availability
D. Support the business objectives of the organization

Answer: D

Explanation:
Above all else, an IS strategy must support the business objectives of the organization.

NEW QUESTION 71
- (Topic 1)
Key verification is one of the best controls for ensuring that:

A. Data is entered correctly
B. Only authorized cryptographic keys are used
C. Input is authorized
D. Database indexing is performed properly

Answer: A

Explanation:
Key verification is one of the best controls for ensuring that data is entered correctly.

NEW QUESTION 74
- (Topic 1)
If senior management is not committed to strategic planning, how likely is it that a company's implementation of IT will be successful?

A. IT cannot be implemented if senior management is not committed to strategic plannin
B. More likel
C. Less likel
D. Strategic planning does not affect the success of a company's implementation of I

Answer: C

Explanation:
A company's implementation of IT will be less likely to succeed if senior management is not committed to strategic planning.

NEW QUESTION 79
- (Topic 1)
What topology provides the greatest redundancy of routes and the greatest network fault tolerance?

A. A star network topology
B. A mesh network topology with packet forwarding enabled at each host
C. A bus network topology
D. A ring network topology

Answer: B

Explanation:
A mesh network topology provides a point-to-point link between every network host. If each host is configured to route and forward communication, this topology provides the greatest redundancy of routes and the greatest network fault tolerance.

NEW QUESTION 82
- (Topic 1)
An IS auditor usually places more reliance on evidence directly collected. What is an example of such evidence?

A. Evidence collected through personal observation
B. Evidence collected through systems logs provided by the organization's security administration
C. Evidence collected through surveys collected from internal staff
D. Evidence collected through transaction reports provided by the organization's IT administration

Answer: A

Explanation:
An IS auditor usually places more reliance on evidence directly collected, such as through personal observation.

NEW QUESTION 87
- (Topic 1)
What kind of protocols does the OSI Transport Layer of the TCP/IP protocol suite provide to ensure reliable communication?

A. Nonconnection-oriented protocols
B. Connection-oriented protocols
C. Session-oriented protocols
D. Nonsession-oriented protocols

Answer: B

Explanation:
The transport layer of the TCP/IP protocol suite provides for connection-oriented protocols to ensure reliable communication.

NEW QUESTION 91
- (Topic 1)
How is the time required for transaction processing review usually affected by properly implemented Electronic Data Interface (EDI)?

A. EDI usually decreases the time necessary for revie
B. EDI usually increases the time necessary for revie
C. Cannot be determine
D. EDI does not affect the time necessary for revie

Answer: A

Explanation:
Electronic data interface (EDI) supports intervendor communication while decreasing the time necessary for review because it is usually configured to readily identify errors requiring follow-up.

NEW QUESTION 93
- (Topic 1)
What would an IS auditor expect to find in the console log? Choose the BEST answer.

A. Evidence of password spoofing
B. System errors
C. Evidence of data copy activities
D. Evidence of password sharing

Answer: B

Explanation:
An IS auditor can expect to find system errors to be detailed in the console log.

NEW QUESTION 94
- (Topic 1)
Atomicity enforces data integrity by ensuring that a transaction is either completed in its entirely or not at all. Atomicity is part of the ACID test reference for transaction processing. True or false?

A. True
B. False

Answer: A

Explanation:
Atomicity enforces data integrity by ensuring that a transaction is either completed in its entirely or not at all. Atomicity is part of the ACID test reference for transaction processing.

NEW QUESTION 96
- (Topic 1)
Why does the IS auditor often review the system logs?

A. To get evidence of password spoofing
B. To get evidence of data copy activities
C. To determine the existence of unauthorized access to data by a user or program
D. To get evidence of password sharing

Answer: C

Explanation:
When trying to determine the existence of unauthorized access to data by a user or program, the IS auditor will often review the system logs.

NEW QUESTION 97
- (Topic 1)
How is risk affected if users have direct access to a database at the system level?

A. Risk of unauthorized access increases, but risk of untraceable changes to the database decrease
B. Risk of unauthorized and untraceable changes to the database increase
C. Risk of unauthorized access decreases, but risk of untraceable changes to the database increase
D. Risk of unauthorized and untraceable changes to the database decrease

Answer: B

Explanation:
If users have direct access to a database at the system level, risk of unauthorized and untraceable changes to the database increases.

NEW QUESTION 100
- (Topic 1)
What is the most common purpose of a virtual private network implementation?

A. A virtual private network (VPN) helps to secure access between an enterprise and its partners when communicating over an otherwise unsecured channel such as the Interne
B. A virtual private network (VPN) helps to secure access between an enterprise and its partners when communicating over a dedicated T1 connectio
C. A virtual private network (VPN) helps to secure access within an enterprise when communicating over a dedicated T1 connection between network segments within the same facilit
D. A virtual private network (VPN) helps to secure access between an enterprise and its partners when communicating over a wireless connectio

Answer: A

Explanation:
A virtual private network (VPN) helps to secure access between an enterprise and its partners when communicating over an otherwise unsecured channel such as the Internet.

NEW QUESTION 103
- (Topic 1)
What increases encryption overhead and cost the most?

A. A long symmetric encryption key
B. A long asymmetric encryption key
C. A long Advance Encryption Standard (AES) key
D. A long Data Encryption Standard (DES) key

Answer: B

Explanation:
A long asymmetric encryption key (public key encryption) increases encryption overhead and cost. All other answers are single shared symmetric keys.

NEW QUESTION 104
- (Topic 1)
What is an initial step in creating a proper firewall policy?

A. Assigning access to users according to the principle of least privilege
B. Determining appropriate firewall hardware and software
C. Identifying network applications such as mail, web, or FTP servers
D. Configuring firewall access rules

Answer: C

Explanation:
Identifying network applications such as mail, web, or FTP servers to be externally accessed is an initial step in creating a proper firewall policy.

NEW QUESTION 109
- (Topic 1)
What type of cryptosystem is characterized by data being encrypted by the sender using the recipient's public key, and the data then being decrypted using the recipient's private key?

A. With public-key encryption, or symmetric encryption
B. With public-key encryption, or asymmetric encryption
C. With shared-key encryption, or symmetric encryption
D. With shared-key encryption, or asymmetric encryption

Answer: B

Explanation:
With public key encryption or asymmetric encryption, data is encrypted by the sender using the recipient's public key; the data is then decrypted using the recipient's private key.

NEW QUESTION 114
- (Topic 1)
Which of the following are effective controls for detecting duplicate transactions such as payments made or received?

A. Concurrency controls
B. Reasonableness checks
C. Time stamps
D. Referential integrity controls

Answer: C

Explanation:
Time stamps are an effective control for detecting duplicate transactions such as payments made or received.

NEW QUESTION 116
- (Topic 1)
Which of the following is a guiding best practice for implementing logical access controls?

A. Implementing the Biba Integrity Model
B. Access is granted on a least-privilege basis, per the organization's data owners
C. Implementing the Take-Grant access control model
D. Classifying data according to the subject's requirements

Answer: B

Explanation:
Logical access controls should be reviewed to ensure that access is granted on a least-privilege basis, per the organization's data owners.

NEW QUESTION 121
- (Topic 1)
What does PKI use to provide some of the strongest overall control over data confidentiality, reliability, and integrity for Internet transactions?

A. A combination of public-key cryptography and digital certificates and two-factor authentication
B. A combination of public-key cryptography and two-factor authentication
C. A combination of public-key cryptography and digital certificates
D. A combination of digital certificates and two-factor authentication

Answer: C

Explanation:
PKI uses a combination of public-key cryptography and digital certificates to provide some of the strongest overall control over data confidentiality, reliability, and integrity for Internet transactions.

NEW QUESTION 126
- (Topic 1)
Which of the following do digital signatures provide?

A. Authentication and integrity of data
B. Authentication and confidentiality of data
C. Confidentiality and integrity of data
D. Authentication and availability of data

Answer: A

Explanation:
The primary purpose of digital signatures is to provide authentication and integrity of datA.

NEW QUESTION 131
- (Topic 1)
Which of the following provides the strongest authentication for physical access control?

A. Sign-in logs
B. Dynamic passwords
C. Key verification
D. Biometrics

Answer: D

Explanation:
Biometrics can be used to provide excellent physical access control.

NEW QUESTION 135
- (Topic 1)
What is an effective countermeasure for the vulnerability of data entry operators potentially leaving their computers without logging off? Choose the BEST answer.

A. Employee security awareness training
B. Administrator alerts
C. Screensaver passwords
D. Close supervision

Answer: C

Explanation:
Screensaver passwords are an effective control to implement as a countermeasure for the vulnerability of data entry operators potentially leaving their computers without logging off.

NEW QUESTION 139
- (Topic 1)
What can ISPs use to implement inbound traffic filtering as a control to identify IP packets transmitted from unauthorized sources? Choose the BEST answer.

A. OSI Layer 2 switches with packet filtering enabled
B. Virtual Private Networks
C. Access Control Lists (ACL)
D. Point-to-Point Tunneling Protocol

Answer: C

Explanation:
ISPs can use access control lists to implement inbound traffic filtering as a control to identify IP packets transmitted from unauthorized sources.

NEW QUESTION 141
- (Topic 1)
What is the key distinction between encryption and hashing algorithms?

A. Hashing algorithms ensure data confidentialit
B. Hashing algorithms are irreversibl
C. Encryption algorithms ensure data integrit
D. Encryption algorithms are not irreversibl

Answer: B

Explanation:
A key distinction between encryption and hashing algorithms is that hashing algorithms are irreversible.

NEW QUESTION 142
- (Topic 1)
Which of the following is used to evaluate biometric access controls?

A. FAR
B. EER
C. ERR
D. FRR

Answer: B

Explanation:
When evaluating biometric access controls, a low equal error rate (EER) is preferred. EER is also called the crossover error rate (CER).

NEW QUESTION 145
- (Topic 1)
Establishing data ownership is an important first step for which of the following processes? Choose the BEST answer.

A. Assigning user access privileges
B. Developing organizational security policies
C. Creating roles and responsibilities
D. Classifying data

Answer: D

Explanation:
To properly implement data classification, establishing data ownership is an important first step.

NEW QUESTION 148
- (Topic 1)
Which of the following is MOST is critical during the business impact assessment phase of business continuity planning?

A. End-user involvement
B. Senior management involvement
C. Security administration involvement
D. IS auditing involvement

Answer: A

Explanation:
End-user involvement is critical during the business impact assessment phase of business continuity planning.

NEW QUESTION 150
- (Topic 1)
What type of BCP test uses actual resources to simulate a system crash and validate the plan's effectiveness?

A. Paper
B. Preparedness
C. Walk-through
D. Parallel

Answer: B

Explanation:
Of the three major types of BCP tests (paper, walk-through, and preparedness), only the preparedness test uses actual resources to simulate a system crash and validate the plan's effectiveness.

NEW QUESTION 155
- (Topic 1)
Which of the following typically focuses on making alternative processes and resources available for transaction processing?

A. Cold-site facilities
B. Disaster recovery for networks
C. Diverse processing
D. Disaster recovery for systems

Answer: D

Explanation:
Disaster recovery for systems typically focuses on making alternative processes and resources available for transaction processing.

NEW QUESTION 158
- (Topic 1)
What influences decisions regarding criticality of assets?

A. The business criticality of the data to be protected
B. Internal corporate politics
C. The business criticality of the data to be protected, and the scope of the impact upon the organization as a whole
D. The business impact analysis

Answer: C

Explanation:
Criticality of assets is often influenced by the business criticality of the data to be protected and by the scope of the impact upon the organization as a whole. For example, the loss of a network backbone creates a much greater impact on the organization as a whole than the loss of data on a typical user's workstation.

NEW QUESTION 159
- (Topic 1)
Library control software restricts source code to:

A. Read-only access
B. Write-only access
C. Full access
D. Read-write access

Answer: A

Explanation:
Library control software restricts source code to read-only access.

NEW QUESTION 163
- (Topic 1)
When is regression testing used to determine whether new application changes have introduced any errors in the remaining unchanged code?

A. In program development and change management
B. In program feasibility studies
C. In program development
D. In change management

Answer: A

Explanation:
Regression testing is used in program development and change management to determine whether new changes have introduced any errors in the remaining unchanged code.

NEW QUESTION 164
- (Topic 1)
What is often the most difficult part of initial efforts in application development? Choose the BEST answer.

A. Configuring software
B. Planning security
C. Determining time and resource requirements
D. Configuring hardware

Answer: C

Explanation:
Determining time and resource requirements for an application-development project is often the most difficult part of initial efforts in application development.

NEW QUESTION 167
- (Topic 1)
What is a primary high-level goal for an auditor who is reviewing a system development project?

A. To ensure that programming and processing environments are segregated
B. To ensure that proper approval for the project has been obtained
C. To ensure that business objectives are achieved
D. To ensure that projects are monitored and administrated effectively

Answer: C

Explanation:
A primary high-level goal for an auditor who is reviewing a systems-development project is to ensure that business objectives are achieved. This objective guides all other systems development objectives.

NEW QUESTION 168
- (Topic 1)
Whenever an application is modified, what should be tested to determine the full impact of the change? Choose the BEST answer.

A. Interface systems with other applications or systems
B. The entire program, including any interface systems with other applications or systems
C. All programs, including interface systems with other applications or systems
D. Mission-critical functions and any interface systems with other applications or systems

Answer: B

Explanation:
Whenever an application is modified, the entire program, including any interface systems with other applications or systems, should be tested to determine the full impact of the change.

NEW QUESTION 169
- (Topic 1)
When participating in a systems-development project, an IS auditor should focus on system controls rather than ensuring that adequate and complete documentation exists for all projects. True or false?

A. True
B. False

Answer: B

Explanation:
When participating in a systems-development project, an IS auditor should also strive to ensure that adequate and complete documentation exists for all projects.

NEW QUESTION 174
- (Topic 1)
What is a reliable technique for estimating the scope and cost of a software-development project?

A. Function point analysis (FPA)
B. Feature point analysis (FPA)
C. GANTT
D. PERT

Answer: A

Explanation:
A function point analysis (FPA) is a reliable technique for estimating the scope and cost of a software-development project.

NEW QUESTION 175
- (Topic 1)
Which of the following is a program evaluation review technique that considers different scenarios for planning and control projects?

A. Function Point Analysis (FPA)
B. GANTT
C. Rapid Application Development (RAD)
D. PERT

Answer: D

Explanation:
PERT is a program-evaluation review technique that considers different scenarios for planning and control projects.

NEW QUESTION 179
- (Topic 1)
What often results in project scope creep when functional requirements are not defined as well as they could be?

A. Inadequate software baselining
B. Insufficient strategic planning
C. Inaccurate resource allocation
D. Project delays

Answer: A

Explanation:
Inadequate software baselining often results in project scope creep because functional requirements are not defined as well as they could be.

NEW QUESTION 181
- (Topic 1)
Fourth-Generation Languages (4GLs) are most appropriate for designing the application's graphical user interface (GUI). They are inappropriate for designing any intensive data-calculation procedures. True or false?

A. True
B. False

Answer: A

Explanation:
Fourth-generation languages(4GLs) are most appropriate for designing the application's graphical user interface (GUI). They are inappropriate for designing any intensive data-calculation procedures.

NEW QUESTION 186
- (Topic 1)
What can be used to help identify and investigate unauthorized transactions? Choose the BEST answer.

A. Postmortem review
B. Reasonableness checks
C. Data-mining techniques
D. Expert systems

Answer: C

Explanation:
Data-mining techniques can be used to help identify and investigate unauthorized transactions.

NEW QUESTION 189
- (Topic 1)
What must an IS auditor understand before performing an application audit? Choose the BEST answer.

A. The potential business impact of application risk
B. Application risks must first be identifie
C. Relative business processe
D. Relevant application risk

Answer: C

Explanation:
An IS auditor must first understand relative business processes before performing an application audit.

NEW QUESTION 194
- (Topic 1)
What is an edit check to determine whether a field contains valid data?

A. Completeness check
B. Accuracy check
C. Redundancy check
D. Reasonableness check

Answer: A

Explanation:
A completeness check is an edit check to determine whether a field contains valid datA.

NEW QUESTION 199
- (Topic 1)
A transaction journal provides the information necessary for detecting unauthorized _____ (fill in the blank) from a terminal.

A. Deletion
B. Input
C. Access
D. Duplication

Answer: B

Explanation:
A transaction journal provides the information necessary for detecting unauthorized input from a terminal.

NEW QUESTION 203
- (Topic 1)
Which of the following is the MOST critical step in planning an audit?

A. Implementing a prescribed auditing framework such as COBIT
B. Identifying current controls
C. Identifying high-risk audit targets
D. Testing controls

Answer: C

Explanation:
In planning an audit, the most critical step is identifying the areas of high risk.

NEW QUESTION 204
- (Topic 1)
To properly evaluate the collective effect of preventative, detective, or corrective controls within a process, an IS auditor should be aware of which of the following? Choose the BEST answer.

A. The business objectives of the organization
B. The effect of segregation of duties on internal controls
C. The point at which controls are exercised as data flows through the system
D. Organizational control policies

Answer: C

Explanation:
When evaluating the collective effect of preventive, detective, or corrective controls within a process, an IS auditor should be aware of the point at which controls are exercised as data flows through the system.

NEW QUESTION 205
- (Topic 1)
An integrated test facility is not considered a useful audit tool because it cannot compare processing output with independently calculated datA. True or false?

A. True
B. False

Answer: B

Explanation:
An integrated test facility is considered a useful audit tool because it compares processing output with independently calculated datA.

NEW QUESTION 207
- (Topic 1)
An advantage of a continuous audit approach is that it can improve system security when used in time-sharing environments that process a large number of

transactions. True or false?

A. True
B. False

Answer: A

Explanation:
It is true that an advantage of a continuous audit approach is that it can improve system security when used in time-sharing environments that process a large number of transactions.

NEW QUESTION 212
- (Topic 1)
If an IS auditor finds evidence of risk involved in not implementing proper segregation of
duties, such as having the security administrator perform an operations function, what is the auditor's primary responsibility?

A. To advise senior managemen
B. To reassign job functions to eliminate potential frau
C. To implement compensator control
D. Segregation of duties is an administrative control not considered by an IS audito

Answer: A

Explanation:
An IS auditor's primary responsibility is to advise senior management of the risk involved in not implementing proper segregation of duties, such as having the security administrator perform an operations function.

NEW QUESTION 215
- (Topic 1)
Ensuring that security and control policies support business and IT objectives is a primary objective of:

A. An IT security policies audit
B. A processing audit
C. A software audit
D. A vulnerability assessment

Answer: A

Explanation:
Ensuring that security and control policies support business and IT objectives is a primary objective of an IT security policies audit.

NEW QUESTION 217
- (Topic 1)
When auditing third-party service providers, an IS auditor should be concerned with which of the following? Choose the BEST answer.

A. Ownership of the programs and files
B. A statement of due care and confidentiality, and the capability for continued service of the service provider in the event of a disaster
C. A statement of due care
D. Ownership of programs and files, a statement of due care and confidentiality, and the capability for continued service of the service provider in the event of a disaster

Answer: D

Explanation:
When auditing third-party service providers, an auditor should be concerned with ownership of programs and files, a statement of due care and confidentiality, and the capability for continued service of the service provider in the event of a disaster.

NEW QUESTION 218
- (Topic 1)
Proper segregation of duties does not prohibit a quality control administrator from also being responsible for change control and problem management. True or false?

A. True
B. False

Answer: A

Explanation:
Proper segregation of duties does not prohibit a quality-control administrator from also being responsible for change control and problem management.

NEW QUESTION 219
- (Topic 1)
What can be implemented to provide the highest level of protection from external attack?

A. Layering perimeter network protection by configuring the firewall as a screened host in a screened subnet behind the bastion host
B. Configuring the firewall as a screened host behind a router
C. Configuring the firewall as the protecting bastion host

D. Configuring two load-sharing firewalls facilitating VPN access from external hosts to internal hosts

Answer: A

Explanation:
Layering perimeter network protection by configuring the firewall as a screened host in a screened subnet behind the bastion host provides a higher level of protection from external attack than all other answers.

NEW QUESTION 223
- (Topic 1)
In order to properly protect against unauthorized disclosure of sensitive data, how should hard disks be sanitized?

A. The data should be deleted and overwritten with binary 0
B. The data should be demagnetize
C. The data should be low-level formatte
D. The data should be delete

Answer: B

Explanation:
To properly protect against unauthorized disclosure of sensitive data, hard disks should be demagnetized before disposal or release.

NEW QUESTION 228
- (Topic 1)
Why is the WAP gateway a component warranting critical concern and review for the IS auditor when auditing and testing controls enforcing message confidentiality?

A. WAP is often configured by default settings and is thus insecur
B. WAP provides weak encryption for wireless traffi
C. WAP functions as a protocol-conversion gateway for wireless TLS to Internet SS
D. WAP often interfaces critical IT system

Answer: C

Explanation:
Functioning as a protocol-conversion gateway for wireless TLS to Internet SSL, the WAP gateway is a component warranting critical concern and review for the IS auditor when auditing and testing controls that enforce message confidentiality.

NEW QUESTION 231
- (Topic 1)
Proper segregation of duties prevents a computer operator (user) from performing security administration duties. True or false?

A. True
B. False

Answer: A

Explanation:
Proper segregation of duties prevents a computer operator (user) from performing security administration duties.

NEW QUESTION 235
- (Topic 1)
What type(s) of firewalls provide(s) the greatest degree of protection and control because both firewall technologies inspect all seven OSI layers of network traffic?

A. A first-generation packet-filtering firewall
B. A circuit-level gateway
C. An application-layer gateway, or proxy firewall, and stateful-inspection firewalls
D. An application-layer gateway, or proxy firewall, but not stateful-inspection firewalls

Answer: C

Explanation:
An application-layer gateway, or proxy firewall, and stateful-inspection firewalls provide the greatest degree of protection and control because both firewall technologies inspect all seven OSI layers of network traffic.

NEW QUESTION 236
- (Topic 1)
Which of the following is a passive attack method used by intruders to determine potential network vulnerabilities?

A. Traffic analysis
B. SYN flood
C. Denial of service (DoS)
D. Distributed denial of service (DoS)

Answer: A

Explanation:

Traffic analysis is a passive attack method used by intruders to determine potential network vulnerabilities. All others are active attacks.

NEW QUESTION 241
- (Topic 1)
Digital signatures require the sender to "sign" the data by encrypting the data with the sender's public key, to then be decrypted by the recipient using the recipient's private key. True or false?

A. False
B. True

Answer: B

Explanation:
Digital signatures require the sender to "sign" the data by encrypting the data with the sender's private key, to then be decrypted by the recipient using the sender's public key.

NEW QUESTION 245
- (Topic 1)
What is used to provide authentication of the website and can also be used to successfully authenticate keys used for data encryption?

A. An organizational certificate
B. A user certificate
C. A website certificate
D. Authenticode

Answer: C

Explanation:
A website certificate is used to provide authentication of the website and can also be used to successfully authenticate keys used for data encryption.

NEW QUESTION 249
- (Topic 1)
What process is used to validate a subject's identity?

A. Identification
B. Nonrepudiation
C. Authorization
D. Authentication

Answer: D

Explanation:
Authentication is used to validate a subject's identity.

NEW QUESTION 252
- (Topic 1)
Using the OSI reference model, what layer(s) is/are used to encrypt data?

A. Transport layer
B. Session layer
C. Session and transport layers
D. Data link layer

Answer: C

Explanation:
User applications often encrypt and encapsulate data using protocols within the OSI session layer or farther down in the transport layer.

NEW QUESTION 257
- (Topic 1)
Which of the following is the most fundamental step in preventing virus attacks?

A. Adopting and communicating a comprehensive antivirus policy
B. Implementing antivirus protection software on users' desktop computers
C. Implementing antivirus content checking at all network-to-Internet gateways
D. Inoculating systems with antivirus code

Answer: A

Explanation:
Adopting and communicating a comprehensive antivirus policy is the most fundamental step in preventing virus attacks. All other antivirus prevention efforts rely upon decisions established and communicated via policy.

NEW QUESTION 262
- (Topic 1)
If a database is restored from information backed up before the last system image, which of the following is recommended?

A. The system should be restarted after the last transactio
B. The system should be restarted before the last transactio
C. The system should be restarted at the first transactio
D. The system should be restarted on the last transactio

Answer: B

Explanation:
If a database is restored from information backed up before the last system image, the system should be restarted before the last transaction because the final transaction must be reprocessed.

NEW QUESTION 267
- (Topic 1)
An off-site processing facility should be easily identifiable externally because easy identification helps ensure smoother recovery. True or false?

A. True
B. False

Answer: B

Explanation:
An off-site processing facility should not be easily identifiable externally because easy identification would create an additional vulnerability for sabotage.

NEW QUESTION 271
- (Topic 1)
Which of the following is the dominating objective of BCP and DRP?

A. To protect human life
B. To mitigate the risk and impact of a business interruption
C. To eliminate the risk and impact of a business interruption
D. To transfer the risk and impact of a business interruption

Answer: A

Explanation:
Although the primary business objective of BCP and DRP is to mitigate the risk and impact of a business interruption, the dominating objective remains the protection of human life.

NEW QUESTION 273
- (Topic 1)
How can minimizing single points of failure or vulnerabilities of a common disaster best be controlled?

A. By implementing redundant systems and applications onsite
B. By geographically dispersing resources
C. By retaining onsite data backup in fireproof vaults
D. By preparing BCP and DRP documents for commonly identified disasters

Answer: B

Explanation:
Minimizing single points of failure or vulnerabilities of a common disaster is mitigated by geographically dispersing resources.

NEW QUESTION 276
- (Topic 1)
Mitigating the risk and impact of a disaster or business interruption usually takes priority over transference of risk to a third party such as an insurer. True or false?

A. True
B. False

Answer: A

Explanation:
Mitigating the risk and impact of a disaster or business interruption usually takes priority over transferring risk to a third party such as an insurer.

NEW QUESTION 281
- (Topic 1)
Off-site data storage should be kept synchronized when preparing for recovery of time-sensitive data such as that resulting from which of the following? Choose the BEST answer.

A. Financial reporting
B. Sales reporting
C. Inventory reporting
D. Transaction processing

Answer: D

Explanation:

Off-site data storage should be kept synchronized when preparing for the recovery of timesensitive data such as that resulting from transaction processing.

NEW QUESTION 283
- (Topic 1)
Off-site data backup and storage should be geographically separated so as to _____ (fill in the blank) the risk of a widespread physical disaster such as a hurricane or earthquake.

A. Accept
B. Eliminate
C. Transfer
D. Mitigate

Answer: D

Explanation:
Off-site data backup and storage should be geographically separated, to mitigate the risk of a widespread physical disaster such as a hurricane or an earthquake.

NEW QUESTION 288
- (Topic 1)
Who is ultimately responsible for providing requirement specifications to the software-development team?

A. The project sponsor
B. The project members
C. The project leader
D. The project steering committee

Answer: A

Explanation:
The project sponsor is ultimately responsible for providing requirement specifications to the software-development team.

NEW QUESTION 291
- (Topic 1)
An IS auditor should carefully review the functional requirements in a systems-development project to ensure that the project is designed to:

A. Meet business objectives
B. Enforce data security
C. Be culturally feasible
D. Be financially feasible

Answer: A

Explanation:
An IS auditor should carefully review the functional requirements in a systems-development project to ensure that the project is designed to meet business objectives.

NEW QUESTION 296
- (Topic 1)
Which of the following processes are performed during the design phase of the systemsdevelopment life cycle (SDLC) model?

A. Develop test plan
B. Baseline procedures to prevent scope cree
C. Define the need that requires resolution, and map to the major requirements of the solutio
D. Program and test the new syste
E. The tests verify and validate what has been develope

Answer: B

Explanation:
Procedures to prevent scope creep are baselined in the design phase of the systems-development life cycle (SDLC) model.

NEW QUESTION 299
- (Topic 1)
When should application controls be considered within the system-development process?

A. After application unit testing
B. After application module testing
C. After applications systems testing
D. As early as possible, even in the development of the project's functional specifications

Answer: D

Explanation:
Application controls should be considered as early as possible in the system-development process, even in the development of the project's functional specifications.

NEW QUESTION 302
- (Topic 1)
What is used to develop strategically important systems faster, reduce development costs, and still maintain high quality? Choose the BEST answer.

A. Rapid application development (RAD)
B. GANTT
C. PERT
D. Decision trees

Answer: A

Explanation:
Rapid application development (RAD) is used to develop strategically important systems faster, reduce development costs, and still maintain high quality.

NEW QUESTION 306
- (Topic 1)
Test and development environments should be separated. True or false?

A. True
B. False

Answer: A

Explanation:
Test and development environments should be separated, to control the stability of the test environment.

NEW QUESTION 311
- (Topic 1)
When should plans for testing for user acceptance be prepared? Choose the BEST answer.

A. In the requirements definition phase of the systems-development project
B. In the feasibility phase of the systems-development project
C. In the design phase of the systems-development project
D. In the development phase of the systems-development project

Answer: A

Explanation:
Plans for testing for user acceptance are usually prepared in the requirements definition phase of the systems-development project.

NEW QUESTION 316
- (Topic 1)
Above almost all other concerns, what often results in the greatest negative impact on the implementation of new application software?

A. Failing to perform user acceptance testing
B. Lack of user training for the new system
C. Lack of software documentation and run manuals
D. Insufficient unit, module, and systems testing

Answer: A

Explanation:
Above almost all other concerns, failing to perform user acceptance testing often results in the greatest negative impact on the implementation of new application software.

NEW QUESTION 317
- (Topic 1)
What is the primary security concern for EDI environments? Choose the BEST answer.

A. Transaction authentication
B. Transaction completeness
C. Transaction accuracy
D. Transaction authorization

Answer: D

Explanation:
Transaction authorization is the primary security concern for EDI environments.

NEW QUESTION 318
- (Topic 1)
Whenever business processes have been re-engineered, the IS auditor attempts to identify and quantify the impact of any controls that might have been removed, or controls that might not work as effectively after business process changes. True or false?

A. True
B. False

Answer: A

Explanation:
Whenever business processes have been re-engineered, the IS auditor should attempt to identify and quantify the impact of any controls that might have been removed, or controls that might not work as effectively after business process changes.

NEW QUESTION 321
- (Topic 1)
When should an application-level edit check to verify that availability of funds was completed at the electronic funds transfer (EFT) interface?

A. Before transaction completion
B. Immediately after an EFT is initiated
C. During run-to-run total testing
D. Before an EFT is initiated

Answer: D

Explanation:
An application-level edit check to verify availability of funds should be completed at the electronic funds transfer (EFT) interface before an EFT is initiated.

NEW QUESTION 325
- (Topic 1)
Data edits are implemented before processing and are considered which of the following? Choose the BEST answer.

A. Deterrent integrity controls
B. Detective integrity controls
C. Corrective integrity controls
D. Preventative integrity controls

Answer: D

Explanation:
Data edits are implemented before processing and are considered preventive integrity controls.

NEW QUESTION 329
- (Topic 2)
An IS auditor is reviewing access to an application to determine whether the 10 most recent "new user" forms were correctly authorized. This is an example of:

A. variable samplin
B. substantive testin
C. compliance testin
D. stop-or-go samplin

Answer: C

Explanation:

Compliance testing determines whether controls are being applied in compliance with policy. This includes tests to determine whether new accounts were appropriately authorized. Variable sampling is used to estimate numerical values, such as dollar values. Substantive testing substantiates the integrity of actual processing, such as balances on financial statements. The development of substantive tests is often dependent on the outcome of compliance tests. If compliance tests indicate that there are adequate internal controls, then substantive tests can be minimized. Stop-or-go sampling allows a test to be stopped as early as possible and is not appropriate for checking whether procedures have been followed.

NEW QUESTION 331
- (Topic 2)
The decisions and actions of an IS auditor are MOST likely to affect which of the following risks?

A. Inherent
B. Detection
C. Control
D. Business

Answer: B

Explanation:

Detection risks are directly affected by the auditor's selection of audit procedures and techniques. Inherent risks are not usually affected by an IS auditor. Control risks are controlled by the actions of the company's management. Business risks are not affected by an IS auditor.

NEW QUESTION 334
- (Topic 2)
Which of the following is a benefit of a risk-based approach to audit planning? Audit:

A. scheduling may be performed months in advanc
B. budgets are more likely to be met by the IS audit staf
C. staff will be exposed to a variety of technologie
D. resources are allocated to the areas of highest concern

Answer: D

Explanation:

The risk-based approach is designed to ensure audit time is spent on the areas of highest risk. The development of an audit schedule is not addressed by a risk-based approach. Audit schedules may be prepared months in advance using various schedulingmethods. A risk approach does not have a direct correlation to the audit staff meeting time budgets on a particular audit, nor does it necessarily mean a wider variety of audits will be performed in a given year.

NEW QUESTION 335
- (Topic 2)
The MAJOR advantage of the risk assessment approach over the baseline approach to information security management is that it ensures:

A. information assets are overprotecte
B. a basic level of protection is applied regardless of asset valu
C. appropriate levels of protection are applied to information asset
D. an equal proportion of resources are devoted to protecting all information asset

Answer: C

Explanation:

Full risk assessment determines the level of protection most appropriate to a given level of risk, while the baseline approach merely applies a standard set of protection regardless of risk. There is a cost advantage in not overprotecting information. However, an even bigger advantage is making sure that no information assets are over- or underprotected. The risk assessment approach will ensure an appropriate level of protection is applied, commensurate with the level of risk and asset value and, therefore, considering asset value. The baseline approach does not allow more resources to be directed toward the assets at greater risk, rather than equally directing resources to all assets.

NEW QUESTION 338
- (Topic 2)
An IS auditor is assigned to perform a postimplementation review of an application system. Which of the following situations may have impaired the independence of the IS auditor? The IS auditor:

A. implemented a specific control during the development of the application syste
B. designed an embedded audit module exclusively for auditing the application syste
C. participated as a member of the application system project team, but did not have operational responsibilitie
D. provided consulting advice concerning application system best practice

Answer: A

Explanation:

Independence may be impaired if an IS auditor is, or has been, actively involved in the development, acquisition and implementation of the application system. Choices B and C are situations that do not impair an IS auditor's independence. Choice D isincorrect because an IS auditor's independence is not impaired by providing advice on known best practices.

NEW QUESTION 339
- (Topic 2)
An IS auditor should use statistical sampling and not judgment (nonstatistical) sampling, when:

A. the probability of error must be objectively quantifie
B. the auditor wishes to avoid sampling ris
C. generalized audit software is unavailabl
D. the tolerable error rate cannot be determine

Answer: A

Explanation:

Given an expected error rate and confidence level, statistical sampling is an objective method of sampling, which helps an IS auditor determine the sample size and quantify the probability of error (confidence coefficient). Choice B is incorrect because sampling risk is the risk of a sample not being representative of the population. This risk exists for both judgment and statistical samples. Choice C is incorrect because statistical sampling does not require the use of generalized audit software. Choice D is incorrect because the tolerable error rate must be predetermined for both judgment and statistical sampling.

NEW QUESTION 340
- (Topic 2)
In an IS audit of several critical servers, the IS auditor wants to analyze audit trails to discover potential anomalies in user or system behavior. Which of the following tools are MOST suitable for performing that task?

A. CASE tools
B. Embedded data collection tools
C. Heuristic scanning tools
D. Trend/variance detection tools

Answer: D

Explanation:

Trend/variance detection tools look for anomalies in user or system behavior, for example, determining whether the numbers for prenumbered documents are

sequential or increasing. CASE tools are used to assist software development. Embedded (audit) data collection software is used for sampling and to provide production statistics. Heuristic scanning tools can be used to scan for viruses to indicate possible infected code.

NEW QUESTION 345
CORRECT TEXT - (Topic 2)
The vice president of human resources has requested an audit to identify payroll overpayments for the previous year. Which would be the BEST audit technique to use in this situation?

A. Test data
B. Generalized audit software
C. Integrated test facility
D. Embedded audit module

Answer: B

NEW QUESTION 350
- (Topic 2)
In the course of performing a risk analysis, an IS auditor has identified threats and potential impacts. Next, the IS auditor should:

A. identify and assess the risk assessment process used by managemen
B. identify information assets and the underlying system
C. disclose the threats and impacts to managemen
D. identify and evaluate the existing control

Answer: D

Explanation:

It is important for an IS auditor to identify and evaluate the existing controls and security once the potential threats and possible impacts are identified. Upon completion of an audit an IS auditor should describe and discuss with management the threats and potential impacts on the assets.

NEW QUESTION 355
- (Topic 2)
When evaluating the collective effect of preventive, detective or corrective controls within a process, an IS auditor should be aware of which of the following?

A. The point at which controls are exercised as data flow through the system
B. Only preventive and detective controls are relevant
C. Corrective controls can only be regarded as compensating
D. Classification allows an IS auditor to determine which controls are missing

Answer: A

Explanation:

An IS auditor should focus on when controls are exercised as data flow through a computer system. Choice B is incorrect since corrective controls may also be relevant. Choice C is incorrect, since corrective controls remove or reduce the effects of errors or irregularities and are exclusively regarded as compensating controls. Choice D is incorrect and irrelevant since the existence and function of controls is important, not the classification.

NEW QUESTION 357
- (Topic 2)
Which of the following would be the BEST population to take a sample from when testing program changes?

A. Test library listings
B. Source program listings
C. Program change requests
D. Production library listings

Answer: D

Explanation:

The best source from which to draw any sample or test of system information is the automated system. The production libraries represent executables that are approved and authorized to process organizational datA. Source program listings would be timeintensive. Program change requests are the documents used to initiate change; there is no guarantee that the request has been completed for all changes. Test library listings do not represent the approved and authorized executables.

NEW QUESTION 362
- (Topic 2)
An integrated test facility is considered a useful audit tool because it:

A. is a cost-efficient approach to auditing application control
B. enables the financial and IS auditors to integrate their audit test
C. compares processing output with independently calculated dat
D. provides the IS auditor with a tool to analyze a large range of information

Answer: C

Explanation:

An integrated test facility is considered a useful audit tool because it uses the same programs to compare processing using independently calculated datA. This involves setting up dummy entities on an application system and processing test or production data against the entity as a means of verifying processing accuracy.

NEW QUESTION 367
- (Topic 2)
Which of the following forms of evidence for the auditor would be considered the MOST reliable?

A. An oral statement from the auditee
B. The results of a test performed by an IS auditor
C. An internally generated computer accounting report
D. A confirmation letter received from an outside source

Answer: D

Explanation:

Evidence obtained from outside sources is usually more reliable than that obtained from within the organization. Confirmation letters received from outside parties, such as those used to verify accounts receivable balances, are usually highly reliable. Testing performed by an auditor may not be reliable, if the auditor did not have a good understanding of the technical area under review.

NEW QUESTION 370
- (Topic 2)
An IS auditor reviews an organizational chart PRIMARILY for:

A. an understanding of workflow
B. investigating various communication channel
C. understanding the responsibilities and authority of individual
D. investigating the network connected to different employee

Answer: C

Explanation:

An organizational chart provides information about the responsibilities and authority of individuals in the organization. This helps an IS auditor to know if there is a proper segregation of functions. A workflow chart would provide information aboutthe roles of different employees. A network diagram will provide information about the usage of various communication channels and will indicate the connection of users to the network.

NEW QUESTION 375
- (Topic 2)
An IS auditor attempting to determine whether access to program documentation is restricted to authorized persons would MOST likely:

A. evaluate the record retention plans for off-premises storag
B. interview programmers about the procedures currently being followe
C. compare utilization records to operations schedule
D. review data file access records to test the librarian functio

Answer: B

Explanation:

Asking programmers about the procedures currently being followed is useful in determining whether access to program documentation is restricted to authorized persons. Evaluating the record retention plans for off-premises storage tests the recovery procedures, not the access control over program documentation. Testing utilization records or data files will not address access security over program documentation.

NEW QUESTION 376
- (Topic 2)
Which of the following is an advantage of an integrated test facility (ITF)?

A. It uses actual master files or dummies and the IS auditor does not have to review the source of the transactio
B. Periodic testing does not require separate test processe
C. It validates application systems and tests the ongoing operation of the syste
D. The need to prepare test data is eliminate

Answer: B

Explanation:

An integrated test facility creates a fictitious entity in the database to process test transactions simultaneously with live input. Its advantage is that periodic testing does not require separate test processes. However, careful planning is necessary, and test data must be isolated from production data.

NEW QUESTION 377
- (Topic 2)
An IS auditor evaluates the test results of a modification to a system that deals with payment computation. The auditor finds that 50 percent of the calculations do not match predetermined totals. Which of the following would MOST likely be the next step in the audit?

A. Design further tests of the calculations that are in erro
B. Identify variables that may have caused the test results to be inaccurat
C. Examine some of the test cases to confirm the result
D. Document the results and prepare a report of findings, conclusions and recommendation

Answer: C

Explanation:

An IS auditor should next examine cases where incorrect calculations occurred and confirm the results. After the calculations have been confirmed, further tests can be conducted and reviewed. Report preparation, findings and recommendations would notbe made until all results are confirmed.

NEW QUESTION 379
- (Topic 2)
When assessing the design of network monitoring controls, an IS auditor should FIRST review network:

A. topology diagram
B. bandwidth usag
C. traffic analysis report
D. bottleneck location

Answer: A

Explanation:

The first step in assessing network monitoring controls should be the review of the adequacy of network documentation, specifically topology diagrams. If this information is not up to date, then monitoring processes and the ability to diagnose problems will not be effective.

NEW QUESTION 380
- (Topic 2)
A substantive test to verify that tape library inventory records are accurate is:

A. determining whether bar code readers are installe
B. determining whether the movement of tapes is authorize
C. conducting a physical count of the tape inventor
D. checking if receipts and issues of tapes are accurately recorde

Answer: C

Explanation:

A substantive test includes gathering evidence to evaluate the integrity of individual transactions, data or other information. Conducting a physical count of the tape inventory is a substantive test. Choices A, B and D are compliance tests.

NEW QUESTION 385
- (Topic 2)
When performing a computer forensic investigation, in regard to the evidence gathered, an IS auditor should be MOST concerned with:

A. analysi
B. evaluatio
C. preservatio
D. disclosur

Answer: C

Explanation:

Preservation and documentation of evidence for review by law enforcement and judicial authorities are of primary concern when conducting an investigation. Failure to properly preserve the evidence could jeopardize the acceptance of the evidence in legal proceedings. Analysis, evaluation and disclosure are important but not of primary concern in a forensic investigation.

NEW QUESTION 390
- (Topic 2)
An IS auditor issues an audit report pointing out the lack of firewall protection features at the perimeter network gateway and recommends a vendor product to address this vulnerability. The IS auditor has failed to exercise:

A. professional independence
B. organizational independenc
C. technical competenc
D. professional competenc

Answer: A

Explanation:

When an IS auditor recommends a specific vendor, they compromise professional independence. Organizational independence has no relevance to the content of an audit report and should be considered at the time of accepting the engagement. Technical and professional competence is not relevant to the requirement of independence.

NEW QUESTION 394
- (Topic 2)
The PRIMARY reason an IS auditor performs a functional walkthrough during the preliminary phase of an audit assignment is to:

A. understand the business proces
B. comply with auditing standard
C. identify control weaknes
D. plan substantive testin

Answer: A

Explanation:

Understanding the business process is the first step an IS auditor needs to perform. Standards do not require an IS auditor to perform a process walkthrough. Identifying control weaknesses is not the primary reason for the walkthrough and typically occurs at a later stage in the audit, while planning for substantive testing is performed at a later stage in the audit.

NEW QUESTION 399
- (Topic 2)
The PRIMARY purpose for meeting with auditees prior to formally closing a review is to:

A. confirm that the auditors did not overlook any important issue
B. gain agreement on the finding
C. receive feedback on the adequacy of the audit procedure
D. test the structure of the final presentatio

Answer: B

Explanation:

The primary purpose for meeting with auditees prior to formally closing a review is to gain agreement on the findings. The other choices, though related to the formal closure of an audit, are of secondary importance.

NEW QUESTION 404
- (Topic 2)
Which of the following audit techniques would BEST aid an auditor in determining whether there have been unauthorized program changes since the last authorized program update?

A. Test data run
B. Code review
C. Automated code comparison
D. Review of code migration procedures

Answer: C

Explanation:

An automated code comparison is the process of comparing two versions of the same program to determine whether the two correspond. It is an efficient technique because it is an automated procedure. Test data runs permit the auditor to verify the processing of preselected transactions, but provide no evidence about unexercised portions of a program. Code review is the process of reading program source code listings to determine whether the code contains potential errors or inefficient statements.A code review can be used as a means of code comparison but it is inefficient. The review of code migration procedures would not detect program changes.

NEW QUESTION 409
- (Topic 2)
While reviewing sensitive electronic work papers, the IS auditor noticed that they were not encrypted. This could compromise the:

A. audit trail of the versioning of the work paper
B. approval of the audit phase
C. access rights to the work paper
D. confidentiality of the work paper

Answer: D

Explanation:

Encryption provides confidentiality for the electronic work papers. Audit trails, audit phase approvals and access to the work papers do not, of themselves, affect the confidentiality but are part of the reason for requiring encryption.

NEW QUESTION 412
- (Topic 2)
The MOST important reason for an IS auditor to obtain sufficient and appropriate audit evidence is to:

A. comply with regulatory requirement
B. provide a basis for drawing reasonable conclusion
C. ensure complete audit coverag
D. perform the audit according to the defined scop

Answer: B

Explanation:

The scope of an IS audit is defined by its objectives. This involves identifying control weaknesses relevant to the scope of the audit. Obtaining sufficient and appropriate evidence assists the auditor in not only identifying control weaknesses but also documenting and validating them. Complying with regulatory requirements, ensuring coverage and the execution of audit are all relevant to an audit but are not the reason why sufficient and relevant evidence is required.

NEW QUESTION 413
- (Topic 2)
Which of the following would be the MOST effective audit technique for identifying segregation of duties violations in a new enterprise resource planning (ERP) implementation?

A. Reviewing a report of security rights in the system
B. Reviewing the complexities of authorization objects
C. Building a program to identify conflicts in authorization
D. Examining recent access rights violation cases

Answer: C

Explanation:

Since the objective is to identify violations in segregation of duties, it is necessary to define the logic that will identify conflicts in authorization. A program could be developed to identify these conflicts. A report of security rights in the enterprise resource planning (ERP) system would be voluminous and time consuming to review; therefore, this technique is not as effective as building a program. As complexities increase, it becomes more difficult to verify the effectiveness of the systems and complexity is not, in itself, a link to segregation of duties. It is good practice to review recent access rights violation cases; however, it may require a significant amount of time to truly identify which violations actually resulted froman inappropriate segregation of duties.

NEW QUESTION 417
- (Topic 2)
During the collection of forensic evidence, which of the following actions would MOST likely result in the destruction or corruption of evidence on a compromised system?

A. Dumping the memory content to a file
B. Generating disk images of the compromised system
C. Rebooting the system
D. Removing the system from the network

Answer: C

Explanation:

Rebooting the system may result in a change in the system state and the loss of files and important evidence stored in memory. The other choices are appropriate actions for preserving evidence.

NEW QUESTION 421
- (Topic 2)
An IS auditor who was involved in designing an organization's business continuity plan (BCP) has been assigned to audit the plan. The IS auditor should:

A. decline the assignmen
B. inform management of the possible conflict of interest after completing the audit assignmen
C. inform the business continuity planning (BCP) team of the possible conflict of interest prior to beginning the assignmen
D. communicate the possibility of conflict of interest to management prior to starting the assignmen

Answer: D

Explanation:

Communicating the possibility of a conflict of interest to management prior to starting the assignment is the correct answer. A possible conflict of interest, likely to affect the auditor's independence, should be brought to the attention of management prior to starting the assignment. Declining the assignment is not the correct answer because the assignment could be accepted after obtaining management approval. Informing management of the possible conflict of interest after completion of the audit assignment is not correct because approval should be obtained prior to commencement and not after the completion of the assignment. Informing the business continuity planning (BCP) team of the possible conflict of interest prior to starting of the assignment is not the correct answer since the BCP team would not have the authority to decide on this issue.

NEW QUESTION 426
- (Topic 2)
An IS auditor conducting a review of software usage and licensing discovers that numerous PCs contain unauthorized software. Which of the following actions should the IS auditor take?

A. Personally delete all copies of the unauthorized softwar
B. Inform the auditee of the unauthorized software, and follow up to confirm deletio
C. Report the use of the unauthorized software and the need to prevent recurrence to auditee managemen
D. Take no action, as it is a commonly accepted practice and operations management is responsible for monitoring such us

Answer: C

Explanation:

The use of unauthorized or illegal software should be prohibited by an organization. Software piracy results in inherent exposure and can result in severe fines. An IS auditor must convince the user and user management of the risk and the need to eliminate the risk. An IS auditor should not assume the role of the enforcing officer and take on any personal involvement in removing or deleting the unauthorized software.

NEW QUESTION 428
- (Topic 2)
Corrective action has been taken by an auditee immediately after the identification of a reportable finding. The auditor should:

A. include the finding in the final report, because the IS auditor is responsible for an accurate report of all finding
B. not include the finding in the final report, because the audit report should include only unresolved finding
C. not include the finding in the final report, because corrective action can be verified by the IS auditor during the audi
D. include the finding in the closing meeting for discussion purposes onl

Answer: A

Explanation:

Including the finding in the final report is a generally accepted audit practice. If an action is taken after the audit started and before it ended, the audit report should identify the finding and describe the corrective action taken. An audit report should reflect the situation, as it existed at the start of the audit. All corrective actions taken by the auditee should be reported in writing.

NEW QUESTION 430
- (Topic 2)
When preparing an audit report the IS auditor should ensure that the results are supported by:

A. statements from IS managemen
B. workpapers of other auditor
C. an organizational control self-assessmen
D. sufficient and appropriate audit evidenc

Answer: D

Explanation:

ISACA's standard on 'reporting' requires the IS auditor have sufficient and appropriate audit evidence to support the reported results. Statements from IS management provide a basis for obtaining concurrence on matters that cannot be verified with empirical evidence. The report should be based on evidence collected during the course of the review even though the auditor may have access to the work papers of other auditors. The results of an organizational control self-assessment (CSA) could supplement the audit findings. Choices A, B and C might be referenced during an audit but, of themselves, would not be considered a sufficient basis for issuing a report.

NEW QUESTION 433
- (Topic 2)
The final decision to include a material finding in an audit report should be made by the:

A. audit committe
B. auditee's manage
C. IS audito
D. CEO of the organization

Answer: C

Explanation:

The IS auditor should make the final decision about what to include or exclude from the audit report. The other choices would limit the independence of the auditor.

NEW QUESTION 437
- (Topic 2)
A PRIMARY benefit derived from an organization employing control self-assessment (CSA) techniques is that it:

A. can identify high-risk areas that might need a detailed review late
B. allows IS auditors to independently assess ris
C. can be used as a replacement for traditional audit
D. allows management to relinquish responsibility for contro

Answer: A

Explanation:

CSA is predicated on the review of high-risk areas that either need immediate attention or a more thorough review at a later date. Choice B is incorrect, because CSA requires the involvement of auditors and line management. What occurs is that the internal audit function shifts some of the control monitoring responsibilities to the functional areas. Choice C is incorrect because CSA is not a replacement for traditional audits. CSA is not intended to replace audit's responsibilities, but to enhance them. Choice D is incorrect, because CSA does not allow management to relinquish its responsibility for control.

NEW QUESTION 439
- (Topic 2)
Which of the following is the key benefit of control self-assessment (CSA)?

A. Management ownership of the internal controls supporting business objectives is reinforce
B. Audit expenses are reduced when the assessment results are an input to external audit wor
C. Improved fraud detection since internal business staff are engaged in testing controls
D. Internal auditors can shift to a consultative approach by using the results of the assessmen

Answer: A

Explanation:

The objective of control self-assessment is to have business management become more aware of the importance of internal control and their responsibility in terms of corporate governance. Reducing audit expenses is not a key benefit of control self-assessment (CSA). improved fraud detection is important, but not as important as ownership, and is not a principal objective of CSA. CSA may give more insights to internal auditors, allowing them to take a more consultative role; however, this is an additional benefit, not the key benefit.

NEW QUESTION 444
- (Topic 3)
Which of the following is a function of an IS steering committee?

A. Monitoring vendor-controlled change control and testing
B. Ensuring a separation of duties within the information's processing environment
C. Approving and monitoring major projects, the status of IS plans and budgets
D. Liaising between the IS department and the end users

Answer: C

Explanation:

The IS steering committee typically serves as a general review board for major IS projects and should not become involved in routine operations; therefore, one of its functions is to approve and monitor major projects, the status of IS plans and budgets. Vendor change control is an outsourcing issue and should be monitored by IS management. Ensuring a separation of duties within the information's processing environment is an IS management responsibility. Liaising between the IS department and the end users is a function of the individual parties and not a committee.

NEW QUESTION 449
- (Topic 3)
Involvement of senior management is MOST important in the development of:

A. strategic plan
B. IS policie
C. IS procedure
D. standards and guideline

Answer: A

Explanation:

Strategic plans provide the basis for ensuring that the enterprise meets its goals and objectives. Involvement of senior management is critical to ensuring that the plan adequately addresses the established goals and objectives. IS policies, procedures, standards and guidelines are all structured to support the overall strategic plan.

NEW QUESTION 450
- (Topic 3)
Effective IT governance will ensure that the IT plan is consistent with the organization's:

A. business pla
B. audit pla
C. security pla
D. investment pla

Answer: A

Explanation:

To govern IT effectively, IT and business should be moving in the same direction, requiring that the IT plans are aligned with an organization's business plans. The audit and investment plans are not part of the IT plan, while the security plan should be at a corporate level.

NEW QUESTION 454
- (Topic 3)
As an outcome of information security governance, strategic alignment provides:

A. security requirements driven by enterprise requirement
B. baseline security following best practice
C. institutionalized and commoditized solution
D. an understanding of risk exposur

Answer: A

Explanation:

Information security governance, when properly implemented, should provide four basic outcomes: strategic alignment, value delivery, risk management and performance measurement. Strategic alignment provides input for security requirements driven by enterprise requirements. Value delivery provides a standard set of security practices, i.e., baseline security following best practices or institutionalized and commoditized solutions. Risk management provides an understanding of risk exposure.

NEW QUESTION 458
- (Topic 3)
Which of the following IT governance best practices improves strategic alignment?

A. Supplier and partner risks are manage
B. A knowledge base on customers, products, markets and processes is in plac
C. A structure is provided that facilitates the creation and sharing of business informatio
D. Top management mediate between the imperatives of business and technolog

Answer: D

Explanation:

Top management mediating between the imperatives of business and technology is an IT strategic alignment best practice. Supplier and partner risks being managed is a risk management best practice. A knowledge base on customers, products, markets andprocesses being in place is an IT value delivery best practice. An infrastructure being provided to facilitate the creation and sharing of business information is an IT value delivery and risk management best practice.

NEW QUESTION 459
- (Topic 3)
Effective IT governance requires organizational structures and processes to ensure that:

A. the organization's strategies and objectives extend the IT strateg
B. the business strategy is derived from an IT strateg
C. IT governance is separate and distinct from the overall governanc
D. the IT strategy extends the organization's strategies and objective

Answer: D

Explanation:

Effective IT governance requires that board and executive management extend governance to IT and provide the leadership, organizational structures and processes that ensure that the organization's IT sustains and extends the organization's strategiesand objectives, and that the strategy is aligned with business strategy. Choice A is incorrect because it is the IT strategy that extends the organizational objectives, not the opposite. IT governance is not an isolated discipline; it must become anintegral part of the overall enterprise governance.

NEW QUESTION 464
- (Topic 3)
Which of the following is the MOST important element for the successful implementation of IT governance?

A. Implementing an IT scorecard
B. Identifying organizational strategies
C. Performing a risk assessment
D. Creating a formal security policy

Answer: B

Explanation:

The key objective of an IT governance program is to support the business, thus the identification of organizational strategies is necessary to ensure alignment between IT and corporate governance. Without identification of organizational strategies,the remaining choices-even if implemented-would be ineffective.

NEW QUESTION 466
- (Topic 3)
The MAJOR consideration for an IS auditor reviewing an organization's IT project portfolio is the:

A. IT budge
B. existing IT environmen
C. business pla
D. investment pla

Answer: C

Explanation:

One of the most important reasons for which projects get funded is how well a project meets an organization's strategic objectives. Portfolio management takes a holistic view of a company's overall IT strategy. IT strategy should be aligned with thebusiness strategy and, hence, reviewing the business plan should be the major consideration. Choices A, B and D are important but secondary to the importance of reviewing the business plan.

NEW QUESTION 470
- (Topic 3)
What is the lowest level of the IT governance maturity model where an IT balanced scorecard exists?

A. Repeatable but Intuitive

B. Defined
C. Managed and Measurable
D. Optimized

Answer: B

Explanation:

Defined (level 3) is the lowest level at which an IT balanced scorecard is defined.

NEW QUESTION 471
- (Topic 3)
Many organizations require an employee to take a mandatory vacation (holiday) of a week or more to:

A. ensure the employee maintains a good quality of life, which will lead to greater productivit
B. reduce the opportunity for an employee to commit an improper or illegal ac
C. provide proper cross-training for another employe
D. eliminate the potential disruption caused when an employee takes vacation one day at a tim

Answer: B

Explanation:

Required vacations/holidays of a week or more in duration in which someone other than the regular employee performs the job function is often mandatory for sensitive positions, as this reduces the opportunity to commit improper or illegal acts. During this time it may be possible to discover any fraudulent activity that was taking place. Choices A, C and D could all be organizational benefits from a mandatory vacation policy, but they are not the reason why the policy is established.

NEW QUESTION 473
- (Topic 3)
A local area network (LAN) administrator normally would be restricted from:

A. having end-user responsibilitie
B. reporting to the end-user manage
C. having programming responsibilitie
D. being responsible for LAN security administratio

Answer: C

Explanation:

A LAN administrator should not have programming responsibilities but may have end-user responsibilities. The LAN administrator may report to the director of the IPF or, in a decentralized operation, to the end-user manager. In small organizations, the LAN administrator may also be responsible for security administration over the LAN.

NEW QUESTION 478
- (Topic 3)
An IS auditor should be concerned when a telecommunication analyst:

A. monitors systems performance and tracks problems resulting from program change
B. reviews network load requirements in terms of current and future transaction volume
C. assesses the impact of the network load on terminal response times and network data transfer rate
D. recommends network balancing procedures and improvement

Answer: A

Explanation:

The responsibilities of a telecommunications analyst include reviewing network load requirements in terms of current and future transaction volumes {choice B), assessing the impact of network load or terminal response times and network data transferrates (choice C), and recommending network balancing procedures and improvements (choice D). Monitoring systems performance and tracking problems as a result of program changes {choice A) would put the analyst in a self-monitoring role.

NEW QUESTION 482
- (Topic 3)
When segregation of duties concerns exist between IT support staff and end users, what would be a suitable compensating control?

A. Restricting physical access to computing equipment
B. Reviewing transaction and application logs
C. Performing background checks prior to hiring IT staff
D. Locking user sessions after a specified period of inactivity

Answer: B

Explanation:

Only reviewing transaction and application logs directly addresses the threat posed by poor segregation of duties. The review is a means of detecting inappropriate behavior and also discourages abuse, because people who may otherwise be tempted to exploit the situation are aware of the likelihood of being caught.

Inadequate segregation of duties is more likely to be exploited via logical access to data and computing resources rather than physical access. Choice C is a useful control to ensure ITstaff are trustworthy and competent but does not directly address the lack of an optimal segregation of duties. Choice D acts to prevent unauthorized users from gaining system access, but the issue of a lack of segregation of duties is more the misuse (deliberately or inadvertently} of access privileges that have officially been granted.

NEW QUESTION 483
- (Topic 3)
Which of the following reduces the potential impact of social engineering attacks?

A. Compliance with regulatory requirements
B. Promoting ethical understanding
C. Security awareness programs
D. Effective performance incentives

Answer: C

Explanation:

Because social engineering is based on deception of the user, the best countermeasure or defense is a security awareness program. The other choices are not user-focused.

NEW QUESTION 484
- (Topic 3)
Which of the following activities performed by a database administrator (DBA) should be performed by a different person?

A. Deleting database activity logs
B. Implementing database optimization tools
C. Monitoring database usage
D. Defining backup and recovery procedures

Answer: A

Explanation:

Since database activity logs record activities performed by the database administrator (DBA), deleting them should be performed by an individual other than the DBA. This is a compensating control to aid in ensuring an appropriate segregation of duties and is associated with the DBA's role. A DBA should perform the other activities as part of the normal operations.

NEW QUESTION 487
- (Topic 3)
Which of the following is the BEST performance criterion for evaluating the adequacy of an organization's security awareness training?

A. Senior management is aware of critical information assets and demonstrates an adequate concern for their protectio
B. Job descriptions contain clear statements of accountability for information securit
C. In accordance with the degree of risk and business impact, there is adequate funding for security effort
D. No actual incidents have occurred that have caused a loss or a public embarrassmen

Answer: B

Explanation:

Inclusion in job descriptions of security responsibilities is a form of security training and helps ensure that staff and management are aware of their roles with respect to information security. The other three choices are not criterion for evaluating security awareness training. Awareness is a criterion for evaluating the importance that senior management attaches to information assets and their protection. Funding is a criterion that aids in evaluating whether security vulnerabilities are being addressed, while the number of incidents that have occurred is a criterion for evaluating the adequacy of the risk management program.

NEW QUESTION 489
- (Topic 3)
Which of the following is normally a responsibility of the chief security officer (CSO)?

A. Periodically reviewing and evaluating the security policy
B. Executing user application and software testing and evaluation
C. Granting and revoking user access to IT resources
D. Approving access to data and applications

Answer: A

Explanation:

The role of a chief security officer (CSO) is to ensure that the corporate security policy and controls are adequate to prevent unauthorized access to the company assets, including data, programs and equipment. User application and other software testing and evaluation normally are the responsibility of the staff assigned to development and maintenance. Granting and revoking access to IT resources is usually a function of network or database administrators. Approval of access to data and applications is the duty of the data owner.

NEW QUESTION 492
- (Topic 3)
Which of the following goals would you expect to find in an organization's strategic plan?

A. Test a new accounting packag
B. Perform an evaluation of information technology need
C. Implement a new project planning system within the next 12 month
D. Become the supplier of choice for the product offere

Answer: D

Explanation:

Strategic planning sets corporate or departmental objectives into motion. Comprehensive planning helps ensure an effective and efficient organization. Strategic planning is time-and project-oriented, but also must address and help determine priorities to meet business needs. Long- and short-range plans should be consistent with the organization's broader plans for attaining their goals. Choice D represents a business objective that is intended to focus the overall direction of the business andwould thus be a part of the organization's strategic plan. The other choices are project-oriented and do not address business objectives.

NEW QUESTION 493
- (Topic 3)
To aid management in achieving IT and business alignment, an IS auditor should recommend the use of:

A. control self-assessment
B. a business impact analysi
C. an IT balanced scorecar
D. business process reengineerin

Answer: C

Explanation:

An IT balanced scorecard (BSC) provides the bridge between IT objectives and business objectives by supplementing the traditional financial evaluation with measures to evaluate customer satisfaction, internal processes and the ability to innovate. Control self-assessment (CSA), business impact analysis (BIA) and business process reengineering (BPR) are insufficient to align IT with organizational objectives.

NEW QUESTION 497
- (Topic 3)
When developing a formal enterprise security program, the MOST critical success factor (CSF) would be the:

A. establishment of a review boar
B. creation of a security uni
C. effective support of an executive sponso
D. selection of a security process owne

Answer: C

Explanation:

The executive sponsor would be in charge of supporting the organization's strategic security program, and would aid in directing the organization's overall security management activities. Therefore, support by the executive level of management is themost critical success factor (CSF). None of the other choices are effective without visible sponsorship of top management.

NEW QUESTION 502
- (Topic 3)
The advantage of a bottom-up approach to the development of organizational policies is that the policies:

A. are developed for the organization as a whol
B. are more likely to be derived as a result of a risk assessmen
C. will not conflict with overall corporate polic
D. ensure consistency across the organizatio

Answer: B

Explanation:

A bottom-up approach begins by defining operational-level requirements and policies, which are derived and implemented as the result of risk assessments. Enterprise-level policies are subsequently developed based on a synthesis of existing operational policies. Choices A, C and D are advantages of a top-down approach for developing organizational policies. This approach ensures that the policies will not be in conflict with overall corporate policy and ensure consistency across the organization.

NEW QUESTION 506
- (Topic 3)
Which of the following is the GREATEST risk of an inadequate policy definition for ownership of data and systems?

A. User management coordination does not exis
B. Specific user accountability cannot be establishe
C. Unauthorized users may have access to originate, modify or delete dat
D. Audit recommendations may not be implemente

Answer: C

Explanation:

Without a policy defining who has the responsibility for granting access to specific systems, there is an increased risk that one could gain (be given) system access when they should not have authorization. By assigning authority to grant access to specific users, there is a better chance that business objectives will be properly supported.

NEW QUESTION 510
- (Topic 3)
An IS auditor finds that not all employees are aware of the enterprise's information security policy. The IS auditor should conclude that:

A. this lack of knowledge may lead to unintentional disclosure of sensitive informatio
B. information security is not critical to all function
C. IS audit should provide security training to the employee
D. the audit finding will cause management to provide continuous training to staf

Answer: A

Explanation:

All employees should be aware of the enterprise's information security policy to prevent unintentional disclosure of sensitive information. Training is a preventive control. Security awareness programs for employees can prevent unintentional disclosure of sensitive information to outsiders.

NEW QUESTION 511
- (Topic 3)
Which of the following should be included in an organization's IS security policy?

A. A list of key IT resources to be secured
B. The basis for access authorization
C. Identity of sensitive security features
D. Relevant software security features

Answer: B

Explanation:

The security policy provides the broad framework of security, as laid down and approved by senior management. It includes a definition of those authorized to grant access and the basis for granting the access. Choices A, B and C are more detailed than that which should be included in a policy.

NEW QUESTION 516
- (Topic 3)
The management of an organization has decided to establish a security awareness program. Which of the following would MOST likely be a part of the program?

A. Utilization of an intrusion detection system to report incidents
B. Mandating the use of passwords to access all software
C. Installing an efficient user log system to track the actions of each user
D. Training provided on a regular basis to all current and new employees

Answer: D

Explanation:

Utilizing an intrusion detection system to report on incidents that occur is an implementation of a security program and is not effective in establishing a security awareness program. Choices B and C do not address awareness. Training is the only choice that is directed at security awareness.

NEW QUESTION 521
- (Topic 3)
Which of the following is MOST critical for the successful implementation and maintenance of a security policy?

A. Assimilation of the framework and intent of a written security policy by all appropriate parties
B. Management support and approval for the implementation and maintenance of a security policy
C. Enforcement of security rules by providing punitive actions for any violation of security rules
D. Stringent implementation, monitoring and enforcing of rules by the security officer through access control software

Answer: A

Explanation:

Assimilation of the framework and intent of a written security policy by the users of the system is critical to the successful implementation and maintenance of the security policy. A good password system may exist, but if the users of the system keep passwords written on their desk, the password is of little value. Management support and commitment is no doubt important, but for successful implementation and maintenance of security policy, educating the users on the importance of security is paramount. The stringent implementation, monitoring and enforcing of rules by the security officer through access control software, and provision for punitive actions for violation of security rules, is also required, along with the user's education onthe importance of security.

NEW QUESTION 526
- (Topic 3)
To ensure an organization is complying with privacy requirements, an IS auditor should FIRST review:

A. the IT infrastructur
B. organizational policies, standards and procedure

C. legal and regulatory requirement
D. the adherence to organizational policies, standards and procedure

Answer: C

Explanation:

To ensure that the organization is complying with privacy issues, an IS auditor should address legal and regulatory requirements first. To comply with legal and regulatory requirements, organizations need to adopt the appropriate infrastructure. After understanding the legal and regulatory requirements, an IS auditor should evaluate organizational policies, standards and procedures to determine whether they adequately address the privacy requirements, and then review the adherence to these specific policies, standards and procedures.

NEW QUESTION 531
- (Topic 3)
Which of the following would MOST likely indicate that a customer data warehouse should remain in-house rather than be outsourced to an offshore operation?

A. Time zone differences could impede communications between IT team
B. Telecommunications cost could be much higher in the first yea
C. Privacy laws could prevent cross-border flow of informatio
D. Software development may require more detailed specification

Answer: C

Explanation:

Privacy laws prohibiting the cross-border flow of personally identifiable information would make it impossible to locate a data warehouse containing customer information in another country. Time zone differences and higher telecommunications costs are more manageable. Software development typically requires more detailed specifications when dealing with offshore operations.

NEW QUESTION 533
- (Topic 3)
A retail outlet has introduced radio frequency identification (RFID) tags to create unique serial numbers for all products. Which of the following is the PRIMARY concern associated with this initiative?

A. Issues of privacy
B. Wavelength can be absorbed by the human body
C. RFID tags may not be removable
D. RFID eliminates line-of-sight reading

Answer: A

Explanation:

The purchaser of an item will not necessarily be aware of the presence of the tag. If a tagged item is paid for by credit card, it would be possible to tie the unique ID of that item to the identity of the purchaser. Privacy violations are a significant concern because RFID can carry unique identifier numbers. If desired it would be possible for a firm to track individuals who purchase an item containing an RFID. Choices B and C are concerns of less importance. Choice D is not a concern.

NEW QUESTION 537
- (Topic 3)
When developing a security architecture, which of the following steps should be executed FIRST?

A. Developing security procedures
B. Defining a security policy
C. Specifying an access control methodology
D. Defining roles and responsibilities

Answer: B

Explanation:

Defining a security policy for information and related technology is the first step toward building a security architecture. A security policy communicates a coherent security standard to users, management and technical staff. Security policies willoften set the stage in terms of what tools and procedures are needed for an organization. The other choices should be executed only after defining a security policy.

NEW QUESTION 540
- (Topic 3)
An IS auditor is reviewing a project to implement a payment system between a parent bank and a subsidiary. The IS auditor should FIRST verify that the:

A. technical platforms between the two companies are interoperabl
B. parent bank is authorized to serve as a service provide
C. security features are in place to segregate subsidiary trade
D. subsidiary can join as a co-owner of this payment syste

Answer: B

Explanation:

Even between parent and subsidiary companies, contractual agreement(s) should be in place to conduct shared services. This is particularly important in highly

regulated organizations such as banking. Unless granted to serve as a service provider, itmay not be legal for the bank to extend business to the subsidiary companies. Technical aspects should always be considered; however, this can be initiated after confirming that the parent bank can serve as a service provider. Security aspects are another important factor; however, this should be considered after confirming that the parent bank can serve as a service provider. The ownership of the payment system is not as important as the legal authorization to operate the system.

NEW QUESTION 544
- (Topic 3)
Which of the following is the MOST important function to be performed by IS management when a service has been outsourced?

A. Ensuring that invoices are paid to the provider
B. Participating in systems design with the provider
C. Renegotiating the provider's fees
D. Monitoring the outsourcing provider's performance

Answer: D

Explanation:

In an outsourcing environment, the company is dependent on the performance of the service provider. Therefore, it is critical the outsourcing provider's performance be monitored to ensure that services are delivered to the company as required. Payment of invoices is a finance function, which would be completed per contractual requirements. Participating in systems design is a byproduct of monitoring the outsourcing provider's performance, while renegotiating fees is usually a one-time activity.

NEW QUESTION 547
- (Topic 3)
An IS auditor reviewing an outsourcing contract of IT facilities would expect it to define the:

A. hardware configuratio
B. access control softwar
C. ownership of intellectual propert
D. application development methodolog

Answer: C

Explanation:

Of the choices, the hardware and access control software is generally irrelevant as long as the functionality, availability and security can be affected, which are specific contractual obligations. Similarly, the development methodology should be ofno real concern. The contract must, however, specify who owns the intellectual property (i.e., information being processed, application programs). Ownership of intellectual property will have a significant cost and is a key aspect to be defined in an outsourcing contract.

NEW QUESTION 550
- (Topic 3)
When performing a review of the structure of an electronic funds transfer (EFT) system, an IS auditor observes that the technological infrastructure is based on a centralized processing scheme that has been outsourced to a provider in another country. Based on this information, which of the following conclusions should be the main concern of the IS auditor?

A. There could be a question regarding the legal jurisdictio
B. Having a provider abroad will cause excessive costs in future audit
C. The auditing process will be difficult because of the distanc
D. There could be different auditing norm

Answer: A

Explanation:

In the funds transfer process, when the processing scheme is centralized in a different country, there could be legal issues of jurisdiction that might affect the right to perform a review in the other country. The other choices, though possible, are not as relevant as the issue of legal jurisdiction.

NEW QUESTION 554
- (Topic 3)
An IS auditor should expect which of the following items to be included in the request for proposal (RFP) when IS is procuring services from an independent service provider (ISP)?

A. References from other customers
B. Service level agreement (SLA) template
C. Maintenance agreement
D. Conversion plan

Answer: A

Explanation:

An IS auditor should look for an independent verification that the ISP can perform the tasks being contracted for. References from other customers would provide an independent, external review and verification of procedures and processes the ISP follows-issues which would be of concern to an IS auditor. Checking references is a means of obtaining an independent verification that the vendor can perform the services it says it can. A maintenance agreement relates more to equipment than to services, and a conversion plan, while important, is less important than verification that the ISP can provide the services they propose.

NEW QUESTION 555

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