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NEW QUESTION 1

- (Topic 1)

IS management has decided to rewrite a legacy customer 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)

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

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 3

- (Topic 1)

A number of system failures are occurring when corrections to previously detected errors are resubmitted for acceptance testing. This would indicate that the maintenance team is probably not adequately performing which of the following types of testing?

- A. Unit testing
- B. Integration testing
- C. Design walk-throughs
- D. Configuration management

Answer: B

Explanation:

A common system maintenance problem is that errors are often corrected quickly (especially when deadlines are tight), units are tested by the programmer, and then transferred to the acceptance test area. This often results in system problems that should have been detected during integration or system testing. Integration testing aims at ensuring that the major components of the system interface correctly.

NEW QUESTION 4

- (Topic 1)

A database administrator is responsible for:

- A. defining data ownership
- B. establishing operational standards for the data dictionary
- C. creating the logical and physical database
- D. establishing ground rules for ensuring data integrity and security

Answer: C

Explanation:

A database administrator is responsible for creating and controlling the logical and physical database. Defining data ownership resides with the head of the user department or top management if the data is common to the organization. IS management and the data administrator are responsible for establishing operational standards for the data dictionary. Establishing ground rules for ensuring data integrity and security in line with the corporate security policy is a function of the security administrator.

NEW QUESTION 5

- (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 6

- (Topic 1)

Which of the following BEST describes the necessary documentation for an enterprise product reengineering (EPR) software installation?

- A. Specific developments only
- B. Business requirements only
- C. All phases of the installation must be documented
- D. No need to develop a customer specific documentation

Answer: C

Explanation:

A global enterprise product reengineering (EPR) software package can be applied to a business to replace, simplify and improve the quality of IS processing. Documentation is intended to help understand how, why and which solutions that have been selected and implemented, and therefore must be specific to the project. Documentation is also intended to support quality assurance and must be comprehensive.

NEW QUESTION 7

- (Topic 1)

A hardware control that helps to detect errors when data are communicated from one computer to another is known as a:

- A. duplicate chec
- B. table looku
- C. validity chec
- D. parity chec

Answer: D

Explanation:

A parity check will help to detect data errors when data are read from memory or communicated from one computer to another. A one-bit digit (either 0 or 1) is added to a data item to indicate whether the sum of that data item's bit is odd or even. When the parity bit disagrees with the sum of the other bits, an error report is generated.

NEW QUESTION 8

- (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 9

- (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 10

- (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 10

- (Topic 1)

The use of statistical sampling procedures helps minimize:

- A. Detection risk
- B. Business risk
- C. Controls risk
- D. Compliance risk

Answer: A

Explanation:

The use of statistical sampling procedures helps minimize detection risk.

NEW QUESTION 15

- (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 17

- (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 21

- (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 26

- (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 27

- (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 28

- (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 31

- (Topic 1)

How does the SSL network protocol provide confidentiality?

- A. Through symmetric encryption such as RSA
- B. Through asymmetric encryption such as Data Encryption Standard, or DES
- C. Through asymmetric encryption such as Advanced Encryption Standard, or AES
- D. Through symmetric encryption such as Data Encryption Standard, or DES

Answer: D

Explanation:

The SSL protocol provides confidentiality through symmetric encryption such as Data Encryption Standard, or DES.

NEW QUESTION 32

- (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 35

- (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 38

- (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 39

- (Topic 1)

Which of the following is an effective method for controlling downloading of files via FTP? Choose the BEST answer.

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

Answer: B

Explanation:

Application-layer gateways, or proxy firewalls, are an effective method for controlling downloading of files via FTP. Because FTP is an OSI application-layer protocol, the most effective firewall needs to be capable of inspecting through the application layer.

NEW QUESTION 44

- (Topic 1)

Who is ultimately responsible and accountable for reviewing user access to systems?

- A. Systems security administrators
- B. Data custodians
- C. Data owners
- D. Information systems auditors

Answer: C

Explanation:

Data owners are ultimately responsible and accountable for reviewing user access to systems.

NEW QUESTION 46

- (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 51

- (Topic 1)

With the objective of mitigating the risk and impact of a major business interruption, a disaster recovery plan should endeavor to reduce the length of recovery time necessary, as well as costs associated with recovery. Although DRP results in an increase of pre-and post-incident operational costs, the extra costs are more than offset by reduced recovery and business impact costs. True or false?

- A. True
- B. False

Answer: A

Explanation:

With the objective of mitigating the risk and impact of a major business interruption, a disaster-recovery plan should endeavor to reduce the length of recovery time necessary and the costs associated with recovery. Although DRP results in an increase of pre-and post-incident operational costs, the extra costs are more than offset by reduced recovery and business impact costs.

NEW QUESTION 56

- (Topic 1)

Any changes in systems assets, such as replacement of hardware, should be immediately recorded within the assets inventory of which of the following? Choose

the BEST answer.

- A. IT strategic plan
- B. Business continuity plan
- C. Business impact analysis
- D. Incident response plan

Answer: B

Explanation:

Any changes in systems assets, such as replacement of hardware, should be immediately recorded within the assets inventory of a business continuity plan.

NEW QUESTION 57

- (Topic 1)

Obtaining user approval of program changes is very effective for controlling application changes and maintenance. True or false?

- A. True
- B. False

Answer: A

Explanation:

Obtaining user approval of program changes is very effective for controlling application changes and maintenance.

NEW QUESTION 58

- (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 61

- (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 66

- (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 71

- (Topic 1)

The quality of the metadata produced from a data warehouse is _____ in the warehouse's design. Choose the BEST answer.

- A. Often hard to determine because the data is derived from a heterogeneous data environment
- B. The most important consideration
- C. Independent of the quality of the warehoused databases

D. Of secondary importance to data warehouse content

Answer: B

Explanation:

The quality of the metadata produced from a data warehouse is the most important consideration in the warehouse's design.

NEW QUESTION 74

- (Topic 1)

Function Point Analysis (FPA) provides an estimate of the size of an information system based only on the number and complexity of a system's inputs and outputs. True or false?

- A. True
- B. False

Answer: B

Explanation:

Function point analysis (FPA) provides an estimate of the size of an information system based on the number and complexity of a system's inputs, outputs, and files.

NEW QUESTION 76

- (Topic 1)

If an IS auditor observes that an IS department fails to use formal documented methodologies, policies, and standards, what should the auditor do? Choose the BEST answer.

- A. Lack of IT documentation is not usually material to the controls tested in an IT audi
- B. The auditor should at least document the informal standards and policie
- C. Furthermore, the IS auditor should create formal documented policies to be implemente
- D. The auditor should at least document the informal standards and policies, and test for complianc
- E. Furthermore, the IS auditor should recommend to management that formal documented policies be developed and implemente
- F. The auditor should at least document the informal standards and policies, and test for complianc
- G. Furthermore, the IS auditor should create formal documented policies to be implemente

Answer: C

Explanation:

If an IS auditor observes that an IS department fails to use formal documented methodologies, policies, and standards, the auditor should at least document the informal standards and policies, and test for compliance. Furthermore, the IS auditor should recommend to management that formal documented policies be developed and implemented.

NEW QUESTION 80

- (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 81

- (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 86

- (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 identify
- 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 89

- (Topic 1)

Which of the following can help detect transmission errors by appending specially calculated bits onto the end of each segment of data?

- A. Redundancy check
- B. Completeness check
- C. Accuracy check
- D. Parity check

Answer: A

Explanation:

A redundancy check can help detect transmission errors by appending especially calculated bits onto the end of each segment of data.

NEW QUESTION 91

- (Topic 1)

Parity bits are a control used to validate:

- A. Data authentication
- B. Data completeness
- C. Data source
- D. Data accuracy

Answer: B

Explanation:

Parity bits are a control used to validate data completeness.

NEW QUESTION 96

- (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 97

- (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 101

- (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 management
- B. To reassign job functions to eliminate potential fraud
- C. To implement compensating control
- D. Segregation of duties is an administrative control not considered by an IS auditor

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 105

- (Topic 1)

Why does an IS auditor review an organization chart?

- A. To optimize the responsibilities and authority of individuals
- B. To control the responsibilities and authority of individuals
- C. To better understand the responsibilities and authority of individuals
- D. To identify project sponsors

Answer: C

Explanation:

The primary reason an IS auditor reviews an organization chart is to better understand the responsibilities and authority of individuals.

NEW QUESTION 109

- (Topic 1)

What process allows IS management to determine whether the activities of the organization differ from the planned or expected levels? Choose the BEST answer.

- A. Business impact assessment
- B. Risk assessment
- C. IS assessment methods
- D. Key performance indicators (KPIs)

Answer: C

Explanation:

IS assessment methods allow IS management to determine whether the activities of the organization differ from the planned or expected levels.

NEW QUESTION 112

- (Topic 1)

Who should be responsible for network security operations?

- A. Business unit managers
- B. Security administrators
- C. Network administrators
- D. IS auditors

Answer: B

Explanation:

Security administrators are usually responsible for network security operations.

NEW QUESTION 116

- (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 121

- (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 124

- (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 127

- (Topic 1)

Which of the following can degrade network performance? Choose the BEST answer.

- A. Superfluous use of redundant load-sharing gateways
- B. Increasing traffic collisions due to host congestion by creating new collision domains
- C. Inefficient and superfluous use of network devices such as switches
- D. Inefficient and superfluous use of network devices such as hubs

Answer: D

Explanation:

Inefficient and superfluous use of network devices such as hubs can degrade network performance.

NEW QUESTION 129

- (Topic 1)

What is an effective control for granting temporary access to vendors and external support personnel? Choose the BEST answer.

- A. Creating user accounts that automatically expire by a predetermined date
- B. Creating permanent guest accounts for temporary use
- C. Creating user accounts that restrict logon access to certain hours of the day
- D. Creating a single shared vendor administrator account on the basis of least-privileged access

Answer: A

Explanation:

Creating user accounts that automatically expire by a predetermined date is an effective control for granting temporary access to vendors and external support personnel.

NEW QUESTION 134

- (Topic 1)

Which of the following help(s) prevent an organization's systems from participating in a distributed denial-of-service (DDoS) attack? Choose the BEST answer.

- A. Inbound traffic filtering
- B. Using access control lists (ACLs) to restrict inbound connection attempts
- C. Outbound traffic filtering
- D. Recentralizing distributed systems

Answer: C

Explanation:

Outbound traffic filtering can help prevent an organization's systems from participating in a distributed denial-of-service (DDoS) attack.

NEW QUESTION 138

- (Topic 1)

What is/are used to measure and ensure proper network capacity management and availability of services? Choose the BEST answer.

- A. Network performance-monitoring tools
- B. Network component redundancy
- C. Syslog reporting
- D. IT strategic planning

Answer: A

Explanation:

Network performance-monitoring tools are used to measure and ensure proper network capacity management and availability of services.

NEW QUESTION 142

- (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 146

- (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 148

- (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 151

- (Topic 1)

What determines the strength of a secret key within a symmetric key cryptosystem?

- A. A combination of key length, degree of permutation, and the complexity of the data-encryption algorithm that uses the key
- B. A combination of key length, initial input vectors, and the complexity of the data-encryption algorithm that uses the key
- C. A combination of key length and the complexity of the data-encryption algorithm that uses the key
- D. Initial input vectors and the complexity of the data-encryption algorithm that uses the key

Answer: B

Explanation:

The strength of a secret key within a symmetric key cryptosystem is determined by a combination of key length, initial input vectors, and the complexity of the data-encryption algorithm that uses the key.

NEW QUESTION 154

- (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 157

- (Topic 1)

If a programmer has update access to a live system, IS auditors are more concerned with the programmer's ability to initiate or modify transactions and the ability to access production than with the programmer's ability to authorize transactions. True or false?

- A. True
- B. False

Answer: A

Explanation:

If a programmer has update access to a live system, IS auditors are more concerned with the programmer's ability to initiate or modify transactions and the ability to access production than with the programmer's ability to authorize transactions.

NEW QUESTION 159

- (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 163

- (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 164

- (Topic 1)

Why is a clause for requiring source code escrow in an application vendor agreement important?

- A. To segregate systems development and live environments
- B. To protect the organization from copyright disputes
- C. To ensure that sufficient code is available when needed
- D. To ensure that the source code remains available even if the application vendor goes out of business

Answer: D

Explanation:

A clause for requiring source code escrow in an application vendor agreement is important to ensure that the source code remains available even if the application vendor goes out of business.

NEW QUESTION 169

- (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 173

- (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 creep
- C. Define the need that requires resolution, and map to the major requirements of the solution
- D. Program and test the new system
- E. The tests verify and validate what has been developed

Answer: B

Explanation:

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

NEW QUESTION 174

- (Topic 1)

An IS auditor is using a statistical sample to inventory the tape library. What type of test would this be considered?

- A. Substantive
- B. Compliance
- C. Integrated
- D. Continuous audit

Answer: A

Explanation:

Using a statistical sample to inventory the tape library is an example of a substantive test.

NEW QUESTION 179

- (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 advance
- B. budgets are more likely to be met by the IS audit staff
- C. staff will be exposed to a variety of technologies
- 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 scheduling methods. 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 182

- (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 system
- B. designed an embedded audit module exclusively for auditing the application system
- C. participated as a member of the application system project team, but did not have operational responsibilities
- 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 is incorrect because an IS auditor's independence is not impaired by providing advice on known best practices.

NEW QUESTION 184

- (Topic 2)

The PRIMARY advantage of a continuous audit approach is that it:

- A. does not require an IS auditor to collect evidence on system reliability while processing is taking place
- B. requires the IS auditor to review and follow up immediately on all information collected
- C. can improve system security when used in time-sharing environments that process a large number of transactions
- D. does not depend on the complexity of an organization's computer system

Answer: C

Explanation:

The use of continuous auditing techniques can improve system security when used in time-sharing environments that process a large number of transactions, but leave a scarce paper trail. Choice A is incorrect since the continuous audit approach often does require an IS auditor to collect evidence on system reliability while processing is taking place. Choice B is incorrect since an IS auditor normally would review and follow up only on material deficiencies or errors detected. Choice D is incorrect since the use of continuous audit techniques depends on the complexity of an organization's computer systems.

NEW QUESTION 185

- (Topic 2)

An IS auditor should use statistical sampling and not judgment (nonstatistical) sampling, when:

- A. the probability of error must be objectively quantified
- B. the auditor wishes to avoid sampling risk
- C. generalized audit software is unavailable
- D. the tolerable error rate cannot be determined

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 190

- (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 193

- (Topic 2)

Which of the following is the PRIMARY advantage of using computer forensic software for investigations?

- A. The preservation of the chain of custody for electronic evidence
- B. Time and cost savings
- C. Efficiency and effectiveness
- D. Ability to search for violations of intellectual property rights

Answer: A

Explanation:

The primary objective of forensic software is to preserve electronic evidence to meet the rules of evidence. Choice B, time and cost savings, and choice C, efficiency and effectiveness, are legitimate concerns that differentiate good from poor forensic software packages. Choice D, the ability to search for intellectual property rights violations, is an example of a use of forensic software.

NEW QUESTION 196

- (Topic 2)

During a security audit of IT processes, an IS auditor found that there were no documented security procedures. The IS auditor should:

- A. create the procedures document
- B. terminate the audit
- C. conduct compliance testing
- D. identify and evaluate existing practice

Answer: D

Explanation:

One of the main objectives of an audit is to identify potential risks; therefore, the most proactive approach would be to identify and evaluate the existing security practices being followed by the organization. IS auditors should not prepare documentation, as doing so could jeopardize their independence. Terminating the audit may prevent achieving one of the basic audit objectives, i.e., identification of potential risks. Since there are no documented procedures, there is no basis against which to test compliance.

NEW QUESTION 197

- (Topic 2)

An IS auditor reviews an organizational chart PRIMARILY for:

- A. an understanding of workflow
- B. investigating various communication channels
- C. understanding the responsibilities and authority of individuals
- D. investigating the network connected to different employees

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 about the 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 199

- (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 storage
- B. interview programmers about the procedures currently being followed
- C. compare utilization records to operations schedule
- D. review data file access records to test the librarian function

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 204

- (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 transaction
- B. Periodic testing does not require separate test processes
- C. It validates application systems and tests the ongoing operation of the system
- D. The need to prepare test data is eliminated

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 205

- (Topic 2)

While conducting an audit, an IS auditor detects the presence of a virus. What should be the IS auditor's next step?

- A. Observe the response mechanism
- B. Clear the virus from the network
- C. Inform appropriate personnel immediately
- D. Ensure deletion of the virus

Answer: C

Explanation:

The first thing an IS auditor should do after detecting the virus is to alert the organization to its presence, then wait for their response. Choice A should be taken after choice C. This will enable an IS auditor to examine the actual workability and effectiveness of the response system. An IS auditor should not make changes to the system being audited, and ensuring the deletion of the virus is a management responsibility.

NEW QUESTION 209

- (Topic 2)

When performing a computer forensic investigation, in regard to the evidence gathered, an IS auditor should be MOST concerned with:

- A. analysis
- B. evaluation
- C. preservation
- D. disclosure

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 210

- (Topic 2)

An IS auditor interviewing a payroll clerk finds that the answers do not support job descriptions and documented procedures. Under these circumstances, the IS auditor should:

- A. conclude that the controls are inadequate
- B. expand the scope to include substantive testing
- C. place greater reliance on previous audit
- D. suspend the audit

Answer: B

Explanation:

If the answers provided to an IS auditor's questions are not confirmed by documented procedures or job descriptions, the IS auditor should expand the scope of testing the controls and include additional substantive tests. There is no evidence that whatever controls might exist are either inadequate or adequate. Placing greater reliance on previous audits or suspending the audit are inappropriate actions as they provide no current knowledge of the adequacy of the existing controls.

NEW QUESTION 215

- (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 219

- (Topic 2)

In the process of evaluating program change controls, an IS auditor would use source code comparison software to:

- A. examine source program changes without information from IS personee
- B. detect a source program change made between acquiring a copy of the source and the comparison ru
- C. confirm that the control copy is the current version of the production progra
- D. ensure that all changes made in the current source copy are detecte

Answer: A

Explanation:

An IS auditor has an objective, independent and relatively complete assurance of program changes because the source code comparison will identify changes. Choice B is incorrect, because the changes made since the acquisition of the copy are not included in the copy of the software. Choice C is incorrect, as an IS auditor will have to gain this assurance separately. Choice D is incorrect, because any changes made between the time the control copy was acquired and the source code comparison is made will not be detected.

NEW QUESTION 221

- (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 222

- (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 226

- (Topic 2)

Which of the following should an IS auditor use to detect duplicate invoice records within an invoice master file?

- A. Attribute sampling
- B. Generalized audit software (GAS)
- C. Test data
- D. Integrated test facility (ITF)

Answer: B

Explanation:

Generalized audit software (GAS) would enable the auditor to review the entire invoice file to look for those items that meet the selection criteria. Attribute sampling would aid in identifying records meeting specific conditions, but would not compare one record to another to identify duplicates. To detect duplicate invoice records the IS auditor should check all of the items that meet the criteria and not just a sample of the items. Test data are used to verify program processing, but will not identify duplicate records. An integrated test facility (ITF) allows the IS auditor to test transactions through the production system, but would not compare records to identify duplicates.

NEW QUESTION 230

- (Topic 2)

During a change control audit of a production system, an IS auditor finds that the change management process is not formally documented and that some migration procedures failed. What should the IS auditor do next?

- A. Recommend redesigning the change management process
- B. Gain more assurance on the findings through root cause analysis
- C. Recommend that program migration be stopped until the change process is documented
- D. Document the finding and present it to management

Answer: B

Explanation:

A change management process is critical to IT production systems. Before recommending that the organization take any other action (e.g., stopping migrations, redesigning the change management process), the IS auditor should gain assurance that the incidents reported are related to deficiencies in the change management process and not caused by some process other than change management.

NEW QUESTION 234

- (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 235

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

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 236

- (Topic 2)

Which of the following is an attribute of the control self-assessment (CSA) approach?

- A. Broad stakeholder involvement
- B. Auditors are the primary control analysts
- C. Limited employee participation
- D. Policy driven

Answer: A

Explanation:

The control self-assessment (CSA) approach emphasizes management of and accountability for developing and monitoring the controls of an organization's business processes. The attributes of CSA include empowered employees, continuous improvement, extensive employee participation and training, all of which are representations of broad stakeholder involvement. Choices B, C and D are attributes of a traditional audit approach.

NEW QUESTION 239

- (Topic 3)

An IT steering committee should review information systems PRIMARILY to assess:

- A. whether IT processes support business requirement
- B. if proposed system functionality is adequate
- C. the stability of existing software
- D. the complexity of installed technology

Answer: A

Explanation:

The role of an IT steering committee is to ensure that the IS department is in harmony with the organization's mission and objectives. To ensure this, the committee must determine whether IS processes support the business requirements. Assessing proposed additional functionality and evaluating software stability and the complexity of technology are too narrow in scope to ensure that IT processes are, in fact, supporting the organization's goals.

NEW QUESTION 241

- (Topic 3)

An IS steering committee should:

- A. include a mix of members from different departments and staff level
- B. ensure that IS security policies and procedures have been executed properly
- C. have formal terms of reference and maintain minutes of its meeting
- D. be briefed about new trends and products at each meeting by a vendor

Answer: C

Explanation:

It is important to keep detailed steering committee minutes to document the decisions and activities of the IS steering committee, and the board of directors should be informed about those decisions on a timely basis. Choice A is incorrect because only senior management or high-level staff members should be on this committee because of its strategic mission. Choice B is not a responsibility of this committee, but the responsibility of the security administrator. Choice D is incorrect because a vendor should be invited to meetings only when appropriate.

NEW QUESTION 244

- (Topic 3)

Establishing the level of acceptable risk is the responsibility of:

- A. quality assurance management
- B. senior business management
- C. the chief information officer
- D. the chief security officer

Answer: B

Explanation:

Senior management should establish the acceptable risk level, since they have the ultimate or final responsibility for the effective and efficient operation of the organization. Choices A, C and D should act as advisors to senior management in determining an acceptable risk level.

NEW QUESTION 246

- (Topic 3)

IT governance is PRIMARILY the responsibility of the:

- A. chief executive officer
- B. board of directors
- C. IT steering committee
- D. audit committee

Answer: B

Explanation:

IT governance is primarily the responsibility of the executives and shareholders (as represented by the board of directors). The chief executive officer is instrumental in implementing IT governance per the directions of the board of directors. The IT steering committee monitors and facilitates deployment of IT resources for specific projects in support of business plans. The audit committee reports to the board of directors and should monitor the implementation of audit recommendations.

NEW QUESTION 251

- (Topic 3)

The MAJOR consideration for an IS auditor reviewing an organization's IT project portfolio is the:

- A. IT budget
- B. existing IT environment
- C. business plan
- D. investment plan

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 the business 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 254

- (Topic 3)

A local area network (LAN) administrator normally would be restricted from:

- A. having end-user responsibilities
- B. reporting to the end-user manager
- C. having programming responsibilities
- D. being responsible for LAN security administration

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 259

- (Topic 3)

Which of the following controls would an IS auditor look for in an environment where duties cannot be appropriately segregated?

- A. Overlapping controls
- B. Boundary controls
- C. Access controls
- D. Compensating controls

Answer: D

Explanation:

Compensating controls are internal controls that are intended to reduce the risk of an existing or potential control weakness that may arise when duties cannot be appropriately segregated. Overlapping controls are two controls addressing the same control objective or exposure. Since primary controls cannot be achieved when duties cannot or are not appropriately segregated, it is difficult to install overlapping controls. Boundary controls establish the interface between the would-be user of a computer system and the computer system itself, and are individual-based, not role-based, controls. Access controls for resources are based on individuals and not on roles.

NEW QUESTION 264

- (Topic 3)

To gain an understanding of the effectiveness of an organization's planning and management of investments in IT assets, an IS auditor should review the:

- A. enterprise data model
- B. IT balanced scorecard (BSC).
- C. IT organizational structure
- D. historical financial statement

Answer: B

Explanation:

The IT balanced scorecard (BSC) is a tool that 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. An enterprise data model is a document defining the data structure of an organization and how data interrelate. It is useful, but it does not provide information on investments. The IT organizational structure provides an overview of the functional and reporting relationships in an IT entity. Historical financial statements do not provide information about planning and lack sufficient detail to enable one to fully understand management's activities regarding IT assets. Past costs do not necessarily reflect value, and assets such as data are not represented on the books of accounts.

NEW QUESTION 265

- (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 267

- (Topic 3)

To support an organization's goals, an IS department should have:

- A. a low-cost philosoph
- B. long- and short-range plan
- C. leading-edge technolog
- D. plans to acquire new hardware and softwar

Answer: B

Explanation:

To ensure its contribution to the realization of an organization's overall goals, the IS department should have long- and short-range plans that are consistent with the organization's broader plans for attaining its goals. Choices A and C are objectives, and plans would be needed to delineate how each of the objectives would be achieved. Choice D could be a part of the overall plan but would be required only if hardware or software is needed to achieve the organizational goals.

NEW QUESTION 269

- (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 and would thus be a part of the organization's strategic plan. The other choices are project-oriented and do not address business objectives.

NEW QUESTION 272

- (Topic 3)

When reviewing IS strategies, an IS auditor can BEST assess whether IS strategy supports the organizations' business objectives by determining if IS:

- A. has all the personnel and equipment it need
- B. plans are consistent with management strateg
- C. uses its equipment and personnel efficiently and effective
- D. has sufficient excess capacity to respond to changing direction

Answer: B

Explanation:

Determining if the IS plan is consistent with management strategy relates IS/IT planning to business plans. Choices A, C and D are effective methods for determining the alignment of IS plans with business objectives and the organization's strategies.

NEW QUESTION 277

- (Topic 3)

When reviewing the IT strategic planning process, an IS auditor should ensure that the plan:

- A. incorporates state of the art technolog
- B. addresses the required operational control
- C. articulates the IT mission and visio
- D. specifies project management practice

Answer: C

Explanation:

The IT strategic plan must include a clear articulation of the IT mission and vision. The plan need not address the technology, operational controls or project management practices.

NEW QUESTION 281

- (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 285

- (Topic 3)

The PRIMARY objective of an audit of IT security policies is to ensure that:

- A. they are distributed and available to all staf
- B. security and control policies support business and IT objective
- C. there is a published organizational chart with functional description
- D. duties are appropriately segregate

Answer: B

Explanation:

Business orientation should be the main theme in implementing security. Hence, an IS audit of IT security policies should primarily focus on whether the IT and related security and control policies support business and IT objectives. Reviewing whether policies are available to all is an objective, but distribution does not ensure compliance. Availability of organizational charts with functional descriptions and segregation of duties might be included in the review, but are not the primary objective of an audit of security policies.

NEW QUESTION 290

- (Topic 3)

Which of the following is the initial step in creating a firewall policy?

- A. A cost-benefit analysis of methods for securing the applications
- B. Identification of network applications to be externally accessed
- C. Identification of vulnerabilities associated with network applications to be externally accessed
- D. Creation of an applications traffic matrix showing protection methods

Answer: B

Explanation:

Identification of the applications required across the network should be identified first. After identification, depending on the physical location of these applications in the network and the network model, the person in charge will be able to understand the need for, and possible methods of, controlling access to these applications. Identifying methods to protect against identified vulnerabilities and their comparative cost-benefit analysis is the third step. Having identified the applications, the next step is to identify vulnerabilities (weaknesses) associated with the network applications. The next step is to analyze the application traffic and create a matrix showing how each type of traffic will be protected.

NEW QUESTION 292

- (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 295

- (Topic 3)

A comprehensive and effective e-mail policy should address the issues of e-mail structure, policy enforcement, monitoring and:

- A. recover
- B. retentio
- C. rebuildin
- D. reus

Answer: B

Explanation:

Besides being a good practice, laws and regulations may require that an organization keep information that has an impact on the financial statements. The

prevalence of lawsuits in which e-mail communication is held in the same regard as the official form of classic 'paper' makes the retention of corporate e-mail a necessity. All e-mail generated on an organization's hardware is the property of the organization, and an e-mail policy should address the retention of messages, considering both known and unforeseen litigation. The policy should also address the destruction of e-mails after a specified time to protect the nature and confidentiality of the messages themselves. Addressing the retention issue in the e-mail policy would facilitate recovery, rebuilding and reuse.

NEW QUESTION 300

- (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 year
- C. Privacy laws could prevent cross-border flow of information
- 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 301

- (Topic 3)

IT control objectives are useful to IS auditors, as they provide the basis for understanding the:

- A. desired result or purpose of implementing specific control procedure
- B. best IT security control practices relevant to a specific entity
- C. techniques for securing information
- D. security policy

Answer: A

Explanation:

An IT control objective is defined as the statement of the desired result or purpose to be achieved by implementing control procedures in a particular IT activity. They provide the actual objectives for implementing controls and may or may not be the best practices. Techniques are the means of achieving an objective, and a security policy is a subset of IT control objectives.

NEW QUESTION 303

- (Topic 3)

The initial step in establishing an information security program is the:

- A. development and implementation of an information security standards manual
- B. performance of a comprehensive security control review by the IS auditor
- C. adoption of a corporate information security policy statement
- D. purchase of security access control software

Answer: C

Explanation:

A policy statement reflects the intent and support provided by executive management for proper security and establishes a starting point for developing the security program.

NEW QUESTION 308

- (Topic 3)

To assist an organization in planning for IT investments, an IS auditor should recommend the use of:

- A. project management tool
- B. an object-oriented architecture
- C. tactical planning
- D. enterprise architecture (EA).

Answer: D

Explanation:

Enterprise architecture (EA) involves documenting the organization's IT assets and processes in a structured manner to facilitate understanding, management and planning for IT investments. It involves both a current state and a representation of an optimized future state. In attempting to complete an EA, organizations can address the problem either from a technology perspective or a business process perspective. Project management does not consider IT investment aspects; it is a tool to aid in delivering projects. Object-oriented architecture is a software development methodology and does not assist in planning for IT investment, while tactical planning is relevant only after high-level IT investment decisions have been made.

NEW QUESTION 313

- (Topic 3)

In the context of effective information security governance, the primary objective of value delivery is to:

- A. optimize security investments in support of business objective
- B. implement a standard set of security practice
- C. institute a standards-based solutio
- D. implement a continuous improvement cultur

Answer: A

Explanation:

In the context of effective information security governance, value delivery is implemented to ensure optimization of security investments in support of business objectives. The tools and techniques for implementing value delivery include implementation of a standard set of security practices, institutionalization and commoditization of standards-based solutions, and implementation of a continuous improvement culture considering security as a process, not an event.

NEW QUESTION 315

- (Topic 3)

Which of the following BEST supports the prioritization of new IT projects?

- A. Internal control self-assessment (CSA)
- B. Information systems audit
- C. Investment portfolio analysis
- D. Business risk assessment

Answer: C

Explanation:

It is most desirable to conduct an investment portfolio analysis, which will present not only a clear focus on investment strategy, but will provide the rationale for terminating nonperforming IT projects. Internal control self-assessment {CSA} may highlight noncompliance to the current policy, but may not necessarily be the best source for driving the prioritization of IT projects. Like internal CSA, IS audits may provide only part of the picture for the prioritization of IT projects. Businessrisk analysis is part of the investment portfolio analysis but, by itself, is not the best method for prioritizing new IT projects.

NEW QUESTION 319

- (Topic 3)

Is it appropriate for an IS auditor from a company that is considering outsourcing its IS processing to request and review a copy of each vendor's business continuity plan?

- A. Yes, because an IS auditor will evaluate the adequacy of the service bureau's plan and assist their company in implementing a complementary pla
- B. Yes, because based on the plan, an IS auditor will evaluate the financial stability of the service bureau and its ability to fulfill the contrac
- C. No, because the backup to be provided should be specified adequately in the contrac
- D. No, because the service bureau's business continuity plan is proprietary informatio

Answer: A

Explanation:

The primary responsibility of an IS auditor is to assure that the company assets are being safeguarded. This is true even if the assets do not reside on the immediate premises. Reputable service bureaus will have a well-designed and tested business continuity plan.

NEW QUESTION 320

- (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 324

- (Topic 3)

While conducting an audit of a service provider, an IS auditor observes that the service provider has outsourced a part of the work to another provider. Since the work involves confidential information, the IS auditor's PRIMARY concern shouldbe that the:

- A. requirement for protecting confidentiality of information could be compromise
- B. contract may be terminated because prior permission from the outsourcer was not obtaine
- C. other service provider to whom work has been outsourced is not subject to audi
- D. outsourcer will approach the other service provider directly for further wor

Answer: A

Explanation:

Many countries have enacted regulations to protect the confidentiality of information maintained in their countries and/or exchanged with other countries. Where a service provider outsources part of its services to another service provider, there is a potential risk that the confidentiality of the information will be compromised. Choices B and C could be concerns but are not related to ensuring the confidentiality of information. There is no reason why an IS auditor should be concerned with choice D.

NEW QUESTION 327

- (Topic 3)

Which of the following is the BEST information source for management to use as an aid in the identification of assets that are subject to laws and regulations?

- A. Security incident summaries
- B. Vendor best practices
- C. CERT coordination center
- D. Significant contracts

Answer: D

Explanation:

Contractual requirements are one of the sources that should be consulted to identify the requirements for the management of information assets. Vendor best practices provides a basis for evaluating how competitive an enterprise is, while security incident summaries are a source for assessing the vulnerabilities associated with the IT infrastructure. CERT {www.cert.org} is an information source for assessing vulnerabilities within the IT infrastructure.

NEW QUESTION 332

- (Topic 3)

Which of the following is the MOST important IS audit consideration when an organization outsources a customer credit review system to a third-party service provider? The provider:

- A. meets or exceeds industry security standard
- B. agrees to be subject to external security review
- C. has a good market reputation for service and experience
- D. complies with security policies of the organization

Answer: B

Explanation:

It is critical that an independent security review of an outsourcing vendor be obtained because customer credit information will be kept there. Compliance with security standards or organization policies is important, but there is no way to verify or prove that that is the case without an independent review. Though long experience in business and good reputation is an important factor to assess service quality, the business cannot outsource to a provider whose security control is weak.

NEW QUESTION 336

- (Topic 3)

The risks associated with electronic evidence gathering would MOST likely be reduced by an e-mail:

- A. destruction policy
- B. security policy
- C. archive policy
- D. audit policy

Answer: C

Explanation:

With a policy of well-archived e-mail records, access to or retrieval of specific e-mail records is possible without disclosing other confidential e-mail records. Security and/or audit policies would not address the efficiency of record retrieval, and destroying e-mails may be an illegal act.

NEW QUESTION 339

- (Topic 3)

The output of the risk management process is an input for making:

- A. business plan
- B. audit charter
- C. security policy decision
- D. software design decision

Answer: C

Explanation:

The risk management process is about making specific, security-related decisions, such as the level of acceptable risk. Choices A, B and D are not ultimate goals of the risk management process.

NEW QUESTION 344

- (Topic 3)

A team conducting a risk analysis is having difficulty projecting the financial losses that could result from a risk. To evaluate the potential losses, the team should:

- A. compute the amortization of the related asset
- B. calculate a return on investment (ROI).
- C. apply a qualitative approach
- D. spend the time needed to define exactly the loss amount

Answer: C

Explanation:

The common practice, when it is difficult to calculate the financial losses, is to take a qualitative approach, in which the manager affected by the risk defines the financial loss in terms of a weighted factor {e.g., one is a very low impact to the business and five is a very high impact). An ROI is computed when there is predictable savings or revenues that can be compared to the investment needed to realize the revenues. Amortization is used in a profit and loss statement, not in computing potential losses. Spending the time needed to define exactly the total amount is normally a wrong approach. If it has been difficult to estimate potential losses (e.g., losses derived from erosion of public image due to a hack attack), that situation is not likely to change, and at the end of the day, the result will be a not well-supported evaluation.

NEW QUESTION 347

- (Topic 3)

Which of the following does a lack of adequate security controls represent?

- A. Threat
- B. Asset
- C. Impact
- D. Vulnerability

Answer: D

Explanation:

The lack of adequate security controls represents a vulnerability, exposing sensitive information and data to the risk of malicious damage, attack or unauthorized access by hackers. This could result in a loss of sensitive information and lead to the loss of goodwill for the organization. A succinct definition of risk is provided by the Guidelines for the Management of IT Security published by the International Organization for Standardization (ISO), which defines risk as the 'potential that a given threat will exploit the vulnerability of an asset or group of assets to cause loss or damage to the assets.' The various elements of the definition are vulnerability, threat, asset and impact. Lack of adequate security functionality in this context is a vulnerability.

NEW QUESTION 349

- (Topic 3)

An IS auditor reviewing the risk assessment process of an organization should FIRST:

- A. identify the reasonable threats to the information asset
- B. analyze the technical and organizational vulnerabilities
- C. identify and rank the information asset
- D. evaluate the effect of a potential security breach

Answer: C

Explanation:

Identification and ranking of information assets-e.g., data criticality, locations of assets-will set the tone or scope of how to assess risk in relation to the organizational value of the asset. Second, the threats facing each of the organization's assets should be analyzed according to their value to the organization. Third, weaknesses should be identified so that controls can be evaluated to determine if they mitigate the weaknesses. Fourth, analyze how these weaknesses, in absence of given controls, would impact the organization information assets.

NEW QUESTION 352

- (Topic 3)

During an audit, an IS auditor notices that the IT department of a medium-sized organization has no separate risk management function, and the organization's operational risk documentation only contains a few broadly described IT risks. What is the MOST appropriate recommendation in this situation?

- A. Create an IT risk management department and establish an IT risk framework with the aid of external risk management expert
- B. Use common industry standard aids to divide the existing risk documentation into several individual risks which will be easier to handle
- C. No recommendation is necessary since the current approach is appropriate for a medium-sized organization
- D. Establish regular IT risk management meetings to identify and assess risks, and create a mitigation plan as input to the organization's risk management

Answer: D

Explanation:

Establishing regular meetings is the best way to identify and assess risks in a medium-sized organization, to address responsibilities to the respective management and to keep the risk list and mitigation plans up to date. A medium-sized organization would normally not have a separate IT risk management department. Moreover, the risks are usually manageable enough so that external help would not be needed. While common risks may be covered by common industry standards, they cannot address the specific situation of an organization. Individual risks will not be discovered without a detailed assessment from within the organization. Splitting the one risk position into several is not sufficient.

NEW QUESTION 355

- (Topic 3)

Before implementing an IT balanced scorecard, an organization must:

- A. deliver effective and efficient service
- B. define key performance indicator

- C. provide business value to IT project
- D. control IT expense

Answer: B

Explanation:

A definition of key performance indicators is required before implementing an IT balanced scorecard. Choices A, C and D are objectives.

NEW QUESTION 360

- (Topic 3)

Which of the following is the PRIMARY objective of an IT performance measurement process?

- A. Minimize errors
- B. Gather performance data
- C. Establish performance baselines
- D. Optimize performance

Answer: D

Explanation:

An IT performance measurement process can be used to optimize performance, measure and manage products/services, assure accountability and make budget decisions. Minimizing errors is an aspect of performance, but not the primary objective of performance management. Gathering performance data is a phase of IT measurement process and would be used to evaluate the performance against previously established performance baselines.

NEW QUESTION 361

- (Topic 4)

When auditing the proposed acquisition of a new computer system, an IS auditor should FIRST establish that:

- A. a clear business case has been approved by management
- B. corporate security standards will be met
- C. users will be involved in the implementation plan
- D. the new system will meet all required user functionality

Answer: A

Explanation:

The first concern of an IS auditor should be to establish that the proposal meets the needs of the business, and this should be established by a clear business case. Although compliance with security standards is essential, as is meeting the needs of the users and having users involved in the implementation process, it is too early in the procurement process for these to be an IS auditor's first concern.

NEW QUESTION 362

- (Topic 4)

The reason for establishing a stop or freezing point on the design of a new system is to:

- A. prevent further changes to a project in process
- B. indicate the point at which the design is to be complete
- C. require that changes after that point be evaluated for cost-effectiveness
- D. provide the project management team with more control over the project design

Answer: C

Explanation:

Projects often have a tendency to expand, especially during the requirements definition phase. This expansion often grows to a point where the originally anticipated cost-benefits are diminished because the cost of the project has increased. When this occurs, it is recommended that the project be stopped or frozen to allow a review of all of the cost-benefits and the payback period.

NEW QUESTION 366

- (Topic 4)

An IS auditor finds that a system under development has 12 linked modules and each item of data can carry up to 10 definable attribute fields. The system handles several million transactions a year. Which of these techniques could an IS auditor use to estimate the size of the development effort?

- A. Program evaluation review technique (PERT)
- B. Counting source lines of code (SLOC)
- C. Function point analysis
- D. White box testing

Answer: C

Explanation:

Function point analysis is an indirect method of measuring the size of an application by considering the number and complexity of its inputs, outputs and files. It is useful for evaluating complex applications. PERT is a project management technique that helps with both planning and control. SLOC gives a direct measure of program size, but does not allow for the complexity that may be caused by having multiple, linked modules and a variety of inputs and outputs. White box testing involves a detailed review of the behavior of program code, and is a quality assurance technique suited to simpler applications during the design and build stage of

development.

NEW QUESTION 368

- (Topic 4)

An IS auditor has been asked to participate in project initiation meetings for a critical project. The IS auditor's MAIN concern should be that the:

- A. complexity and risks associated with the project have been analyze
- B. resources needed throughout the project have been determine
- C. project deliverables have been identifie
- D. a contract for external parties involved in the project has been complete

Answer: A

Explanation:

Understanding complexity and risk, and actively managing these throughout a project are critical to a successful outcome. The other choices, while important during the course of the project, cannot be fully determined at the time the project is initiated, and are often contingent upon the risk and complexity of the project.

NEW QUESTION 372

- (Topic 4)

While evaluating software development practices in an organization, an IS auditor notes that the quality assurance (QA) function reports to project management. The MOST important concern for an IS auditor is the:

- A. effectiveness of the QA function because it should interact between project management and user management
- B. efficiency of the QA function because it should interact with the project implementation tea
- C. effectiveness of the project manager because the project manager should interact with the QA functio
- D. efficiency of the project manager because the QA function will need to communicate with the project implementation tea

Answer: A

Explanation:

To be effective the quality assurance (QA) function should be independent of project management. The QA function should never interact with the project implementation team since this can impact effectiveness. The project manager does not interact with the QA function, which should not impact the effectiveness of the project manager. The QA function does not interact with the project implementation team, which should not impact the efficiency of the project manager.

NEW QUESTION 374

- (Topic 4)

When reviewing a project where quality is a major concern, an IS auditor should use the project management triangle to explain that:

- A. increases in quality can be achieved, even if resource allocation is decrease
- B. increases in quality are only achieved if resource allocation is increase
- C. decreases in delivery time can be achieved, even if resource allocation is decrease
- D. decreases in delivery time can only be achieved if quality is decrease

Answer: A

Explanation:

The three primary dimensions of a project are determined by the deliverables, the allocated resources and the delivery time. The area of the project management triangle, comprised of these three dimensions, is fixed. Depending on the degree of freedom, changes in one dimension might be compensated by changing either one or both remaining dimensions. Thus, if resource allocation is decreased an increase in quality can be achieved, if a delay in the delivery time of the project will be accepted. The area of the triangle always remains constant.

NEW QUESTION 377

- (Topic 4)

A legacy payroll application is migrated to a new application. Which of the following stakeholders should be PRIMARILY responsible for reviewing and signing-off on the accuracy and completeness of the data before going live?

- A. IS auditor
- B. Database administrator
- C. Project manager
- D. Data owner

Answer: D

Explanation:

During the data conversion stage of a project, the data owner is primarily responsible for reviewing and signing-off that the data are migrated completely, accurately and are valid. An IS auditor is not responsible for reviewing and signing-off on the accuracy of the converted data. However, an IS auditor should ensure that there is a review and sign-off by the data owner during the data conversion stage of the project. A database administrator's primary responsibility is to maintain the integrity of the database and make the database available to users. A database administrator is not responsible for reviewing migrated data. A project manager provides day-to-day management and leadership of the project, but is not responsible for the accuracy and integrity of the data.

NEW QUESTION 382

- (Topic 4)

Which of the following types of data validation editing checks is used to determine if a field contains data, and not zeros or blanks?

- A. Check digit
- B. Existence check
- C. Completeness check
- D. Reasonableness check

Answer: C

Explanation:

A completeness check is used to determine if a field contains data and not zeros or blanks. A check digit is a digit calculated mathematically to ensure original data were not altered. An existence check also checks entered data for agreement to predetermined criteria. A reasonableness check matches input to predetermined reasonable limits or occurrence rates.

NEW QUESTION 387

- (Topic 4)

To reduce the possibility of losing data during processing, the FIRST point at which control totals should be implemented is:

- A. during data preparatio
- B. in transit to the compute
- C. between related computer run
- D. during the return of the data to the user departmen

Answer: A

Explanation:

During data preparation is the best answer, because it establishes control at the earliest point.

NEW QUESTION 390

- (Topic 4)

Functional acknowledgements are used:

- A. as an audit trail for EDI transaction
- B. to functionally describe the IS departmen
- C. to document user roles and responsibilitie
- D. as a functional description of application softwar

Answer: A

Explanation:

Functional acknowledgements are standard EDI transactions that tell trading partners that their electronic documents were received. Different types of functional acknowledgments provide various levels of detail and, therefore, can act as an audit trail for EDI transactions. The other choices are not relevant to the description of functional acknowledgements.

NEW QUESTION 395

- (Topic 4)

What control detects transmission errors by appending calculated bits onto the end of each segment of data?

- A. Reasonableness check
- B. Parity check
- C. Redundancy check
- D. Check digits

Answer: C

Explanation:

A redundancy check detects transmission errors by appending calculated bits onto the end of each segment of data. A reasonableness check compares data to predefined reasonability limits or occurrence rates established for the data. A parity check is a hardware control that detects data errors when data are read from one computer to another, from memory or during transmission. Check digits detect transposition and transcription errors.

NEW QUESTION 398

- (Topic 4)

Which of the following will BEST ensure the successful offshore development of business applications?

- A. Stringent contract management practices
- B. Detailed and correctly applied specifications
- C. Awareness of cultural and political differences
- D. Postimplementation reviews

Answer: B

Explanation:

When dealing with offshore operations, it is essential that detailed specifications be created. Language differences and a lack of interaction between developers and physically remote end users could create gaps in communication in which assumptions and modifications may not be adequately communicated. Contract management practices, cultural and political differences, and postimplementation reviews, although important, are not as pivotal to the success of the project.

NEW QUESTION 400

- (Topic 4)

An appropriate control for ensuring the authenticity of orders received in an EDI application is to:

- A. acknowledge receipt of electronic orders with a confirmation message
- B. perform reasonableness checks on quantities ordered before filling order
- C. verify the identity of senders and determine if orders correspond to contract terms
- D. encrypt electronic order

Answer: C

Explanation:

An electronic data interchange (EDI) system is subject not only to the usual risk exposures of computer systems but also to those arising from the potential ineffectiveness of controls on the part of the trading partner and the third-party service provider, making authentication of users and messages a major security concern. Acknowledging the receipt of electronic orders with a confirming message is good practice but will not authenticate orders from customers. Performing reasonableness checks on quantities ordered before placing orders is a control for ensuring the correctness of the company's orders, not the authenticity of its customers' orders. Encrypting sensitive messages is an appropriate step but does not apply to messages received.

NEW QUESTION 401

- (Topic 4)

Which of the following is an object-oriented technology characteristic that permits an enhanced degree of security over data?

- A. inheritance
- B. Dynamic warehousing
- C. Encapsulation
- D. Polymorphism

Answer: C

Explanation:

Encapsulation is a property of objects, and it prevents accessing either properties or methods that have not been previously defined as public. This means that any implementation of the behavior of an object is not accessible. An object defines a communication interface with the exterior and only that which belongs to that interface can be accessed.

NEW QUESTION 405

- (Topic 4)

A decision support system (DSS):

- A. is aimed at solving highly structured problems
- B. combines the use of models with nontraditional data access and retrieval functions
- C. emphasizes flexibility in the decision making approach of users
- D. supports only structured decision making tasks

Answer: C

Explanation:

DSS emphasizes flexibility in the decision making approach of users. It is aimed at solving less structured problems, combines the use of models and analytic techniques with traditional data access and retrieval functions, and supports semistructured decision making tasks.

NEW QUESTION 406

- (Topic 4)

An advantage of using sanitized live transactions in test data is that:

- A. all transaction types will be included
- B. every error condition is likely to be tested
- C. no special routines are required to assess the results
- D. test transactions are representative of live processing

Answer: D

Explanation:

Test data will be representative of live processing; however, it is unlikely that all transaction types or error conditions will be tested in this way.

NEW QUESTION 407

- (Topic 4)

The knowledge base of an expert system that uses questionnaires to lead the user through a series of choices before a conclusion is reached is known as:

- A. rule
- B. decision tree
- C. semantic net
- D. dataflow diagram

Answer: B

Explanation:

Decision trees use questionnaires to lead a user through a series of choices until a conclusion is reached. Rules refer to the expression of declarative knowledge through the use of if-then relationships. Semantic nets consist of a graph in which nodes represent physical or conceptual objects and the arcs describe the relationship between the nodes. Semantic nets resemble a dataflow diagram and make use of an inheritance mechanism to prevent duplication of data.

NEW QUESTION 411

- (Topic 4)

During which of the following phases in system development would user acceptance test plans normally be prepared?

- A. Feasibility study
- B. Requirements definition
- C. implementation planning
- D. Postimplementation review

Answer: B

Explanation:

During requirements definition, the project team will be working with the users to define their precise objectives and functional needs. At this time, the users should be working with the team to consider and document how the system functionality can be tested to ensure it meets their stated needs. The feasibility study is too early for such detailed user involvement, and the implementation planning and postimplementation review phases are too late. An IS auditor should know at what point user testing should be planned to ensure it is most effective and efficient.

NEW QUESTION 413

- (Topic 4)

The MOST likely explanation for the use of applets in an Internet application is that:

- A. it is sent over the network from the server
- B. the server does not run the program and the output is not sent over the network
- C. they improve the performance of the web server and network
- D. it is a JAVA program downloaded through the web browser and executed by the web server of the client machine

Answer: C

Explanation:

An applet is a JAVA program that is sent over the network from the web server, through a web browser and to the client machine; the code is then run on the machine. Since the server does not run the program and the output is not sent over the network, the performance on the web server and network-over which the server and client are connected-dramatically improves through the use of applets. Performance improvement is more important than the reasons offered in choices A and B. Since JAVA virtual machine (JVM) is embedded in most web browsers, the applet download through the web browser runs on the client machine from the web browser, not from the web server, making choice D incorrect.

NEW QUESTION 417

- (Topic 4)

Functionality is a characteristic associated with evaluating the quality of software products throughout their life cycle, and is BEST described as the set of attributes that bear on the:

- A. existence of a set of functions and their specified properties
- B. ability of the software to be transferred from one environment to another
- C. capability of software to maintain its level of performance under stated conditions
- D. relationship between the performance of the software and the amount of resources used

Answer: A

Explanation:

Functionality is the set of attributes that bears on the existence of a set of functions and their specified properties. The functions are those that satisfy stated or implied needs. Choice B refers to portability, choice C refers to reliability and choice D refers to efficiency.

NEW QUESTION 419

- (Topic 4)

During the development of an application, the quality assurance testing and user acceptance testing were combined. The MAJOR concern for an IS auditor reviewing the project is that there will be:

- A. increased maintenance
- B. improper documentation of testing
- C. inadequate functional testing
- D. delays in problem resolution

Answer: C

Explanation:

The major risk of combining quality assurance testing and user acceptance testing is that functional testing may be inadequate. Choices A, B and D are not as important.

NEW QUESTION 424

- (Topic 4)

The GREATEST advantage of rapid application development (RAD) over the traditional system development life cycle (SDLC) is that it:

- A. facilitates user involvemen
- B. allows early testing of technical feature
- C. facilitates conversion to the new syste
- D. shortens the development time fram

Answer: D

Explanation:

The greatest advantage of RAD is the shorter time frame for the development of a system. Choices A and B are true, but they are also true for the traditional systems development life cycle. Choice C is not necessarily always true.

NEW QUESTION 428

- (Topic 4)

The GREATEST benefit in implementing an expert system is the:

- A. capturing of the knowledge and experience of individuals in an organizatio
- B. sharing of knowledge in a central repositor
- C. enhancement of personnel productivity and performanc
- D. reduction of employee turnover in key department

Answer: A

Explanation:

The basis for an expert system is the capture and recording of the knowledge and experience of individuals in an organization. Coding and entering the knowledge in a central repository, shareable within the enterprise, is a means of facilitating the expert system. Enhancing personnel productivity and performance is a benefit; however, it is not as important as capturing the knowledge and experience. Employee turnover is not necessarily affected by an expert system.

NEW QUESTION 432

- (Topic 4)

Which of the following is MOST critical when creating data for testing the logic in a new or modified application system?

- A. A sufficient quantity of data for each test case
- B. Data representing conditions that are expected in actual processing
- C. Completing the test on schedule
- D. A random sample of actual data

Answer: B

Explanation:

Selecting the right kind of data is key in testing a computer system. The data should not only include valid and invalid data but should be representative of actual processing; quality is more important than quantity. It is more important to have adequate test data than to complete the testing on schedule. It is unlikely that a random sample of actual data would cover all test conditions and provide a reasonable representation of actual data.

NEW QUESTION 437

- (Topic 4)

Which testing approach is MOST appropriate to ensure that internal application interface errors are identified as soon as possible?

- A. Bottom up
- B. Sociability testing
- C. Top-down
- D. System test

Answer: C

Explanation:

The top-down approach to testing ensures that interface errors are detected early and that testing of major functions is conducted early. A bottom-up approach to testing begins with atomic units, such as programs and modules, and works upward until a complete system test has taken place. Sociability testing and system tests take place at a later stage in the development process.

NEW QUESTION 441

- (Topic 4)

Which of the following is an advantage of the top-down approach to software testing?

- A. Interface errors are identified early
- B. Testing can be started before all programs are complete
- C. it is more effective than other testing approaches
- D. Errors in critical modules are detected sooner

Answer: A

Explanation:

The advantage of the top-down approach is that tests of major functions are conducted early, thus enabling the detection of interface errors sooner. The most effective testing approach is dependent on the environment being tested. Choices B and D are advantages of the bottom-up approach to system testing.

NEW QUESTION 442

- (Topic 4)

During the system testing phase of an application development project the IS auditor should review the:

- A. conceptual design specification
- B. vendor contract
- C. error report
- D. program change request

Answer: C

Explanation:

Testing is crucial in determining that user requirements have been validated. The IS auditor should be involved in this phase and review error reports for their precision in recognizing erroneous data and review the procedures for resolving errors. A conceptual design specification is a document prepared during the requirements definition phase. A vendor contract is prepared during a software acquisition process. Program change requests would normally be reviewed as a part of the postimplementation phase.

NEW QUESTION 444

- (Topic 4)

The specific advantage of white box testing is that it:

- A. verifies a program can operate successfully with other parts of the system
- B. ensures a program's functional operating effectiveness without regard to the internal program structure
- C. determines procedural accuracy or conditions of a program's specific logic path
- D. examines a program's functionality by executing it in a tightly controlled or virtual environment with restricted access to the host system

Answer: C

Explanation:

White box testing assesses the effectiveness of software program logic. Specifically, test data are used in determining procedural accuracy or conditions of a program's logic paths. Verifying the program can operate successfully with other parts of the system is sociability testing. Testing the program's functionality without knowledge of internal structures is black box testing. Controlled testing of programs in a semi-debugged environment, either heavily controlled step-by-step or via monitoring in virtual machines, is sand box testing.

NEW QUESTION 445

- (Topic 4)

Following best practices, formal plans for implementation of new information systems are developed during the:

- A. development phase
- B. design phase
- C. testing phase
- D. deployment phase

Answer: B

Explanation:

Planning for implementation should begin well in advance of the actual implementation date. A formal implementation plan should be constructed in the design phase and revised as the development progresses.

NEW QUESTION 447

- (Topic 4)

An IS auditor finds that user acceptance testing of a new system is being repeatedly interrupted as defect fixes are implemented by developers. Which of the following would be the BEST recommendation for an IS auditor to make?

- A. Consider feasibility of a separate user acceptance environment
- B. Schedule user testing to occur at a given time each day
- C. implement a source code version control tool
- D. Only retest high priority defects

Answer: A

Explanation:

A separate environment or environments is normally necessary for testing to be efficient and effective, and to ensure the integrity of production code, it is important that the development and testing code base be separate. When defects are identified they can be fixed in the development environment, without interrupting testing, before being migrated in a controlled manner to the test environment. A separate test environment can also be used as the final staging area from which code is migrated to production. This enforces a separation between development and production code. The logistics of setting up and refreshing customized test data is easier if a separate environment is maintained. If developers and testers are sharing the same environment, they have to work effectively at separate times of the day. It is unlikely that this would provide optimum productivity. Use of a source code control tool is a good practice, but it does not properly mitigate the lack of an appropriate testing environment. Even low priority fixes run the risk of introducing unintended results when combined with the rest of the system code. To prevent this, regular regression testing covering all code changes should occur. A separate test environment makes the logistics of regression testing easier to manage.

NEW QUESTION 448

- (Topic 4)

From a risk management point of view, the BEST approach when implementing a large and complex IT infrastructure is:

- A. a big bang deployment after proof of concept
- B. prototyping and a one-phase deployment
- C. a deployment plan based on sequenced phase
- D. to simulate the new infrastructure before deployment

Answer: C

Explanation:

When developing a large and complex IT infrastructure, the best practice is to use a phased approach to fitting the entire system together. This will provide greater assurance of quality results. The other choices are riskier approaches.

NEW QUESTION 449

- (Topic 4)

The reason a certification and accreditation process is performed on critical systems is to ensure that:

- A. security compliance has been technically evaluated
- B. data have been encrypted and are ready to be stored
- C. the systems have been tested to run on different platforms
- D. the systems have followed the phases of a waterfall model

Answer: A

Explanation:

Certified and accredited systems are systems that have had their security compliance technically evaluated for running on a specific production server. Choice B is incorrect because not all data of certified systems are encrypted. Choice C is incorrect because certified systems are evaluated to run in a specific environment. A waterfall model is a software development methodology and not a reason for performing a certification and accrediting process.

NEW QUESTION 452

- (Topic 4)

In an online transaction processing system, data integrity is maintained by ensuring that a transaction is either completed in its entirety or not at all. This principle of data integrity is known as:

- A. isolation
- B. consistency
- C. atomicity
- D. durability

Answer: C

Explanation:

The principle of atomicity requires that a transaction be completed in its entirety or not at all. If an error or interruption occurs, all changes made up to that point are backed out. Consistency ensures that all integrity conditions in the database be maintained with each transaction. Isolation ensures that each transaction is isolated from other transactions; hence, each transaction only accesses data that are part of a consistent database state. Durability ensures that, when a transaction has been reported back to a user as complete, the resultant changes to the database will survive subsequent hardware or software failures.

NEW QUESTION 456

- (Topic 4)

Business units are concerned about the performance of a newly implemented system. Which of the following should an IS auditor recommend?

- A. Develop a baseline and monitor system usage
- B. Define alternate processing procedure
- C. Prepare the maintenance manual
- D. implement the changes users have suggested

Answer: A

Explanation:

An IS auditor should recommend the development of a performance baseline and monitor the system's performance, against the baseline, to develop empirical data upon which decisions for modifying the system can be made. Alternate processing procedures and a maintenance manual will not alter a system's performance. Implementing changes without knowledge of the cause(s) for the perceived poor performance may not result in a more efficient system.

NEW QUESTION 459

- (Topic 4)

When two or more systems are integrated, input/output controls must be reviewed by an IS auditor in the:

- A. systems receiving the output of other system
- B. systems sending output to other system
- C. systems sending and receiving data
- D. interfaces between the two systems

Answer: C

Explanation:

Both of the systems must be reviewed for input/output controls, since the output for one system is the input for the other.

NEW QUESTION 460

- (Topic 4)

An IS auditor who has discovered unauthorized transactions during a review of EDI transactions is likely to recommend improving the:

- A. EDI trading partner agreement
- B. physical controls for terminal
- C. authentication techniques for sending and receiving message
- D. program change control procedure

Answer: C

Explanation:

Authentication techniques for sending and receiving messages play a key role in minimizing exposure to unauthorized transactions. The EDI trading partner agreements would minimize exposure to legal issues.

NEW QUESTION 461

- (Topic 4)

An IS auditor recommends that an initial validation control be programmed into a credit card transaction capture application. The initial validation process would MOST likely:

- A. check to ensure that the type of transaction is valid for the card typ
- B. verify the format of the number entered then locate it on the databas
- C. ensure that the transaction entered is within the cardholder's credit limi
- D. confirm that the card is not shown as lost or stolen on the master fil

Answer: B

Explanation:

The initial validation should confirm whether the card is valid. This validity is established through the card number and PIN entered by the user. Based on this initial validation, all other validations will proceed. A validation control in data capture will ensure that the data entered is valid (i.e., it can be processed by the system). If the data captured in the initial validation is not valid (if the card number or PIN do not match with the database), then the card will be rejected or captured per the controls in place. Once initial validation is completed, then other validations specific to the card and cardholder would be performed.

NEW QUESTION 465

- (Topic 4)

Which of the following is the MOST critical and contributes the greatest to the quality of data in a data warehouse?

- A. Accuracy of the source data
- B. Credibility of the data source
- C. Accuracy of the extraction process
- D. Accuracy of the data transformation

Answer: A

Explanation:

Accuracy of source data is a prerequisite for the quality of the data in a data warehouse. Credibility of the data source, accurate extraction processes and accurate transformation routines are all important, but would not change inaccurate data into quality (accurate) data.

NEW QUESTION 466

- (Topic 4)

A number of system failures are occurring when corrections to previously detected errors are resubmitted for acceptance testing. This would indicate that the maintenance team is probably not performing adequately which of the following types of testing?

- A. Unit testing
- B. Integration testing
- C. Design walkthroughs
- D. Configuration management

Answer: B

Explanation:

A common system maintenance problem is that errors are often corrected quickly (especially when deadlines are tight). Units are tested by the programmer and then transferred to the acceptance test area; this often results in system problems that should have been detected during integration or system testing. Integration testing aims at ensuring that the major components of the system interface correctly.

NEW QUESTION 467

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