



Isaca

Exam Questions CISA

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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)

Which of the following is a dynamic analysis tool for the purpose of testing software modules?

- A. Blackbox test
- B. Desk checking
- C. Structured walk-through
- D. Design and code

Answer: A

Explanation:

A blackbox test is a dynamic analysis tool for testing software modules. During the testing of software modules a blackbox test works first in a cohesive manner as one single unit/entity, consisting of numerous modules and second, with the user data that flows across software modules. In some cases, this even drives the software behavior.

NEW QUESTION 3

- (Topic 1)

Which of the following is a benefit of using callback devices?

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

Answer: A

Explanation:

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

NEW QUESTION 4

- (Topic 1)

A 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 5

- (Topic 1)

Which of the following network configuration options contains a direct link between any two host machines?

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

Answer: D

Explanation:

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

NEW QUESTION 6

- (Topic 1)

A hub is a device that connects:

- A. two LANs using different protocol
- B. a LAN with a WA
- C. a LAN with a metropolitan area network (MAN).
- D. two segments of a single LA

Answer: D

Explanation:

A hub is a device that connects two segments of a single LAN. A hub is a repeater. It provides transparent connectivity to users on all segments of the same LAN. It is a level 1 device.

NEW QUESTION 7

- (Topic 1)

Which of the following is a telecommunication device that translates data from digital form to analog form and back to digital?

- A. Multiplexer
- B. Modem
- C. Protocol converter
- D. Concentrator

Answer: B

Explanation:

A modem is a device that translates data from digital to analog and back to digital.

NEW QUESTION 8

- (Topic 1)

Which of the following systems-based approaches would a financial processing company employ to monitor spending patterns to identify abnormal patterns and report them?

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

Answer: A

Explanation:

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

NEW QUESTION 9

- (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 10

- (Topic 1)

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

- A. development and implementation of an information security standards manua
- B. performance of a comprehensive security control review by the IS audito
- C. adoption of a corporate information security policy statemen

D. purchase of security access control softwar

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 10

- (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 13

- (Topic 1)

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

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

Answer: B

Explanation:

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

NEW QUESTION 16

- (Topic 1)

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

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

Answer: A

Explanation:

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

NEW QUESTION 20

- (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 25

- (Topic 1)

What is the primary objective of a control self-assessment (CSA) program?

- A. Enhancement of the audit responsibility
- B. Elimination of the audit responsibility
- C. Replacement of the audit responsibility
- D. Integrity of the audit responsibility

Answer: A

Explanation:

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

NEW QUESTION 29

- (Topic 1)

How does the process of systems auditing benefit from using a risk-based approach to audit planning?

- A. Controls testing starts earlier
- B. Auditing resources are allocated to the areas of highest concern
- C. Auditing risk is reduced
- D. Controls testing is more thorough

Answer: B

Explanation:

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

NEW QUESTION 33

- (Topic 1)

After an IS auditor has identified threats and potential impacts, the auditor should:

- A. Identify and evaluate the existing controls
- B. Conduct a business impact analysis (BIA)
- C. Report on existing controls
- D. Propose new controls

Answer: A

Explanation:

After an IS auditor has identified threats and potential impacts, the auditor should then identify and evaluate the existing controls.

NEW QUESTION 35

- (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 36

- (Topic 1)

What type of approach to the development of organizational policies is often driven by risk assessment?

- A. Bottom-up
- B. Top-down
- C. Comprehensive
- D. Integrated

Answer: B

Explanation:

A bottom-up approach to the development of organizational policies is often driven by risk assessment.

NEW QUESTION 37

- (Topic 1)

Who is accountable for maintaining appropriate security measures over information assets?

- A. Data and systems owners
- B. Data and systems users
- C. Data and systems custodians

D. Data and systems auditors

Answer: A

Explanation:

Data and systems owners are accountable for maintaining appropriate security measures over information assets.

NEW QUESTION 41

- (Topic 1)

Who is ultimately accountable for the development of an IS security policy?

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

Answer: A

Explanation:

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

NEW QUESTION 42

- (Topic 1)

An IS auditor usually places more reliance on evidence directly collected. What is an example of such evidence?

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

Answer: A

Explanation:

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

NEW QUESTION 45

- (Topic 1)

Atomicity enforces data integrity by ensuring that a transaction is either completed in its entirety or not at all. Atomicity is part of the ACID test reference for transaction processing. True or false?

- A. True
- B. False

Answer: A

Explanation:

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

NEW QUESTION 46

- (Topic 1)

What is the most common purpose of a virtual private network implementation?

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

Answer: A

Explanation:

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

NEW QUESTION 47

- (Topic 1)

What can be very helpful to an IS auditor when determining the efficacy of a systems maintenance program? Choose the BEST answer.

- A. Network-monitoring software
- B. A system downtime log
- C. Administration activity reports
- D. Help-desk utilization trend reports

Answer: B

Explanation:

A system downtime log can be very helpful to an IS auditor when determining the efficacy of a systems maintenance program.

NEW QUESTION 51

- (Topic 1)

What is an initial step in creating a proper firewall policy?

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

Answer: C

Explanation:

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

NEW QUESTION 56

- (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 60

- (Topic 1)

What can ISPs use to implement inbound traffic filtering as a control to identify IP packets transmitted from unauthorized sources? Choose the BEST answer.

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

Answer: C

Explanation:

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

NEW QUESTION 62

- (Topic 1)

What is the key distinction between encryption and hashing algorithms?

- A. Hashing algorithms ensure data confidentiality
- B. Hashing algorithms are irreversible
- C. Encryption algorithms ensure data integrity
- D. Encryption algorithms are not irreversible

Answer: B

Explanation:

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

NEW QUESTION 64

- (Topic 1)

Which of the following is used to evaluate biometric access controls?

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

Answer: B

Explanation:

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

NEW QUESTION 66

- (Topic 1)

Which of the following is MOST critical during the business impact assessment phase of business continuity planning?

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

Answer: A

Explanation:

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

NEW QUESTION 70

- (Topic 1)

Which type of major BCP test only requires representatives from each operational area to meet to review the plan?

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

Answer: C

Explanation:

Of the three major types of BCP tests (paper, walk-through, and preparedness), a walk-through test requires only that representatives from each operational area meet to review the plan.

NEW QUESTION 74

- (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 76

- (Topic 1)

Of the three major types of off-site processing facilities, what type is often an acceptable solution for preparing for recovery of noncritical systems and data?

- A. Cold site
- B. Hot site
- C. Alternate site
- D. Warm site

Answer: A

Explanation:

A cold site is often an acceptable solution for preparing for recovery of noncritical systems and data.

NEW QUESTION 77

- (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 78

- (Topic 1)

Who assumes ownership of a systems-development project and the resulting system?

- A. User management
- B. Project steering committee
- C. IT management
- D. Systems developers

Answer: A

Explanation:

User management assumes ownership of a systems-development project and the resulting system.

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 82

- (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)

_____ (fill in the blank) is/are are ultimately accountable for the functionality, reliability, and security within IT governance. Choose the BEST answer.

- A. Data custodians
- B. The board of directors and executive officers
- C. IT security administration
- D. Business unit managers

Answer: B

Explanation:

The board of directors and executive officers are ultimately accountable for the functionality, reliability, and security within IT governance.

NEW QUESTION 90

- (Topic 1)

Network environments often add to the complexity of program-to-program communication, making the implementation and maintenance of application systems more difficult. True or false?

- A. True
- B. False

Answer: A

Explanation:

Network environments often add to the complexity of program-to-program communication, making application systems implementation and maintenance more difficult.

NEW QUESTION 95

- (Topic 1)

_____ risk analysis is not always possible because the IS auditor is attempting to calculate risk using nonquantifiable threats and potential losses. In this event, a _____ risk assessment is more appropriate. Fill in the blanks.

- A. Quantitative; qualitative
- B. Qualitative; quantitative
- C. Residual; subjective
- D. Quantitative; subjective

Answer: A

Explanation:

Quantitative risk analysis is not always possible because the IS auditor is attempting to calculate risk using nonquantifiable threats and potential losses. In this event, a qualitative risk assessment is more appropriate.

NEW QUESTION 100

- (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 identified
- C. Relative business processes
- D. Relevant application risk

Answer: C

Explanation:

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

NEW QUESTION 101

- (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 106

- (Topic 1)

What is an edit check to determine whether a field contains valid data?

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

Answer: A

Explanation:

A completeness check is an edit check to determine whether a field contains valid data.

NEW QUESTION 111

- (Topic 1)

An intentional or unintentional disclosure of a password is likely to be evident within control logs. True or false?

- A. True
- B. False

Answer: B

Explanation:

An intentional or unintentional disclosure of a password is not likely to be evident within control logs.

NEW QUESTION 116

- (Topic 1)

The traditional role of an IS auditor in a control self-assessment (CSA) should be that of a(n):

- A. Implementor
- B. Facilitator
- C. Developer
- D. Sponsor

Answer: B

Explanation:

The traditional role of an IS auditor in a control self-assessment (CSA) should be that of a facilitator.

NEW QUESTION 119

- (Topic 1)

Who is responsible for implementing cost-effective controls in an automated system?

- A. Security policy administrators
- B. Business unit management
- C. Senior management
- D. Board of directors

Answer: B

Explanation:

Business unit management is responsible for implementing cost-effective controls in an automated system.

NEW QUESTION 124

- (Topic 1)

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

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

Answer: A

Explanation:

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

NEW QUESTION 125

- (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 128

- (Topic 1)

When should reviewing an audit client's business plan be performed relative to reviewing an organization's IT strategic plan?

- A. Reviewing an audit client's business plan should be performed before reviewing an organization's IT strategic plan
- B. Reviewing an audit client's business plan should be performed after reviewing an organization's IT strategic plan
- C. Reviewing an audit client's business plan should be performed during the review of an organization's IT strategic plan
- D. Reviewing an audit client's business plan should be performed without regard to an organization's IT strategic plan

Answer: A

Explanation:

Reviewing an audit client's business plan should be performed before reviewing an organization's IT strategic plan.

NEW QUESTION 131

- (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 132

- (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 135

- (Topic 1)

The directory system of a database-management system describes:

- A. The access method to the data
- B. The location of data AND the access method
- C. The location of data
- D. Neither the location of data NOR the access method

Answer: B

Explanation:

The directory system of a database-management system describes the location of data and the access method.

NEW QUESTION 140

- (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 142

- (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 144

- (Topic 1)

What is a common vulnerability, allowing denial-of-service attacks?

- A. Assigning access to users according to the principle of least privilege
- B. Lack of employee awareness of organizational security policies
- C. Improperly configured routers and router access lists
- D. Configuring firewall access rules

Answer: C

Explanation:

Improperly configured routers and router access lists are a common vulnerability for denial-of-service attacks.

NEW QUESTION 149

- (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 151

- (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 153

- (Topic 1)

What is a callback system?

- A. It is a remote-access system whereby the remote-access server immediately calls the user back at a predetermined number if the dial-in connection fail
- B. It is a remote-access system whereby the user's application automatically redials the remoteaccess server if the initial connection attempt fail
- C. It is a remote-access control whereby the user initially connects to the network systems via dial-up access, only to have the initial connection terminated by the server, which then subsequently dials the user back at a predetermined number stored in the server's configuration databas
- D. It is a remote-access control whereby the user initially connects to the network systems via dial-up access, only to have the initial connection terminated by the server, which then subsequently allows the user to call back at an approved number for a limited period of tim

Answer: C

Explanation:

A callback system is a remote-access control whereby the user initially connects to the network systems via dial-up access, only to have the initial connection terminated by the server, which then subsequently dials the user back at a predetermined number stored in the server's configuration database.

NEW QUESTION 157

- (Topic 1)

What type of fire-suppression system suppresses fire via water that is released from a main valve to be delivered via a system of dry pipes installed throughout the facilities?

- A. A dry-pipe sprinkler system
- B. A deluge sprinkler system
- C. A wet-pipe system
- D. A halon sprinkler system

Answer: A

Explanation:

A dry-pipe sprinkler system suppresses fire via water that is released from a main valve to be delivered via a system of dry pipes installed throughout the facilities.

NEW QUESTION 160

- (Topic 1)

Which of the following provides the BEST single-factor authentication?

- A. Biometrics
- B. Password
- C. Token
- D. PIN

Answer: A

Explanation:

Although biometrics provides only single-factor authentication, many consider it to be an excellent method for user authentication.

NEW QUESTION 165

- (Topic 1)

Using the OSI reference model, what layer(s) is/are used to encrypt data?

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

Answer: C

Explanation:

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

NEW QUESTION 168

- (Topic 1)

Which of the following is of greatest concern when performing an IS audit?

- A. Users' ability to directly modify the database
- B. Users' ability to submit queries to the database
- C. Users' ability to indirectly modify the database
- D. Users' ability to directly view the database

Answer: A

Explanation:

A major IS audit concern is users' ability to directly modify the database.

NEW QUESTION 169

- (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 171

- (Topic 1)

Organizations should use off-site storage facilities to maintain _____ (fill in the blank) of current and critical information within backup files. Choose the BEST answer.

- A. Confidentiality
- B. Integrity
- C. Redundancy
- D. Concurrency

Answer: C

Explanation:

Redundancy is the best answer because it provides both integrity and availability. Organizations should use off-site storage facilities to maintain redundancy of current and critical information within backup files.

NEW QUESTION 174

- (Topic 1)

Which of the following is the dominating objective of BCP and DRP?

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

Answer: A

Explanation:

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

NEW QUESTION 176

- (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 181

- (Topic 1)

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

- A. Financial reporting
- B. Sales reporting
- C. Inventory reporting

D. Transaction processing

Answer: D

Explanation:

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

NEW QUESTION 184

- (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 189

- (Topic 1)

What uses questionnaires to lead the user through a series of choices to reach a conclusion? Choose the BEST answer.

- A. Logic trees
- B. Decision trees
- C. Decision algorithms
- D. Logic algorithms

Answer: B

Explanation:

Decision trees use questionnaires to lead the user through a series of choices to reach a conclusion.

NEW QUESTION 194

- (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 195

- (Topic 1)

What is used to develop strategically important systems faster, reduce development costs, and still maintain high quality? Choose the BEST answer.

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

Answer: A

Explanation:

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

NEW QUESTION 197

- (Topic 1)

Which of the following uses a prototype that can be updated continually to meet changing user or business requirements?

- A. PERT
- B. Rapid application development (RAD)
- C. Function point analysis (FPA)
- D. GANTT

Answer: B

Explanation:

Rapid application development (RAD) uses a prototype that can be updated continually to meet changing user or business requirements.

NEW QUESTION 198

- (Topic 1)

What is the most common reason for information systems to fail to meet the needs of users? Choose the BEST answer.

- A. Lack of funding
- B. Inadequate user participation during system requirements definition
- C. Inadequate senior management participation during system requirements definition
- D. Poor IT strategic planning

Answer: B

Explanation:

Inadequate user participation during system requirements definition is the most common reason for information systems to fail to meet the needs of users.

NEW QUESTION 201

- (Topic 1)

Input/output controls should be implemented for which applications in an integrated systems environment?

- A. The receiving application
- B. The sending application
- C. Both the sending and receiving applications
- D. Output on the sending application and input on the receiving application

Answer: C

Explanation:

Input/output controls should be implemented for both the sending and receiving applications in an integrated systems environment

NEW QUESTION 206

- (Topic 1)

After identifying potential security vulnerabilities, what should be the IS auditor's next step?

- A. To evaluate potential countermeasures and compensatory controls
- B. To implement effective countermeasures and compensatory controls
- C. To perform a business impact analysis of the threats that would exploit the vulnerabilities
- D. To immediately advise senior management of the findings

Answer: C

Explanation:

After identifying potential security vulnerabilities, the IS auditor's next step is to perform a business impact analysis of the threats that would exploit the vulnerabilities.

NEW QUESTION 209

- (Topic 1)

Processing controls ensure that data is accurate and complete, and is processed only through which of the following? Choose the BEST answer.

- A. Documented routines
- B. Authorized routines
- C. Accepted routines
- D. Approved routines

Answer: B

Explanation:

Processing controls ensure that data is accurate and complete, and is processed only through authorized routines.

NEW QUESTION 213

- (Topic 1)

What is a data validation edit control that matches input data to an occurrence rate? Choose the BEST answer.

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

Answer: C

Explanation:

A reasonableness check is a data validation edit control that matches input data to an occurrence rate.

NEW QUESTION 217

- (Topic 2)

An IS auditor is reviewing access to an application to determine whether the 10 most recent "new user" forms were correctly authorized. This is an example of:

- A. variable samplin

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

Answer: C

Explanation:

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

NEW QUESTION 218

- (Topic 2)

Overall business risk for a particular threat can be expressed as:

- A. a product of the probability and magnitude of the impact if a threat successfully exploits a vulnerabilit
- B. the magnitude of the impact should a threat source successfully exploit the vulnerabilit
- C. the likelihood of a given threat source exploiting a given vulnerabilit
- D. the collective judgment of the risk assessment tea

Answer: A

Explanation:

Choice A takes into consideration the likelihood and magnitude of the impact and provides the best measure of the risk to an asset. Choice B provides only the likelihood of a threat exploiting a vulnerability in the asset but does not provide the magnitude of the possible damage to the asset. Similarly, choice C considers only the magnitude of the damage and not the possibility of a threat exploiting a vulnerability. Choice D defines the risk on an arbitrary basis and is not suitable for a scientific risk management process.

NEW QUESTION 222

- (Topic 2)

Which of the following is a substantive test?

- A. Checking a list of exception reports
- B. Ensuring approval for parameter changes
- C. Using a statistical sample to inventory the tape library
- D. Reviewing password history reports

Answer: C

Explanation:

A substantive test confirms the integrity of actual processing. A substantive test would determine if the tape library records are stated correctly. A compliance test determines if controls are being applied in a manner that is consistent with management policies and procedures. Checking the authorization of exception reports, reviewing authorization for changing parameters and reviewing password history reports are all compliance tests.

NEW QUESTION 224

- (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 plac
- B. requires the IS auditor to review and follow up immediately on all information collecte
- C. can improve system security when used in time-sharing environments that process a large number of transaction
- 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 oftentimes requires 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 225

- (Topic 2)

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

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

Answer: A

Explanation:

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

NEW QUESTION 228

- (Topic 2)

An IS auditor evaluating logical access controls should FIRST:

- A. document the controls applied to the potential access paths to the system
- B. test controls over the access paths to determine if they are functional
- C. evaluate the security environment in relation to written policies and practices
- D. obtain an understanding of the security risks to information processing

Answer: D

Explanation:

When evaluating logical access controls, an IS auditor should first obtain an understanding of the security risks facing information processing by reviewing relevant documentation, by inquiries, and by conducting a risk assessment. Documentation and evaluation is the second step in assessing the adequacy, efficiency and effectiveness, thus identifying deficiencies or redundancy in controls. The third step is to test the access paths to determine if the controls are functioning. Lastly, the IS auditor evaluates the security environment to assess its adequacy by reviewing the written policies, observing practices and comparing them to appropriate security best practices.

NEW QUESTION 232

- (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 235

- (Topic 2)

An IS auditor is evaluating a corporate network for a possible penetration by employees. Which of the following findings should give the IS auditor the GREATEST concern?

- A. There are a number of external modems connected to the network
- B. Users can install software on their desktop
- C. Network monitoring is very limited
- D. Many user IDs have identical passwords

Answer: D

Explanation:

Exploitation of a known user ID and password requires minimal technical knowledge and exposes the network resources to exploitation. The technical barrier is low and the impact can be very high; therefore, the fact that many user IDs have identical passwords represents the greatest threat. External modems represent a security risk, but exploitation still depends on the use of a valid user account. While the impact of users installing software on their desktops can be high (for example, due to the installation of Trojans or key-logging programs), the likelihood is not high due to the level of technical knowledge required to successfully penetrate the network. Although network monitoring can be a useful detective control, it will only detect abuse of user accounts in special circumstances and is, therefore, not a first line of defense.

NEW QUESTION 238

- (Topic 2)

Which of the following would be the BEST population to take a sample from when testing program changes?

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

Answer: D

Explanation:

The best source from which to draw any sample or test of system information is the automated system. The production libraries represent executables that are approved and authorized to process organizational data. Source program listings would be time-intensive. Program change requests are the documents used to

initiate change; there is no guarantee that the request has been completed for all changes. Test library listings do not represent the approved and authorized executables.

NEW QUESTION 241

- (Topic 2)

An IS auditor is performing an audit of a network operating system. Which of the following is a user feature the IS auditor should review?

- A. Availability of online network documentation
- B. Support of terminal access to remote hosts
- C. Handling file transfer between hosts and interuser communications
- D. Performance management, audit and control

Answer: A

Explanation:

Network operating system user features include online availability of network documentation. Other features would be user access to various resources of network hosts, user authorization to access particular resources, and the network and host computers used without special user actions or commands. Choices B, C and D are examples of network operating systems functions.

NEW QUESTION 246

- (Topic 2)

Which of the following online auditing techniques is most effective for the early detection of errors or irregularities?

- A. Embedded audit module
- B. Integrated test facility
- C. Snapshots
- D. Audit hooks

Answer: D

Explanation:

The audit hook technique involves embedding code in application systems for the examination of selected transactions. This helps an IS auditor to act before an error or an irregularity gets out of hand. An embedded audit module involves embedding specially-written software in the organization's host application system so that application systems are monitored on a selective basis. An integrated test facility is used when it is not practical to use test data, and snapshots are used when an audit trail is required.

NEW QUESTION 251

- (Topic 2)

When assessing the design of network monitoring controls, an IS auditor should FIRST review network:

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

Answer: A

Explanation:

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

NEW QUESTION 253

- (Topic 2)

A substantive test to verify that tape library inventory records are accurate is:

- A. determining whether bar code readers are installed
- B. determining whether the movement of tapes is authorized
- C. conducting a physical count of the tape inventory
- D. checking if receipts and issues of tapes are accurately recorded

Answer: C

Explanation:

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

NEW QUESTION 257

- (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 259

- (Topic 2)

The PRIMARY reason an IS auditor performs a functional walkthrough during the preliminary phase of an audit assignment is to:

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

Answer: A

Explanation:

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

NEW QUESTION 262

- (Topic 2)

The MOST important reason for an IS auditor to obtain sufficient and appropriate audit evidence is to:

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

Answer: B

Explanation:

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

NEW QUESTION 265

- (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 267

- (Topic 2)

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

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

Answer: D

Explanation:

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

NEW QUESTION 270

- (Topic 2)

Corrective action has been taken by an auditee immediately after the identification of a reportable finding. The auditor should:

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

Answer: A

Explanation:

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

NEW QUESTION 271

- (Topic 2)

During an implementation review of a multiuser distributed application, an IS auditor finds minor weaknesses in three areas-the initial setting of parameters is improperly installed, weak passwords are being used and some vital reports are not being checked properly. While preparing the audit report, the IS auditor should:

- A. record the observations separately with the impact of each of them marked against each respective finding
- B. advise the manager of probable risks without recording the observations, as the control weaknesses are minor ones
- C. record the observations and the risk arising from the collective weaknesses
- D. apprise the departmental heads concerned with each observation and properly document it in the report

Answer: C

Explanation:

Individually the weaknesses are minor; however, together they have the potential to substantially weaken the overall control structure. Choices A and D reflect a failure on the part of an IS auditor to recognize the combined effect of the control weakness. Advising the local manager without reporting the facts and observations would conceal the findings from other stakeholders.

NEW QUESTION 274

- (Topic 2)

When preparing an audit report the IS auditor should ensure that the results are supported by:

- A. statements from IS management
- B. workpapers of other auditor
- C. an organizational control self-assessment
- D. sufficient and appropriate audit evidence

Answer: D

Explanation:

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

NEW QUESTION 279

- (Topic 3)

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

- A. whether IT processes support business requirements
- 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 283

- (Topic 3)

The MOST likely effect of the lack of senior management commitment to IT strategic planning is:

- A. a lack of investment in technology
- B. a lack of a methodology for systems development

- C. technology not aligning with the organization's objective
- D. an absence of control over technology contract

Answer: C

Explanation:

A steering committee should exist to ensure that the IT strategies support the organization's goals. The absence of an information technology committee or a committee not composed of senior managers would be an indication of a lack of top-level management commitment. This condition would increase the risk that IT would not be aligned with the organization's strategy.

NEW QUESTION 284

- (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 286

- (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 291

- (Topic 3)

The ultimate purpose of IT governance is to:

- A. encourage optimal use of IT
- B. reduce IT cost
- C. decentralize IT resources across the organization
- D. centralize control of IT

Answer: A

Explanation:

IT governance is intended to specify the combination of decision rights and accountability that is best for the enterprise. It is different for every enterprise. Reducing IT costs may not be the best IT governance outcome for an enterprise. Decentralizing IT resources across the organization is not always desired, although it may be desired in a decentralized environment. Centralizing control of IT is not always desired. An example of where it might be desired is an enterprise desiring a single point of customer contact.

NEW QUESTION 292

- (Topic 3)

From a control perspective, the key element in job descriptions is that they:

- A. provide instructions on how to do the job and define authority
- B. are current, documented and readily available to the employee
- C. communicate management's specific job performance expectation
- D. establish responsibility and accountability for the employee's action

Answer: D

Explanation:

From a control perspective, a job description should establish responsibility and accountability. This will aid in ensuring that users are given system access in

accordance with their defined job responsibilities. The other choices are not directly related to controls. Providing instructions on how to do the job and defining authority addresses the managerial and procedural aspects of the job. It is important that job descriptions are current, documented and readily available to the employee, but this in itself is not a control. Communication of management's specific expectations for job performance outlines the standard of performance and would not necessarily include controls.

NEW QUESTION 297

- (Topic 3)

Many organizations require an employee to take a mandatory vacation (holiday) of a week or more to:

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

Answer: B

Explanation:

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

NEW QUESTION 301

- (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 303

- (Topic 3)

A long-term IS employee with a strong technical background and broad managerial experience has applied for a vacant position in the IS audit department. Determining whether to hire this individual for this position should be based on the individual's experience and:

- A. length of service, since this will help ensure technical competency
- B. age, as training in audit techniques may be impractical
- C. IS knowledge, since this will bring enhanced credibility to the audit function
- D. ability, as an IS auditor, to be independent of existing IS relationship

Answer: D

Explanation:

Independence should be continually assessed by the auditor and management. This assessment should consider such factors as changes in personal relationships, financial interests, and prior job assignments and responsibilities. The fact that the employee has worked in IS for many years may not in itself ensure credibility. The audit department's needs should be defined and any candidate should be evaluated against those requirements. The length of service will not ensure technical competency. Evaluating an individual's qualifications based on the age of the individual is not a good criterion and is illegal in many parts of the world.

NEW QUESTION 305

- (Topic 3)

Which of the following is the BEST performance criterion for evaluating the adequacy of an organization's security awareness training?

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

Answer: B

Explanation:

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

NEW QUESTION 306

- (Topic 3)

Which of the following is a risk of cross-training?

- A. Increases the dependence on one employee
- B. Does not assist in succession planning
- C. One employee may know all parts of a system
- D. Does not help in achieving a continuity of operations

Answer: C

Explanation:

When cross-training, it would be prudent to first assess the risk of any person knowing all parts of a system and what exposures this may cause. Cross-training has the advantage of decreasing dependence on one employee and, hence, can be part of succession planning. It also provides backup for personnel in the event of absence for any reason and thereby facilitates the continuity of operations.

NEW QUESTION 309

- (Topic 3)

In reviewing the IS short-range (tactical) plan, an IS auditor should determine whether:

- A. there is an integration of IS and business staffs within project
- B. there is a clear definition of the IS mission and visio
- C. a strategic information technology planning methodology is in plac
- D. the plan correlates business objectives to IS goals and objective

Answer: A

Explanation:

The integration of IS and business staff in projects is an operational issue and should be considered while reviewing the short-range plan. A strategic plan would provide a framework for the IS short-range plan. Choices B, C and D are areas covered by a strategic plan.

NEW QUESTION 313

- (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 314

- (Topic 3)

Which of the following would an IS auditor consider to be the MOST important when evaluating an organization's IS strategy? That it:

- A. has been approved by line managemen
- B. does not vary from the IS department's preliminary budge
- C. complies with procurement procedure
- D. supports the business objectives of the organizatio

Answer: D

Explanation:

Strategic planning sets corporate or department objectives into motion. Both long-term and short-term strategic plans should be consistent with the organization's broader plans and business objectives for attaining these goals. Choice A is incorrect since line management prepared the plans.

NEW QUESTION 315

- (Topic 3)

In an organization, the responsibilities for IT security are clearly assigned and enforced and an IT security risk and impact analysis is consistently performed. This represents which level of ranking in the information security governance maturity model?

- A. Optimized
- B. Managed
- C. Defined
- D. Repeatable

Answer:

B

Explanation:

Boards of directors and executive management can use the information security governance maturity model to establish rankings for security in their organizations. The ranks are nonexistent, initial, repeatable, defined, managed and optimized. When the responsibilities for IT security in an organization are clearly assigned and enforced and an IT security risk and impact analysis is consistently performed, it is said to be 'managed and measurable.'

NEW QUESTION 316

- (Topic 3)

When developing a formal enterprise security program, the MOST critical success factor (CSF) would be the:

- A. establishment of a review board
- B. creation of a security unit
- C. effective support of an executive sponsor
- D. selection of a security process owner

Answer: C

Explanation:

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

NEW QUESTION 319

- (Topic 3)

The advantage of a bottom-up approach to the development of organizational policies is that the policies:

- A. are developed for the organization as a whole
- B. are more likely to be derived as a result of a risk assessment
- C. will not conflict with overall corporate policy
- D. ensure consistency across the organization

Answer: B

Explanation:

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

NEW QUESTION 323

- (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 exist
- B. Specific user accountability cannot be established
- C. Unauthorized users may have access to originate, modify or delete data
- D. Audit recommendations may not be implemented

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 325

- (Topic 3)

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

- A. they are distributed and available to all staff
- B. security and control policies support business and IT objectives
- C. there is a published organizational chart with functional descriptions
- D. duties are appropriately segregated

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 328

- (Topic 3)

An IS auditor finds that not all employees are aware of the enterprise's information security policy. The IS auditor should conclude that:

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

Answer: A

Explanation:

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

NEW QUESTION 331

- (Topic 3)

The development of an IS security policy is ultimately the responsibility of the:

- A. IS departmen
- B. security committe
- C. security administrato
- D. board of director

Answer: D

Explanation:

Normally, the designing of an information systems security policy is the responsibility of top management or the board of directors. The IS department is responsible for the execution of the policy, having no authority in framing the policy. The security committee also functions within the broad security policy framed by the board of directors. The security administrator is responsible for implementing, monitoring and enforcing the security rules that management has established and authorized.

NEW QUESTION 335

- (Topic 3)

Which of the following programs would a sound information security policy MOST likely include to handle suspected intrusions?

- A. Response
- B. Correction
- C. Detection
- D. Monitoring

Answer: A

Explanation:

A sound IS security policy will most likely outline a response program to handle suspected intrusions. Correction, detection and monitoring programs are all aspects of information security, but will not likely be included in an IS security policy statement.

NEW QUESTION 336

- (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 340

- (Topic 3)

In an organization where an IT security baseline has been defined, an IS auditor should FIRST ensure:

- A. implementatio
- B. complianc
- C. documentatio
- D. sufficienc

Answer:

D

Explanation:

An IS auditor should first evaluate the definition of the minimum baseline level by ensuring the sufficiency of controls. Documentation, implementation and compliance are further steps.

NEW QUESTION 342

- (Topic 3)

To ensure an organization is complying with privacy requirements, an IS auditor should FIRST review:

- A. the IT infrastructure
- B. organizational policies, standards and procedure
- C. legal and regulatory requirement
- D. the adherence to organizational policies, standards and procedure

Answer: C

Explanation:

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

NEW QUESTION 343

- (Topic 3)

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

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

Answer: A

Explanation:

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

NEW QUESTION 348

- (Topic 3)

An IS auditor finds that, in accordance with IS policy, IDs of terminated users are deactivated within 90 days of termination. The IS auditor should:

- A. report that the control is operating effectively since deactivation happens within the time frame stated in the IS policy
- B. verify that user access rights have been granted on a need-to-have basis
- C. recommend changes to the IS policy to ensure deactivation of user IDs upon termination
- D. recommend that activity logs of terminated users be reviewed on a regular basis

Answer: C

Explanation:

Although a policy provides a reference for performing IS audit assignments, an IS auditor needs to review the adequacy and the appropriateness of the policy. If, in the opinion of the auditor, the time frame defined for deactivation is inappropriate, the auditor needs to communicate this to management and recommend changes to the policy. Though the deactivation happens as stated in the policy, it cannot be concluded that the control is effective. Best practice would require that the ID of a terminated user be deactivated immediately. Verifying that user access rights have been granted on a need-to-have basis is necessary when permissions are granted. Recommending that activity logs of terminated users be reviewed on a regular basis is a good practice, but not as effective as deactivation upon termination.

NEW QUESTION 351

- (Topic 3)

Which of the following provides the best evidence of the adequacy of a security awareness program?

- A. The number of stakeholders including employees trained at various levels
- B. Coverage of training at all locations across the enterprise
- C. The implementation of security devices from different vendors
- D. Periodic reviews and comparison with best practices

Answer: D

Explanation:

The adequacy of security awareness content can best be assessed by determining whether it is periodically reviewed and compared to industry best practices. Choices A, B and C provide metrics for measuring various aspects of a security awareness program, but do not help assess the content.

NEW QUESTION 352

- (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 356

- (Topic 3)

After the merger of two organizations, multiple self-developed legacy applications from both companies are to be replaced by a new common platform. Which of the following would be the GREATEST risk?

- A. Project management and progress reporting is combined in a project management office which is driven by external consultant
- B. The replacement effort consists of several independent projects without integrating the resource allocation in a portfolio management approach
- C. The resources of each of the organizations are inefficiently allocated while they are being familiarized with the other company's legacy system
- D. The new platform will force the business areas of both organizations to change their work processes, which will result in extensive training need

Answer: B

Explanation:

The efforts should be consolidated to ensure alignment with the overall strategy of the postmerger organization. If resource allocation is not centralized, the separate projects are at risk of overestimating the availability of key knowledge resources for the in-house developed legacy applications. In postmerger integration programs, it is common to form project management offices to ensure standardized and comparable information levels in the planning and reporting structures, and to centralized dependencies of project deliverables or resources. The experience of external consultants can be valuable since project management practices do not require in-depth knowledge of the legacy systems. This can free up resources for functional tasks. It is a good idea to first get familiar with the old systems, to understand what needs to be done in a migration and to evaluate the implications of technical decisions. In most cases, mergers result in application changes and thus in training needs as organizations and processes change to leverage the intended synergy effects of the merger.

NEW QUESTION 359

- (Topic 3)

Which of the following is the MOST important function to be performed by IS management when a service has been outsourced?

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

Answer: D

Explanation:

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

NEW QUESTION 364

- (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 plan
- 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 contract
- C. No, because the backup to be provided should be specified adequately in the contract
- D. No, because the service bureau's business continuity plan is proprietary information

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 365

- (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 jurisdiction
- B. Having a provider abroad will cause excessive costs in future audit
- C. The auditing process will be difficult because of the distance
- D. There could be different auditing norms

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 366

- (Topic 3)

An IS auditor has been assigned to review IT structures and activities recently outsourced to various providers. Which of the following should the IS auditor determine FIRST?

- A. That an audit clause is present in all contracts
- B. That the SLA of each contract is substantiated by appropriate KPIs
- C. That the contractual warranties of the providers support the business needs of the organization
- D. That at contract termination, support is guaranteed by each outsourcer for new outsourcers

Answer: C

Explanation:

The complexity of IT structures matched by the complexity and interplay of responsibilities and warranties may affect or void the effectiveness of those warranties and the reasonable certainty that the business needs will be met. All other choices are important, but not as potentially dangerous as the interplay of the diverse and critical areas of the contractual responsibilities of the outsourcers.

NEW QUESTION 370

- (Topic 3)

An organization has outsourced its help desk activities. An IS auditor's GREATEST concern when reviewing the contract and associated service level agreement (SLA) between the organization and vendor should be the provisions for:

- A. documentation of staff background check
- B. independent audit reports or full audit access
- C. reporting the year-to-year incremental cost reduction
- D. reporting staff turnover, development or training

Answer: B

Explanation:

When the functions of an IS department are outsourced, an IS auditor should ensure that a provision is made for independent audit reports that cover all essential areas, or that the outsourcer has full audit access. Although it is necessary to document the fact that background checks are performed, this is not as important as provisions for audits. Financial measures such as year-to-year incremental cost reductions are desirable to have in a service level agreement (SLA); however, cost reductions are not as important as the availability of independent audit reports or full audit access. An SLA might include human relationship measures such as resource planning, staff turnover, development or training, but this is not as important as the requirements for independent reports or full audit access by the outsourcing organization.

NEW QUESTION 372

- (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 375

- (Topic 3)

Which of the following is a mechanism for mitigating risks?

- A. Security and control practices
- B. Property and liability insurance
- C. Audit and certification
- D. Contracts and service level agreements (SLAs)

Answer: A

Explanation:

Risks are mitigated by implementing appropriate security and control practices. Insurance is a mechanism for transferring risk. Audit and certification are mechanisms of risk assurance, while contracts and SLAs are mechanisms of risk allocation.

NEW QUESTION 378

- (Topic 3)

When developing a risk management program, what is the FIRST activity to be performed?

- A. Threat assessment
- B. Classification of data
- C. Inventory of assets
- D. Criticality analysis

Answer: C

Explanation:

Identification of the assets to be protected is the first step in the development of a risk management program. A listing of the threats that can affect the performance of these assets and criticality analysis are later steps in the process. Data classification is required for defining access controls and in criticality analysis.

NEW QUESTION 379

- (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 384

- (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 388

- (Topic 3)

A poor choice of passwords and transmission over unprotected communications lines are examples of:

- A. vulnerabilities
- B. threats
- C. probabilities
- D. impacts

Answer: A

Explanation:

Vulnerabilities represent characteristics of information resources that may be exploited by a threat. Threats are circumstances or events with the potential to cause harm to information resources. Probabilities represent the likelihood of the occurrence of a threat, while impacts represent the outcome or result of a threat exploiting a vulnerability.

NEW QUESTION 391

- (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 392

- (Topic 3)

An IS auditor is reviewing an IT security risk management program. Measures of security risk should:

- A. address all of the network risk
- B. be tracked over time against the IT strategic plan
- C. take into account the entire IT environment
- D. result in the identification of vulnerability tolerance

Answer: C

Explanation:

When assessing IT security risk, it is important to take into account the entire IT environment. Measures of security risk should focus on those areas with the highest criticality so as to achieve maximum risk reduction at the lowest possible cost. IT strategic plans are not granular enough to provide appropriate measures. Objective metrics must be tracked over time against measurable goals, thus the management of risk is enhanced by comparing today's results against last week, last month, last quarter. Risk measures will profile assets on a network to objectively measure vulnerability risk. They do not identify tolerances.

NEW QUESTION 396

- (Topic 3)

Which of the following should be the MOST important consideration when deciding areas of priority for IT governance implementation?

- A. Process maturity
- B. Performance indicators
- C. Business risk
- D. Assurance reports

Answer: C

Explanation:

Priority should be given to those areas which represent a known risk to the enterprise's operations. The level of process maturity, process performance and audit reports will feed into the decision making process. Those areas that represent real risk to the business should be given priority.

NEW QUESTION 400

- (Topic 3)

The PRIMARY benefit of implementing a security program as part of a security governance framework is the:

- A. alignment of the IT activities with IS audit recommendation
- B. enforcement of the management of security risk
- C. implementation of the chief information security officer's (CISO) recommendation
- D. reduction of the cost for IT security

Answer: B

Explanation:

The major benefit of implementing a security program is management's assessment of risk and its mitigation to an appropriate level of risk, and the monitoring of the remaining residual risks. Recommendations, visions and objectives of the auditor and the chief information security officer (CISO) are usually included within a security program, but they would not be the major benefit. The cost of IT security may or may not be reduced.

NEW QUESTION 401

- (Topic 4)

Documentation of a business case used in an IT development project should be retained until:

- A. the end of the system's life cycle
- B. the project is approved
- C. user acceptance of the system
- D. the system is in production

Answer: A

Explanation:

A business case can and should be used throughout the life cycle of the product. It serves as an anchor for new (management) personnel, helps to maintain focus and provides valuable information on estimates vs. actuals. Questions like, 'why do we do that,' 'what was the original intent' and 'how did we perform against the plan' can be answered, and lessons for developing future business cases can be learned. During the development phase of a project one should always validate the business case, as it is a good management instrument. After finishing a project and entering production, the business case and all the completed research are valuable sources of information that should be kept for further reference

NEW QUESTION 404

- (Topic 4)

Which of the following should an IS auditor review to gain an understanding of the effectiveness of controls over the management of multiple projects?

- A. Project database
- B. Policy documents
- C. Project portfolio database
- D. Program organization

Answer: C

Explanation:

A project portfolio database is the basis for project portfolio management. It includes project data, such as owner, schedules, objectives, project type, status and cost. Project portfolio management requires specific project portfolio reports. A project database may contain the above for one specific project and updates to various parameters pertaining to the current status of that single project. Policy documents on project management set direction for the design, development, implementation and monitoring of the project. Program organization is the team required (steering committee, quality assurance, systems personnel, analyst, programmer, hardware support, etc.) to meet the delivery objective of the project.

NEW QUESTION 408

- (Topic 4)

At the completion of a system development project, a postproject review should include which of the following?

- A. Assessing risks that may lead to downtime after the production release
- B. Identifying lessons learned that may be applicable to future projects
- C. Verifying the controls in the delivered system are working
- D. Ensuring that test data are deleted

Answer: B

Explanation:

A project team has something to learn from each and every project. As risk assessment is a key issue for project management, it is important for the organization to accumulate lessons learned and integrate them into future projects. An assessment of potential downtime should be made with the operations group and other specialists before implementing a system. Verifying that controls are working should be covered during the acceptance test phase and possibly, again, in the postimplementation review. Test data should be retained for future regression testing.

NEW QUESTION 411

- (Topic 4)

Which of the following should an IS auditor review to understand project progress in terms of time, budget and deliverables for early detection of possible overruns and for projecting estimates at completion (EACs)?

- A. Function point analysis
- B. Earned value analysis
- C. Cost budget
- D. Program Evaluation and Review Technique

Answer: B

Explanation:

Earned value analysis (EVA) is an industry standard method for measuring a project's progress at any given point in time, forecasting its completion date and final cost, and analyzing variances in the schedule and budget as the project proceeds. It compares the planned amount of work with what has actually been completed, to determine if the cost, schedule and work accomplished are progressing in accordance with the plan. EVA works most effectively if a well-formed work breakdown structure exists. Function point analysis (FPA) is an indirect measure of software size and complexity and, therefore, does not address the elements of time and budget. Cost budgets do not address time. PERT aids in time and deliverables management, but lacks projections for estimates at completion (EACs) and overall financial management.

NEW QUESTION 414

- (Topic 4)

Which of the following techniques would BEST help an IS auditor gain reasonable assurance that a project can meet its target date?

- A. Estimation of the actual end date based on the completion percentages and estimated time to complete, taken from status reports
- B. Confirmation of the target date based on interviews with experienced managers and staff involved in the completion of the project deliverables
- C. Extrapolation of the overall end date based on completed work packages and current resources
- D. Calculation of the expected end date based on current resources and remaining available project budget

Answer: C

Explanation:

Direct observation of results is better than estimations and qualitative information gained from interviews or status reports. Project managers and involved staff tend to underestimate the time needed for completion and the necessary time buffers for dependencies between tasks, while overestimating the completion percentage for tasks underway (80:20 rule). The calculation based on remaining budget does not take into account the speed at which the project has been progressing.

NEW QUESTION 417

- (Topic 4)

Which of the following situations would increase the likelihood of fraud?

- A. Application programmers are implementing changes to production program
- B. Application programmers are implementing changes to test program
- C. Operations support staff are implementing changes to batch schedule
- D. Database administrators are implementing changes to data structure

Answer: A

Explanation:

Production programs are used for processing an enterprise's data. It is imperative that controls on changes to production programs are stringent. Lack of control in this area could result in application programs being modified to manipulate the data. Application programmers are required to implement changes to test programs. These are used only in development and do not directly impact the live processing of data. The implementation of changes to batch schedules by operations support staff will affect the scheduling of the batches only; it does not impact the live data. Database administrators are required to implement changes to data structures. This is required for reorganization of the database to allow for additions, modifications or deletions of fields or tables in the database.

NEW QUESTION 422

- (Topic 4)

Before implementing controls, management should FIRST ensure that the controls:

- A. satisfy a requirement in addressing a risk issue
- B. do not reduce productivity
- C. are based on a cost-benefit analysis
- D. are detective or corrective

Answer: A

Explanation:

When designing controls, it is necessary to consider all the above aspects. In an ideal situation, controls that address all these aspects would be the best controls. Realistically, it may not be possible to design them all and cost may be prohibitive; therefore, it is necessary to first consider the preventive controls that attack the cause of a threat.

NEW QUESTION 423

- (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 427

- (Topic 4)

Failure in which of the following testing stages would have the GREATEST impact on the implementation of new application software?

- A. System testing
- B. Acceptance testing
- C. Integration testing
- D. Unit testing

Answer: B

Explanation:

Acceptance testing is the final stage before the software is installed and is available for use. The greatest impact would occur if the software fails at the acceptance testing level, as this could result in delays and cost overruns. System testing is undertaken by the developer team to determine if the software meets user requirements per specifications. Integration testing examines the units/modules as one integrated system and unit testing examines the individual units or components of the software. System, integration and unit testing are all performed by the developers at various stages of development; the impact of failure is comparatively less for each than failure at the acceptance testing stage.

NEW QUESTION 431

- (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 435

- (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 439

- (Topic 4)

A company has contracted with an external consulting firm to implement a commercial financial system to replace its existing system developed in-house. In reviewing the proposed development approach, which of the following would be of GREATEST concern?

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

Answer: B

Explanation:

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

NEW QUESTION 441

- (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 443

- (Topic 4)

An IS auditor reviewing a proposed application software acquisition should ensure that the:

- A. operating system (OS) being used is compatible with the existing hardware platform
- B. planned OS updates have been scheduled to minimize negative impacts on company need
- C. OS has the latest versions and updates
- D. products are compatible with the current or planned OS

Answer: D

Explanation:

Choices A, B and C are incorrect because none of them are related to the area being audited. In reviewing the proposed application the auditor should ensure that the products to be purchased are compatible with the current or planned OS. Regarding choice A, if the OS is currently being used, it is compatible with the existing hardware platform, because if it is not it would not operate properly. In choice B, the planned OS updates should be scheduled to minimize negative impacts on the organization. For choice C, the installed OS should be equipped with the most recent versions and updates (with sufficient history and stability).

NEW QUESTION 448

- (Topic 4)

The GREATEST benefit in implementing an expert system is the:

- A. capturing of the knowledge and experience of individuals in an organization
- B. sharing of knowledge in a central repository
- C. enhancement of personnel productivity and performance
- 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 450

- (Topic 4)

The waterfall life cycle model of software development is most appropriately used when:

- A. requirements are well understood and are expected to remain stable, as is the business environment in which the system will operate
- B. requirements are well understood and the project is subject to time pressure
- C. the project intends to apply an object-oriented design and programming approach
- D. the project will involve the use of new technology

Answer: A

Explanation:

Historically, the waterfall model has been best suited to the stable conditions described in choice A. When the degree of uncertainty of the system to be delivered and the conditions in which it will be used rises, the waterfall model has not been successful, in these circumstances, the various forms of iterative development life cycle gives the advantage of breaking down the scope of the overall system to be delivered, making the requirements gathering and design activities more manageable. The ability to deliver working software earlier also acts to alleviate uncertainty and may allow an earlier realization of benefits. The choice of a design and programming approach is not itself a determining factor of the type of software development life cycle that is appropriate. The use of new technology in a project introduces a significant element of risk. An iterative form of development, particularly one of the agile methods that focuses on early development of actual working software, is likely to be the better option to manage this uncertainty.

NEW QUESTION 454

- (Topic 4)

An IS auditor is reviewing a project that is using an Agile software development approach. Which of the following should the IS auditor expect to find?

- A. Use of a process-based maturity model such as the capability maturity model (CMM)
- B. Regular monitoring of task-level progress against schedule
- C. Extensive use of software development tools to maximize team productivity
- D. Postiteration reviews that identify lessons learned for future use in the project

Answer: D

Explanation:

A key tenet of the Agile approach to software project management is team learning and the use of team learning to refine project management and software development processes as the project progresses. One of the best ways to achieve this is that, at the end of each iteration, the team considers and documents what worked well and what could have worked better, and identifies improvements to be implemented in subsequent iterations. CMM and Agile really sit at opposite poles. CMM places heavy emphasis on predefined formal processes and formal project management and software development deliverables. Agile projects, by contrast, rely on refinement of process as dictated by the particular needs of the project and team dynamics. Additionally, less importance is placed on formal paper-based deliverables, with the preference being effective informal communication within the team and with key outside contributors. Agile projects produce releasable software in short iterations, typically ranging from 4 to 8 weeks. This, in itself, instills considerable performance discipline within the team. This, combined with short daily meetings to agree on what the team is doing and the identification of any impediments, renders task-level tracking against a schedule redundant. Agile projects do make use of suitable development tools; however, tools are not seen as the primary means of achieving productivity. Team harmony, effective communications and collective ability to solve challenges are of

NEW QUESTION 456

- (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 461

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