



## Seattle University RSKA 5360 IT Risk Advisory and Assurance Syllabus – Fall 2019

**Required Text:** IT Auditing Using Controls to Protect Information Assets, Second Edition, Chris Davis and Mike Schiller with Kevin Wheeler, McGraw Hill ISBN-13: 978-0-07174238-2

### Course Description

RSKA 5360-01 IT Risk Advisory and Assurance will provide the student with an overview of the IT Audit profession and perform “real IT Audits” of Seattle U Information Technology. The course will cover topics selected IT Audit topics and processes. Students will learn to plan, perform, present, and preserve an actual IT Audit Project. The Students will work in Teams to audit actual Seattle U data, work with Seattle U Information Technology key leaders, managers, and technical professionals. Students will be mentored and advised by currently working IT Auditors, who are practicing and doing some very innovative practices from companies such as Deloitte, EY, Microsoft, Nordstrom, Provitiv, and PWC. Students select their own individual IT Audit Project to research and present what they discovered and learned.

The IT Audit course key learning objectives include:

- A. Plan an IT Audit, based upon risks. Gaining a robust understanding of the technology process, risks, and control using the American Productivity Quality Center (APQC) framework. Students will need to organize and work as an IT Auditor, modeled after the Big Accounting and Consulting Firm practices (such as: Deloitte, EY, Microsoft, and Protiviti).
- B. Perform the IT Audit using the Institute of Internal Audit (IIA) Standards and ISACA Framework COBIT 5. Students will interact and learn from experienced IT Auditors on how they perform the actual IT Audit work. Students should expect to perform IT Audit risk assessments, test IT controls, analyze test results, conclude on control effectiveness, and propose recommendations if needed.
- C. Present the IT Audit Report before an Audit Committee. The Course Audit Committee (Subject to Change) includes: Chris Van Liew, Chief Information Officer (CIO) Seattle U, Travis Nation, Associate CIO, Jerry Vergeront, Director Risk and Cyber Security and IT Audit Leaders from Seattle Area Firms: Deloitte, EY, KPMG, Protiviti, and PWC. Students will get time to network with IT Audit Professionals and discuss possible career opportunities.
- D. Preserve the IT Audit will take Students through some of the important IT Audit practices and quality standards. Students will learn how to preserve and retain IT Audit evidence. This includes following up on IT Audit Recommendations and Stakeholder Consumer Satisfaction.



## Seattle University RSKA 5360 IT Risk Advisory and Assurance Syllabus – Fall 2019

- E. Divide into different IT Audit Teams. Each Team will plan, perform, and present their work to the Course Audit Committee. Students will work with established IT Audit Project Key Stakeholders (Seattle U Technology Leaders) and schedule time to plan and perform the IT Audit work. The Key Stakeholders have agreed to a limited time (10 to 12 hours over the course time frame) for Student IT Auditors to meet and complete their IT Audit assignments.
- F. Work on five IT Audit Projects (subject to availability of Stakeholders and Managers) following the Institute of Internal Auditor's (IIA) Standards.
1. Student Worker Access
  2. Disaster Recovery and Backup Process
  3. Server Hardening
  4. Integration of Systems
  5. Segregation of Duties
- G. Give a Short Presentation on a selected Personal I IT Audit Research Topic/ Project. Students select a personal IT Audit related topic such as personal password strength, how to prevent Identify Thief, or how to deal with a personal ransomware attack. Students will research their topic and give a short verbal presentation in class on what they discovered and learned.

### H. Course Schedule, Grading, and Deliverable Due Dates

### **(Course Topics Subject to Change without Notice)**

**Course Topics can and do change due to the nature of the IT Audit.** A new topic may surface because the IT Audit project work discovered a new problem or issue for example, a technical problem occurs, the server configuration standard gets changed, or the Student Worker Access requires new controls. Thus, we will cover the new topic instead of the scheduled topic.



## Seattle University RSKA 5360 IT Risk Advisory and Assurance Syllabus – Fall 2019

Wk	Date	Points	Topics and Activities	Deliverables Due 9AM Friday.	Homework Reading and Questions
1	Sept. 30 2019	50	<ol style="list-style-type: none"><li>1. Give Class Objectives and Expectations</li><li>2. Cover Risk Management Chapter 18</li><li>3. Introduce APQC Information Technology Process</li><li>4. Organize your IT Audit Team Chapter 1</li><li>5. Work on Team Projects</li><li>6. Close with Deliverables &amp; Assignments</li></ol>	10/4/2019	Read Chapter 2 The Audit Process, Read Chapter 13 Auditing Applications. Read Chapter 11 Auditing Virtualized Environments. Read about Budgeting and Planning, Discuss Kick Off Meeting
2	October 7	50	<ol style="list-style-type: none"><li>1. Cover Planning Quality Review Meeting with Advisors</li><li>2. Discuss the Audit Process - Chapter 2 - Segregation of Duties</li><li>3. Review Auditing Virtualized Environments - Chapter 11 - Integration of Systems &amp; Server Hardening</li><li>4. Give Status Report - Debrief on Kick-Off Meetings/ Work on Personal IT Audit Projects</li><li>5. Close with Deliverables &amp; Assignments</li></ol>	10/11/2019	Read Chapter 4 Auditing Data Centers and Disaster Recovery, Chapter 15 Auditing Company Projects Read about Obtaining IT Audit Evidence, Analyze Test Results,



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3	October 14	100	<ol style="list-style-type: none"><li>1. Meet with IT Audit Mentors/ Advisors – Planning Quality Review</li><li>2. Obtain IT Audit Evidence - Student Worker Access</li><li>3. Discuss Chapter 4 Auditing Data Center &amp; Disaster Recovery</li><li>4. Cover Chapter 15 Auditing Company Projects – Integration of Systems</li><li>5. Analyze Test Results - Server Hardening</li><li>6. Close with Deliverables &amp; Assignments</li></ol>	10/18/2019	Read and Answer Chapter 3 Auditing Entity-Level Controls
4	October 21	50	<ol style="list-style-type: none"><li>1. Listen to Possible Guest Speaker</li><li>2. Discuss and deal with Cyber Security - Server Hardening</li><li>3. Cover Chapter 3 Auditing Entity Level Controls - Disaster Recovery</li><li>4. Learn about Seattle U Architecture Infrastructure - Integration of Systems</li><li>5. Draft IT Audit Workpapers - Student Worker Access</li><li>6. Give Status Reports</li><li>7. Discuss Fieldwork Quality Review</li><li>8. Close with Deliverables &amp; Assignments</li></ol>	10/25/2019	Read about Report Writing, Recommendations, Validating final report with Stakeholders



## Seattle University RSKA 5360 IT Risk Advisory and Assurance Syllabus – Fall 2019

5	October 28	100	<ol style="list-style-type: none"><li>1. Meet with Advisors - Fieldwork Quality Review</li><li>2. Validate Findings and Conclusions - Student Worker Access</li><li>3. Audit Critical Thinking - Server Hardening and Disaster Recovery</li><li>4. Use Data Analytics Tools to provide insight - Segregation of Duties</li><li>5. Discuss Personal IT Audit Project Deliverable</li><li>6. Work on Personal IT Audit Project</li><li>7. Close with Deliverables &amp; Assignments</li></ol>	11/1/2019	Read about Verbal Presentations Read about Stakeholder Relationships
6	November 4	100	<ol style="list-style-type: none"><li>1. Present Personal IT Audit Project Report</li><li>2. Work on Stakeholder Relationships</li><li>3. Prepare and Schedule Close of Fieldwork and Validation of Findings &amp; Draft Report Meetings</li><li>4. Debrief on Team Leader CIO Status Report</li><li>5. Work on Team Project</li><li>6. Close with Deliverables &amp; Assignments</li></ol>	11/8/2019	Read about IT Audit Committee Relationships
	No Class Monday Nov. 11 Veteran's Day				



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7	November 18	50	<ol style="list-style-type: none"><li>1. Discuss Final IT Audit Report Presentation &amp; Report Quality Session - Student Worker Access and Integration of Systems</li><li>2. Analyze Risks and Writing Recommendations - Server Hardening</li><li>3. Discuss Workpaper Format and Audit Evidence</li><li>4. Discuss Roles with Workpaper Leaders and Quality Reviewers</li><li>5. Give Status Reports - Work on Team Project</li><li>6. Close with Deliverables &amp; Assignments</li></ol>	11/22/2019	Read about Audit Committee Presentations Read about Workpaper Quality Reviews
8	November 25	100	<ol style="list-style-type: none"><li>1. Meet with Advisors - Report Quality Review Session</li><li>2. Discuss Stakeholder Satisfaction Survey and Lessons Learned</li><li>3. Cover Giving Executive Reports</li><li>4. Give Status Report - Work on Team Projects - Give an initial Audit Committee Report Outline</li><li>5. Close with Deliverables &amp; Assignments</li></ol>	11/29/2019	Ethics Homework
9	December 2	50	<ol style="list-style-type: none"><li>1. Discuss Preserve Audit Tasks</li><li>2. Discuss Finalizing Workpapers and Quality Review</li><li>3. Give Status Report - Preserving the Audit</li><li>4. Practice IT Audit Presentation</li><li>5. Close with Deliverables</li></ol>	NA	No homework - work on Audit Report



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10	December 9	350	1. Deliver Final IT Audit Report live to Audit Committee and receive Team Feedback 2. Networking Period  Final's Exam Week December 9	NA	No homework
	Total	1000			



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### Grading will be based on a set scale as scheduled below:

900-1000 points = A

800-899 points = B

700-799 points = C

< 699 points = D

Adjustments may be considered depending upon overall class performance and points distribution.

The matrix below provides a general guide to the points allocated by week.

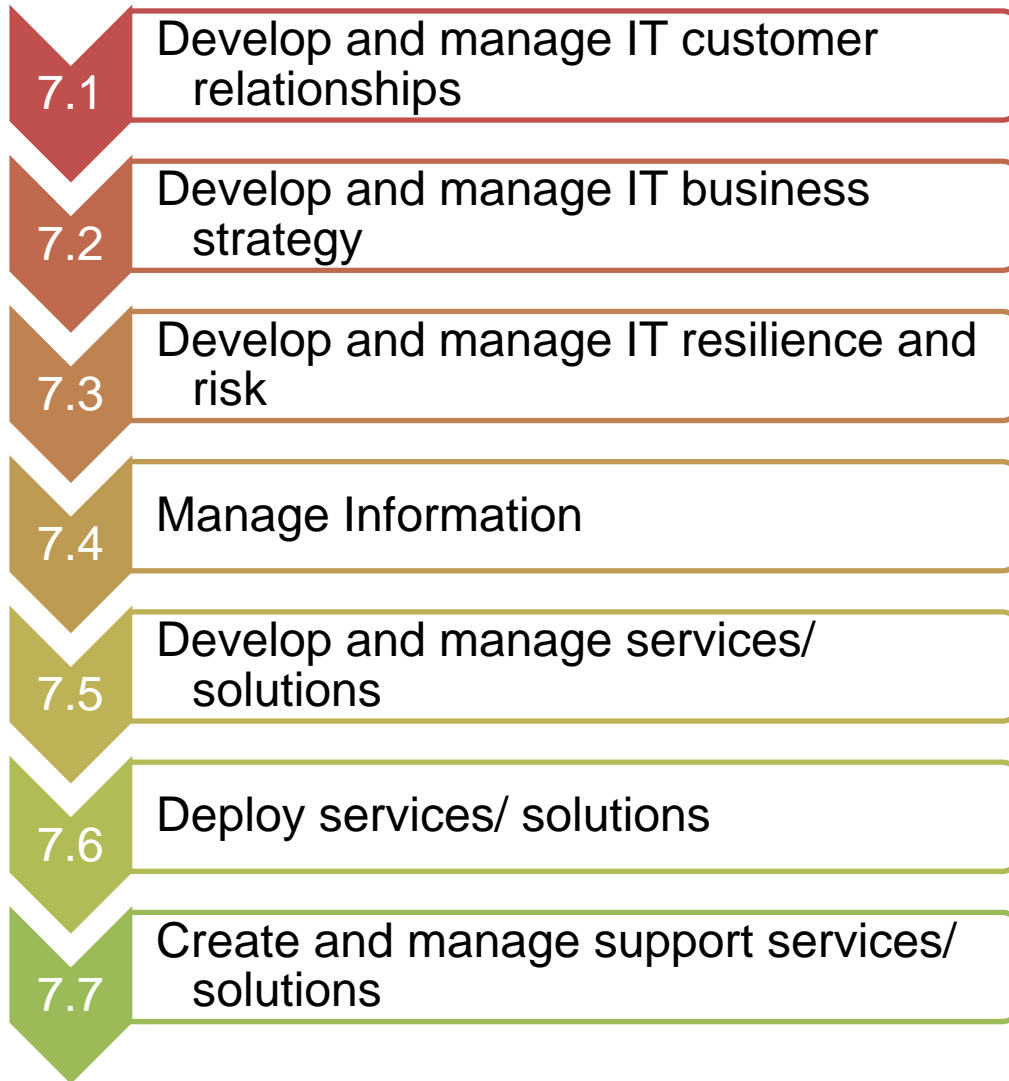
Week	Date	Points
1	Sept 30	50
2	Oct 7	50
3	Oct 14	100
4	Oct 21	50
5	Oct 28	100
6	Nov 4	100
Veteran's Day		
7	Nov 18	50
8	Nov 25	100
9	Dec 2	50
10	Dec 9	350
Total Points		1000





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The Course will use the American Productivity and Quality Center (APQC) Framework for Information Technology for Process Flows and Understanding. Your IT Audit Projects will cover specific processes 7.1 to 7.7





## Seattle University RSKA 5360 IT Risk Advisory and Assurance Syllabus – Fall 2019

Instructor: Steve Mar

Seattle University Office: Pigott 516

Office Hours: 4:00PM to 5:30PM Monday

Course: RSKA 5360-01 IT Audit

Class: 6:00PM to 9:00PM Monday

Classroom: PIGT 203

Start Date: September 30, 2019 to December 9, 2019

Office Phone: 206-660-4596

Email: [marst@seattleu.edu](mailto:marst@seattleu.edu)

Office Hours: Please email or call to request an appointment

Teaching Assistant: To be Announced.

### Academic Resources

- Library and Learning Commons (<http://www.seattleu.edu/learningcommons/>)  
(This includes: Learning Assistance Programs, Research [Library] Services, Writing Center, Math Lab)
- Academic Integrity Tutorial (found on Canvas and SU Online)

### Academic Policies on Registrar website (<https://www.seattleu.edu/redhawk-axis/academic-policies/>)

- Academic Integrity Policy
- Academic Grading Grievance Policy
- Professional Conduct Policy (only for those professional programs to which it applies)

### Notice for students concerning Disabilities

If you have, or think you may have, a disability (including an 'invisible disability' such as a learning disability, a chronic health problem, or a mental health condition) that interferes with your performance as a student in this class, you are encouraged to arrange support services and/or accommodations through Disabilities Services staff located in **Loyola 100, (206) 296-5740**. Disability-based adjustments to course expectations can be arranged only through this process.



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### Notice Regarding Religious Accommodations

It is the policy of Seattle University to reasonably accommodate students who, due to the observance of religious holidays, expect to be absent or endure a significant hardship during certain days of their academic course or program. Please see, *Policy on Religious Accommodations for Students* (<https://www.seattleu.edu/media/policies/Policy-on-Religious-Accommodations-for-Students---FINAL.PDF>).

### Office of Institutional Equity

Title IX of the Education Amendments of 1972 (Title IX) prohibits discrimination based on sex in educational programs or activities that receive Federal financial assistance. This prohibition includes sexual misconduct, which encompasses sexual harassment and sexual violence. Seattle U remains committed to providing a safe and equitable learning, living, and working environment. Seattle U offers emergency, medical, and other support resources, as well as assistance with safety and support measures, to community members who have experienced or been impacted by sexual misconduct.

Seattle U requires all faculty and staff to notify the University's Title IX Coordinator if they become aware of any incident of sexual misconduct experienced by a student.

For more information, please visit <https://www.seattleu.edu/equity/>. If you have any questions or concerns, you may also directly contact the Title IX Coordinator in the Office of Institutional Equity (**email:** [ois@seattleu.edu](mailto:ois@seattleu.edu); **phone:** 206.296.2824) University Resources and Policies