

Roll No. INFORMATION SYSTEMS
CONTROL AND AUDIT

Total No. of Questions – 7

Total No. of Printed Pages – 4

Time Allowed – 3 Hours

Maximum Marks – 100

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Answers to questions are to be given only in English except in the case of candidates who have opted for Hindi Medium. If the candidate has not opted for Hindi Medium, his/her answers in Hindi will not be valued.

Question No. 1 is compulsory.

Candidates are also required to answer any five questions from the remaining six questions.

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1. E-quip Limited has worldwide operations and is engaged in the business of manufacturing and supply of electronic equipment through its various outlets in India and abroad. Recognizing the advantages of connectivity through internet, the Management decides to sell its products in on-line mode by using Cloud Computing technology to achieve this objective.

The Company appoints a technical team for the development of the Company's new web application. The team calls for various meetings of different stakeholders and decides to follow the best practices of SDLC for its different phases. Keeping the importance of information security in the current vulnerable world, it suggests that security issues must be considered from the beginning itself. Accordingly, Business Impact Analysis (BIA) was done as a part of Business Continuity Management (BCM). As the auditor member of the technical team, the Management of E-quip Limited wants you to advise them on the following issues :

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- (a) What are the advantages and important implications of the proposed Information System for the Company ? 5
- (b) What are the tasks you will undertake to ensure that BCM program is in place, while assessing BIA ? 5
- (c) Management wants to know the major challenges in using Cloud Computing technology for running the new web application. Write any five challenges. 5
- (d) Explain briefly major ways to control remote and distributed data processing in the new Web Application. 5
2. (a) You are appointed to audit the Information Systems of ABC Limited. As a part of preliminary evaluation, list the major aspects which you would study to gain a good understanding of the technology environment and the related control issues. 6
- (b) Software Applications require interface between user and the business functions. Discuss User Controls describing various types of controls to be exercised to achieve system effectiveness and efficiency. 6
- (c) As an IS auditor, what are the key areas you would verify during review of BCM arrangements of an enterprise. 4
3. (a) Many-a-time organizations fail to achieve their system development objectives. Justify the statement giving reasons. 6

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- (b) Office Automation Systems (OAS) is the most rapidly expanding system. Describe the broad groups of OAS based on the types of its operations. 6
- (c) The manner of selecting auditors builds confidence among various stakeholders. Describe SEBI norms for selecting an auditor. 4
4. (a) Do you consider Corrective Controls are a part of Internal Controls ? Describe the characteristics of Corrective Controls. 6
- (b) Different auditors go about IS auditing in different ways. Despite this, IS audit process can be categorized into broad categories. Discuss the statement explaining broad steps involved in the process. 6
- (c) Testing a program unit is essential before implementing it. Name any four categories of test; a programmer typically performs on a programmable unit. 4
5. (a) Mr. A has hacked into Defence Information Systems with an intention to steal classified information that threatens the security and sovereignty of India. He has used the services of a local café, 'CyberNet' for this purpose. The owner of 'CyberNet' tries to stop Mr. A but is threatened by Mr. A. Hence the owner of 'CyberNet' does not disclose A's activities to anyone. Mr. A is caught by the Vigilance Officers of the department. 6
- (i) Is Mr. A punishable for his activities ?
- (ii) Is the intermediary, 'CyberNet' liable ?

Please discuss the liabilities enunciated under the relevant sections of the Information Technology Act, 2000 in the above two cases.

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- (b) The Management of IT related risks is a key part of Enterprise Governance. Name the key management practices to achieve this objective. **6**
- (c) State four major tasks performed by an Operating System while allowing users and their applications to share and access common resources. **4**
6. (a) Discuss key management practices required for aligning IT Strategy with Enterprise Strategy. **6**
- (b) You are selected by UVW Limited to review and strengthen Software Access Control mechanism for their Company. Prepare a report on the need of boundary controls enlisting major boundary control techniques to be implemented by them. **6**
- (c) A business manager should have adequate knowledge to operate Information Systems effectively. Elaborate. **4**
7. Write short notes on any four of the following :
- (a) Principles of COBIT 5. **4**
- (b) Effect of Computers on Evidence Collection for audit. **4**
- (c) Back-up option sites for Alternate processing facility arrangements. **4**
- (d) Best practices of Green IT. **4**
- (e) Vulnerability. **4**

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