



# ICON

## ISACA Central Ohio Newsletter



Volume 12, Issue 7

March 2001

### Meeting News

**DATE:** Thursday, Mar. 1, 2001

**AGENDA:** 11:15 Registration  
11:30 Meeting/Speaker  
12:30 Lunch

**LOCATION:** DaVinci Ristorante  
4740 Reed Road  
Columbus, Ohio 43220

**MENU:** Baked Chicken a la DaVinci  
Lasagna  
Green Beans  
Italian Salad  
Rolls and Butter  
Coffee, Tea, or Sanka  
Apple Pie

**PRICES:** \$ 15.00 Members  
\$ 18.00 Non-Members  
\$ 5.00 Student (Student is full-time undergraduate, non-professionally employed)

**RSVP:** Richard Ridewood 614-466-4083  
FAX: 614-728-7199  
e-mail: [rridewood@auditor.state.oh.us](mailto:rridewood@auditor.state.oh.us)

#### RESERVATIONS POLICY

The deadline for reservations is **Tuesday, Feb. 27, 12:00 noon**. If you do not reach Rich directly, please be sure to leave the following information: Name, Member/Non-Member, and Company. **Cancellation deadline is Wednesday, Feb. 28, 12:00 noon.**

**ALL RESERVATIONS MADE AND NOT CANCELED BY THE DEADLINE MUST BE PAID FOR.**

#### IT Audit Academics and Recruiting

Alan T. Lord joined the faculty of Bowling Green State University as an associate professor in the fall of 1995. His primary teaching interests have been in the applications of computers to business situations. The courses that he has taught in this area would include accounting information systems, computer programming, systems design and analysis, and auditing and control of computer based information systems. In addition he has taught several auditing and financial accounting courses. In 1996 and 1997, Dr Lord was one of twelve members of the International Model Curriculum Development Committee for the Information Systems Audit and Control Association (ISACA). This committee designed model curriculums that focus on the information systems audit and control areas. It is expected that universities around the world will be able to use the work of this committee to create sets of courses that will allow students to pursue undergraduate and graduate degree programs concentrating in information systems auditing and control. During the summer of 2000 he spent six weeks teaching a course at the Indian Institute of Management in Bangalore, India and conducting seminars on Electronic Commerce Security for ISACA and Chartered Accountant's Chapters throughout India. Dr. Lord has been a member of the international academic relations committee of ISACA for several years and currently serves as the International Chairperson.

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**DIRECTORY OF OFFICERS, COMMITTEE  
CHAIRPERSONS, & DIRECTORS  
2000-2001 CHAPTER YEAR**

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- President:** Tim Winslow, 614-213-6336  
Bank One Corporation
- Vice-President:** Ken Kuss, 614-249-0573  
Nationwide
- Secretary:** Alison Williams, 614-249-8770  
Nationwide
- Treasurer:** Dennis Kabelac, 614-464-0540  
Jefferson Wells

**COMMITTEE CHAIRPERSONS:**

- Arrangements:** Richard Ridewood, 614-466-4083  
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- Audit:** Greg Mason, 614-728-0125  
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- Education:** Richard Ridewood, 614-466-4083  
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- Membership:** Jim D'Innocenzo, 614-249-6067  
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Ohio Auditor of State
- Programs:** Tim Winslow, 614-213-6336  
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- Web Page:** Tim Winslow, 614-213-6336  
Bank One Corporation

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- Ed Bell, Huntington, Huntington Bank, 614-331-9355
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- Claudia Mitchell, Nationwide, 614-249-4110
- Larry Frazee, Huntington Bank, 614-480-6525
- Norman Hofmann, Auditor of State, 614-728-7164

**MEETING DATES**

4/5/01 TBA  
5/10/01 TBA

ISACA CENTRAL OHIO CHAPTER DISCLAIMER  
STATEMENT

**Because it is one objective of the ISACA Central Ohio Chapter to be a forum for the free expression and interchange of ideas, statements of position or expression of opinion appearing herein are those of the author(s) and not by the fact of publication necessarily those of the ISACA Central Ohio Chapter. Likewise, the publication of any advertisement in the ISACA Central Ohio Chapter's newsletter is not to be construed as an endorsement of the product or service offered unless such approval or endorsement is specifically stated.**

**ICON: ISACA Central Ohio Newsletter is published monthly. Articles and advertisements are welcome. The deadline for receiving articles is the 10<sup>th</sup> of the month prior to the month the article is to be published. Current advertising rates: \$30 for full page and \$20 for half page. For further information contact:**

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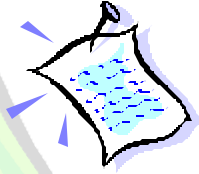
**Visit our web site at:**

**[www.osu.edu/units/uts/isaca-centralohio/](http://www.osu.edu/units/uts/isaca-centralohio/)**

## President's Message

By **Tim Winslow, Chapter President**

Our upcoming Spring training seminar, Control and Security of Oracle, is drawing much attention lately. Over half of the available slots for the April 11-12 seminar are already accounted for. For more information or to ensure a spot through registration, please refer to the detailed information in this newsletter.



As stated previously, nominations for next year's Officers, Chairpersons, and Board of Directors are now being accepted. This opportunity is a great way to build deeper networking relationships and provide your direct input toward our chapter's future direction. If you or somebody you know would like to become more involved, please contact our Nominations committee chairpersons Dennis Kabelac or Claudia Mitchell. Remember, elections for the 2001-2 chapter year will occur in April.

We only have a few more luncheons left this year and your officers and board are working hard to deliver some great topics. Our March topic, IT Audit Academics and Recruiting, should be enlightening. I look forward to seeing you at the DaVinci's Ristorante on March 1, 2001.

**Next Chapter Board Meeting: March 1, 2001 at 10:30am.**



## ISACA NEWS

### 2001 CISA Review Manuals and Study Materials

The 2001 *CISA Review Technical Information Manual*, 2001 *CISA Review Questions, Answers Explanation Manual (Q, A & E)*, the 2001 *Supplement to the Q, A & E* and the *CISA Review Questions, Answers and Explanations* CD-ROM are available to candidates preparing to sit for the CISA exam. All study materials have been revised and updated to reflect changes in the 2001 CISA exam. Please visit the ISACA Bookstore at [www.isaca.org/bk\\_cisa.htm](http://www.isaca.org/bk_cisa.htm)

### ISACA Terminology List

A list of the most frequently used technical terms is now posted on ISACA's web site: [www.isaca.org/examterm.htm](http://www.isaca.org/examterm.htm). The terminology list includes each technical term in English, along with how it will appear on the exam in each language offered. This is a great study tool.

### North America CACS 2001

29 April – 4 May, 2001; Lake Buena Vista, Florida, USA

You will not want to miss the 31<sup>st</sup> annual conference, held at the world-famous Disney's Contemporary Resort in Lake Buena Vista, Florida. Conference presentations will include: The Virtual Audit Department, Core Competencies, E-business, Fraud and Forensics, CIO Perspective on IS Audit Issues and much more. InfoExchange, highlighting the latest products and services, will also be show cased. ISACA members who register before 31 January 2001 will receive US \$100 off the US \$1,295 conference registration fee.

### International Conference 2001

10-13 June, 2001; Paris, France

Now is the time to plan to attend the International Conference 2001! Conference presentations will include: IT Governance, E-business, IT Audit Strategies, Information Security Management Systems, UNIX, LINUX, Windows 2000 and more. A new addition to the conference is an IT Governance Forum, comprised of a full day of sessions on Monday, 11 June. The forum will examine the issues of IT governance from CEO, CIO and consultant vantage points; will investigate client, shareholder, supplier and employee expectations for IT governance; and will review various IT governance solutions, such as COBIT 3<sup>rd</sup> Edition *Management Guidelines* and the IT balanced scorecard. Presented by CEOs, CIOs and other senior IT executives from multi-national corporations, this session marks the first ever, in-depth conference examination of this increasingly important topic. ISACA members who register before 12 March 2001 will receive US \$100 off the \$1,295 conference registration fee. For immediate information, or to register for the conference, please visit the ISACA web site:

[www.isaca.org/international2001.htm](http://www.isaca.org/international2001.htm)

### Applications to Become a CISA

Those who passed the CISA examination in June 1996 must apply to become a CISA by the end of 2001. A letter was sent to these individuals reminding them to apply. If an application is not processed by the end of 2001, the exam passer will have to take and pass the exam again. For those who have not yet done so, please do so immediately after obtaining the required practical experience.

**ISACA RESEARCH UPDATES**

***Network Security–Virtual Private Network (VPN)***

This ISACF™ publication will provide security, audit and control professionals with an overview of the architecture behind Internet VPN, as well as commonly used security algorithms. It addresses implementation and supplies general audit suggestions. It is being written to be consistent with COBIT and CONCT® (*Control Objectives for Net Centric Technologies*). Target availability date is the first quarter of 2001.

***Technical Reference Guide: Trading Partner Identification, Registration and Enrollment–A Reference for the IS Auditor***

Technical reference guides form the third phase of the e-commerce project currently conducted by ISACF in partnership with Deloitte & Touche. This publication documents the process of recognizing and establishing the authenticity of a new trading partner and deciding whether to do business. Its focus is the establishment of the relationship, on “new account” time. The auditor will find it useful when deciding whether to audit an e-commerce application and when planning or conducting such an audit. It may also be useful for examining or making judgments about any new account process, whether or to what extent such a process is automated. For purchase information contact the ISACA Bookstore at [www.isaca.org/bk\\_ints.htm#trs-1](http://www.isaca.org/bk_ints.htm#trs-1)

***Security and Risk Management in ERP***

ERP systems are now pervasive globally in medium to large enterprises and in the public sector. Application security and technical infrastructure considerations will be covered for each ERP offering in a technical reference guide. Each guide will therefore be designed to have value on its own, but will possess even more value as a complete set covering all of the major business cycles and key areas of audit consideration for ERP implementation. Research will focus on: identifying risks in ERP security and control, outlining control techniques for managing risk and suggesting assurance techniques for testing control activities.

SAP, the first in the series, is strong in manufacturing and has its own project management methodology, ASAP (accelerated SAP). A focus on business process controls for the inventory and revenue cycles and project management will be included in the SAP technical reference guide. Internet and wireless implications will also be addressed. Project completion is scheduled for the end of 2001.

***Wireless Communication Systems***

Wireless communications transcend traditional and regulatory boundaries. Users expect to carry communications devices with them wherever they travel, and also expect the same features enjoyed on their home network when they roam onto foreign networks. This poses significant technical and control challenges, but the greater challenges lie in the areas of control, security and audit. This project will result in both a technical and functional assessment of the space, written from a business and risk management perspective. Work should be completed by the second quarter 2001.

***Enterprise Information Integrity***

In an increasingly dynamic global environment, IT organizations have to address complex solutions and operating environments. The purpose of this project is to define the key elements of enterprise information integrity, identify associated costs and benefits criteria and present a framework and process for managing them to provide assurance of the dependability and trustworthiness of information across the enterprise. The Centre for IS Assurance will conduct this project for ISACF with funding from Unitech Systems Inc. Completion is projected for the third quarter 2001.

***Customer Relationship Management (CRM)***

CRM provides organizations with increased functionality by providing account and contact management, opportunity and pipeline management, forecast management, campaign and event management, field sales representative support, sales compensation determination, mobile field service, telephony management and e-business facilitation. The research project will address a number of issues, including: CRM application functionality, technical architecture, operational and strategic risk management opportunities, as well as security and control criteria within the CRM IT environment.

***Oracle Database Security, Control and Audit***

The purpose of this project is to update the ISACA Monograph Series book, *Security and Controls in an Oracle Environment*. This includes a recommended plan for addressing the issues that have changed in subsequent Oracle environments. Availability is expected in the later part of the second quarter 2001.

CENTRAL OHIO CHAPTER'S OF ISSA AND ISACA ARE SPONSORING:

**CONTROL & SECURITY OF ORACLE  
(2 DAY SEMINAR)**

- Speaker:** Mr. Gordon Smith, CMA, CGFM (Canaudit Inc.)
- Date:** Wednesday, April 11 and Thursday, April 12, 2001
- Location:** Bank One Corporate Center at Polaris  
1111 Polaris Parkway  
Columbus, Ohio 43240
- Cost:** \$150 for ISACA or ISSA members  
\$250 for nonmembers
- Time:** 8:30 a.m. – 4:30 p.m. (approximate – may change slightly depending upon material covered)
- Attendance:** Limited to the first 40 to register and complete payment.
- Payment:** Payments will need to be made in **advance**. Deadline for registration is **April 4, 2001**.

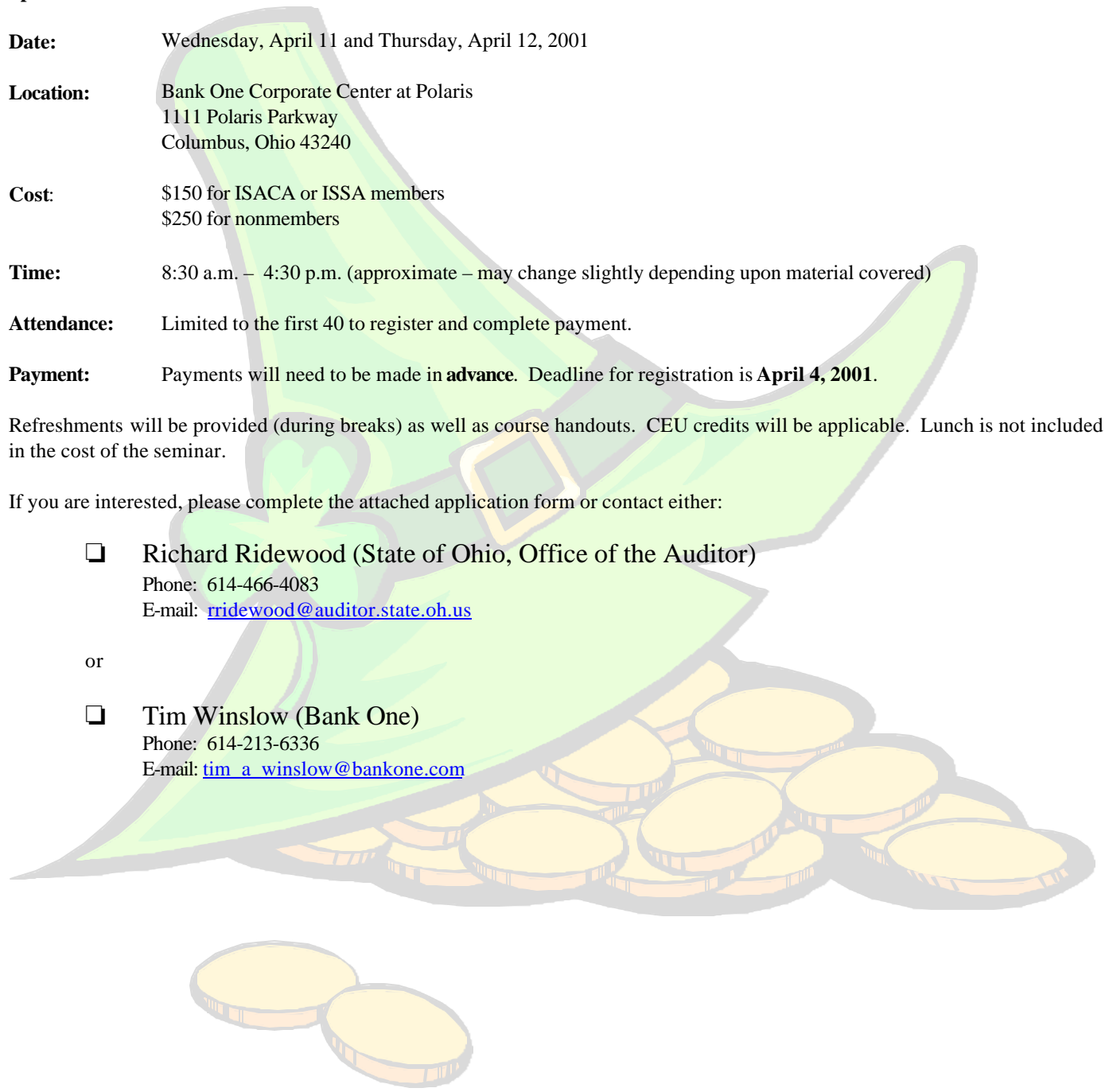
Refreshments will be provided (during breaks) as well as course handouts. CEU credits will be applicable. Lunch is not included in the cost of the seminar.

If you are interested, please complete the attached application form or contact either:

- Richard Ridewood (State of Ohio, Office of the Auditor)**  
Phone: 614-466-4083  
E-mail: [rridewood@auditor.state.oh.us](mailto:rridewood@auditor.state.oh.us)

or

- Tim Winslow (Bank One)**  
Phone: 614-213-6336  
E-mail: [tim\\_a\\_winslow@bankone.com](mailto:tim_a_winslow@bankone.com)



## CONTROL & SECURITY OF ORACLE

This two day seminar will provide participants with a thorough understanding of the key control and security issues of the **Oracle Database** management product.

We begin with an overview of the Oracle product, its features and capabilities. Once the basic concepts are understood, the instructor will focus on each of

the critical components and provide participants with in-depth coverage of the major control issues. It is essential that strong controls are in place when the product is first loaded to prevent the installation of Trojans and back doors that can grant unauthorized access to programs and data files. For this reason, the section on product installation and configuration will identify the key control points necessary to establish a security baseline. This will ensure that security is implemented early in the Oracle development life cycle. The instructor will then move on to the controls required for application design and construction, testing, and then implementation. Special emphasis will be placed on developing and implementing strong security practices that ensure the programs, databases and Oracle operating environment are protected. As with all Canaudit control and security seminars, participants will receive a series of risk control tables and checklists to assist them in their first audit.

This session is intended for auditors and security personnel who need a basic understanding of the control features of Oracle security practices and who require a solid approach to ensuring Oracle security is fully implemented.

### SEMINAR OUTLINE

#### I INTRODUCTION

- Why Oracle?
  - ▶ Most Popular Database
  - ▶ Powerful & Widely Accepted
  - ▶ Cross Platform Capability
  - ▶ Choice of Mainframe
  - ▶ Capability to Span Multiple Platforms
  - ▶ World-wide Service Support
  - ▶ Multi-language Capability
    - ▶ Large Customer Base
    - ▶ Audit Risks
    - ▶ What We Need To Know

#### II UNDERSTANDING ORACLE

- Overview of Oracle
- Database Internals
- Memory Terminology
- User Terminology
- Additional Query Related Terminology
- Risk/Control Tables
- Audit Checklists

#### III SECURITY AND AUDIT FUNCTIONS

- Oracle Security
- User Issues
- User Administration
- The Oracle Auditing Function
- Risk/Control Tables
- Audit Checklists
- Audit Software

#### IV OPERATING SYSTEM SECURITY

- Identifying Server Security Requirements by Platform
  - ▶ UNIX/AIX Operating Systems
  - ▶ Windows NT Operating System
  - ▶ Novell NetWare Operating System
- Security Requirements
  - ▶ Client & User Security
  - ▶ File Data & Share Security
- Risk/Control Tables
- Audit Checklists

#### V BACKUP AND RECOVERY

- Oracle Backup and Recovery
- Exports and Imports
- Mirroring, Raid and other Backup Methodologies
- Risk/Control Tables
- Audit Checklists

#### VI DATABASE ADMINISTRATION ISSUES

- Database Layout
- Monitoring the Database Space, the next Frontier
- Other Methods to Improve Performance
- Risk/Control Tables
- Audit Checklists

#### VII APPENDIX A & B

- Glossary
- Object Audit Options

**COURSE DURATION: 2 days**  
**16 CPE hours**

## Gordon E. Smith

(Home Base: Simi Valley, California)

Gordon Smith, President of Canaudit Inc., is a highly energetic and enthusiastic speaker who makes audit topics interesting and exciting. His motivating style and dynamic delivery techniques capture the interest of the audience, open their minds and inspire them to accept new methodologies and techniques. His innovative audit techniques and ability to translate complicated technology into simple English make Mr. Smith one of the most popular speakers on the audit lecture circuit.

With 23 years of audit experience, Mr. Smith continues to audit complex technology and business applications. He specializes in networks, information security, operating systems, and client/server environments. His work in integrated auditing has made the INTEGRATED AUDIT WORKSHOP the most successful seminar in the fifteen-year history of Canaudit Inc.

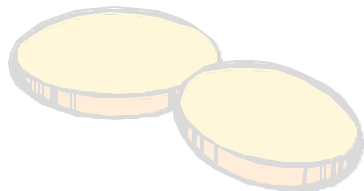
As a practicing auditor with a strong business sense, Mr. Smith is adept at tying critical audit findings to the key objectives of the organization. He has been the keynote speaker at several international conferences and is a "regular" at both the CACS and the ISACA Conferences.

### Additional Information

Mr. Smith is a distinguished career auditor with both internal and external audit experience. He founded Canaudit in 1985 to provide professional development and consulting services to the international audit community. In the banking industry, Mr. Smith served as President of Security Pacific Audit Services, a subsidiary of Security Pacific Bank. Through Canaudit, Mr. Smith has provided training and audit consulting services to many of the larger banks in the United States and Canada. His clients include well known banks such as: Bank of America, Wells Fargo, Union Bank, California Federal, Great Western Bank, Bank One, Royal Bank of Canada, and First National Bank of Omaha. He has also provided services to other financial institutions such as Merrill Lynch, Dean Witter, Charles Schwab, Sun Life, just to name a few.

Mr. Smith pioneered the integrated audit concept and assisted many of the above organizations in making the transition to the integrated audit concept. His unique ability to explain complex information technology concepts has enabled many internal auditors to succeed in becoming "true" integrated auditors. His structured COSO-compliant approach enables integrated auditors to provide increased audit coverage while dramatically reducing the time required to perform integrated application audits.

Mr. Smith is a Certified Management Accountant (CMA) who graduated in 1981. He is also a Certified Government Financial Manager and a member of: the Institute of Internal Auditors, the Information Systems Audit and Control Association, and the Association of Government Accountants. Mr. Smith is listed in the WHO'S WHO OF LEADING AMERICAN EXECUTIVES and has recently published his first book ***Network Auditing: A Control Assessment Approach.***



**“CONTROL & SECURITY OF ORACLE”**

APRIL 11 – 12, 2001

**REGISTRATION INFORMATION**

**Name:**

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**Company:**

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**Mailing**

**Address:**

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**Telephone:**

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**E-Mail:**

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**FAX:**

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**PLEASE MAKE COPIES AS NEEDED, USE ONE FORM PER ATTENDEE**

**SEMINAR FEE:**

- \$150.00 I am a member of ISSA or ISACA.
- \$250.00 I am a nonmember of any of the organizations listed above.

**Note:** The registration fee includes seminar, handout materials and refreshments. Lunch is not included.

**PAYMENT OPTIONS:**

- Please send me an invoice for the amount owed (at the address listed above).
- A check made payable to “ISACA Central Ohio Chapter” is enclosed.

**Mail registration form to:**

ISACA Central Ohio Chapter  
P.O. Box 26192  
Columbus, OH 43226

You will be invoiced for the course when your registration is received by Wednesday, March 21, 2001. Please make checks payable to: **ISACA CENTRAL OHIO CHAPTER**. Sorry no credit card payments will be accepted.

**CANCELLATION POLICY:** Cancellations received in writing (including e-mail) by March 28, 2001 will receive a full refund. Cancellations received after this date will not be refunded. Substitutions are welcome.



Membership Information: [www.isaca.org/memb1.htm](http://www.isaca.org/memb1.htm)