

**MIS 5201 – IT Audit Process
Spring 2017**

About the Instructor

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Office hours: Online or by appointment.

Class Location and Time

Location: WebEx and Alter Hall 745
Time: Monday 5:30 PM – 8:00 PM
Virtual/On-Line: 5:30 PM – 8:00 PM, Monday (starting January 23, 2017)
Class blog: <http://community.mis.temple.edu/mis5201sec001sp2017/>

Course Description

In this course, you will learn how IT audits are planned, organized and executed, and their results communicated to the organization. Students will learn how to develop and implement risk-based IT audit strategies and objectives in compliance with generally accepted audit standards to ensure that the organization's IT assets are adequately controlled, monitored, and assessed, and are aligned with its business objectives.

Course Objectives

1. Develop and implement a risk-based approach in compliance with IT audit standards ensuring that key areas of IT are included.
2. Design specific audits to verify whether information systems are protected, controlled and provide value to the organization.
3. Obtain evidence that is sufficient, competent, relevant and useful in achieving audit objectives.
4. Analyze the information gathered to identify reportable conditions.
5. Report the results of the audit to key stakeholders and make recommendations; effect change when necessary.
6. Conduct follow-ups and prepare status reports to ensure that appropriate and timely actions have been taken by management.

Required Text and Readings

There is no required textbook for this course. Most of the reading material required for class is available through ISACA® or have been provided to you through the ITACS program.

- COBIT 5 for Assurance
- ITAF 3rd Edition
- CISA Review Manual 2016
- Articles – mostly from the ISACA® Journal and Gartner, Inc.

Evaluation and Grading

Item	Weight
Participation (in class and online)	20%
Projects	25%
Quizzes	25%
Exams	30%
	100%

Grading Scale

94 – 100	A	73 – 76	C
90 – 93	A-	70 – 72	C-
87 – 89	B+	67 – 69	D+
83 – 86	B	63 – 66	D
80 – 82	B-	60 – 62	D-
77 – 79	C+	Below 60	F

Grading Criteria

The following are the criteria used for evaluating assignments. You can roughly translate a letter grade as the midpoint in the scale (for example, an A- equates to a 91.5).

Criteria	Grade
The assignment consistently exceeds expectations. It demonstrates originality of thought and creativity throughout. Beyond completing all the required elements, new concepts and ideas are detailed that transcend general discussions along similar topic areas. There are no mechanical, grammatical, or organization issues that detract from the ideas.	A- or A
The assignment consistently meets expectations. It contains all the information prescribed for the assignment and demonstrates a command of the subject matter. There is sufficient detail to cover the subject completely but not too much as to be distracting. There may be some procedural issues, such as grammar or organizational challenges, but these do not significantly detract from the intended assignment goals.	B-, B, B+
The assignment fails to consistently meet expectations. That is, the assignment is complete but contains problems that detract from the intended goals. These issues may be relating to content detail, be grammatical, or be a general lack of clarity. Other problems might include not fully following assignment directions.	C-, C, C+
The assignment constantly fails to meet expectations. It is incomplete or in some other way consistently fails to demonstrate a firm grasp of the assigned material.	Below C-

Participation

The assignments, cases, and readings have been carefully chosen to bring the real world into class discussion while also illustrating fundamental concepts. Your participation in the online and class discussions is critical. Evaluation is based on your consistently demonstrating your engagement with the material. Assessment is based on what you contribute, and the frequency and quality of your contributions.

Every week I will post a discussion question or two on the class blog for the following week's topic. The question will be related to a topic to be discussed in class. You are expected to contribute four times each week. Your contributions will be evaluated based on the quality of your comments and the quantity. Four substantive contributions a week will be considered a B.

Weekly Cycle

- You: Read, view, etc. content for week (see course blog's Schedule menu)
- Me: Post Questions (Sunday am)
- You: Respond to questions and read & respond to other's answers (thru Saturday 11:59 pm).
- Us: Class (Monday)
- Me: Post summary note (Tuesday)

Quizzes

There will be a total of 2 quizzes throughout the semester. These quizzes are on Blackboard and have a combination of ten CISA exam practice questions and/or short answer questions. You can access the quiz any time between Saturday 6 AM and Sunday 11:59 PM. Once you start the quiz you have 15 minutes to complete it. You will not be able to stop, go back or otherwise extend the time. Be sure you are ready to go and have the time available before you start the quiz. Late work will not be accepted.

Final Exam

The final exam will also be on Blackboard and will use multiple-choice CISA practice examination questions. The exam will be comprehensive. Everything we cover during the semester may appear on the exam. The final exam will consist of 75 questions and you will have 90 minutes to complete it (this is the same pace as the CISA exam).

Late Assignment Policy

An assignment is considered late if it is turned in after the assignment deadlines stated above. No late assignments will be accepted without penalty unless arrangements for validated unusual or unforeseen situations have been made.

- Class Blog contributions cannot be turned in late. If you miss contributing prior to class for that week's discussion / questions you will receive no credit for it.
- The exercise assignments will be assessed a **20% penalty** each day they are late. No credit is given for assignments turned in over five calendar days past the due date.
- You must submit all assignments, even if no credit is given. **If you skip an assignment, an additional 10 points will be subtracted from your final grade in the course.**
- Plan ahead and backup your work. ***Equipment failure is not an acceptable reason for turning in an assignment late.***

Citation Guidelines

If you use text, figures, and data in reports that were created by others you must identify the source and clearly differentiate your work from the material that you are referencing. If you fail to do so you are plagiarizing. There are many different acceptable formats that you can use to cite the work of others (see some of the resources below). The formats are not as important as the intent. You must clearly show the reader what is your work and what is a reference to someone else's work.

Plagiarism and Academic Dishonesty

All work done for this course: papers, examinations, homework exercises, blog posts, laboratory reports, oral presentations — is expected to be the individual effort of the student presenting the work.

Plagiarism and academic dishonesty can take many forms. The most obvious is copying from another student's exam, but the following are also forms of this:

- Copying material directly, word-for-word, from a source (including the Internet)
- Using material from a source without a proper citation
- Turning in an assignment from a previous semester as if it were your own
- Having someone else complete your homework or project and submitting it as if it were your own
- Using material from another student's assignment in your own assignment

Plagiarism and cheating are serious offenses, and behavior like this will not be tolerated in this class. In cases of cheating, both parties will be held equally responsible, i.e. both the student who shares the work and the student who copies the work. Penalties for such actions are given at my discretion, and can range from a failing grade for the individual assignment, to a failing grade for the entire course, to expulsion from the program.

Student and Faculty Academic Rights and Responsibilities

The University has adopted a policy on Student and Faculty Academic Rights and Responsibilities (Policy # 03.70.02) which can be accessed through the following link:

http://policies.temple.edu/getdoc.asp?policy_no=03.70.02

Schedule

For more details see the class blog:

<http://community.mis.temple.edu/itacs5201spring2017/>

Additional Information

Availability of Instructor	<ul style="list-style-type: none">▪ Please feel free to contact me via e-mail with any issues related to this class. I will also be available at the end of each session. Please note that these discussions are to address questions/concerns but are <u>NOT</u> for helping students catch up on content they missed because they were absent. Note: I will respond promptly when contacted during the week▪ I am available to meet personally with you:<ul style="list-style-type: none">✓ Immediately after class✓ By appointment prior to class✓ By appointment by phone
Attendance Policy	<ul style="list-style-type: none">▪ Class discussion is intended to be an integral part of the course. Therefore, full attendance is expected by every student.▪ If you are absent from class, speak with your classmates to catch up on what you have missed.
Class Etiquette	<ul style="list-style-type: none">▪ Please be respectful of the class environment.▪ Class starts promptly at the start time. Arrive on time and stay until the end of class.▪ Turn off and put away cell phones, pagers and alarms during class.▪ Limit the use of electronic devices (e.g., laptop, tablet computer) to class-related usage such as taking notes. Restrict the use of an Internet connection (e.g., checking email, Internet browsing, sending instant messages) to before class, during class breaks, or after class.▪ Refrain from personal discussions during class. Please leave the room if you need to speak to another student for more than a few words. If a student cannot refrain from engaging in private conversation and this becomes a pattern, the students will be asked to leave the classroom to allow the remainder of the students to work.▪ During class time speak to the entire class (or breakout group) and let each person “take their turn.”▪ Be fully present and remain present for the entirety of each class meeting.