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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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Answer to questions are to be given only in English except in the case of candidates who have opted for Hindi Medium. If a 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.

Wherever appropriate, suitable assumption(s) should be made and indicated in the answer by the candidate.

Working notes should form part of the answer.

Marks

1. XYZ Company is a retail chain house having many branches located in different places for its operation. Its business processes are cumbersome and tedious as it has multiple sources of procurement and supply destinations.

The CEO of company feels that existing information system does not meet its present requirements. He seeks for high end solution to stream line and integrate its operation processes and information flow to synergize all its major resources. Further he expects that the new system should provide a structured environment in which decisions concerning demand, supply, operational, personnel, finance, logistics etc. are fully supported by accurate and reliable information. The company follows the best practices of System Development Life Cycle (SDLC), which consists of various phases starting from preliminary investigation till post implementation review, controls and security aspects.

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The CEO of the company appoints a committee of three persons, one of them is IT expert, second one is IS security expert and third one is company's auditor to suggest the followings :

- (a) List the activities to be performed during the phase of System Requirement Analysis. 5
 - (b) What boundary control techniques should be used in user control ? 5
 - (c) If committee decides to go for implementing ERP, what general guidelines you would suggest before starting the implementation of ERP package ? 5
 - (d) Which aspects should be covered while drafting IS security policy for Business Continuity Planning ? 5
- 2.
- (a) What is the goal of a prototype model approach of software development ? Enumerate the strength of this model. 6
 - (b) What activities are involved in system conversion ? Explain them briefly. 6
 - (c) How does Executive Information System differs from Traditional Information System ? 4
- 3.
- (a) What is scope of output control of an application system ? Suggest various types of output controls which are enforced for confidentiality, integrity and consistency of output. 6
 - (b) What is an Expert System ? List the properties which an application should possess to qualify for Expert System development. 6
 - (c) What do you mean by 'Packet Filter Firewall' ? Explain the major weaknesses associated with it. 4

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4. (a) What do you mean by 'System Control Audit Review File' (SCARF) ? What types of information can be collected by Auditor using SCARF. 6
- (b) What is Business Impact Analysis ? Enumerate the tasks which are to be undertaken in this analysis. 6
- (c) Describe the procedure to apply for a licence to issue electronic signature certificate under Section 22 of the Information Technology (Amendment) Act, 2008. 4
5. (a) Briefly explain the control and objectives of 'Asset Classification and Control' in information security management system. 6
- (b) What is the purpose of risk evaluation ? Give some of the techniques that are available for risk evaluation. 6
- (c) What is Information Security Policy ? What are the issues it should address ? 4
6. (a) Under the IT Infrastructure Library (ITIL) framework, discuss the importance of following : 6
- (i) Release management
- (ii) ICT infrastructure management
- (b) Mr. A has received some information about Mr. B on his cellphone. He knows that this information has been stolen by the sender. He not only retained this information but also sends it to Mr. B and his friends. Because of this act Mr. B is annoyed and his life is in danger. 6
- Mr. B seeks your advise, under what sections of Information Technology (Amendment) Act, 2008, he can file an FIR with police ? Advise Mr. B detailing the applicable sections of the Act.

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Marks

- (c) 'Every company that intends to implement ERP has to Re-engineer its processes in one form or other.' In the light of this statement describe any four processes that needs to be re-engineered. 4

7. Write short notes on any **four** of the following :

- (a) Purpose of IS Audit Policy 4
- (b) Audit Tools and Techniques used in Disaster Recovery Plan. 4
- (c) Risk Assessment 4
- (d) Reasons for failure of ERP projects. 4
- (e) Recognition of Foreign certifying authorities as per under Section 19 of Information Technology (Amendment) Act, 2008. 4