Accelerating System Development: IT Audit Fieldwork Using Visual Constructs

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Professional Techniques – T33

Session Abstract

Auditors are trained to deal with numbers; but often not in leveraging the power of visual constructs, such as diagramming, flow-charting, and mind-mapping. Visual Constructs offer a common language to auditors and auditees. When used in an optimum manner, visuals can be a great aid to have a common understanding of the audit domain, developing and ratifying the information flow, and identifying control gaps and areas of interest. Visuals are also helpful in identifying the root cause of the issue and developing logic for writing observations and findings.

Taking practical examples from the field, the presentation will cover following major areas:
- Audit diagramming to identify information flow, controls and control gaps
- Cross functional or swim lane diagramming to identify issues
- Cause and Effect Diagram to identify the root cause
- Leveraging audit visuals to accelerate writing up observations/ findings

Target Audience

This session will have appeal and benefit to following audience:
- IT and Process Auditors
- Security professional
- Project and Audit Managers
- Audit Testers/ Risk Assessors

COBIT Objectives

ME2 – Monitor and Evaluate Internal Control

Speaker Bio

Sanjay Mathur has expertise in managing IT Risk and Audit with a strong grasp of technology and information security controls. He has been leading the IT security practice of KLA-Tencor since 2011 and has a track record with "Big four" consulting, Fortune 1000 and global companies such as Visa, Inovant, AT&T Wireless, Sun Microsystems, Sybase, Bank of Boston, Amdahl, HP, University of Berkeley Extension, PMI Insurance, and BHP Steel . He worked in Asia, Australia, UK and USA and has been living in the Silicon Valley since 1990.

A post-graduate in Mathematics from IIT Delhi, and an MBA from Lucknow University, Sanjay is also a certified information systems security personnel (CISSP) and designed many tools and techniques to accelerate risk assessment, audit planning and IT controls testing.