

Next Meeting:

December 12th 2006 (RSVP by 12/5/2006)

11:30 sign-in and networking;
12:00-1:00 Lunch and presentation

Speaker: Michael Vincent, Humana, Inc.

Topic: Presentation Skills for Auditors

Location:

The Jefferson Club
2900 PNC Plaza
Louisville KY. 40202

Cost: \$20 (1 CPE)

Payment can be made at the time of the luncheon meeting or
in advance via PayPal

[ISACA Chapter Website](#)

Please **RSVP with menu choice before close of business**
on **12/05/2006** to kyisaca@isauditor.net

Menu Choice:

- Chicken Caesar Salad
- The Jefferson Club Sandwich
- Pasta with Garden Vegetables and Tomato Sauce (with Chicken)

Newsletter

The purpose of this newsletter is to provide a medium by which the Kentuckiana ISACA members can share auditing information, enable new members to establish a professional network, provide valuable career opportunities to members, and keep membership updated on the industry trends.

[Print Newsletter](#)

[Exit Full Screen View](#)

PRESIDENT'S MESSAGE

FROM THE DESK OF MATTHEW SMITH

Greetings,

We had a very nice turnout for the November ISACA meeting at Masterson's. Thank you to everyone who attended. We really appreciate Bill Baldwin from Humana speaking to us on "IT Strategy for Mergers and Acquisitions". For anyone who would like to get a soft copy of the presentation, it has been posted to our Chapter website.

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If you have special dietary requirements please let us know when you RSVP.

PRESIDENT'S MESSAGE (CONTINUED)

We have put together an excellent training opportunity for you coming up in February. This event will be a two-day Microsoft Active Directory (Windows 2000/2003) training course from MISTI to be held at the Marriott Downtown Louisville. This course has been priced very nice for our Chapter, so I encourage you to take advantage. To get an idea of how well it's been priced for our Chapter, check out the MISTI web site and look up the "**Securing and Auditing Active Directory**" course. By attending our course in Louisville, you will save a great deal on the cost of the training itself, plus you might be able to avoid travel costs! I can personally attest to the value of this course – I attended this same training course last October when the Cincinnati ISACA Chapter hosted it. I learned a great deal and I really got a lot out of it – I highly recommend it to anyone with Microsoft Windows in your environment. We sent the announcement out for this training opportunity a few weeks ago, and we already have a lot of interest and a number of people signed up. Trust me – this is going to fill up and there is a cap on the number of attendees, so register early to save your spot. All the details for this event and the speaker are included in this newsletter. Please register via our Chapter website:

<http://www.isauditor.net/isaca/metsem/meetsem.htm>

Michael Vincent will speaking at our next Chapter meeting on December 12th. The topic will be "Presentation Skills for Auditors". Irregardless of what company or industry you work in, communication is an essential skill to be a successful professional. Please come out and join us for this event.

[Continued on Page 3](#)

ISACA Online Articles

[Applying Testing to Requirements Inspection for Software Quality Assurance](#)

[Expert Consensus on the Top IT Controls for a Small Business](#)

[From CSI to the Classroom: Developing A Computer Forensics Degree Program](#)

[Identity Theft and Corporations' Due Diligence](#)

[Important, But Often Dismissed: Internal Control in a Microsoft Access Database](#)

[Living With Risk](#)

[Procedure Guidelines and Controls Documentation: SDLC Controls in COBIT® 4.0](#)

[Survivability Strategies for the Next Generation Network](#)

ISACA Login Required

Speaker Bio:

Michael Vincent, Internal Audit Manager

Michael Vincent is currently an Information Technology Audit Manager at Humana Inc., a Fortune 200 health benefits company based in Louisville, KY. Michael's role at Humana Inc. is to ensure that stockholder equity is appropriately protected by managing risks within Humana's Information Systems infrastructure.

Michael has lead projects and programs using Carnegie Melon's Capability Maturity Model Software Development Lifecycle application development methodology. Michael has also lead projects and programs involving risk based and compliance audits such as Sarbanes-Oxley.

Michael has over 10 years IT, IT Audit, and management experience in the transportation and health care industries, including key roles at Humana Inc. and United Parcel Service.

Michael graduated with a Bachelor of Arts Degree in Biology and a Masters Degree in Business Administration from the University of Louisville.

Michael holds a Project Management Professional (PMP) certification from the Project Management Institute and a Certified Information Systems Auditor (CISA) certification from the Information Systems Audit and Control Association.

PRESIDENT'S MESSAGE (CONTINUED)

Best of luck to all those sitting for the CISA or CISM exam on December 9th. Our first-ever CISM exam review course held in November was a success, and I hope all those who attended found it to be helpful.

Have a safe and fun holiday season. I look forward to seeing all of you at our next Chapter meeting in December. And don't forget to sign up for the Active Directory training!!!

Regards,

Matthew Smith

Michael and his family currently live in Taylorsville, Kentucky. His lovely bride, Dana, is a CPA working for New Life Church. Michael and Dana currently have 2 children, Carissa and Collin, and are avid University of Louisville fans.



HUMANA[®]
Guidance when you need it most

Securing and Auditing Active Directory

by MIS Training Institute (MISTI)

WHEN:

February 27 – 28, 2007 (8 am to 5 pm both days)

INSTRUCTOR: Randy Franklin Smith, SSCP, CISA

LOCATION: Marriott Downtown (280 West Jefferson Street, Louisville, KY, 502.627.5045)

WHO SHOULD ATTEND: IT Auditors and Consultants; Information Security Professionals; System and Network Administrators

CPE: 15 hours

COST: \$295 for members signed up and pre-paid by January 31, 2007; \$345 for non-members and all registrants after January 31, 2007

[Register Now Online!](#)

REGISTRATION:

via the Kentuckiana ISACA Chapter website:
<http://www.isauditor.net/isaca/metsem/meetsem.htm>
or e-mail kyisaca@isauditor.net

Mark your calendar and sign up ASAP for this two-day course on Active Directory because **space is limited** and these spots will go fast. In this seminar you will gain the skills you need to perform a detailed audit of an Active Directory network. The agenda for this course includes the following topics (detailed course description on next page):

- Active Directory Structure
- Active Directory Security
- Administrative Authority in Active Directory
- Relating Active Directory to Windows Server
- Centralized Security Configuration with Group Policy
- Audit Planning and Scope
- Collecting Evidence
- Analyzing Evidence

For both days of this seminar, lunch is included and will be provided to you. In addition, **you will receive a 250-page course manual to keep and a CPE certificate of completion to evidence your attendance.**

Securing and Auditing Active Directory

by MIS Training Institute (MISTI)

COURSE DESCRIPTION

This seminar will provide you with proven strategies for maximizing the results of your Windows audits. You'll be guided through each step of the review, from scope and planning through evidence extraction and analysis, to writing up your findings. You'll learn how to collect as much information as possible from the network so you don't have to rely on interview questions, and learn how to efficiently determine which computers in the network should be reviewed. You will compare the differences between Active Directory running on Windows Server 2000 and 2003 domain computers, find out about the new features in each version, and learn how to modify your methodology accordingly. You will discover secrets for quickly extracting the evidence you need without wearing out your computer's print-screen button or monopolizing your administrator's time. You'll determine which controls are important to review at each level, starting with forests down through trees to domains, domain-controllers and finally member servers. You'll cover time-saving tips, including which kinds of trust relationships are important to assess and which aren't; which pieces of evidence you need to extract for each domain controller; and which you can extract from just one. You'll learn how to use resource kit utilities, shareware programs, as well as how to analyze results and identify risks. You'll master techniques for assessing administrative authority in AD; identifying arcane risks associated with the forest root domain; and assessing forest, tree domain, organizational unit structure, and group policy. You will gain an understanding of how Active Directory relates to Windows Server security and how AD's Group Policy technology makes it possible to control Windows Server security settings centrally. You will learn how to determine whether crucial best practice techniques were followed in the design of your organization's forests and domains. You'll discover crucial features of Active Directory's monitoring capabilities that facilitate compliance with Sarbanes-Oxley requirements. In this detailed seminar you will discover how to tell if your administrators are really reviewing security logs as often as they say they are and get pointers on detecting lax account management.

Securing and Auditing Active Directory

COURSE INSTRUCTOR BIO

Randy Franklin Smith, president of Monterey Technology Group, is an internationally known speaker and writer on Windows, Active Directory and Internet Information Server security topics. Mr. Smith serves as contributing editor for Windows IT Pro and as technical editor for Security Administrator. The winner of the APEX Award of Excellence for his writing, his articles have also appeared in Information Security Magazine. He is the primary instructor and course developer for MIS Training Institute's Windows platform security programs. Mr. Smith also performs security reviews for clients ranging from small, privately held firms, to Fortune 500 companies. In addition, he regularly trains internal audit staff and "Big 4" accounting firm consultants on how to audit Windows 2000 and Active Directory. He is a member of the ISSA, ISACA, Technology Association of Georgia, and Center for Internet Security, and was recently granted Microsoft MVP status.

[Register Now Online!](#)

by MIS Training Institute (MISTI)

CONTACT

For any questions regarding this event, please e-mail kyisaca@isauditor.net. Alternatively, you may contact Matt Smith at 502.774.7236.

CANCELLATION POLICY

No refunds will be offered for cancellations received after January 31, 2007. To cancel, you must notify Kentuckiana ISACA in writing in advance. Any cancellation before February 1, 2007 is entitled to a full refund and will not incur any fee or penalty. In addition, the Kentuckiana ISACA Chapter reserves the right to cancel this course at anytime. In the event the Kentuckiana ISACA Chapter cancels the course, the Chapter is only obligated to refund the course registration fee.

ISACA Calendar of Events

RSVP: kyisaca@isauditor.net

| <u>Date:</u> | <u>Topic/Speaker:</u> |
|-------------------------|---|
| 9/29/2006 | Enterprise Wide SOD, Andrew Tanner (Ernst & Young) |
| 11/17/2006 | IT Strategy for Mergers and Acquisitions, Bill Baldwin (Humana, Inc.) |
| 11/18/2006-11/19/2006 | CISM Review Course |
| 12/12/2006 | Presentation Skills for Auditors, Michael Vincent (Humana, Inc.) |
| 02/16/2007 | Enterprise Risk Management (ERM) Jimmy Parker (E&Y) |
| 02/27/2007 – 02/28/2007 | Securing and Auditing Active Directory by MIS Training Institute |

Presentation Skills for Auditors Michael Vincent (Humana, Inc.)

(RSVP with menu choice by December 5th 2006)

Auditors are often asked by management or leadership to provide information on a variety of different and sometimes difficult topics. This presentation will highlight some key elements of a good presentation to help refine your skills.

MENU: Choice of one of the following:

- Chicken Caesar Salad;
- The Jefferson Club Sandwich;
- Pasta with Garden Vegetables and Tomato Sauce (with Chicken)

Please **RSVP with menu choice before close of business on 12/05/2006** to kyisaca@isauditor.net



PayPal is a quick and simple way to pay for monthly ISACA meetings. From the chapter web site ([go to the meeting and seminar schedule page](#)). Click the “pay now” button for the meeting you wish to pay for. If you already have a "PayPal" account, simply verify the amount; enter your log-in and password. If you don't, creating an account is easy!

Once you have completed the transaction, you will be sent an e-mail receipt by PayPal and be returned to the Kentucky ISACA web site. The local chapter also receives an e-mail that tells us you have paid.

You will email kyisaca@isauditor.net with your menu choice. All information is exchanged via HTTPS protocol (secure and encrypted) and remains with PayPal.

News and Information

Want to know what is happening with ISACA International? Click on this [link](#) and you will be taken to the News and Information Page. Here you will find articles and press releases. Additionally, you can also learn more about becoming CISA certified or how to register for conferences.

Do you have something you would like to post in our newsletter? Submit an email to: Benjamin Thomas (bdthomas@rescare.com).

Please also include a title for your article along with the verbiage. Language in the articles is subject to editing for appropriateness.

IT Control Objectives for Sarbanes-Oxley 2nd Edition

This publication provides CIOs, IT managers, and control and assurance professionals with scoping and assessment ideas, approaches and guidance in support of the IT-related Committee of Sponsoring Organizations of the Treadway Commission (COSO) internal control objectives for financial reporting.

Enhancements include:

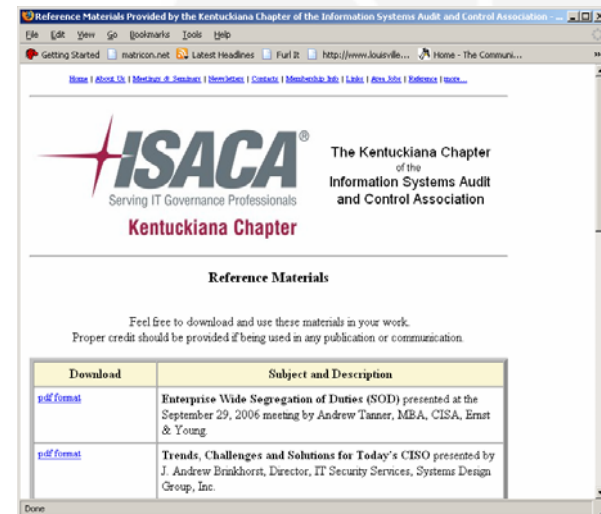
1. Focus on scoping and assistance in performing an IT risk assessment for Sarbanes-Oxley
2. Insights into cultural and people management issues to highlight the human factors that need to be considered when complying with Sarbanes-Oxley
3. Guidance on application controls added to assist companies in identifying and addressing various types of application controls and providing a business case for using application controls
4. Changes to the readiness road map to simplify the process
5. Cross references to COBIT 4.0 processes
6. Guidance on segregation of duties for significant applications
7. Issues in and approach for using SAS 70 examination reports

[Read More](#)

Chapter Website

Our award winning site contains chapter general information, career opportunities, past newsletters, contact information, reference material and more.

<http://www.isauditor.net/isaca>



Career Opportunities

The KY ISACA Chapter strongly believes in providing a medium through which members can network and grow professionally. To that end, the KY ISACA chapter offers a web page for job opportunities to our members and to the community. If you are interested in posting job opportunities on our website, please contact kyisaca@isauditor.net for more information.

Current career opportunities posted are located on our [Louisville Area Job Openings Page](#).

Scheduled Events

The KY Chapter of ISACA is aware that scheduling conflicts can occur at the last moment. Unfortunately, due to the nature KY ISACA events, our chapter is often charged for lunches even if respondents are unable to attend.

If a participant to one of our events originally states that they can attend and prepay; but are then unable to fulfill that obligation, the prepaid lunch cost cannot be refunded unless at least a 48 hour notice is provided by the participant. Please be aware of this new requirement when choosing to attend one of the many KY ISACA functions.

Policy for Posting Positions:

There have been several inquiries from various parties regarding the KY Chapter of ISACA and posting job inquiries. Below are the requirements as outlined within KY ISACA Board meeting Minutes:

Members

- Free in 1 month's newsletter
- Free for 30 days on KY ISACA website
- Member is responsible for renewing posting on a monthly basis

Non-Members

- \$50 for 1 month's newsletter AND 30 days on KY ISACA website
- \$50 for each additional month

Enterprise Risk Management (ERM) Jimmy Parker (E&Y) February 16th 2007 ISACA Meeting

Brief Bio

Jimmy Parker is the Enterprise Risk Management (ERM) Champion for Ernst & Young's North Central Area. Jim is a Senior Manager in the Business Risk Services practice of Ernst & Young's Detroit, Michigan office and currently leads enterprise risk management projects, internal audit engagements and Sarbanes-Oxley Section 404 readiness efforts for SEC clients. Prior to his current position with Ernst & Young, Jim was a Manager with the Internal Audit Services group within the Enterprise Risk Services practice of a Big 4 firm in Chicago, Illinois, specializing in internal auditing, systems auditing and risk management for manufacturing, financial services and public sector clients. He also conducted control self-assessment workshops and performed quality assurance reviews. Jim presently facilitates the Enterprise Risk Management course for the Institute of Internal Auditors.

Jim holds a Bachelor of Science degree in Accounting from the University of Maryland (Summa Cum Laude) and a Master of Business Administration degree from the University of North Carolina at Wilmington. He is a Certified Public Accountant, Certified Internal Auditor, Certified Management Accountant, Certified in Financial Management, Certified in Control Self-Assessment and a Certified Information Systems Auditor candidate (test passed).

Overview of topic

Enterprise Risk Management (ERM) can be defined as an organization's competency to manage uncertainty, more effectively minimizing threats and maximizing opportunity. ERM is characterized by systematic management practices to assess and monitor risk, and improve the way that risk is managed - supported and enabled by the appropriate risk management framework. A practical approach to ERM will be presented that focuses more on leveraging a company's existing infrastructure over creating a new one. This approach is more likely to produce early success and value, and help increase the chances for broad acceptance and support for risk-focused initiatives into the future.

Be sure to mark this event on your calendar!

February 16th 2007 ISACA Meeting

IIA Calendar of Events

| <u>Date:</u> | <u>Topic/Speaker:</u> |
|--------------|--|
| 12/12/2006 | Presentation Skills for Auditors |
| 01/09/2007 | IT Audit |
| 02/13/2007 | Corporate Governance |
| 03/13/2007 | Credit Card/Purchasing Card Fraud |
| 04/10/2007 | Standards Refresher Professional Practices Framework |
| 05/08/2007 | Diversity on the Audit Team |

Louisville Chapter of Institute of Internal Auditors

The Louisville Kentucky Chapter of the Institute of Internal Auditors has approximately 140 members representing a wide range of businesses in Kentucky and Southern Indiana. The Chapter is a not-for-profit organization that was established to provide its members a means by which they may enhance their knowledge of Internal Auditing and share information.

<http://www.ialou.org/>



Getting Started

1. Create an online professional profile
2. Link to other professionals you already know
3. Find others you would like to get introduced to
4. Invite others to join LinkedIn

<http://www.linkedin.com>

How to Expand Your Professional Network

One of the most common reasons professionals join organizations such as ISACA are the benefits of member networking. Whether you're seeking advice from those with greater experience, opportunities to further develop knowledge and skills, or looking to apply for or fill a new position, a strong professional network is the best path to success.

In the past, networking involved exchanging business cards, following up with phone calls and emails, and occasionally meeting in person at chapter meetings and other events. While all of these steps are necessary to build a relationship, it stops short of guaranteeing that you'll stay in contact the rest of your career.

LinkedIn is a tool to help you manage your professional network. It serves as a place to document "connections" as well as make and receive introductions to other professionals. It works on the 6-degrees of separations principle allowing you to view the profiles of others and get introduced to your existing network's immediate contacts. Rather than just getting to know others casually through conventional means, accelerate that process now!

If you are interested in joining LinkedIn and documenting your professional network, please contact Ben Thomas bdthomas@rescare.com I will send you a LinkedIn invitation, which will help you begin creating your professional profile.

Chapter Officers

| <u>Officer</u> | <u>Position</u> | <u>E-mail</u> |
|-----------------|---------------------|------------------------------------|
| Matthew Smith | President | matthew_smith@b-f.com |
| Bruce Edwards | VP & Web master | Bruce@BruceEdwards.com |
| Michael Vincent | VP Programming | mvincent@humana.com |
| Diane Kissel | Secretary | diane.kissel@kindredhealthcare.com |
| Bob Boyle | Treasurer | rboyle@strothman.com |
| James Rose | Standards Liaison | jrose1@humana.com |
| Dave Barker | Academic Liaison | dfbark01@louisville.edu |
| Melissa Perry | CISA Coordinator | melissaperrycpa@yahoo.com |
| Bill Bonny | Membership Director | Bill.Bonny@ajilonfinance.com |
| Benjamin Thomas | VP & Newsletter | bdthomas@rescare.com |