

How to Survive an Audit

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Professional Techniques – T22

Session Abstract

This session is designed to help professionals on the 'auditee' side of audits understand the audit process, how to prepare for an audit, and strategies to make audits run more efficiently, effectively, and to minimize any audit findings. The presentation will include the following:

- Preparation – What you can/should do in advance
- Pre-Audit - Conducting a pre-audit, either internally or with another independent vendor
- Ensuring objectives and scope are clearly defined.
- Required documentation of processes and controls
- How much information to provide/volunteer
- Effectively liaising between your internal technical staff, financial staff, and the auditors
- Collaborating with your external auditors
- Developing an internal quality program
- Knowing when to get the experts involved

Target Audience

Auditees or others who are not familiar with the audit process and are interested in strategies to provide the best audit results in your organization.

COBIT Objectives

This course is applicable all COBIT areas.

Speaker Bio

Steve Shofner is a member of the IT Auditing and Consulting Group with Moss Adams Advisory Services, based in the San Francisco Bay Area. He has over 15 years of experience performing various types of IT governance, risk, and compliance audits: financial statement audits, SSAE-16/SOC (formerly SAS-70) attestations, disaster recovery and business continuity planning, risk assessments, SOX compliance audits, and security controls testing, among other engagements. Prior to joining Moss Adams, Steve held a number of roles at companies across the Pacific Northwest. He began his career with PricewaterhouseCoopers, then spent most of the next decade with Ernst & Young. After leaving the Big 4, he spent several years in the Internal Audit and Compliance departments for large corporations. During that span, he has performed the roles of external auditor, internal auditor, SAS-70 service auditor, and compliance program manager. With those experiences, he brings a well-rounded view to all aspects of IT governance, risk, and compliance. He has worked in many industries

including high-technology, hardware, software, internet (.coms), financial services, healthcare, biotech, manufacturing/distribution, retail, and others.

In addition to his client service, Steve was Ernst & Young's Education Coordinator for the Pacific Northwest IT Audit practice, and was asked to spend a rotation in their National Office contributing to their Global Audit Methodologies. He is also the 2nd Vice President and Fall Conference Co-Chair for the San Francisco Chapter of ISACA.