

Practice Exam Questions



Certified Information Systems Auditor



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Certified Information Systems Auditor

Version: 56.0

[Total Questions: 693]

Topic break down

Topic	No. of Questions
Topic 1: Exam Pool A	150
Topic 2: Exam Pool B	147
Topic 3: Exam Pool C	121
Topic 4: Exam Pool D (NEW)	275

Topic 1, Exam Pool A**Question No : 1 - (Topic 1)**

An IS auditor is examining a front-end subledger and a main ledger. Which of the following would be the GREATEST concern if there are flaws in the mapping of accounts between the two systems?

- A. Double-posting of a single journal entry
- B. Inability to support new business transactions
- C. Unauthorized alteration of account attributes
- D. Inaccuracy of financial reporting

Answer: D

Question No : 2 - (Topic 1)

What is MOST important to verify during an external assessment of network vulnerability?

- A. Update of security information event management (SIEM) rules
- B. Regular review of the network security policy
- C. Completeness of network asset inventory
- D. Location of intrusion detection systems (IDS)

Answer: C

Question No : 3 - (Topic 1)

Which of the following is the PRIMARY advantage of parallel processing for a new system implementation?

- A. Assurance that the new system meets functional requirements
- B. More time for users to complete training for the new system
- C. Significant cost savings over other system implemental or approaches
- D. Assurance that the new system meets performance requirements

Answer: A

Question No : 4 - (Topic 1)

A system development project is experiencing delays due to ongoing staff shortages. Which of the following strategies would provide the GREATEST assurance of system quality at implementation?

- A. Implement overtime pay and bonuses for all development staff.
- B. Utilize new system development tools to improve productivity.
- C. Recruit IS staff to expedite system development.
- D. Deliver only the core functionality on the initial target date.

Answer: C

Question No : 5 - (Topic 1)

Which of the following is MOST important to ensure when developing an effective security awareness program?

- A. Training personnel are information security professionals.
- B. Phishing exercises are conducted post-training.
- C. Security threat scenarios are included in the program content.
- D. Outcome metrics for the program are established.

Answer: D

Question No : 6 - (Topic 1)

An online retailer is receiving customer complaints about receiving different items from what they ordered on the organization's website. The root cause has been traced to poor data quality. Despite efforts to clean erroneous data from the system, multiple data quality issues continue to occur. Which of the following recommendations would be the BEST way to reduce the likelihood of future occurrences?

- A. Assign responsibility for improving data quality.
- B. Invest in additional employee training for data entry.
- C. Outsource data cleansing activities to reliable third parties.
- D. Implement business rules to validate employee data entry.

Answer: D

Question No : 7 - (Topic 1)

Which of the following is the BEST recommendation to prevent fraudulent electronic funds transfers by accounts payable employees?

- A. Periodic vendor reviews
- B. Dual control
- C. Independent reconciliation
- D. Re-keying of monetary amounts
- E. Engage an external security incident response expert for incident handling.

Answer: B

Question No : 8 - (Topic 1)

Which of the following demonstrates the use of data analytics for a loan origination process?

- A. Evaluating whether loan records are included in the batch file and are validated by the servicing system
- B. Comparing a population of loans input in the origination system to loans booked on the servicing system
- C. Validating whether reconciliations between the two systems are performed and discrepancies are investigated
- D. Reviewing error handling controls to notify appropriate personnel in the event of a transmission failure

Answer: B

Question No : 9 - (Topic 1)

During the discussion of a draft audit report, IT management provided suitable evidence that a process has been implemented for a control that had been concluded by the IS auditor as ineffective. Which of the following is the auditor's BEST action?

- A. Explain to IT management that the new control will be evaluated during follow-up
- B. Re-perform the audit before changing the conclusion.
- C. Change the conclusion based on evidence provided by IT management.
- D. Add comments about the action taken by IT management in the report.

Answer: B

Question No : 10 - (Topic 1)

Which of the following is the BEST compensating control when segregation of duties is lacking in a small IS department?

- A. Background checks
- B. User awareness training
- C. Transaction log review
- D. Mandatory holidays

Answer: C

Question No : 11 - (Topic 1)

Which of the following is the MOST effective way for an organization to protect against data loss?

- A. Limit employee internet access.
- B. Implement data classification procedures.
- C. Review firewall logs for anomalies.
- D. Conduct periodic security awareness training.

Answer: B

Question No : 12 - (Topic 1)

While executing follow-up activities, an IS auditor is concerned that management has implemented corrective actions that are different from those originally discussed and agreed with the audit function. In order to resolve the situation, the IS auditor's BEST course of action would be to:

- A. re-prioritize the original issue as high risk and escalate to senior management.
- B. schedule a follow-up audit in the next audit cycle.
- C. postpone follow-up activities and escalate the alternative controls to senior audit management.
- D. determine whether the alternative controls sufficiently mitigate the risk.

Answer: D

Question No : 13 - (Topic 1)

An IS auditor has found that an organization is unable to add new servers on demand in a cost-efficient manner. Which of the following is the auditor's BEST recommendation?

- A. Increase the capacity of existing systems.
- B. Upgrade hardware to newer technology.
- C. Hire temporary contract workers for the IT function.
- D. Build a virtual environment.

Answer: D

Question No : 14 - (Topic 1)

An IS auditor notes that several employees are spending an excessive amount of time using social media sites for personal reasons. Which of the following should the auditor recommend be performed FIRST?

- A. Implement a process to actively monitor postings on social networking sites.
- B. Adjust budget for network usage to include social media usage.
- C. Use data loss prevention (DLP) tools on endpoints.
- D. implement policies addressing acceptable usage of social media during working hours.

Answer: D

Question No : 15 - (Topic 1)

The PRIMARY advantage of object-oriented technology is enhanced:

- A. efficiency due to the re-use of elements of logic.
- B. management of sequential program execution for data access.
- C. grouping of objects into methods for data access.
- D. management of a restricted variety of data types for a data object.

Answer: C

Question No : 16 - (Topic 1)

An IS auditor is following up on prior period items and finds management did not address an audit finding. Which of the following should be the IS auditor's NEXT course of action?

- A. Note the exception in a new report as the item was not addressed by management.

- B. Recommend alternative solutions to address the repeat finding.
- C. Conduct a risk assessment of the repeat finding.
- D. Interview management to determine why the finding was not addressed.

Answer: D

Question No : 17 - (Topic 1)

From an IS auditor's perspective, which of the following would be the GREATEST risk associated with an incomplete inventory of deployed software in an organization?

- A. Inability to close unused ports on critical servers
- B. Inability to identify unused licenses within the organization
- C. Inability to deploy updated security patches
- D. Inability to determine the cost of deployed software

Answer: C

Question No : 18 - (Topic 1)

An IS auditor discovers an option in a database that allows the administrator to directly modify any table. This option is necessary to overcome bugs in the software, but is rarely used. Changes to tables are automatically logged. The IS auditor's FIRST action should be to:

- A. recommend that the option to directly modify the database be removed immediately.
- B. recommend that the system require two persons to be involved in modifying the database.
- C. determine whether the log of changes to the tables is backed up.
- D. determine whether the audit trail is secured and reviewed.

Answer: D

Question No : 19 - (Topic 1)

During the implementation of an upgraded enterprise resource planning (ERP) system, which of the following is the MOST important consideration for a go-live decision?

- A. Rollback strategy

- B. Test cases
- C. Post-implementation review objectives
- D. Business case

Answer: D

Question No : 20 - (Topic 1)

What should be the PRIMARY basis for selecting which IS audits to perform in the coming year?

- A. Senior management's request
- B. Prior year's audit findings
- C. Organizational risk assessment
- D. Previous audit coverage and scope

Answer: C

Question No : 21 - (Topic 1)

Coding standards provide which of the following?

- A. Program documentation
- B. Access control tables
- C. Data flow diagrams
- D. Field naming conventions

Answer: D

Question No : 22 - (Topic 1)

Which of the following components of a risk assessment is MOST helpful to management in determining the level of risk mitigation to apply?

- A. Risk identification
- B. Risk classification
- C. Control self-assessment (CSA)
- D. Impact assessment

Answer: D

Question No : 23 - (Topic 1)

An organization's enterprise architecture (EA) department decides to change a legacy system's components while maintaining its original functionality. Which of the following is MOST important for an IS auditor to understand when reviewing this decision?

- A. The current business capabilities delivered by the legacy system
- B. The proposed network topology to be used by the redesigned system
- C. The data flows between the components to be used by the redesigned system
- D. The database entity relationships within the legacy system

Answer: A

Question No : 24 - (Topic 1)

During an ongoing audit, management requests a briefing on the findings to date. Which of the following is the IS auditor's BEST course of action?

- A. Review working papers with the auditee.
- B. Request the auditee provide management responses.
- C. Request management wait until a final report is ready for discussion.
- D. Present observations for discussion only.

Answer: D

Question No : 25 - (Topic 1)

A data breach has occurred due to malware. Which of the following should be the FIRST course of action?

- A. Notify the cyber insurance company.
- B. Shut down the affected systems.
- C. Quarantine the impacted systems.
- D. Notify customers of the breach.

Answer: C

Question No : 26 - (Topic 1)

An IS auditor will be testing accounts payable controls by performing data analytics on the entire population of transactions. Which of the following is MOST important for the auditor to confirm when sourcing the population data?

- A. The data is taken directly from the system.
- B. There is no privacy information in the data.
- C. The data can be obtained in a timely manner.
- D. The data analysis tools have been recently updated.

Answer: A

Question No : 27 - (Topic 1)

Which of the following access rights presents the GREATEST risk when granted to a new member of the system development staff?

- A. Write access to production program libraries
- B. Write access to development data libraries
- C. Execute access to production program libraries
- D. Execute access to development program libraries

Answer: A

Question No : 28 - (Topic 1)

Which of the following should be the PRIMARY basis for prioritizing follow-up audits?

- A. Audit cycle defined in the audit plan
- B. Complexity of management's action plans
- C. Recommendation from executive management
- D. Residual risk from the findings of previous audits

Answer: D

Question No : 29 - (Topic 1)

Which of the following is the MOST important benefit of involving IS audit when

implementing governance of enterprise IT?

- A. Identifying relevant roles for an enterprise IT governance framework
- B. Making decisions regarding risk response and monitoring of residual risk
- C. Verifying that legal, regulatory, and contractual requirements are being met
- D. Providing independent and objective feedback to facilitate improvement of IT processes

Answer: D

Question No : 30 - (Topic 1)

Which of the following strategies BEST optimizes data storage without compromising data retention practices?

- A. Limiting the size of file attachments being sent via email
- B. Automatically deleting emails older than one year
- C. Moving emails to a virtual email vault after 30 days
- D. Allowing employees to store large emails on flash drives

Answer: A

Question No : 31 - (Topic 1)

During the design phase of a software development project, the PRIMARY responsibility of an IS auditor is to evaluate the:

- A. Future compatibility of the application.
- B. Proposed functionality of the application.
- C. Controls incorporated into the system specifications.
- D. Development methodology employed.

Answer: C

Question No : 32 - (Topic 1)

Which of the following documents would be MOST useful in detecting a weakness in segregation of duties?

- A. System flowchart
- B. Data flow diagram

- C. Process flowchart
- D. Entity-relationship diagram

Answer: C

Question No : 33 - (Topic 1)

Which of the following is the BEST justification for deferring remediation testing until the next audit?

- A. The auditor who conducted the audit and agreed with the timeline has left the organization.
- B. Management's planned actions are sufficient given the relative importance of the observations.
- C. Auditee management has accepted all observations reported by the auditor.
- D. The audit environment has changed significantly.

Answer: D

Question No : 34 - (Topic 1)

An IS auditor is conducting a post-implementation review of an enterprise resource planning (ERP) system. End users indicated concerns with the accuracy of critical automatic calculations made by the system. The auditor's FIRST course of action should be to:

- A. review recent changes to the system.
- B. verify completeness of user acceptance testing (UAT).
- C. verify results to determine validity of user concerns.
- D. review initial business requirements.

Answer: C

Question No : 35 - (Topic 1)

A system administrator recently informed the IS auditor about the occurrence of several unsuccessful intrusion attempts from outside the organization. Which of the following is MOST effective in detecting such an intrusion?

- A. Periodically reviewing log files
- B. Configuring the router as a firewall
- C. Using smart cards with one-time passwords
- D. Installing biometrics-based authentication

Answer: A

Question No : 36 - (Topic 1)

An IS auditor finds the log management system is overwhelmed with false positive alerts. The auditor's BEST recommendation would be to:

- A. establish criteria for reviewing alerts.
- B. recruit more monitoring personnel.
- C. reduce the firewall rules.
- D. fine tune the intrusion detection system (IDS).

Answer: D

Question No : 37 - (Topic 1)

Which of the following MOST effectively minimizes downtime during system conversions?

- A. Phased approach
- B. Direct cutover
- C. Pilot study
- D. Parallel run

Answer: D

Question No : 38 - (Topic 1)

Management is concerned about sensitive information being intentionally or unintentionally emailed as attachments outside the organization by employees. What is the MOST important task before implementing any associated email controls?

- A. Require all employees to sign nondisclosure agreements (NDAs).
- B. Develop an acceptable use policy for end-user computing (EUC).
- C. Develop an information classification scheme.