Course Catalogue 2017/2018

Your Internal Controls

Your Internal Controls NASBA ID # 109354

Your Internal Controls is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Avenue North, Suite 700, Nashville, TN, 37219-2417. Web site: www.nasba.org

Course Curriculum & Table of Contents

1. Continuous Diagnostics and Mitigation (CDM)

Course Description:
The Department of Homeland Security (DHS) has embarked on ensuring that all endpoints within the US government prevent, detect, correct and deter vulnerabilities from occurring. DHS has created CDM where each agency will have various tools (e.g. ForeScout, BigFix, RES, Splunk, and Dashboard) installed and deployed on agency networks. This is the largest Cybersecurity effort thus far and requires technical expertise, project management skills, formal training, and more. Your Internal Controls addresses the CDM requirements as well as covers each of the tools that each Agency will be working with (e.g. ForeScout, BigFix, etc.)

Who Should Attend This Course:
Typically, the students desired for this course are those that will be working with CDM, FISMA or acting as a liaison between them. This class should also be attended by those who will be working with any of the tools contained within CDM such as ForeScout, BigFix, RES, Splunk or RSA Archer Dashboard. Users may be involved with the configuration or security of the tools and will find this class beneficial.

Course Length:
2 Days

CPE:
16 credits

Course Objective:
The sole objective of this course is to introduce various concepts from each of the CDM tools as well as address the various CDM requirements. This course will also cover the challenges and pitfalls when configuring the various CDM tools.

Sample Topics:

- ✓ CDM requirements
- ✓ CDM tools
- ✓ Deployment challenges for each tool
- ✓ How to configure each of the tools
- ✓ Vulnerabilities to address when configuring each of the tools.

Field of Study:
Computer Science – Computer Systems

2. FedRAMP

Course Description:
This course is designed for those who need to understand the FedRAMP requirements because the organization they work for will be attempting to become FedRAMP compliant. There are many requirements contained within the FedRAMP requirements such as the various documentation (e.g. System Security Plans, Contingency Plans, and more), as well as the various NIST 800-53 controls that need to be documented, assessed and remediated (for deficiencies identified). This course will address the FedRAMP requirements, cover the various documents required within FedRAMP, as well as provide a roadmap for the controls assessment that will be required.

Who Should Attend This Course:
Students of this course will be anyone who will be responsible for FedRAMP at their organization. This includes system administrators, project managers, database administrators, executive level personnel, etc.

Course Length:
2 Days

CPE:
16 credits

Course Objective:
The ultimate objective of this course is to provide a roadmap for becoming FedRAMP compliant. All the required documentation and controls will be covered to ensure that the students understand the process and how to proceed with the compliance of FedRAMP.

Sample Topics:
- ✓ Introduction to FedRAMP
- ✓ FedRAMP requirements
- ✓ Security Plans
- ✓ IT Contingency Plans
- ✓ Security Controls Assessments (SCA) requirements
- ✓ Security Assessment Reports (SAR)
- ✓ Finalizing the package
- ✓ NIST 800-53 controls to be assessed and remediated

Field of Study:
Computer Science – Computer Systems

3. Introduction to Information Technology

Course Description:
This course is designed for those with little or no background to Information Technology related concepts. Often when one conducts an IT audit, they need basic IT concepts. It is very difficult to conduct or prepare for an IT audit unless basic IT skills are acquired. This course serves as the first course to be taken, which will enable the student to either conduct an IT audit or be prepared for others conducting the IT audit.

Who Should Attend This Course:
Typically, the students desired for this course are those that will be conducting IT audits and those financial auditors needing a better understanding of IT concepts. This course is also designed for those with financial backgrounds who have recently switched to IT. Although this course is technical, it is elementary in nature. The students attending are usually from the Office of Inspector General, who will be conducting the IT audit. Students have also attended who are from the IT organizations within a federal agency.

Course Length:
2 Days

CPE:
16 credits

Course Objective:
The sole objective of this course is to introduce various IT concepts so that the student is familiar and ready for IT auditors or conducting an IT audit. Another objective is to introduce the student to the vast array of IT concepts so that as these topics arise throughout their job, they are knowledgeable and ready for their tasks.

Sample Topics:

- ✓ Introduction to IT
- ✓ System components (e.g. servers)
- ✓ Concepts
    - o Firewalls & Intrusion Detection
    - o Physical and Logical security
    - o Encryption & VPN
    - o More

Field of Study:
Computer Science – Computer Systems

Course Delivery:
Group Live

4. FISCAM

Course Description:
As part of auditing federal financial statements, it is necessary to obtain an understanding of internal control (e.g. FAM, SAS 103 – 112), etc.). As part of that understanding, it is critical to assess the systems, applications, and databases that map to the significant line items on the financial statements. As such, this course will cover the mechanics of performing General and Application Controls Reviews, while applying the various regulatory and authoritative requirements (e.g. FAM, GAGAS, NIST, etc.). This course will employ the FISCAM methodology for performing General and Application Controls Reviews.

Who Should Attend This Course:
Although this course focuses on IT, it is also tailored for the financial auditor wishing to understand the IT steps in support of the financial statement audit. Both Financial and IT auditors should attend this course.

It is recommended that the attendee have attended IT-1A, or possess basic IT skills prior to attending this course.

Course Length:
2 Days

CPE:
16 credits

Course Objective:
At the completion of this course, students should be able to understand the steps necessary for performing General and Application Controls Reviews. Students should also know where to seek further references and support as part of performing the Reviews.

Sample Topics:
- ✓ Introduction to General and Application Controls Reviews
- ✓ General Controls Reviews
  - o Security Management (SM)
  - o Access (AC)
  - o Configuration Management (CM)
  - o Segregation of Duties (SD)
  - o Contingency Planning (CP)
- ✓ Application Controls Reviews
  - o Understanding the Application
  - o Application Level General Controls (AS)
  - o Business Process Controls (BP)
  - o Interface Controls (IN)
  - o Data Management System Controls (DA)

Field of Study:
Government Auditing - General

Course Delivery:
Group Live

5. Security Assessment and Authorization (SA&A)

Course Description:
Federal agencies often grapple with the many requirements of a Security Assessment and Authorization (SA&A). An SA&A encompasses an array of areas such as FISMA, NIST (800-30, 800-34, 800-37, 800-53, 800-60, FIPS-199, etc.), Privacy regulations, OMB regulations (e.g. how a POA&M should be created and tracked), and more. This course offers a systematic approach for providing an in-depth look at how to conduct an SA&A, as well as prepare for an SA&A.

Who Should Attend This Course:
This course should be attended by those performing the SA&A, or those IT professionals within a federal agency interacting and responding to the many requests of C&A teams.

Course Length:
2 Days

CPE:
16 credits

Course Objective:
The ultimate objective of this course is to dispel any doubts or inadequacies surrounding the SA&A. The student shall complete this course with a firm grasp of SA&As. They should be familiar enough to commence performing a SA&A, as well as understand the many demands placed by the SA&A teams.

Sample Topics:
- ✓ Introduction to SA&As
- ✓ FISMA requirements
- ✓ Boundary Scoping
- ✓ Security Plans
- ✓ IT Contingency Plans
- ✓ Privacy Impact Assessments
- ✓ Security Controls Assessments (SCA) requirements
- ✓ Security Assessment Reports (SAR)
- ✓ Finalizing the package

Field of Study:
Computer Science – Computer Systems

Course Delivery:
Group Live

6. FISMA

Course Description:
Federal agencies often grapple with the many requirements of complying with FISMA. Ensuring proper compliance with FISMA requires a keen understanding of the controls in NIST 800-53. It also requires a full understanding of FIPS-199 so that each system can be properly categorized and then the correct controls can be assessed. This course goes in great detail regarding each of the NIST 800-53 controls.

Who Should Attend This Course:
This course should be attended by those performing Continuous Monitoring, engaged in the FISMA audit, or are managing a FISMA reportable system (e.g. SA, DBA, etc.).

Course Length:
2 Days

CPE:
16 credits

Course Objective:
The ultimate objective of this course is to learn how to assess and remediate each of the controls in NIST 800-53.

Sample Topics:
- ✓ Introduction to FISMA
- ✓ FISMA requirements
- ✓ FIPS-199
- ✓ All controls contained within NIST 800-53

Field of Study:
Computer Science – Computer Systems

Course Delivery:
Group Live

7. Conducting a Privacy Audit

Course Description:
Federal agencies are required to ensure a privacy audit is conducted periodically (usually every 3 years). There are many requirements surrounding the privacy audit such as the Privacy Act of 1974, and many OMB memorandums offering further guidance and requirements for compliance. This course will discuss the various regulatory requirements for a privacy audit and ensure the student can either perform the privacy audit or oversee (e.g. OIG capacity) the privacy audit for compliance.

Who Should Attend This Course:
Those wishing to perform the privacy audit or those within OIG overseeing the privacy audit for compliance.

Course Length:
1 Day

CPE:
8 credits

Course Objective:
At the completion of this course, students will be equipped to perform the privacy audit. They will also be well-informed if they wish to oversee others performing the privacy audit.

Sample Topics:

- ✓ Privacy Act of 1974
- ✓ FISMA
- ✓ OMB M-99-05 Instructions on Complying with President's Memorandum of May 14, 1998, "Privacy and Personal Information in Federal Records"
- ✓ OMB M-99-19 Guidance and Model Language for Federal Web Site Privacy Policies
- ✓ OMB M-00-13 Privacy Policies and Data Collection on Federal Web Sites
- ✓ OMB M-01-05 Guidance on Inter-Agency Sharing of Personal Data
- ✓ OMB M-03-18, Implementation of E-Government Act of 2002
- ✓ OMB M-03-22, OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002
- ✓ OMB M-05-08, Designation of Senior Agency Officials for Privacy
- ✓ OMB M-06-15 Safeguarding Personally Identifiable Information
- ✓ OMB M-06-16, Protection of Sensitive Agency Information
- ✓ OMB M-06-19, Reporting Incidents Involving Personally Identifiable Information and Incorporating the Cost for Security in Agency Information Technology Investments
- ✓ OMB M-07-16, Safeguarding Against and Responding to Breach of Personally Identifiable Information
- ✓ OMB M-07-18, Ensuring New Acquisitions Include Common Security Configurations
- ✓ OMB M-07-19, Reporting Instructions for Federal Information Security Management Act and Agency Privacy Management
- ✓ OMB M-08-09, New FISMA Privacy Reporting Requirements for FY 2008

Field of Study:
Government Auditing – General

Course Delivery:

Group Live

8. Data Reliability Assessments

Course Description:
If a federal agency wishes to issue a report that has findings, recommendations, or conclusions, and states that they are in compliance with GAGAS, then a data reliability assessment must be performed. This course offers an approach for performing the data reliability assessment. The course uses the methodology proposed by GAO (03-273-G) and expands the course with hands-on discussions from real life experiences.

Who Should Attend This Course:
Those individuals wishing to perform a Data Reliability Assessment should attend this course. Those individuals involved with performance audits where reports are issued with findings, recommendations, or conclusions should attend to gain clarification as to the requirements of when to perform a Data Reliability Assessment.

Course Length:
1 Day

CPE:
8 credits

Course Objective:
Students completing this will be equipped to perform a Data Reliability Assessment. The students will be familiar with the reporting requirements, as well as the steps necessary to complete the Data Reliability Assessment.

Sample Topics:

- ✓ GAO 03-273-G
- ✓ What is a Data Reliability Assessment?
- ✓ When is a Data Reliability Assessment required?
- ✓ What are the 3 judgment options in the Data Reliability Assessment report?

Field of Study:

Government Auditing - General

Course Delivery:
Group Live

9. Yellow Book Primer

Course Description:
This course covers the basics of complying with the Yellow Book (GAGAS). This course will walk through the various components of the Yellow Book and discuss the various requirements to ensure that the attendees are well-informed. This course acts as a primer by covering the main topics listed in the Yellow Book.

Who Should Attend This Course:
This course is designed for any professional wishing to understand the requirements set forth in the Yellow Book.

Course Length:
1 Day

CPE:
8 credits

Course Objective:
At the completion of this course, students should be able to understand the requirements contained within Yellow Book (e.g. General, Fieldwork, and Reporting standards) such as for Financial Statement audits, Performance audits, and Attestation engagements.

Sample Topics:
- ✓ Introduction
- ✓ Organization of the Yellow Book
- ✓ Applicability
- ✓ Types of Audits and Attestation Engagements
- ✓ General, Fieldwork, and Reporting Standards

Field of Study:
Government Auditing - General

Course Delivery:
Group Live

10. OMB A-123

Course Description:
This course covers the fundamentals of adhering to A-123 relating to IT. A-123 incorporates many other regulatory requirements, and as such, this course will work to explain the compliance related requirements of A-123 and incorporate other authoritative requirements at the same time. This course will also address lessons learned, pitfalls to avoid, and best practices from across the Federal government.

Who Should Attend This Course:
This course is for anyone wishing to apply the requirements of A-123. This course is for both financial and IT personnel, as this teaches the mechanics of adhering to the A-123 requirements; however, this course leans towards IT controls as part of the examples used in class.

Course Length:
1 Day

CPE:
8 credits

Course Objective:
At the completion of this course, students should be able to apply the requirements contained within A-123.

Sample Topics:
- ✓ Introduction
- ✓ Revisions
- ✓ Sources for Implementing A-123
- ✓ How to Implement
- ✓ Challenges
- ✓ Lessons Learned

Field of Study:
Government Auditing – General

Course Delivery:
Group Live

11. SOC I and II

Course Description:
Statements on Standards for Attestation Engagements No. 16 (SSAE 16) is one of the more misunderstood standards and poses difficulty in implementing correctly. There are a number of challenges to consider when performing an SSAE 16 Review (e.g. timing, # of customers depending on the report, Type I versus Type II, first year of implementation, etc.). This course will teach the fundamentals of an SSAE 16 and provide real examples of how to ensure the standards are met. ***Note: SAS 70 was replaced by SSAE 16 in April 2010.***

Who Should Attend This Course:
This course is for anyone wishing to understand an SSAE 16. This course is for both financial and IT personnel, as this teaches the mechanics of adhering to the SSAE 16 requirements.

Course Length:
1 Day

CPE:
8 credits

Course Objective:
At the completion of this course, students should be able to understand the different types of an SSAE 16 (e.g. readiness Review, Type I, and Type II), the various sections of the report (e.g. Sections 1-4), and the pitfalls to avoid in implementing the SSAE 16.

Sample Topics:
- ✓ Introduction
- ✓ Internal Control (e.g. COSO)
- ✓ Form and Content
- ✓ Performing the Engagement
- ✓ Other Considerations

Field of Study:
Government Auditing – General

12. Federal Regulations Affecting IT

Course Description:
Federal managers must be familiar with a vast amount of federal regulations. As such, this course provides insight into the many requirements so that federal managers will be knowledgeable in their job functions.

Who Should Attend This Course:
Federal managers wishing to understand the many federal requirements promulgated throughout the federal government.

Course Length:
1 Day

CPE:
8 credits

Course Objective:
Whether a federal manager is trying to comply with OMB, GAGAS, NIST, or other Congressional Acts; this course will ensure that students are aware of the various federal regulations so that they can ensure they are performing their jobs effectively.

Sample Topics:

- ✓ NIST (e.g. 800-18, 30, 37, 60, FIPS-199, FIPS-200, etc.)
- ✓ OMB circulars (A-50, 123, 127, and 130)
- ✓ OMB Memorandums
- ✓ GAO
- ✓ Congressional Acts
    - o FISMA
    - o IPIA
    - o CFO Act
    - o GPRA
    - o FMFIA

Field of Study:
Government Auditing – General

Course Delivery:
Group Live

13. Certified Information Systems Auditor – Prep Class

Course Description:
This course will discuss and provide hands-on exercises surrounding the topics covered on the CISA exam. The CISA certification has become a prestigious title to possess, and as such, many employers are demanding that their employees seek this certification. The course will provide the necessary preparations so that the student can pass the CISA exam on their first attempt.

Who Should Attend This Course:
This course is designed to provide hands-on instruction for those wishing to attain the CISA certification.

Course Length:
4 Days

CPE:
32 credits

Course Objective:
The ultimate objective is that students completing this course will be ready for the CISA exam and pass it on the first attempt.

Sample Topics:

- ✓ IT Audit
- ✓ Governance
- ✓ Systems & Infrastructure Lifecycle Management
- ✓ Service Delivery & Support
- ✓ Protection of Information Assets
- ✓ Business Continuity & Disaster Recovery

Field of Study:

Government Auditing – General

Course Delivery:

Group Live

14. Certified Authorization Professional – Prep Class

This course will discuss and provide hands-on exercises surrounding the topics covered on the CAP exam. The CAP certification has become a prestigious title to possess, and as such, many employers are demanding that their employees seek this certification. The course will provide the necessary preparations so that the student can pass the CAP exam on their first attempt. Note: Certification and Accreditation (C&A) is now called Security Assessment and Authorization (SA&A).

Who Should Attend This Course:
This course is designed to provide hands-on instruction for those wishing to attain the CAP certification.

Course Length:
4 Days

CPE:
32 credits

Course Objective:
The ultimate objective is that students completing this course will be ready for the CAP exam and pass it on the first attempt.

Sample Topics:

- ✓ IT Understanding the Purpose of Assessment and Authorization
- ✓ Initiation of the System Authorization Process
- ✓ Assessment Phase
- ✓ Authorization Phase
- ✓ Continuous Monitoring Phase

Field of Study:

Government Auditing – General

Course Delivery:

Group Live

About Your Internal Controls

Your Internal Controls, LLC is headquartered in Rockville, Maryland (minutes from Washington, DC). Your Internal Controls has been serving clients since 2003.

We provide internal controls support and teaching services with regards to Information Technology. Our service offerings may assist your organization in a vast array of areas, such as FISCAM General & Application Controls Reviews, OMB compliance (A-50, 123, 127, and 130), FISMA, Privacy audits, IT security reviews such as vulnerability assessments, Course instruction, and more.

Your Internal Controls has serviced Fortune 500 companies, Big 4 Accounting Firms, Consulting Firms, Federal agencies, as well as state/local government.

Our founder, Jack Heyman, has been teaching IT related courses for over 10 years. He has previously taught at the Government Audit Training Institute (Graduate School, USDA), Inspectors General Auditor Training Institute (IGATI), Association of Government Accountants (AGA), as well as hired directly by other organizations.

We like to think our course offerings are unique. Our course offerings are direct and to the point. People attending our courses will find themselves deep into the material with no time for space fillers. The materials, lessons, and exercises are real life examples, and come directly from hands-on experience. Although our course instruction is academic, it is wholly based on real experience.

We welcome your services and look forward to providing great course instruction.

About the Instructor

Our founder, Jack Heyman, has been teaching IT related courses for over 10 years. He has previously taught at the Government Audit Training Institute (Graduate School, USDA), Inspectors General Auditor Training Institute (IGATI), Association of Government Accountants (AGA), as well as hired directly by other organizations.

Mr. Heyman possesses the following certifications:

- ✓ Certified Public Accountant (CPA)
- ✓ Certified Information Systems Auditor (CISA)
- ✓ Certified Government Financial Manager (CGFM)
- ✓ Certified Information Privacy Professional (CIPP)
- ✓ Certified Authorization Professional (CAP)

Mr. Heyman began his career at PricewaterhouseCoopers (PwC) as a financial auditor. After making senior as a financial auditor, he switched to IT auditing. He left PwC as a manager in 2003 and thereafter founded Your Internal Controls. He has since worked in IT surrounding the areas of IT auditing and consulting, as well as formalized course development and instruction. He has worked with many federal agencies in the following areas:

- ✓ FISCAM
- ✓ FISMA
- ✓ Vulnerability Assessments
- ✓ SA&A
- ✓ Privacy Audits
- ✓ OMB circulars and memorandums
- ✓ NIST compliance
- ✓ more

Corporate Policies and Other NASBA Requirements

Refund and Cancellation Policy
All refund requests must be submitted in writing by e-mail to jackheyman@yourinternalcontrols.com. Our refund policies vary based on the course. The cancellation and/or refund request date will be the date the e-mail was received. Please allow up to 30 days to receive a refund.

Record Retention Policy
All course materials, attendee evidence, etc. will be retained for a period of 7 years from the date of attendance.

Complaint Policy
To solicit a complaint or a comment about any of the courses, please contact Jack Heyman at jackheyman@yourinternalcontrols.com or at 301.943.3371.

Course Update Policy
These courses are reviewed annually and updated accordingly.

Course Objectives
All program learning objectives are specific and measurable. They are defined for each course under the caption 'Course Objective'.

Program Level
All courses are basic and require no prerequisites.

Group Instruction
All courses are taught as Group-Live. All of our courses are delivered onsite with live instruction. All of our courses offer CPE credits and have been granted based on a 50-minute hour. Further, all of our courses are reviewed for completeness and accuracy, as well as for the content being current and relevant.

Attendance Requirements
As there are not many students in the class, it is fairly easy to monitor who has attended. Should anyone leave early, the instructor will note this on the attendance sheet to ensure that all registered participants have stayed the entire duration of the training class.

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How to Enroll

Your Internal Controls offers the above courses as direct enrollment only. For those wishing to enroll in a class, they should contact Mr. Heyman directly at 301.943.3371. The courses are offered at the respective federal agency locations and are taught directly to the federal agencies desiring the courses. Course pricing varies by the number of students attending the classes.