Auditing IT General Controls (ITGC) Training Course

Professional Development Training Course Outline

Category	Data Security	**Duration**	5 Days
Base Fee	$1,500 USD	**Delivery Mode**	Online / On-site Hybrid

Course Introduction

IT General Controls form the foundational bedrock of a secure and compliant Information Technology environment. In today?ÇÖs digitally-driven business landscape, where reliance on technology for financial reporting and core operations is absolute, the integrity, confidentiality, and availability of data critically depend on the effectiveness of ITGCs. Auditing IT General Controls (ITGC) Training Course is meticulously designed to equip auditors and IT professionals with the practical, in-demand skills to effectively plan, execute, and report on ITGC audits. Participants will master industry-leading control frameworks like COBIT and NIST, understanding their direct impact on Sarbanes-Oxley compliance, financial statement audits, and overall cyber risk management.

By focusing on the major risk domains access management, change control, IT operations, and system development life cycle (SDLC) this course provides a deep dive into control testing techniques and audit evidence gathering in complex, modern environments, including cloud infrastructure and automated systems. A crucial aspect is the ability to identify control deficiencies, assess their impact on material misstatement, and recommend effective remediation strategies. This program moves beyond theoretical knowledge, emphasizing real-world case studies and hands-on workshops to ensure participants can immediately apply learned concepts, elevating their organizational maturity in IT governance and achieving audit readiness in an evolving regulatory landscape.

Programme Curriculum

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Course Objectives

Upon completion of this course, participants will be able to:

1. Understand the role of ITGC in IT governance, SOX compliance, and overall financial audit assurance.
2. Differentiate between IT General Controls, Application Controls, and their interaction within the control environment.
3. Identify and map key ITGC domains to common business processes and IT risks.
4. Design and evaluate the effectiveness of Logical Access Controls, focusing on Segregation of Duties and privileged access management.
5. Assess and test the Program Change Management process for proper authorization, testing, and migration to production.
6. Evaluate controls over System Development Life Cycle to ensure system integrity and security from inception.
7. Audit IT Operations controls, including backup and recovery, incident management, and job scheduling.
8. Analyze the impact of emerging technologies like Cloud Computing and DevOps on traditional ITGCs.
9. Apply current IT control frameworks and best practices, specifically COBIT 2019, NIST CSF, and ISO 27001.
10. Perform control testing using appropriate methodologies, documenting audit evidence and workpapers.
11. Identify, document, and prioritize ITGC control deficiencies and material weaknesses.
12. Formulate practical and effective remediation plans to address audit findings and enhance control design.
13. Communicate ITGC audit findings clearly to both IT management and Audit Committee members, driving risk mitigation.

Target Audience

1. Internal Auditors and External Auditors
2. IT Governance, Risk, and Compliance Professionals
3. Financial Auditors and CPA candidates
4. Information Security Analysts and Cybersecurity Risk Managers

5. IT Managers and Control Owners responsible for ITGC design and operation
6. Compliance Officers and Regulatory Specialists
7. Chief Information Officers and Chief Financial Officers
8. Consultants specializing in IT advisory, risk, and internal controls

Course Modules

Module 1: Foundations of ITGC and Audit Scoping

- Defining ITGC, its relationship to GRC and Application Controls.
- The role of ITGCs in Financial Audits and SOX 404 compliance.
- Mapping ITGCs to key Control Objectives
- Risk-Based Audit Planning and identifying In-Scope Systems
- Case Study: Analyzing a major retail company's failure to scope its inventory system, leading to a financial misstatement due to an untested control.

Module 2: Logical Access Controls and User Management

- User Access Provisioning and De-provisioning
- Auditing Segregation of Duties conflicts and compensating controls.
- Controls over Privileged Access and Super-Users.
- Authentication controls and periodic Access Reviews.
- Case Study: Investigating an internal fraud case at a bank where a terminated employee's access was not revoked in a timely manner.

Module 3: Program Change Management

- The Change Management Life Cycle
- Auditing controls for Emergency Changes and Automated Deployment.
- Testing the completeness and accuracy of the Change Log and Authorization records.
- Configuration Management controls and baseline security auditing.
- Case Study: Evaluating a software development firm's change control process that allowed an unauthorized code deployment, causing a week-long system outage.

Module 4: System Development Life Cycle (SDLC) Controls

- Controls over New System Acquisition and In-House Development projects.
- Auditing Application Testing procedures and documentation.
- Controls to prevent unauthorized movement of code between Development, Test, and Production environments.
- Evaluating vendor management controls for outsourced development.
- Case Study: Reviewing the development of a new ERP module where insufficient UAT led to calculation errors in the financial reports.

Module 5: IT Operations and Backup/Recovery

- Controls over Job Scheduling and Batch Processing integrity.
- Auditing Data Backup policies, procedures, and Restore Testing
- Controls for Incident Response and Problem Management
- Reviewing System Monitoring and Security Log procedures.
- Case Study: Simulating a ransomware attack on a manufacturer and assessing the effectiveness of their data backup and disaster recovery plan.

Module 6: Physical and Environmental Security Controls

- Auditing Physical Access to Data Centers, Server Rooms, and critical IT infrastructure.
- Controls over visitor access, security cameras, and access logging.
- Reviewing environmental protection controls.
- Assessing controls for off-site data storage and media management.
- Case Study: Documenting deficiencies in a co-location data center's physical access controls, where unauthorized entry was possible via an unmonitored back door.

Module 7: Advanced Topics: Cloud and Emerging ITGC

- Auditing ITGCs in a Cloud Environment and the Shared Responsibility Model.
- Controls over Virtualization and containerization
- Assessing the impact of API Security and DevOps Automation on traditional controls.
- Integrating Cybersecurity Risk Assessment into the ITGC audit.
- Case Study: Applying the Shared Responsibility Model to audit access controls for a critical application migrated to AWS or Azure.

Module 8: Reporting and Remediation

- Techniques for performing Control Testing
- Documenting Audit Findings, including root cause analysis and impact assessment.
- Differentiating between Control Deficiencies and Material Weaknesses.
- Developing practical, measurable, and timely Remediation Plans and follow-up procedures.
- Case Study: Preparing a formal ITGC Audit Report for an Audit Committee, summarizing findings, risks, and recommended actions for a year-end audit.

Training Methodology

The course adopts a highly **interactive and practical** approach:

- Strategy Briefings
- Interactive Workshops.
- Real-World Case Studies.
- Control Simulation.
- Group Discussions.

Register as a group from 3 participants for a Discount

Send us an email: info@fineskilltrainingcenter.org or call +254769199797

Certification

Upon successful completion of this training, participants will be issued with a globally- recognized certificate.

Tailor-Made Course

We also offer tailor-made courses based on your needs.

Key Notes

a. The participant must be conversant with English.

b. Upon completion of training the participant will be issued with an Authorized Training Certificate

c. Course duration is flexible and the contents can be modified to fit any number of days.

d. The course fee includes facilitation training materials, 2 coffee breaks, buffet lunch and A Certificate upon successful completion of Training.

e. One-year post-training support Consultation and Coaching provided after the course.

f. Payment should be done at least a week before commence of the training, to Fineskill Training Center account, as indicated in the invoice so as to enable us prepare better for you.

Upcoming Scheduled Sessions

Start Date	End Date	Location	Price
23 Nov 2026	27 Nov 2026	Online	$1,000
23 Nov 2026	27 Nov 2026	Physical	$1,500
23 Nov 2026	27 Nov 2026	Physical	$3,000
23 Nov 2026	27 Nov 2026	Physical	$3,000
23 Nov 2026	27 Nov 2026	Physical	$6,000
23 Nov 2026	27 Nov 2026	Physical	$4,500
23 Nov 2026	27 Nov 2026	Physical	$6,000
23 Nov 2026	27 Nov 2026	Physical	$6,000

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