IT Audit
Interview Questions & Answers

Getting Ready for Your Interview

- Review the job description

- Know the company

- Know your resume

- Prepare for the interview

- Don't be late

- Follow-up after the interview

- Read the description thoroughly

- Understand the job title and summary

- Analyze responsibilities

- Identify keywords and key phrases

- Note any special requirements or preferences

- Assess qualification and requirements

Review The
Job Description

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- Understand the job title and summary

- Analyze responsibilities

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- Assess qualification and requirements

Know The Company

- Company's products or services

- The company's culture

Know Your Resume

- Check for formatting and consistency

- Review for grammar and spelling

- Tailor your resume to the job description

- Ensure clarity and readability

- Be ready to speak to the content of your resume

- Proofread your resume

- Test the resume

Prepare for The Interview

- Understand the job role

- Prepare your answers

- Do some mock interviews

- Research the interviewers

- Dress appropriately

- Practice non-verbal communication

- Prepare questions to ask

Don't Be Late

- Plan your journey
- Remote interview
  - Test your internet
  - Test your computer set-up
  - Find a quiet spot
  - Launch meeting 5 minutes earlier

Stay Relevant and Concise

- Focus on key accomplishment

- Stay relevant

- Practice active listening

- Be succinct

- Highlight relevant skills

- Practice practice practice

Follow-up After the Interview

- Send a thank-you email

- Follow-up

- Ask questions

IT Audit Practical Experience Interview Questions

Tell me about yourself ?

Purpose: Establish a connection, gain initial insights, and set the stage for a productive and engaging interview conversation.

- Keep it brief and relevant
- Highlight your experience
- Provide context
- Tailor your response
- Avoid personal details
- Practice and rehearse

Response to:
Tell me about yourself

Tell me about an IT Audit project you recently conducted ?

Purpose: To assess your familiarity with different IT Audit projects and provide high level information on the process of conducting one of the projects.

IT Audit projects:

- Sarbanes-Oxley (SOX) Audit

- Compliance Audit

- Cloud Audit

- Cybersecurity Audit

- Service Organization Controls (SOC) Audit

- Operations Audits

Response to:
Tell me about an IT Audit project you recently conducted

How do you test the design of a control?

Purpose: To assess your knowledge on how to test a key element of a control.

Control Design:

- Assess if the control has been carefully developed to address specific risks or objectives.

Response to:
How do you test the design
of a control?

How do you test the effectiveness of a control ?

Purpose: To assess your knowledge on how to test a key element of a control.

Control Effectiveness:

- The control is consistently and successfully accomplishing its intended purpose.

Response to: How do you test the effectiveness of a control ?

How do you determine your sample size?

Purpose: To test your knowledge of sampling methodology.

Factors for selecting sample size:

- Population size

- Frequency of transaction

- Level of risk

- Confidence level

Response to:
How do you determine your sample?

Which IT Controls have you tested ?

Purpose: To assess your experience relating to testing IT Controls.

IT General Controls :

- Access Controls

- Change Management Controls

- IT Operations – Backup & Recovery Controls

- Software Development Life-Cycle (SDLC) Controls

IT Application Controls:

- Input Controls

- Processing Controls

- Output Controls

Response to:
Which IT Controls have you tested ?

Tell me about the IT Audit Process

Purpose: To test your familiarity with the steps involved in planning, executing, and reporting on IT Audits.

IT Audit Process:

- Planning Phase

- Fieldwork Phase

- Reporting Phase

- Follow-Up Phase

Response:
Tell me about the IT Audit Process

How do you determine which applications should be in scope?

Purpose: To test your understanding of risk assessment, business objectives and regulatory requirements.

Factors for scoping in applications:

• Impact to financial statement

• Criticality to business processes

• Regulatory and compliance requirements

Response:
How do you determine which applications should be in scope?

Which IT infrastructure have you tested?

Purpose: To assess your understanding of different components of an IT infrastructure

IT infrastructures:

- Applications

- Databases – SQL database, Oracle database, DB2

- Servers – SQL servers, Oracle servers, Cloud servers

- Operating Systems – Windows, Linux, Unix, AIX

Response:
Which IT infrastructure
have you tested?

How do you perform a Risk Assessment ?

Purpose: To assess your understanding of IT risk management including the key steps.

When do IT Auditors perform a Risk Assessment ?

• When scoping in new applications

• When there is a significant change to an in-scope application

• When a deficiency is identified during a control test

Questions to ask when performing a Risk Assessment?

• What can go wrong (risk event)?

• What is the likelihood the risk event occurs?

• What is the impact of the risk event?

Response:
How do you perform a
Risk Assessment ?

What steps do you take when a control deficiency is identified?

Purpose: To assess your understanding of issue documentation and remediation efforts.

Steps when a control issue is identified:

- Discuss control issue with relevant stakeholders

- Obtain acknowledgement of control weakness or issue

- Request if control weakness can me fixed within the audit period

- Document test procedures and control remediation (if weakness is resolved)

- Enter control deficiency in deficiency tracker

- Create draft report. Report should indicate control failure and associated risks

- Review draft report

- Send draft report to management and request remediation plan

- Follow-up with issue owner and stakeholders on remediation efforts

- Obtain artifacts and retest control once remediation is completed

- Close deficiency

Response:
What steps do you take when a control deficiency is identified?

Do you have experience testing cloud environment, and if so, can you describe your approach to auditing cloud-based systems ?

Purpose: To assess your knowledge in testing security controls in Cloud environment.

Cloud Security Controls

- Identity & Access Management

- Application & Interface Security

- Data Security & Privacy Management

- Change Management

- Logging & Monitoring

- Endpoint Management

- Threat & Vulnerability Management

- Cryptography, Encryption & Key Management

- Business Continuity Management

Response:
Do you have experience testing cloud environment, and if so, can you describe your approach to auditing cloud-based systems?

What are some risks associated with Cloud Computing ?

Purpose: To assess your knowledge of risks associated with Cloud Computing.

Cloud Computing Risks

- Data Security & Privacy

- Compliance & Regulatory Issues

- Reduced visibility & Control

- Service Disruptions & Downtime

- Data Loss & Corruption

- Data Location Constraint

- Cost Management

Response:
What are some risks associated with Cloud Computing?

How do you ensure completeness and accuracy of Information Provided by Entity (IPE) ?

Purpose: To assess your knowledge on ensuring data or information provided by an audit client is complete and accurate.

Key words

- Completeness: All transactions are included

- Accuracy: The correct amount, value, and totals are disclosed

Factors to consider

- Source of Data

- Logic of Report

- Parameters/Filters

Response:
How do you ensure completeness and accuracy of Information Provided by Entity (IPE) ?

How do test Access Controls ?

Purpose: To assess your knowledge on the different controls under Access Controls and how you would test the design and effectiveness of the controls

Access Controls

• Access provisioning

• Access de-provisioning

• Password configuration

• Privileged user access

• User access review

• Access control policy review

• Segregation of Duties (SOD)

Response:
How do you test Access Controls ?

In your experience, what are some of the common issues you find when testing Access Controls ?

Purpose: To assess your experience with deficiencies relating to Access Controls.

Common Access Control Issues

• Password parameters not aligning with password policy

• Inadequate role-based access control

• User access reviews not properly documented

• User access not revoked at all or not revoked timely

• Lack of Segregation of Duties (SOD)

Response:
In your experience, what are some of the common issues you find when testing Access Controls ?

How do you test Change Management Controls ?

Purpose: To assess your knowledge on the different controls under Change Management Controls and how you would test the design and effectiveness of the controls.

Change Management Controls

- Obtain evidence of formal change request
- Obtain evidence of change request review and authorization
- Verify changes are documented and tracked
- Obtain evidence of change testing and validation – UAT, QA
- Verify change implementation and rollback plan
- Verify Incidence management process
- Observe if segregation of duties (SOD) exist

Response:
How do you test Change Management Controls ?

What are some of the common issues you find when testing
Change Management controls ?

Purpose: To assess your experience with deficiencies relating to Change Management Controls

Common Issues with Change Management Controls

- Lack of documented change management process

- In-adequate change approval process

- Lack of testing and validation

- Inadequate monitoring and reporting

- Failure to manage emergency changes

Response:
What are some of the common issues you find when testing
Change Management controls ?

How do you test
Back-up & Recovery Controls ?

Purpose: To assess your experience with testing Backup & Recovery Controls

Testing Backup & Recovery Controls

- Determine the frequency of data backups

- Obtain evidence of data backup completeness and accuracy

- Verify if recovery plans for critical systems are in place and tested

- Determine if there is adequate access restriction for backed-up data

- Review monitoring and alerting mechanisms

- Verify if production errors are identified and resolved.

Response:
How do you test Back-up & Recovery Controls ?

What are some of the common issues when testing Backup & Recovery controls ?

Purpose: To assess your experience with deficiencies relating to Backup & Recovery Controls

Common Issues with Back-up & Recovery Controls

- No documented backup procedures

- Inadequate back-up frequency

- Insufficient backup retention

- Lack of backup testing

- Lack of disaster recovery plan

Response:
Common issues when testing Backup & Recovery controls ?

How do you test Software Development Life-Cycle (SDLC) Controls ?

Purpose: To assess your experience with testing SDLC Controls

Testing SDLC Controls:

- Evidence of formal request of application/system being developed

- Evidence of request reviews and approvals

- Security controls testing

  - Code reviews, penetration testing, vulnerability scanning, threat modeling

- Quality assurance controls

  - UAT, QA and Integration testing

- Data validation controls

  - Input, processing and output controls, Data encryption

- Incident management

Response:
How do you test
Software Development Life-Cycle (SDLC)
Controls ?

What are some of the common issues when testing SDLC?

Purpose: To assess your experience with deficiencies relating to SDLC Controls

Common Issues with Software Development Life-Cycle Controls:

• Lack of formal SDLC process

• Insufficient testing

• Lack of code review

• Inadequate change management process

• Poorly managed dependencies

Response:
What are some of the common issues
when testing SDLC?

What is Sarbanes-Oxley (SOX) Audit ?

Purpose: To assess your knowledge on the purpose and key elements of a SOX audit.

Key things to know about SOX Audit:

- Performed in support of the SOX Act of 2002

- Test Internal Controls over Financial Reporting (ICFR)

- Section 404 of the SOX Act states that:

  - Management is responsible for implementing adequate internal controls

  - An assessment of the internal controls must be conducted

  - An independent external auditor's attestation must be conducted

Response:
What is Sarbanes-Oxley (SOX) Audit ?

Do you have experience with performing a Service Organization Controls (SOC) Audit ?

Purpose: To assess your knowledge on testing SOC or reviewing a SOC report.

Key things to know about SOC Audit:

- Organizations that provide services to other companies or end users are called Service Organizations

- SOC Audit are conducted by external auditors

- There are 3 types of SOC reports – SOC1, SOC 2 & SOC 3

Response:
Experience with performing a Service Organization Controls (SOC) Audit

Technical Interview Questions

Which Audit Tools do you use ?

Audit Tools: Software applications used to facilitate IT Audit processes.

Examples of IT Audit Tools

- Audit board, RSA Archer, ServiceNow, High bond, MetricStream, SAP Audit Management

Common features of IT Audit Tools

IT Audit Analytics tools

- Alerts/Notification

- Audit Planning   ACL Analytics

- Audit Trail   Excel

- Dashboard   Tableau

- Document Management   Power BI

- Issue Management

- Reporting

- Risk Assessment

- Workflow Management

Response:
Which Audit Tools do you use ?

What are risks associated with IT systems ?

Risks associated with IT Systems

- Cybersecurity Threats:
    - Malware, Phishing Attacks, Data Breaches, Insider Threats
- Data Loss and Data Integrity risks:
    - Hardware failure, Software bugs and glitches, data corruption
- Operational Risks
    - System outages, Poor Change Management, Inadequate Capacity Planning
- Compliance and Regulatory Risks
    - Non-compliance, Data privacy
- Supply Chain Risks
    - Third-Party Risks
- Emerging Technologies Risks
    - Cloud Security Risks

What is IT Audit ?

Response:
What is IT Audit ?

What are the importance of IT Audit ?

- Risk Management

- Compliance Assurance

- Assess Information Security Controls

- Evaluates Business Continuity & Disaster Recovery

- Enhance financial integrity

- Promote operational efficiency

Response:
What are the importance of
IT Audit ?

What is Segregation of Duties (SOD) ?

Response:
What is Segregation of Duties (SOD) ?

Which IT Audit Frameworks are you familiar with ?

IT Audit Frameworks: System of standards, guidelines and best practices to manage risks.

- Committee of Sponsoring Organizations (COSO)

- Control Objectives for Information and Related Technologies (COBIT)

- National Institute of Standards and Technology (NIST)

- ISO27001

- Center for Internet Security (CIS)

Response:
Which IT Audit Frameworks are you familiar with ?

What are the different types of controls ?

Types of Controls:

- Preventive controls: Designed to decrease the chance or errors & fraud before they occur.

- Detective controls: Designed to find errors or problem after occurrence.

- Mitigating controls: Designed to reduce the impact or severity of risks & vulnerability.

- Compensating controls: Alternative measures when primary control objective cannot be met.

Response:
What are the different types of controls ?

What are some of the challenges you faced during an IT Audit and how did you manage it ?

Common Challenges:

- Lack of documentation

- Evidence collection

- Resource constraint

- Complexity of IT systems

- Scope creep

Response:
What are some of the challenges you faced during an IT Audit and how did you manage it ?

Why are you leaving your current job ?

Reason you may be changing jobs:

• Job contract coming to an end

• Career advancement

• Hybrid or remote opportunity

• Relocation

• New challenge or opportunity

Response:
Why are you leaving your current job ?

What report format do you currently use?

Common IT Audit report formats

- Word document

- PDF document

- PowerPoint

Response:
What report format do you currently use?

How do you prioritize IT Audit findings and recommend remediation actions?

Things to consider in prioritizing IT Audit findings:

- Severity of the finding

- Likelihood of the risk event

- Potential impact on the organization's objectives

- Resources available for remediation

Response:
How do you prioritize IT Audit findings and recommend remediation actions?

How do you document your control test results ?

Documenting Working Papers

- Audit tool: Audit board, RSA Archer, ServiceNow

- SharePoint

- Folders in Shared Drives

Response:
How do you document your
control test results ?

What is a typical day like for you as an IT Auditor?

Typical day depends on the IT Audit phase

- Planning and preparation

- Fieldwork – Performing walkthroughs, testing controls, gathering evidence

- Reporting – Collaboration and communication

- Remediation and Follow-up

Response:
What is a typical day like for you as an IT Auditor?

What is your salary expectation?

Possible response approach

- Flip the question: Encourage interview to provide their range

- Provide a range

- Provide an amount but be flexible

Response:
What is your salary expectation?

Behavioral Interview Questions

Do you prefer to work independently or as a team ?

Purpose: To demonstrate your ability to work independently and collaboratively.

- Highlight the best trait of your personality

- Highlight the advantages of both situation

Response:
Do you prefer to work independently
or as a team ?

Why would you want to work for this company ?

Purpose: To demonstrate your interest in the organization.

Possible reasons of interest:

- Organization's mission, vision, values or culture

- Organization's reputation

- Products or service quality

- Support for career growth, collaboration, diversity, creativity

- Specific project opportunity

Response:
Why would you want to work for this company ?

Tell me about a time you had to deliver a difficult message to a group of people ?

Purpose: To demonstrate your communication skills, empathy & problem-solving abilities.

Steps to consider:

• Choose relevant example from your experience

• Respond using the STAR (Situation, Task, Action, Result) method

Response:
Tell me about a time you had to deliver a difficult message to a group of people ?

Tell me about a time you had to deal with a difficult co-worker?

Purpose: To demonstrate your ability to handle interpersonal challenges with professionalism, diplomacy and conflict resolution skills.

Steps to consider:

- Choose relevant example from your experience
- Respond using the STAR (Situation, Task, Action, Result) method

Response:
Tell me about a time you had to deal with a difficult co-worker?

Tell me about a time you were under pressure and how you dealt with it ?

Purpose: To demonstrate your ability to remain composed, focused and effective in challenging situations.

Steps to consider:

- Choose relevant example from your experience
- Respond using the STAR (Situation, Task, Action, Result) method

Response:
Tell me about a time you were under pressure and how you dealt with it ?

How do you communicate findings and recommendations to non-technical stakeholders ?

Purpose: To demonstrate your ability to communicate effectively

Things to consider:

- Use plain language

- Focus on business impact

- Provide context and background

- Highlight key findings and risks

- Offer practical recommendations

- Provide supporting documentation

- Follow up to ensure clarity

Response:
How do you communicate findings and recommendations to non-technical stakeholders ?

What do you do if you are having difficulties obtaining IT Audit testing evidence ?

Purpose: To demonstrate your ability to problem solve

Things to consider:

- Engage with stakeholders

- Clarify audit objectives and requirements

- Provide guidance and assistance

- Follow-up persistently

- Consider alternative sources – Interviews or walkthroughs

- Seek management support

Response:
What do you do if you are having difficulties obtaining IT Audit testing evidence ?

Describe a time you experienced resistance from stakeholders during an audit. How did you handle it ?

Purpose: Assess your ability to navigate challenging situations with professionalism, diplomacy and effective communication.

Possible actions:

- Identify the resistance

- Engage in open transparent communication

- Build trust by establishing a collaborative and respectful relationship

- Address concerns and provide assurance

- Resolve differences amicably

- Follow up

Response:
Describe a time you experienced resistance from stakeholders during an audit. How did you handle it ?

What are your strengths ?

Purpose: Assess if you can identify which of your strengths are most relevant to the role.

Things to consider:

- Identify your strengths

- Select relevant examples

- Connect to the role

- Be authentic and confident

Response:
What are your strengths ?

What are your weaknesses ?

Purpose: Assess your ability to critically evaluate yourself and recognize areas for improvement.

Things to consider:

- Acknowledge areas for improvement

- Choose a genuine weakness

- Provide context and detail

- Discuss steps for improvement

- Highlight progress and learning

Response:
What are your weaknesses ?

Do you have any questions for us ?

Purpose: To further demonstrate your interest in the role

Possible questions:

- What do you like most about leading the team

- What do you enjoy most about working for this organization

- What are the biggest challenges currently facing the team or organization

- What qualities or skills are you looking for in an ideal candidate for this position

- How is performance or success measured in this role

- Is there anything specific you are looking for in a candidate that we haven't discussed

- What is your approach to leadership

Next Steps

Course Recommendation

- IT Audit Complete Course

- Cybersecurity Audit Project

- Cloud Audit Fundamentals

- GRC Analyst Guide

- Microsoft Excel – Complete Beginner to Pro Guide

Congratulations !!!