Spring Seminars

Session 1: GDPR Assessment, Implementation and Auditing Approaches

Session 2: How to Perform an Audit of the Waterfall and Agile Development Methodologies

Date:	**Thursday- Friday -** April 26 – 27, 2018
Time:	8:00 Check In | 8:30 AM – 5:00 PM Presentation
Location:	Sprint World Headquarters – Overland Park, KS (Additional parking and building information will be provided to registered attendees)
CPE's:	8 Credits per seminar (16 total available)
Price:	ISACA Members – Two (2) Sessions -**Early-Bird through March 30th**: $375 – **After March 30th**: $450
	ISACA Members – One (1) Session - $225
	Non-Members – One (1) Session - $275 - Two (2) Sessions - $450

Registration: http://www.isaca-kc.org/events
Seating is limited. Register early to secure your spot. Registration closes on April 13th. Prompt payment is required. Registration includes course materials, which will be provided electronically in advance, and a $20 daily food voucher to be used the day of issuance at the on-site cafeteria for breakfast, lunch, and/or snacks.

Overview of Sessions:
Day 1/Session 1 - *GDPR Implementation, Assessment, and Auditing Approaches*
Seminar Objective -- This GDPR seminar has been restructured to provide attendees a consolidated view of how to implement, assess and audit the project. This seminar is intended to provide attendees the base level knowledge required to (1) conduct a "point-in-time" Assessment to provide a basis to determine the current stage of GDPR compliance and identify the remaining project initiatives, (2) manage the implementation of the GDPR project, and (3) conduct a GDPR Pre-Implementation Audit. Audit Serve has completed three GDPR Impact Analysis of organizations who are both Controllers and Processors and provides ongoing GDPR advisory services to these organizations. The experiences from these completed consulting projects along with its current GDPR project of performing all aspects of the GDPR Implementation for a multi-national Controller have been incorporated into this seminar

Day 2/ Session 2 - *Auditing Traditional Waterfall and Agile Development Methodologies - 2017 Edition*
Seminar Objective This seminar is intended to provide an auditor the base level knowledge required to perform a pre & post implementation audit of the deployment of business systems. This seminar is structured based the two most common development methodologies used in the industry; Agile and Waterfall.
Regardless of the level of experience of the attendee, the instructor's experience of conducting audits of 4+ system migrations per year audit and extensive development experience will bring new insights to even the most experienced auditor.

Refer to **Appendix A** for further details.

Speaker Summary: Mitchell H. Levine, CISA

Mitchell Levine, CISA is the founder of Audit Serve, Inc. which was established in 1990. For the last 26 years at Audit Serve, Mitch has split his time between traditional IT & Integrated Audit Consulting projects and global project initiatives. For the past 18 months Mitch has been focusing most of his time on the GDPR project in which he has presented his GDPR seminar four times in the last 9 months in which three of these presentations occurred in Europe. He has completed GDPR Impact Analysis & Assessment projects for three separate organizations and is currently on a long-term engagement for one large international organization mapping all of their business processes that utilize personal data and linking them to delivery packages that will be the basis for responding to Subject Access Requests (SARs) that all organizations inscope for GDPR will be requested to provide starting May 25, 2018.

Appendix A: What You Will Learn:
SESSION ONE - GDPR IMPLEMENTATION, ASSESSMENT, AND AUDITING APPROACHES

I. Introduction to General Data Protection Regulation
- Precursor to GDPR
- What brought about GDPR?
- What is compelling compliance?
- Who is impacted?
    - Overall basis
    - Applying Article 3 Territorial Scope
    - US-based companies
- Key Players within GDPR
- Terminology
- High level introduction of key regulations
- Structure of regulations

II. Performing a GDPR Pre-Implementation Review/Audits
Note: detailed discussion relating to each GDPR article occurs as part of section IV
- Typical Pre-imp reviews
- Audit alternatives for the GDPR project

III. Performing a GDPR Project Assessment
Note: detailed discussion relating to each GDPR article occurs as part of section IV
- What is a project assessment?
- Recommended approaches to conducting the GDPR Project Assessment
- Establishing a scorecard for the GDPR Project Assessment

IV. Understanding the Regulations, Implementation Assessment and Audit Approaches
This section of the seminar which represents 65% of the seminar goes through each of the GDPR articles and (1) identifies the critical components of each Article, (2) Implementation Guidance for each of these key Articles, (3) Key Assessment questions to ask for each Article and the (4) Audit procedures based on performing a full scale pre-implementation review.

Key GDPR articles covered:
- Record of Processing Activities (Article 30)
- Information Controllers which must be provided to Data Subject at time when personal data is obtained (Article 13)
- Information Controllers which must be provided to Data Subject where personal data have not been obtained from Data Subject (Article 14)
- Right to Access (Articles 15)
- Right to Recertification (Article 16)
- Transfers of personal data to third countries Cross Border Data Transfer/Safe Harbor (Article 44)
- Data Portability (Article 20)
- Expressed Consent (Article 7)
- Condition's applicable to Child's consent relation to information society services (Article 8)
- Processing of Special categories (Article 9)
- Right to Erasure/Right to be forgotten (Article 17)
- Processor (Article 28) ☐ Right to Object to Processing (Article 21)
- Lawfulness of Processing (Article 6)
- Security of Processing (Article 32)
- Data Breach Notification (Articles 33 and 34)
- Data Protection by Design and Default (Article 25)
- Data Protection Impact Assessment (Article 35)
- Processor Requirements (Article 28)
- Automated individual decision making/profiling (Article 22)
- Right to Restrict Processing (Article 18)
- Right to Object to Processing (Article 21)
- Recipients of personal data (Article 19)
- Lawfulness of Processing (Article 6)
- Condition's applicable to Child's consent (Article 8)

     o   Processing of Special categories (Article 9)

US based considerations

Understanding the role of the Data Protection Officer

SESSION 2 TWO - AUDITING TRADITIONAL WATERFALL AND AGILE DEVELOPMENT METHODOLOGIES - 2017 EDITION

Seminar Objective - This seminar is intended to provide an auditor the base level knowledge required to perform a pre & post implementation audit of the deployment of business systems.   This seminar is structured based the two most common development methodologies used in the industry; Agile and Waterfall.

Regardless of the level of experience of the attendee, the instructor's experience of conducting audits of 4+ system migrations per year audit and extensive development experience will bring new insights to even the most experienced auditor.

Seminar Outline

I. Introduction
- Understanding the various types of system deployments
- Traditional approaches to performing pre & post Implementation audits
- Understanding and defining the scope of the pre & post implementation audits
- Introduction to the Agile and Waterfall development methodologies

II. Performing an assessment of the Development Methodology
- Understanding the components of the Waterfall methodology
- Understanding the components of the Agile methodology
- How to determine whether the development methodology meets the requirements of the organization
- How to design a "scalable" Waterfall methodology
- Understanding the inherent issues with the Agile methodology
- Understanding how to integrate the development methodology with Change Management
- How to structure an SDLC Audit in order to provide the necessary coverage needed when not performing a pre-implementation review

III. Conducting the Pre-Implementation Audit
- Conducting the Integrated Audit to support the pre-implementation audit
- How to conduct an audit of the Waterfall key project deliverables
- How to conduct an audit of the Agile component
- Identifying high risk system migration project strategies
- Audit Report design alternatives and issuance approaches
- Effective management approaches for the pre-implementation audit

IV. Conducting the Post-Implementation Audit
- Effective management approaches for the post-implementation audit
- Alternative approaches based on the pre-implementation approaches used
- Audit Report design approaches

V. Case Studies
- One case study will be presented during this seminar which will provide the attendee the understanding of how to assess deliverables produced as part of the reimplementation