

Seminar Outline

The following topics will be discussed:

I. AI Terminology and Concepts

- AI Models
- Techniques used to train AI Models
- Application Program Interfaces (API)
- AI Agents

II. AI Usage within Organizations

- General usage across all areas of an organization
- AI usage within
 - Software development
 - IT System Operations
 - Information Security

III. AI “Caution Winds”

- Define Corporate AI philosophy
- Risks of AI Models
- Risks of Organizations managing their own AI models

IV. Conducting AI Usage Impact assessment

- What are AI Usage Assessments?
- Inventory of AI tools and applications
- Mapping AI usage to business processes
- Purpose of AI Impact Assessments
- Understanding the components of an AI Impact Assessment

V.. Establishing an AI Strategic Plan

- AI Governance Structure
- Using IT Strategic Plans to develop for AI Strategic Plans
- AI Vision and Goals
- Ethical considerations and Governance
- Short term and long-term AI initiatives
- Alignment to AI Goals
- AI Policies, Standards and Permissible Use

VI.. AI Impact on Vendor Management Program

- Terminology & Types of IT Vendors
- 3rd Party Vendor application utilization scenarios
- AI usage within 3rd party vendor products
- Establishing control measures for inappropriate 3rd party vendor product usage

- Control requirements for services and products which utilize AI
- Enhancing procurement processes for services and products which utilize AI

VII. Establishing AI Implementation Plans and Initiatives

- Foundation components
- Rollout of AI Initiatives

VIII. Alternative AI Audit Approaches

- Initial Audit to assess whether AI Governance Structure has been established
- Auditing AI Usage Assessment
- Auditing AI Impact Assessments
- Auditing the AI Strategic Plan
- Auditing AI Policies and Standards
- Auditing of AI Implementation Plans
- Auditing Vendor Management Programs for AI impacted initiatives

Case Study

One case study will be presented during the seminar which will reinforce the understanding of the lecture materials presented. This case study represent the AI consulting projects and audits that have been performed by the instructor in which walkthroughs are documented. The seminar attendees task is to identify the AI project issues and overall audit issues.

Case Study: Audit of Organization's AI Initiatives and Strategic Planning

Audit Program

An audit program which covers all topics discussed will be distributed as part of the session materials.



Mitchell Levine, CISA, is the founder of Audit Serve, Inc., which is an IT Audit & Systems consulting company. For the last 34 years at Audit Serve, Mitch has split his time between (1) Conducting IT Governance, Data Governance, IT, Agile and Integrated Audits, (2) implementing solutions for the latest data privacy regulations, (3) designing and implementing security control solutions using ISO and NIST frameworks, (4) implementing IT Governance initiatives, (5) implementing a Data Governance programs, (6) performing assessments of Agile implementations and (7) conducting pre & post-implementation reviews of system migrations.

Audit Serve primary goal during its inception was to use AI to improve auditing methods. Due to the lack of overall AI tools at the time, Mitch developed his own inference engine using Turbo C (later C++) which was used to parse through an Audit Serve developed 3,000 page knowledge base. During 2024 Mitch returned to his AI roots and has developed a complete methodology for creating, implementing and auditing an AI Strategic plan and business unit level implementation strategies. Client consulting projects are currently in progress. All these research and consulting initiatives have been used to establish a seminar entitled "Auditing AI Strategic Planning and Implementation Initiatives". Mitch spends 220+ days per year consulting, which is the basis for the material which is included in the seminars.

Over the past twelve years Mitch has presented over 123 seminars to 25+ different ISACA & IIA chapters. Prior to establishing Audit Serve in 1990, Mitch was an IT Audit Manager at Citicorp where his duties included managing a team of IT Auditors who were responsible for auditing 25+ service bureaus , auditing corporate financial systems, and managing Citicorp's independent oversight programs