

AUDIT CHECKLIST FOR MAINTAINING CONTINUOUS COMPLIANCE

ControlCase's Solution for making your IT compliance
"Business as Usual"



DOMAIN 1: POLICY MANAGEMENT

- Appropriate update of policies and procedures
- Link/Mapping to controls and standards
- Communication, training and attestation
- Monitoring of compliance to corporate policies

DOMAIN 2: VENDOR 3RD PARTY MANAGEMENT

- Management of third parties/vendors
- Self attestation by thirs parties/vendors
- Remediation Tracking

DOMAIN 3: ASSET VULNERABILITY MANAGEMENT

- Asset List
- Management of vulnerabilities and dispositions
- Training to development and support staff
- Management reporting if unmitigated vulnerability
- Linkage to non-compliance

DOMAIN 4: LOGGING AND MONITORING

- Logging
- File Integrity Monitoring
- 24X7 Monitoring
- Managing volumes of data

DOMAIN 5: CHANGE MANAGEMENT

- Logging and Monitoring (SEIM/FIM, etc.)
- Change management ticketing system
- Correlation of logs / alerts to change requests
- Response / Resolution process for expected logs / alerts
- Escalation to incident for unexpected logs / alerts

DOMAIN 6: INCIDENT / PROBLEM MANAGEMENT

- Monitoring
- Detection
- Reporting
- Responding
- Approving

MAINTAINING CONTINUOUS COMPLIANCE



DOMAIN 7: DATA MANAGEMENT

- Identification of data
- Classification of data
- Protection of data
- Monitoring of data

DOMAIN 8: RISK MANAGEMENT

- Input of key criterion
- Numeric algorithms to compute risk
- Output of risk dashboards

DOMAIN 9: BUSINESS CONTINUITY MANAGEMENT

- Business Continuity Planning
- Disaster Recovery
- BCP / DR Testing
- Remote Site / Hot Site

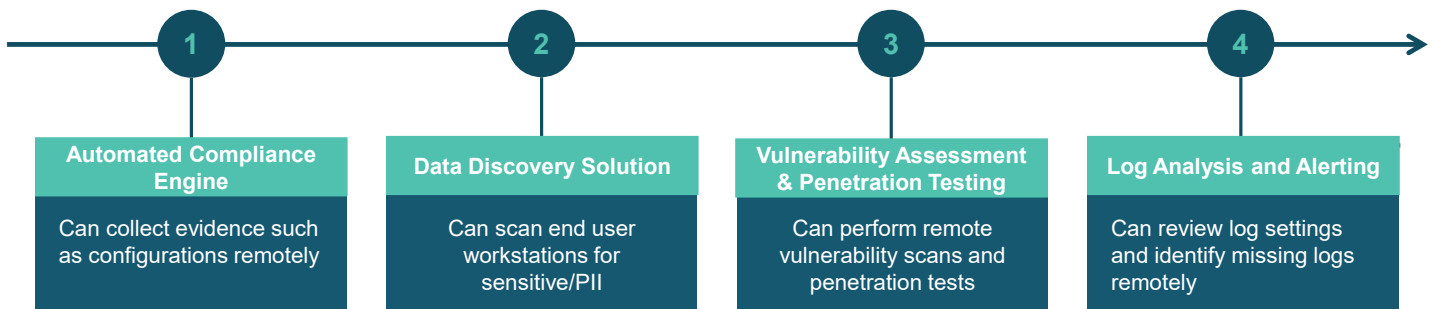
DOMAIN 10: HR MANAGEMENT

- Training
- Background Screening
- Reference Checks

DOMAIN 11: PHYSICAL SECURITY

- Badges
- Visitor Access
- CCTV
- Biometric

ControlCase Testing Automation



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