

Phased Solutions and Services

Deliverables

### Corporate Assessment

### Compliance Readiness

### Compliance Enablement

- Regulatory Review**
- Mapping of IT Controls
  - Evaluate Document Controls
  - Determine IT Compliance Requirements
  - Analyze Compliance Gaps
- IT Governance**
- Review of IT Strategic Plan
  - Evaluate General IT Control Environment
  - Assess Departmental Risks
- Business Alignment**
- Mapping IT Risks to Corporate Objectives
  - Define IT Audit Scope Objectives
  - Assess Compliance Roles / Responsibilities
  - Align IT Goals to Corporate Prep. Efforts

- Security and Controls**
- Securing of IT Infrastructure
  - Review Framework/Methodology
  - Identify Risks for Non-Compliant Controls
  - Identify Vendor Management Controls
- Process Documentation**
- Review of Policies and Procedures
  - Process Improvement Analysis
  - Mapping of Business and IT Goals
- Risk Mitigation**
- Map IT Risks to IT Controls
  - Identify Mitigation Strategies
  - Leverage Existing Process Automation
- Pre-Audit Preparedness**
- Define IT Audit Scope
  - Mediate Client / External Auditor Negotiations
  - Create Compliance Management Processes
  - Create IT Compliance Change Plans

- Test**
- Create and Execute Test Plan
  - Provide Auditor Documentation
  - Determine Significant / Material Weaknesses
- Remediate**
- Create Remediation Process Plan
  - Test Remediated Controls
- Manage**
- Analyze Proper Tool Utilization
  - Assist in Dashboarding and Metrics Creation
  - Provide Lifecycle Plan
- Monitor**
- Setup Ongoing Regulatory Monitoring Plan
  - Monitor Controls for Continued Effectiveness

- IT Controls Narrative
- Document Control Matrix
- IT GAP Analysis
- IT Compliance Justification
- IT Audit Scope
- Compliance Audit Matrix

- Open Info-Security Assessment
- Implement Mitigation Strategies
- IT Audit Scope Document
- Compliance Audit Matrix
- Separation of Duties Document
- GAP Analysis on Existing IT Strategies
- IT Process Identification Document

- Conduct Audit Team Sessions
- Address Accounting and Auditing Concerns
- Framework Certification Assistance
- Definition of Organizational Change Plan
- Perform Audit Cost Reduction Matrix

**Project Management, Knowledge Transfer, Education Services**