

| | | Corporate Assessment | Compliance Readiness | Compliance Enablement | |
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| Phased Solutions and Services | | Regulatory Review <ul style="list-style-type: none"> Mapping of IT Controls Evaluate Document Controls Determine IT Compliance Requirements Analyze Compliance Gaps | Security and Controls <ul style="list-style-type: none"> Securing of IT Infrastructure Review Framework/Methodology Identify Risks for Non-Compliant Controls Identify Vendor Management Controls | Test Remediate Manage Monitor | <ul style="list-style-type: none"> Create and Execute Test Plan Provide Auditor Documentation Determine Significant / Material Weaknesses |
| | | IT Governance <ul style="list-style-type: none"> Review of IT Strategic Plan Evaluate General IT Control Environment Assess Departmental Risks | Process Documentation <ul style="list-style-type: none"> Review of Policies and Procedures Process Improvement Analysis Mapping of Business and IT Goals | | <ul style="list-style-type: none"> Create Remediation Process Plan Test Remediated Controls |
| | | Business Alignment <ul style="list-style-type: none"> Mapping IT Risks to Corporate Objectives Define IT Audit Scope Objectives Assess Compliance Roles / Responsibilities Align IT Goals to Corporate Prep. Efforts | Risk Mitigation <ul style="list-style-type: none"> Map IT Risks to IT Controls Identify Mitigation Strategies Leverage Existing Process Automation | | <ul style="list-style-type: none"> Analyze Proper Tool Utilization Assist in Dashboarding and Metrics Creation Provide Lifecycle Plan |
| | | | Pre-Audit Preparedness <ul style="list-style-type: none"> Define IT Audit Scope Mediate Client / External Auditor Negotiations Create Compliance Management Processes Create IT Compliance Change Plans | | <ul style="list-style-type: none"> Setup Ongoing Regulatory Monitoring Plan Monitor Controls for Continued Effectiveness |
| Deliverables | | <ul style="list-style-type: none"> IT Controls Narrative Document Control Matrix IT GAP Analysis IT Compliance Justification IT Audit Scope Compliance Audit Matrix | <ul style="list-style-type: none"> 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 | Audit Guidance | <ul style="list-style-type: none"> Conduct Audit Team Sessions Address Accounting and Auditing Concerns Framework Certification Assistance Definition of Organizational Change Plan Perform Audit Cost Reduction Matrix |
| | <p>Project Management, Knowledge Transfer, Education Services</p> | | | | |