

Exam/Audit Readiness Checklist

Make certain your organization is ready for your next Exam or Audit.



The key is to ensure that you have a comprehensive **Information Security and Data Privacy Program** in place *and* it is current, then you should be in good shape. The following checklist provides a practical tool which will help make certain you have addressed the “HOT” Exam/Audit areas of focus for this year.

Indicate if you have completed these critical steps.

Ensure that your Information Security and Data Privacy Programs are Risk-Based.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Conduct an independent audit/assessment of technologies and internal controls within in the last 12 months.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Ensure Program and all critical and high-risk items are continually being improved and monitored.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Implement and test a compliant Incident Response Program.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Implement a compliant Vendor Management Program.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Implement a compliant Card Data Protection Program.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Conduct a FFIEC Authentication Assessment.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Ensure protection and encryption of customer information.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Deploy and monitor appropriate data privacy and security technologies.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Ensure policies are current and reviewed.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Conduct ongoing Information Security and Data Privacy Education for employees and customers.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Produce Internal Audit and Management Reporting.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Assess New Technology Deployment and the Security Safeguards.	<input type="checkbox"/> Yes	<input type="checkbox"/> No

If you have questions or need assistance with any of the above HOT Exam/Audit areas, please contact us at **888-722-9010** or compliance@pivotgroup.com.

About Pivot Group

Headquartered in Atlanta, Georgia, Pivot Group is an independent audit and assessment firm that focuses solely on Information Security and Data Privacy services. Pivot Group’s international consultant practice delivers the complete life cycle of security services that meet the business, resource, and regulatory requirements of its clients.