

Test ID #:	IT-6-010
Control Objective:	IT-4-010
	Logical security tools and techniques are implemented and configured to enable restriction of access to programs, data, and other information resources.
Control Activity:	IT-4-010-010
	Information security tools and techniques are used to restrict access to information resources (e.g. data files, utilities, transactions, programs, test environments). Management reviews and approves the implementation and configuration of information security tools, techniques and policies.
Environment:	<input type="checkbox"/> Common <input type="checkbox"/> UNIX <input type="checkbox"/> Windows <input type="checkbox"/> MPE <input type="checkbox"/> AS-400

SECTION A – Inquiry and Gathering of Supporting Documentation

Person(s) Interviewed	Title	Location	Date
IT-6-010-010	Provide an approved policy(s) and/or procedure(s) or define the process for direction and implementation of information security.		
	Nature of Control Manual Automated General Frequency: Sample quantity:		
IT-6-010-020	Provide examples of how does management approves the implementation and configuration of information security tools, techniques and policies.		
	Nature of Control Manual Automated General Frequency: Sample quantity:		
IT-6-010-030	Provide proof that access to test and production environments is restricted for utilities.		
	Nature of Control <input type="checkbox"/> Manual <input type="checkbox"/> Automated <input checked="" type="checkbox"/> General Frequency: Weekly Sample quantity: 5		

Person(s) Interviewed	Title	Location	Date
IT-6-010-010	Provide an approved policy(s) and/or procedure(s) or define the process for direction and implementation of information security.		
	Nature of Control	Manual Automated General	
	Frequency:	Sample quantity:	
IT-6-010-020	Provide examples of how does management approves the implementation and configuration of information security tools, techniques and policies.		
	Nature of Control	Manual Automated General	
	Frequency:	Sample quantity:	
IT-6-010-040	Provide documented evidence of how access to test and production environments are restricted for applications that run in this environment.		
	Nature of Control	<input type="checkbox"/> Manual <input type="checkbox"/> Automated <input checked="" type="checkbox"/> General	
	Frequency: Weekly	Sample quantity: 5	
IT-6-010-050	Provide a machine generated listing of all accounts with the date last changed for each to show that passwords are changed periodically.		
	Nature of Control	<input type="checkbox"/> Manual <input checked="" type="checkbox"/> Automated <input checked="" type="checkbox"/> General	
	Frequency:	Sample quantity:	
IT-6-010-060	Has User Responsibilities – Global Policy, POL-00003 been implemented and employees trained? Provide training records.		
	Nature of Control	<input type="checkbox"/> Manual <input type="checkbox"/> Automated <input checked="" type="checkbox"/> General	
	Frequency:	Sample quantity:	
IT-6-010-070	(1) Are service accounts passwords changed at least once a year? (2) Provide a machine generated list of service accounts with a date of last change.		
	Nature of Control	<input type="checkbox"/> Manual <input type="checkbox"/> Automated <input type="checkbox"/> General	
	Frequency:	Sample quantity:	

Person(s) Interviewed	Title	Location	Date
IT-6-010-010	Provide an approved policy(s) and/or procedure(s) or define the process for direction and implementation of information security.		
	Nature of Control <input type="checkbox"/> Manual <input type="checkbox"/> Automated <input checked="" type="checkbox"/> General		
	Frequency: Sample quantity:		
IT-6-010-020	Provide examples of how does management approves the implementation and configuration of information security tools, techniques and policies.		
	Nature of Control <input type="checkbox"/> Manual <input type="checkbox"/> Automated <input checked="" type="checkbox"/> General		
	Frequency: Sample quantity:		
IT-6-010-080	Provide the results of running ADJanitor (Available on request) on all windows servers. Provide the results of running SekCheK on all other servers containing Financial Applications.		
	Nature of Control <input type="checkbox"/> Manual <input type="checkbox"/> Automated <input checked="" type="checkbox"/> General		
	Frequency: Sample quantity:		

SECTION B – Inspection of Supporting Documentation

All supporting documents are filed on the S drive. A CD with evidence files will be provided to the external auditors upon request.

Exceptions:	
10	◆
20	◆
30	◆
40	◆
50	◆
60	◆
70	◆
80	◆

Additional comments attached

SECTION C – Noted Deficiencies

List all deficiencies noted in during the inquiry and examination of the supporting documents.

Deficiencies:	
10	◆
20	◆
30	◆
40	◆
50	◆
60	◆
70	◆
80	◆

SECTION D – Control Disposition and Auditor Signature

Based on the results of the inquiry and examination of supporting documents, indicate the disposition of the control by checking the appropriate box below.

- Control Objective Met
- Control Objective Met By Alternative Means
- Control Objective NOT Met
- Control Objective N/A

Name of Auditor	Title	Company
Don Tabb	Global IT Internal Auditor	Bio-Rad
Signature		Date
Name of Auditor	Title	Company
Kim Evans	Global IT Internal Auditor	Bio-Rad
Signature		Date