

EXAM READINESS CHECKLIST

PRESENTED BY
FINOSEC

EXAM READINESS CHECKLIST

These elements represent some of the core components of a strong information security program. Have you reviewed all of these elements in the past year?

Information Security Program

- Present Annual Board Report
- Confirm Budget Planning for CyberSecurity
- Review Incident Response Plan
- Review Information Security Program & Policy
- Conduct Information Security Program Employee Training
- Review IS Risk Assessment
- Review IT Roadmap
- Conduct IT Steering Committee Meetings
- Review Strategic Plan

Program Tracking Reports and Reviews

- Utilize Change Log
- Complete Cybersecurity Insurance review
- Utilize Exception Tracking
- Complete Program GAP Analysis
- Utilize Incident Log

Assessments & Audits

- Review Appendix B to Part 364 Review
- Review Cybersecurity Assessment Toolkit
- Complete External Institution Audit
- Complete IT Internal Audit / Controls Review
- Conduct Penetration Test
- Conduct Vulnerability Test

Business Continuity and Disaster Recovery

- Review BCP
- Complete BCP Table Top Exercise
- Complete DR Test - Core
- Complete DR - Data
- Complete DR - System Recovery
- Complete DR Test - Network
- Conduct Incident Response Test

Cybersecurity Awareness

- Conduct Cybersecurity Awareness Training - Board
- Conduct Cybersecurity Awareness Training - Employee
- Conduct Social Engineering Testing

Network

- Update Data Flow Diagrams
- Conduct Firewall Config Review
- Conduct Firewall Rule Review
- Update Network Drawing

User Access Management:

- Conduct User Access Reviews for Active Directory
- Conduct User Access Reviews for Core
- Conduct User Access Reviews for Individual Login Systems
- Conduct User Access Change Log Review

Vendor Management

- Review Vendor Management Policy
- Complete Vendor Oversight Report
- Complete Vendor Risk Assessment
- Confirm Due Diligence Documentation Up to Date
- Document Vendor User Entity Controls