

Version 3.0 Release Notes (IT Compliance)

Last Modified on 07/15/2020 4:15 pm EDT

Note: The following features are not added to IT Compliance Management by default. For information on adding these features to your version of the app, contact your CSM.

New Features

IT Compliance Assessment

- The app offers an assessment tool to keep all tracking efforts consolidated in one place. This allows business users to be engaged and have their evidence uploaded and evaluated through the app. This also grants real-time oversight to IT Compliance Teams. By centralizing assessments, efficiency is promoted in all areas of the compliance and certification process.

The screenshot shows a web interface for creating a new IT Compliance Assessment. At the top, a blue header bar contains the text 'IT Compliance Assessment Creation'. Below this, the main heading is 'Create a New IT Compliance Assessment' with a blue button labeled 'ICA-XXX' to its right. The form consists of three main sections: 1. 'IT Compliance Assessment Name' with a single-line text input field. 2. 'Assessment Purpose and Scope' with a large multi-line text area. 3. 'Business Unit' section, which includes two dropdown menus. The first dropdown is labeled 'Business Unit' and has a search bar with a '+' button. The second dropdown is also labeled 'Business Unit' with a help icon (?) and has a search bar with the placeholder text 'Search for a Business Un' and an 'x' button. At the bottom right of the form, there are two buttons: 'CREATE' and 'CANCEL'.

Continuous Assessments

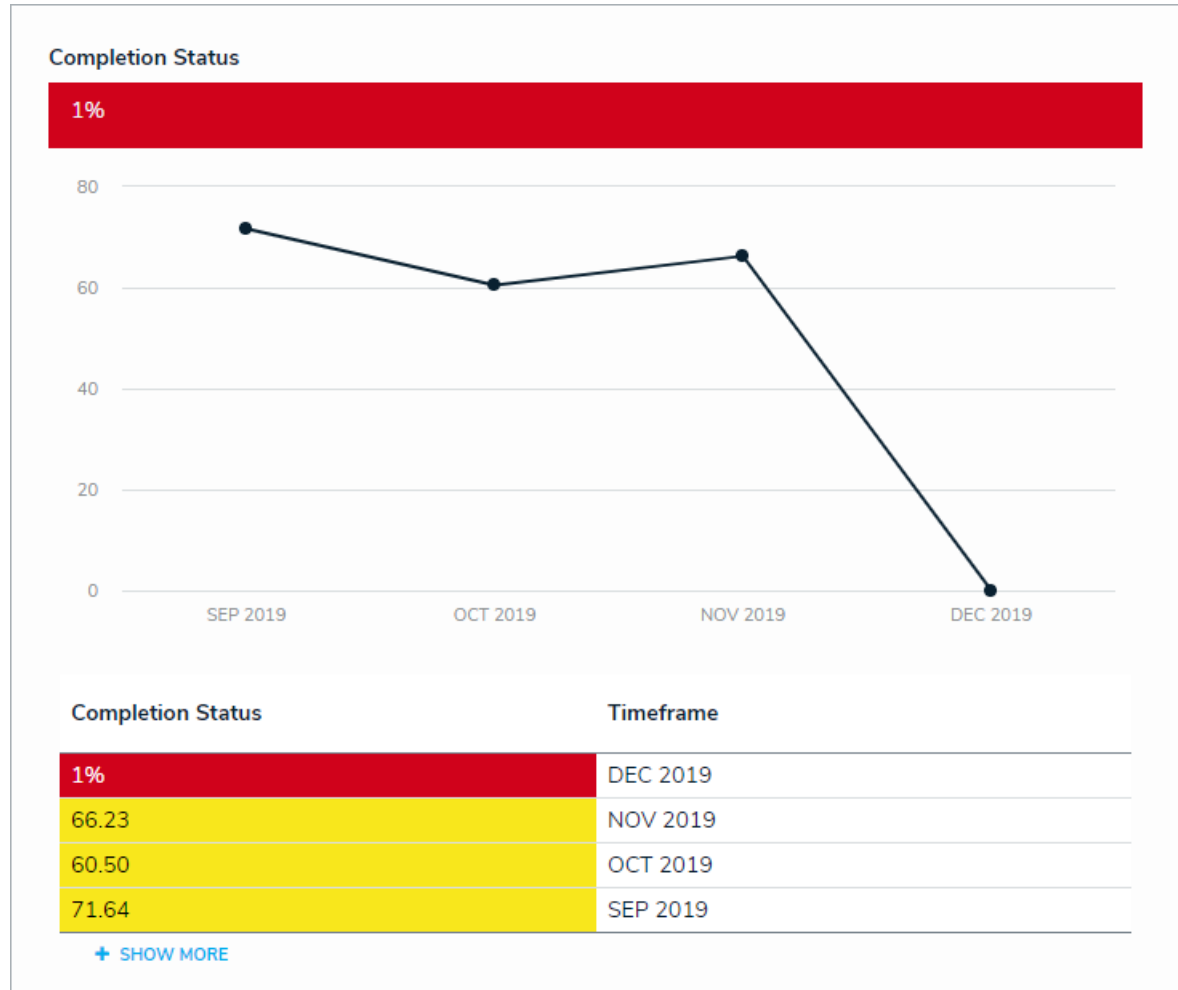
- Members of the IT Compliance Team user group can reassess any assessment in the Complete state while members of the IT Compliance Team and IT Control Owners user groups can reassess any control from the Complete state. This allows assessments to be

updated outside of the constraints of an annual review period.

If new information becomes present, outside regular assessment cycles, select reassess to provide new evidence or assessment details.

REASSESS

- Users can easily see how assessment related data has evolved over time using trending data.



Issue Management

- Members of the IT Compliance Team user group can create issues from step 2 of the Citation Review form. Issues make it easier to identify and prioritize gaps and consolidate efforts to gain compliance with authority documents.

Issue Status
Review

Insufficient control consciousnessI-4

Issue Name

Insufficient control consciousness

Issue Type

Human Error

Priority

Low

Identified By

Incident Team

Date Identified

September 12, 2019

Issue Owner

Start typing to find Us...

Due Date

December 21, 2019

Description

Within the organization, for example, the tone at the top and the control environment

Announcements

- Users in the IT Compliance Team user group can create announcements to be displayed on the portals for IT control and document request owners. The IT Compliance Team can choose when the announcement goes live, when it is removed, and whether or not an email notification will be sent out to users.

Create a New Announcement

Announcement Name

Description

Announcement Type

Portal

Photo

Drag images here or click to select...

Start DateTime



End Date Time



File or URL

Drag files here or click to select...

or

Click to add a web link to a file...

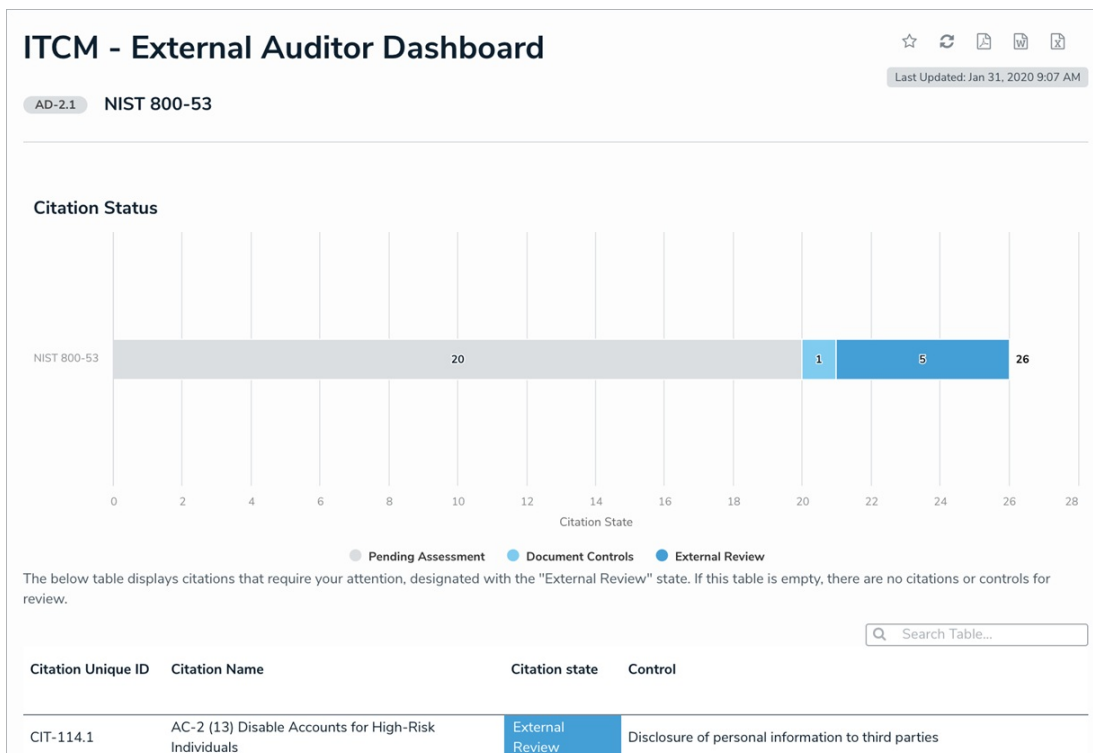
Notify Users

No

CREATE

External Auditor Portal

- Members of the IT External Auditor user group will have access to a tailored portal experience in order to review evidence that has been flagged by the IT Compliance Team. This portal has the following views:
 - External Auditor Dashboard: Provides a graphical representation of the progression of each audit.



- External Review Grid: A simple, working grid that lists each external citation that has been flagged for review. A citation can be reviewed by clicking the icon in the Citation Name column.

NIST 800-53		1 result	< Page 1 of 1	25 rows	>		
Citation Unique ID	Citation Name	Control Effectiveness	Citation Status				
CIT-163.1	AT-3 (b) Role Based Security Training	Weak	External Review				

- External Citation Review: A form in which the details of a citation can be reviewed and completed.

IT Compliance Assessment Citation Workflow External Review

AT-3 (b) Role Based Security Training

CIT-163.1

Citation Overview

Please review the below information and ensure that the citation owner and the control owners are assigned. Control owners can be assigned by clicking into the control table.

Sub Category AT-3) Role Based Security Training	Source Framework NIST 800-53
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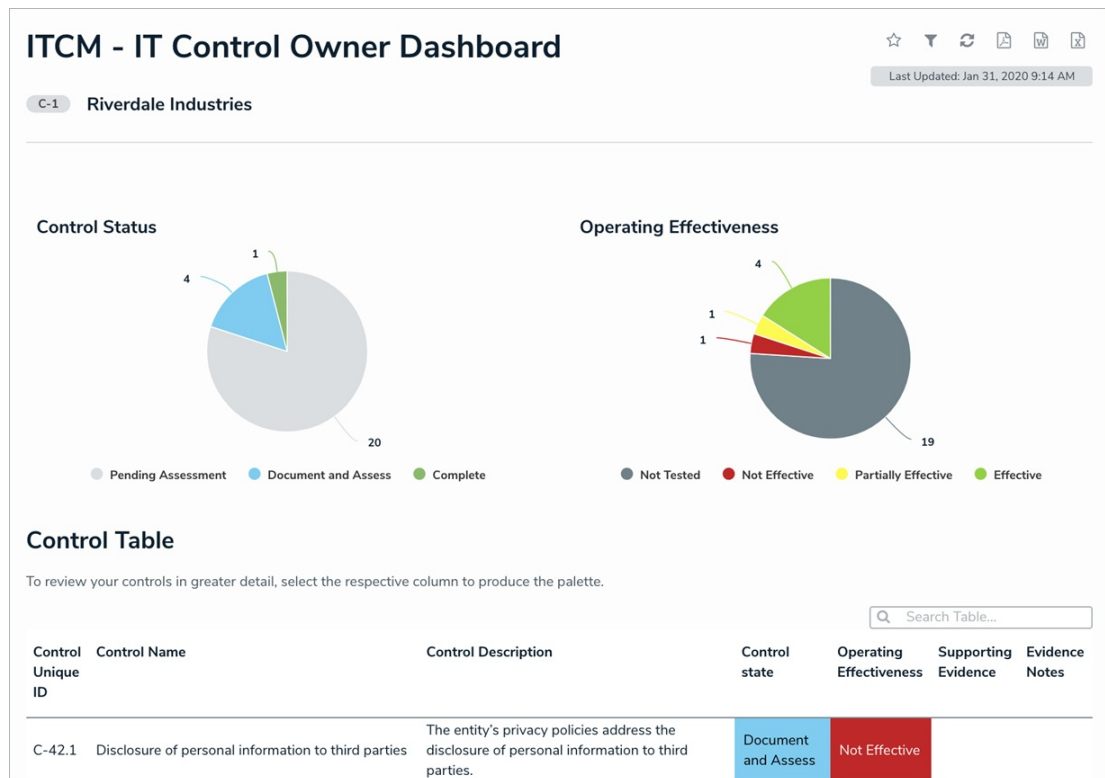
Description

The organization provides role-based security training to personnel with assigned security roles and responsibilities:

b. When required by information system changes.

IT Control Owner Portal

- Members of the IT Control Owner user group will have access to a tailored portal experience to better manage controls outside the standard assessment cycle. The portal has the following sections:
 - IT Control Dashboard: Charts that display all assigned controls broken down by status and operating effectiveness. The dashboard can be starred to have it automatically appear on the control owner's homepage upon login.



- IT Control Matrix: Lists each control that has been assigned to the IT control owner. A control can be reviewed by clicking the icon in the Control Name column.

Resolver NIST				
Control Unique ID	Control Name	Control Description	Control Status	Operating Effectiveness
C-20.1	People and IT recovery process	People and IT recovery facilities are fully available to the company upon a disaster. Whatever daily activities occur at these sites are automatically	Document and Assess	Partially Effective
C-18.1	Vendor and third-party interest group plans are verified	Vendor and third-party interest group plans are verified to the greatest extent possible. Where relationships are critical and/or highly dependent	Document and Assess	Not Effective

- My IT Controls: A complete list of each control assigned to the IT control owner regardless of the assessment cycle. Clicking on a control will open the Control Review form.

IT Compliance Assessment Control Workflow Document and Assess

C-1.1

Service agreements are maintained for hardware and software

Control Evidence Submission

As a part of the on going efforts to maintain and enhance our IT Security posture, we look to key business representatives to provide vital information regarding specific practices and controls in place. Our compliance efforts are meant to identify areas of improvement and validate current measures. Please follow the steps below.

Description

Service agreements are maintained for hardware and software to ensure support during a disaster.

To add additional team members for support, search for their name below and select notify control owner.

IT Control Owner

Start typing to find Us... ▼

NOTIFY CONTROL OWNER

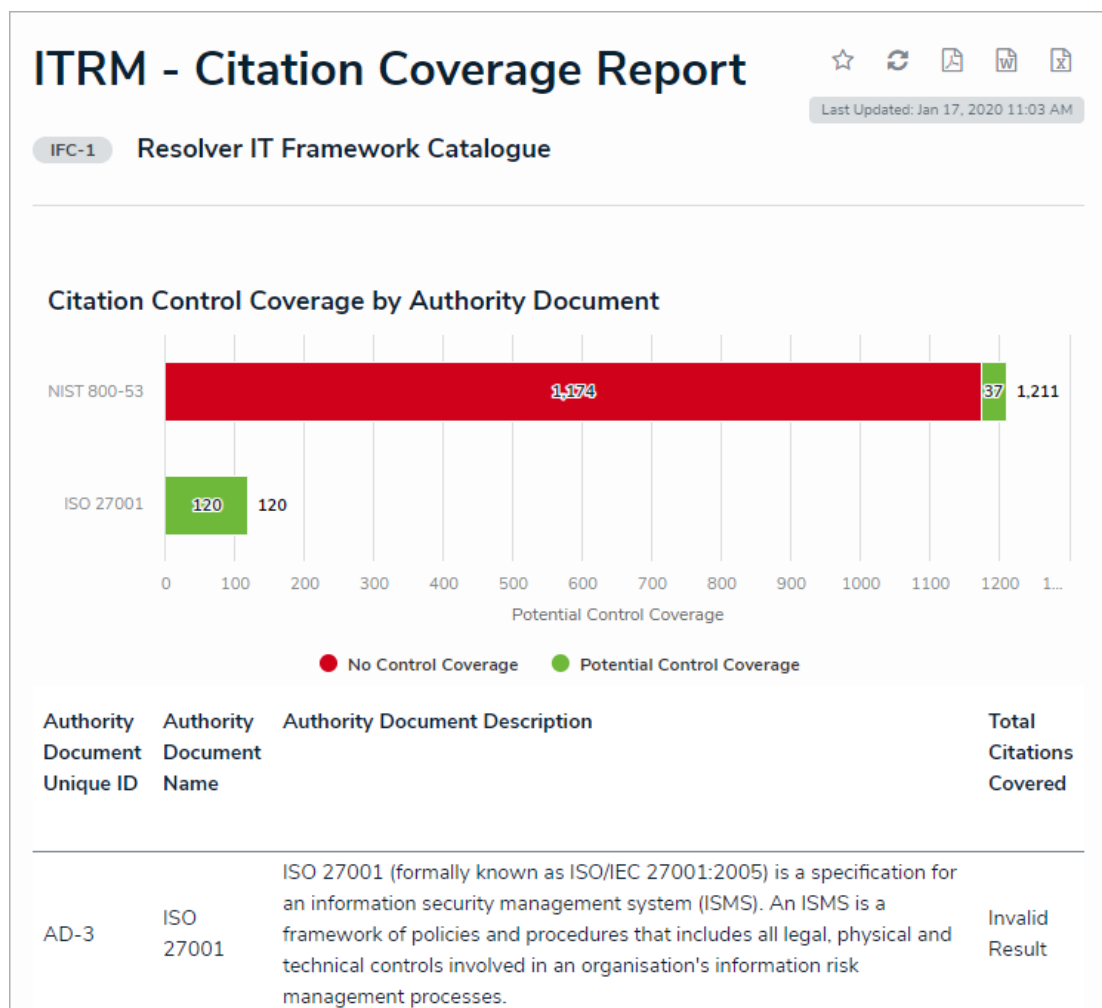
- Announcements: Displays communications from the IT compliance team.

IT Compliance Reporting

- IT Compliance Management contains the following reports:
 - Framework Coverage Report: A graphical representation of the control coverage offered by each authority document.
 - Authority Document Progress and Overview Report: Trending data of the authority document's completion status towards certification, as well as a graphical representation of the identified issues by category.
 - Corporate IT Compliance Assessment Overview: Displays all IT Compliance assessments broken down by status.
 - Authority Document Gap Summary Report: A summary of citations in an authority document that have been flagged due to poor control effectiveness or related issues.
 - Authority Document Based Citation Status Report: A graphical representation of each

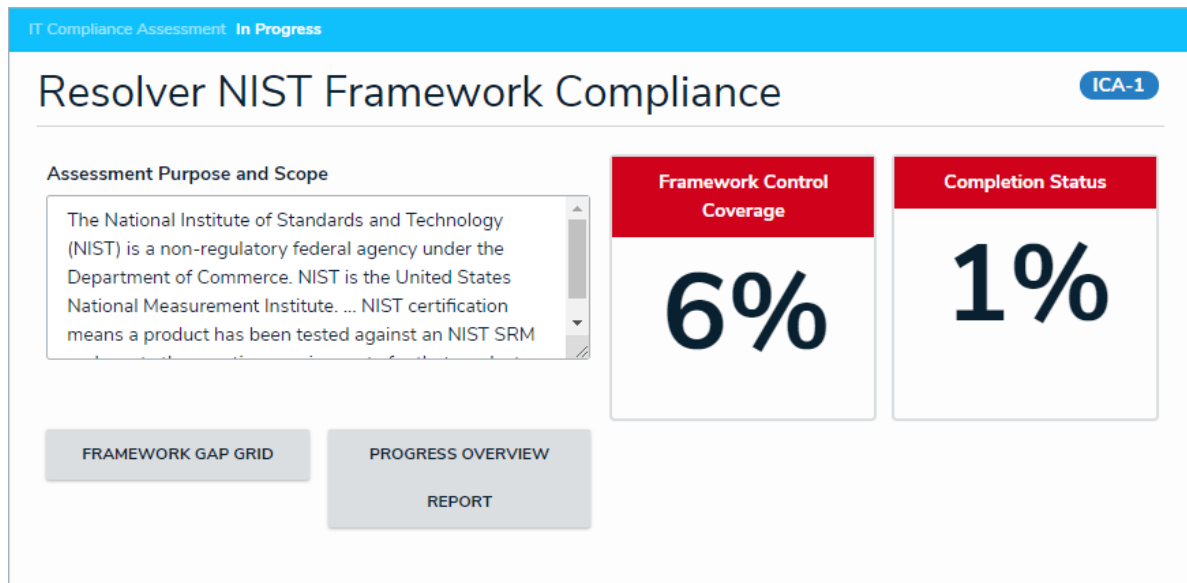
citation attached to an authority document broken down by status.

- Authority Document Based Citation Assessment Summary: A graphical representation of each citation attached to an authority document broken down by control effectiveness.
- Authority Document Based Issue Overview: Charts that display all issues attached to an authority document broken down by status, priority, and issue type.
- Authority Document Issue Trending Report: A visualization of the number of issues attached to an authority document over time, including charts broken down by status and priority.
- Authority Document Final Report: A detailed overview of the authority document's assessment that displays all citations and their relevant information.



Formula Cards

- Design improvements have been made to the formula cards displayed throughout the app.



PDF Headers

- Titles and company logos can be added to the PDF version of the Authority Document Final Assessment report. Contact [Resolver Support](#) or your CSM should you wish to include headers to your PDF reports.

Excluding Archived Data from General Access

- Users working in the app will have archived assessment data omitted from performance-impacted activities (such as searching for records or running reports). This data has been restricted to a designated section of the Manage IT Compliance Assessments activity accessible only by the IT Compliance Team. This ensures that the data within the app is relevant and places older information in an easy-to-access, consolidated view.