

CYBER SECURITY RISK ASSESSMENT CHECKLIST TEMPLATE EXAMPLE

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ISO 27001 CONTROL	IMPLEMENTATION PHASES	TASKS	IN COMPLIANCE?	NOTES
5	<i>Information Security Policies</i>			
5.1	Management direction for information security			
5.1.1	Policies for information security	Security Policies exist?		
		All policies approved by management?		
		Evidence of compliance?		
6	<i>Organization of information security</i>			
6.1	Information security roles and responsibilities			
6.1.1	Security roles and responsibilities	Roles and responsibilities defined?		
6.1.2	Segregation of duties	Segregation of duties defined?		
6.1.3	Contact with authorities	Verification body / authority contacted for compliance verification?		
6.1.4	Contact with special interest groups	Establish contact with special interest groups regarding compliance?		
6.1.5	Information security in project management	Evidence of information security in project management?		
6.2	Mobile devices and teleworking			
6.2.1	Mobile device policy	Defined policy for mobile devices?		
6.2.2	Teleworking	Defined policy for working remotely?		
7	<i>Human resource security</i>			
7.1	Prior to employment			
7.1.1	Screening	Defined policy for screening employees prior to employment?		
7.1.2	Terms and conditions of employment	Defined policy for HR terms and conditions of employment?		
7.2	During employment			
7.2.1	Management responsibilities	Defined policy for management responsibilities?		
7.2.2	Information security awareness, education, and training	Defined policy for information security awareness, education, and training?		
7.2.3	Disciplinary process	Defined policy for disciplinary process regarding information security?		

7.3	Termination and change of employment			
7.3.1	Termination or change of employment responsibilities	Defined policy for HR termination or change-of-employment policy regarding information security?		
8	Asset management			
8.1	Responsibilities for assets			
8.1.1	Inventory of assets	Complete inventory list of assets?		
8.1.2	Ownership of assets	Complete ownership list of assets		
8.1.3	Acceptable use of assets	Defined "acceptable use" of assets policy		
8.1.4	Return of assets	Defined return of assets policy?		
8.2	Information classification			
8.2.1	Classification of information	Defined policy for classification of information?		
8.2.2	Labeling of information	Defined policy for labeling information?		
8.2.3	Handling of assets	Defined policy for handling of assets?		
8.3	Media handling			
8.3.1	Management of removable media	Defined policy for management of removable media?		
8.3.2	Disposal of media	Defined policy for disposal of media?		
8.3.3	Physical media transfer	Defined policy for physical media transfer?		
9	Access control			
9.1	Responsibilities for assets			
9.1.1	Access policy control	Defined policy for access control policy?		
9.1.2	Access to networks and network services	Defined policy for access to networks and network services?		
9.2	Responsibilities for assets			
9.2.1	User registration and de-registration	Defined policy for user asset registration and de-registration?		
9.2.2	User access provisioning	Defined policy for user access provisioning?		
9.2.3	Management of privileged access rights	Defined policy for management of privileged access rights?		

9.2.4	Management of secret authentication information of users	Defined policy for management of secret authentication information of users?		
9.2.5	Review of user access rights	Defined policy for review of user access rights?		
9.2.6	Removal or adjustment of access rights	Defined policy for removal or adjustment of access rights?		
9.3	User responsibilities			
9.3.1	Use of secret authentication information	Defined policy for use of secret authentication information?		
9.4	System and application access control			
9.4.1	Information access restrictions	Defined policy for information access restrictions?		
9.4.2	Secure log-on procedures	Defined policy for secure log-in procedures?		
9.4.3	Password management system	Defined policy for password management systems?		
9.4.4	Use of privileged utility programs	Defined policy for use of privileged utility programs?		
9.4.5	Access control to program source code	Defined policy for access control to program source code?		
10	<i>Cryptography</i>			
10.1	Cryptographic controls			
10.1.1	Policy on the use of cryptographic controls	Defined policy for use of cryptographic controls?		
10.1.2	Key management	Defined policy for key management?		
11	<i>Physical and environmental security</i>			
11.1	Secure areas			
11.1.1	Physical security perimeter	Defined policy for physical security perimeter?		
11.1.2	Physical entry controls	Defined policy for physical entry controls?		
11.1.3	Securing offices, rooms and facilities	Defined policy for securing offices, rooms and facilities?		
11.1.4	Protection against external and environmental threats	Defined policy for protection against external and environmental threats?		
11.1.5	Working in secure areas	Defined policy for working in secure areas?		
11.1.6	Delivery and loading areas	Defined policy for delivery and loading areas?		

11.2	Equipment			
11.2.1	Equipment siting and protection	Defined policy for equipment siting and protection?		
11.2.2	Supporting utilities	Defined policy for supporting utilities?		
11.2.3	Cabling security	Defined policy for cabling security?		
11.2.4	Equipment maintenance	Defined policy for equipment maintenance?		
11.2.5	Removal of assets	Defined policy for removal of assets?		
11.2.6	Security of equipment and assets off-premises	Defined policy for security of equipment and assets off-premises?		
11.2.7	Secure disposal or re-use of equipment	Secure disposal or re-use of equipment?		
11.2.8	Unattended user equipment	Defined policy for unattended user equipment?		
11.2.9	Clear desk and clear screen policy	Defined policy for clear desk and clear screen policy?		
12	Operations security			
12.1	Operational procedures and responsibilities			
12.1.1	Documented operating procedures	Defined policy for documented operating procedures?		
12.1.2	Change management	Defined policy for change management?		
12.1.3	Capacity management	Defined policy for capacity management?		
12.1.4	Separation of development, testing and operational environments	Defined policy for separation of development, testing and operational environments?		
12.2	Protection from malware			
12.2.1	Controls against malware	Defined policy for controls against malware?		
12.3	System Backup			
12.3.1	Backup	Defined policy for backing up systems?		
12.3.2	Information Backup	Defined policy for information backup?		
12.4	Logging and Monitoring			
12.4.1	Event logging	Defined policy for event logging?		

12.4.2	Protection of log information	Defined policy for protection of log information?		
12.4.3	Administrator and operator log	Defined policy for administrator and operator log?		
12.4.4	Clock synchronization	Defined policy for clock synchronization?		
12.5	Control of operational software			
12.5.1	Installation of software on operational systems	Defined policy for installation of software on operational systems?		
12.6	Technical vulnerability management			
12.6.1	Management of technical vulnerabilities	Defined policy for management of technical vulnerabilities?		
12.6.2	Restriction on software installation	Defined policy for restriction on software installation?		
12.7	Information systems audit considerations			
12.7.1	Information system audit control	Defined policy for information system audit control?		
13	Communications security			
13.1	Network security management			
13.1.1	Network controls	Defined policy for network controls?		
13.1.2	Security of network services	Defined policy for security of network services?		
13.1.3	Segregation in networks	Defined policy for segregation in networks?		
13.2	Information transfer			
13.2.1	Information transfer policies and procedures	Defined policy for information transfer policies and procedures?		
13.2.2	Agreements on information transfer	Defined policy for agreements on information transfer?		
13.2.3	Electronic messaging	Defined policy for electronic messaging?		
13.2.4	Confidentiality or non-disclosure agreements	Defined policy for confidentiality or non-disclosure agreements?		
13.2.5	System acquisition, development and maintenance	Defined policy for system acquisition, development and maintenance?		
14	System acquisition, development and maintenance			
14.1	Security requirements of information systems			
14.1.1	Information security requirements analysis and specification	Defined policy for information security requirements analysis and specification?		

14.1.2	Securing application services on public networks	Defined policy for securing application services on public networks?		
14.1.3	Protecting application service transactions	Defined policy for protecting application service transactions?		
14.2	Security in development and support processes			
14.2.1	In-house development	Defined policy for in-house development?		
15	Suppliers relationships			
15.1.1	Suppliers relationships	Defined policy for supplier relationships?		
16	Information security incident management			
16.1.1	Information security management	Defined policy for information security management?		
17	Information security aspects of business continuity management			
17.1	Information security continuity			
17.1.1	Information security continuity	Defined policy for information security continuity?		
17.2	Redundancies			
17.2.1	Redundancies	Defined policy for redundancies?		
18	Compliance			
18.1	Compliance with legal and contractual requirements			
18.1.1	Identification of applicable legislation and contractual requirement	Defined policy for identification of applicable legislation and contractual requirement?		
18.1.2	Intellectual property rights	Defined policy for intellectual property rights?		
18.1.3	Protection of records	Defined policy for protection of records?		
18.1.4	Privacy and protection of personally identifiable information	Defined policy for privacy and protection of personally identifiable information?		
18.1.5	Regulation of cryptographic control	Defined policy for regulation of cryptographic control?		
18.1	Independent review of information security			
18.1.1	Compliance with security policies and standards	Defined policy for compliance with security policies and standards?		
18.1.2	Technical compliance review	Defined policy for technical compliance review?		

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