Item #	Description	Date Requested	Received	Notes

Organization and Human Resources

1.1	Company organization chart	
1.2	Job descriptiions for key personnel selected from the organization chart above	
1.3	A list of new hires for the audit period	
1.4	Support for a sample of the new hires provided above – this will include the following:	
	Support for the background checks,	
	Support showing that new hire training was performed	
	Any acknowledgment forms signed by the employee including system confidentiality agreement	
	Authorization for user access to the system	
	A copy of the confidentiality agreement signed	
1.5	A copy of the employee handbook	

Logical Access

2.1	A dump of the current VPN user list
2.2	A print screen of the network and appliction password and lockout policies
2.3	Job titles and access rationale for a sample of users selected from 2.1 above
2.4	A list of users who have access to the Toll Transaction application
2.5	The rationale for the users access granted on the system, especially the system administrator role from 2.4 above
2.6	A list of DBA's
2.7	A list of domain administrators
2.8	A list of terminations for the audit period
2.9	Termination paperwork for a sample of terminated users selected from the list proviced above
2.10	A network diagram showing the placement of firewalls
2.11	Network and application hardening standards documentation
2.12	Support for the firewall review for the audit period
2.13	Support for the access review for the Toll system and database administrators for the audit period
2.14	Support showing data is encrypted at rest
2.15	Print screen of the anti-virus console for the network
2.16	On-boarding and off-boarding procedures
2.17	Support showing a configuration management system is in place

Security and System Operations

3.1	Overview of backup procedures
3.2	Support for synchronization between EOF and JFK
3.3	A list of backups for the week of (date) showing that the application and database was backed up and replicated to the DR location.
3.4	Print screen showing the monitoring of the IT infrastructure (this can be a dashboard)
3.5	Backup and recovery procedures
3.6	Backup restoration test resultf for the audit period
3.6	Print screen showing the latest security patches applied to the network
3.7	Overview of ETC 3G Data Flow
3.8	A sample of alerts (if there were any) for the audit period showing that process halts if an error occurs.
3.9	Vulnerability Management Procedures
3.10	System Monitoring Procedures
3.11	A list of security incidents for the audit period, if any
3.12	Support showing a full backup is performed on a weekly basis.

Program Change Testing

4.1	Production Change Policy
4.2	List of changes for the audit period
4.3	Support for a sample of changes selected
4.4	A list of users with access to change the application, along with their job titles, and reason for the access

| 4.5 | A list of users who have authority to move changes to production |

Confidentiality

| 5.1 | Data Classification Policy |
| 5.2 | Data Retention Policy |