



Controls Audits



Ensure your policies, procedures, controls, and personnel meet compliance and minimize your risk exposure

BAI Security's Controls Audit takes a deep look at an organization's existing security controls and ensures that they adhere to compliance standards, while also making recommendations for further protection. This is all done while keeping a balance between risk and cost based on your organization's needs and resources.

BAI Security uses one of the most efficient methodologies possible for cyclical audits, which makes every effort to minimize the client-side resources necessary to conduct the audit process.

We'll provide you with the guidance you need to put into place a balanced, justified information security program. This program will help you keep executive management up-to-date on the risk and threat landscapes essential to maintaining compliance.

As part of our Controls Audit process, BAI Security's team of experts review the following key areas:

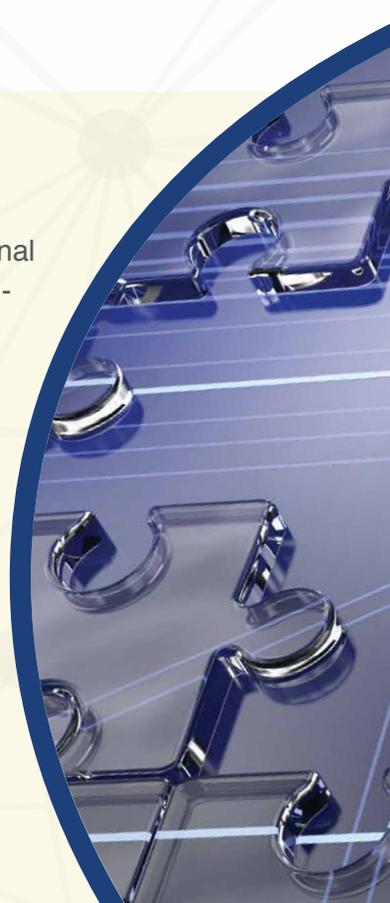
- Management and IT Governance (Including Cybersecurity Preparedness)
- Development and Acquisition
- Information Technology Operations
- Electronic Payment Systems/Hosted and Managed Applications (Including eBanking)
- 3rd Party Vendor Management
- Business Continuity and Disaster Recovery (Including Appendix J)

Regulatory Compliance

Ensuring the confidentiality, security, and integrity of customer records and personal data is a critical concern for regulated service organizations. The Gramm-LeachBliley Act (GLBA) and similar regulatory compliance mandates require that organizations prove that access to data is tightly controlled and highly secure.

Furthermore, the regulations and guidelines of GLBA, NCUA, FFIEC, HIPAA, FDIC, OTS, and the OCC mandate that organizations conduct independent audits of their Information Security Program on a periodic basis.

The Security Audit Methodology utilized in our audit engagements, as developed by BAI Security, employs the key auditing standards of COBIT (Control Objectives for Information and Related Technology) as defined by the Information System Audit and Control Association (ISACA), as well as the widely accepted common compliance standards of GLBA, SOX, HIPAA, PCI, NERC, and others.



The Audit Process

Our comprehensive and accurate approach was designed to make the audit as effortless for our clients as possible. Our experienced auditors have a high degree of expertise and know exactly which documents and policies to request up front, even though clients usually have varying formats and naming conventions for their controls documents. This allows us to minimize the need for numerous individual requests for information over an extended period.

Additionally, we thoroughly review all the documents received prior to asking our clients questions regarding their policies/procedures; unlike many other audit firms that begin by asking their questions upfront. This allows us to ask questions relevant to your current controls and ensure our meetings run efficiently and smoothly.

After the initial collection of policies, procedures, and validation items, we begin an accurate evaluation based on industry standards and a clear understanding of our client's environment.

Once BAI Security has completed the audit process, your organization will receive documentation reviewing the purpose of your audit, our methodology and any findings or recommendations we may have. These detailed recommendations provide a clear path to compliance, based on industry best practices for any exceptions in the findings.

“ I have had the pleasure of working with BAI Security on and off since 2001. My current and past employers in multiple states have contracted with this firm on several occasions to perform information technology and compliance audits. We found the team at BAI Security knowledgeable, honest and well-organized, and a committed business partner, not merely a vendor during our engagements. ”

- CSO of a Regional Bank



Why Use BAI Security?

- Exceptional experience in IT, auditing, and compliance. We have performed thousands of audits, gaining expert knowledge and a large database of findings.
- The most efficient audit methodologies are used to minimize the client-side resources necessary to conduct the audit process.
- We only employ seasoned and vetted in-house auditors who are routinely tested and trained.
- The design of our audit deliverables is based on direct feedback from our clients and actual regulators.
- Our clients know they can call us any time, and they consistently speak with people they already know and who are familiar with their environment.

**To learn more or see a sample of our deliverables,
contact us today.**

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