TECIS60741

Carry out information security audit, compliance and assurance activities

Overview

An information security audit verifies that information systems and processes meet the organisations security policies, standards and procedures, and can also help to assess the business benefits of security controls. Compliance monitoring defines and implements processes to verify on-going conformance to security and/or regulatory requirements. This is accomplished through undertaking security compliance checks against technical, physical, procedural and personnel controls using an appropriate methodology.

This standard covers the competencies required for conducting information security audits and assurance activities. This includes verifying that information systems and processes meet the security criteria (requirements or policy, standards and procedures). Also conducting compliance monitoring and security controls testing.

Performance criteria

You must be able to:

1. implement information security audit and compliance monitoring processes to verify on-going conformance to organisational information security policy and regulatory requirements
2. select the most suitable type of audit to meet a specific organisational requirement
3. define information security audit objectives and specify the audit tests and audit methodology in line with organisational standards
4. carry out information security audit tests, collect and document results in a structured manner and compare actual with expected results
5. perform periodic information security compliance monitoring checks using a specified methodology and in line with organisational standards
6. plan and schedule information security audits and compliance monitoring reviews in line with organisational standards
7. review the findings from information security audit and compliance monitoring activities in order to make recommendations for remediation
8. clearly document and communicate the results from information security audits and compliance monitoring activities to stakeholders
9. develop clear and accurate action plans to resolve issues identified during information security audits and compliance monitoring activities

Knowledge and understanding

You need to know and understand:

1. the internal and/or external policies and standards against which an information security audit is assessing compliance
2. the range of information security audit and compliance monitoring processes and how to apply them
3. how to define information security audit objectives and how to estimate the expected results
4. the different types of information security audit that can be undertaken and what outcomes they are verifying
5. the range of vulnerabilities that are being audited within any particular information security audit
6. the importance of scheduling regular information security audits and compliance monitoring reviews
7. how to plan and schedule information security audits and compliance monitoring reviews
8. the importance of ensuring that information security audits and reviews are clearly scoped
9. the internal and external factors that may impact upon the effectiveness of information security audits and reviews
10. that information security audits need to consider not only the effectiveness of controls against identified risks but also other threats that may not have been assessed
11. that information security reviews and audits provide a snapshot of the effectiveness of the current information security status of the organisation

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