ITGC Walkthrough Meeting Template

# Section 1: System Overview

1. What is the name of the system? Answer:
2. Please provide a high-level description of the system. Answer:
3. How is the system being used by the client? Answer:
4. Who or what team is responsible for administering this system? Answer:

# Section 2: Access to Programs and Data

1. How is access provisioned to the system for new hires, additional access requests, and role changes? Answer:
2. How is access removed from the system for terminations and role changes? Answer:
3. How is access configured within the system (e.g., role-based access, permissions, object-based access)? Answer:
   * If role-based, do the system administrators have the ability to modify the roles? Answer:
   * Does management perform a periodic review of all custom roles?
4. Are there any users with privileged access? If so:
   * What roles or permissions grant this access? Answer:
   * Who has access to these user accounts? Answer:
5. Are there any system, shared, or generic user accounts? If so:
   * Are these user accounts interactive (i.e., can anyone log into them)? Answer:
   * How and where are the credentials to these accounts being stored? Answer:
   * Who has access to the credentials for these accounts? Answer:
6. Does management perform periodic user access reviews for this system? If so, please describe the review process. Answer:
7. Does the system have activity logging functionality (e.g., audit logs, activity reports)? If so:
   * Does management perform periodic activity reviews of user activity, such as admin activity reviews? Answer:
8. How do users authenticate into the system (e.g., SSO, web application)? Answer:
9. Does management perform a periodic review of the system's authentication configurations? Answer:

# Section 3: Change Management

1. What types of changes can management perform within the system (e.g., configurations, workflows, code)? Answer:
2. Who has access to make changes to the application? Answer:
3. Are there any non-production environments that are used for developing and testing changes prior to deployment? Answer:
4. For each type of change, what is the process for requesting, developing, testing, approving, and deploying the change? Answer:
5. If this is a SaaS system, does the vendor push updates, patches, and/or bug fixes? If so, what is the process for deploying these changes to production? Answer:
6. Is there an inherent system functionality that prevents users from both developing and deploying a change to production? Answer:
7. Does management perform a periodic review of changes to the system to validate that they were appropriately requested, tested, and approved prior to deployment to production? Answer:

# Section 4: Operations Management

1. Are there any scheduled automated jobs or interfaces between this application and other in-scope systems? If so:
   * What tools are used to run, schedule, and monitor the automated jobs/interfaces? Answer:
   * In case of a job/interface failure, what is management's process for resolving the failure? Answer:
2. Where is this system's data stored (e.g., vendor-managed database, proprietary database, third-party database provider)? Answer:
3. If data for this system is stored in a proprietary database:
   * How often does management perform data backups? Answer:
   * What types of backups are performed (e.g., full, incremental, differential)? Answer:
   * In case of a backup failure, what is management's process for resolving the failure? Answer:

# Section 5: IT Entity Level Controls

1. Does management perform an annual review of the vendor's SOC 1 Type 2 report to ensure the vendor's internal control environment is effective and that management is performing the required complementary user entity controls (CUECs)? Answer: