**Simple Dose Audit #21170**

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| **Project Name** | **Project Type** | **Oversight** | **Lead** | **Sub-Lead** | **Staff** |
| 21170 - SimpleDose | Audit | Sarah Kubiak | Michael Bavasso | Seun Mafi | Dan Benner, Daniel Rodrigues, Ashish Joshi |

**Brainstorming**

* Change Management = Michael, Ashish
  + System Changes (Modifications to SimpleDose critical system files)
  + Are APIs being used?
  + What types of tests are being performed?
    - QA, UAT, Regression
  + Change Migration (Code Deployment - who can do this) – release mgmt.
  + Defect Mgmt process – managing them/prioritizing them/SLAs/ involving appropriate parties
    - Jenkins tool, Pilot at this point.
    - What timing and types of Emergency changes, frequency of changes
  + Secure Code Review
  + Vulnerability Management
    - Has a patching schedule been defined?
    - How often is patching been done?
    - What is the remediation process?
  + ITNow / ServiceNow?
  + Phase I is in scope only!!
    - What types of releases took place?
      * Change tickets, program implementation schedules… Code based on the release

Change Management

System Testing

Defect Management

Vulnerability Management

For a sample of changes made to enterprise critical system files that incorporate SCA between 1/1/2021 to the date of fieldwork, test to ensure:

1. Changes made are documented with a HPSM/ServiceNow change ticket???
2. Changes are approved.
3. Changes are tested prior to deployment.
4. Requestor of change is also not the approver of the change.

Emergency changes are approved by a VP

Note: is this a DA opportunity?

Obtain a listing of users with the ability to migrate changes to the production environment. Compare this listing of users to those who can develop code to ensure:

1. The ability to migrate changes to production is appropriately restricted to non-development IT personnel.
2. If any developers can promote to production, investigate further to identify compensating controls.