Contents

Chapter 1

TSC (SOC 2) Compliance Handbuch

Dokument-Metadaten

- **Erstellt am:** 2026-02-10
- **Autor:** Andreas Huemmer [andreas.huemmer@adminsend.de]
- **Version:** 0.0.5
- **Typ:** TSC-Handbuch (SOC 2)

---

ewpage

Chapter 2

Systembeschreibung

Dokument-ID: TSC-0010
Organisation: AdminSend GmbH
Owner: IT Operations Manager
Genehmigt durch: CIO
Version: 1.0.0
Status: Entwurf / In Review / Freigegeben
Klassifizierung: internal
Letzte Aktualisierung: {{ meta.document.last_updated }}

2.1 1. Zweck

Dieses Dokument beschreibt das Service-System von AdminSend GmbH, das Gegenstand des SOC 2-Audits ist.

2.1.1 1.1 Ziele

- **System Description:** Vollständige Beschreibung des Service-Systems
- **Boundary Definition:** Klare Abgrenzung der Systemgrenzen
- **Component Identification:** Identifikation aller Systemkomponenten
- **Service Commitments:** Dokumentation der Service-Zusagen

2.1.2 1.2 Referenzen

- **AICPA TSC:** Trust Services Criteria
- **SOC 2 Reporting:** Description Criteria for a Description of a Service Organization's System
- **Service Level Agreements:** [TODO: Referenz zu SLAs]

2.2 2. Organisationsinformationen

2.2.1 2.1 Service Organization

Organisation: AdminSend GmbH
Adresse: Musterstraße 123, 80331 München
Land: Deutschland
Website: https://www.adminsend.de

Geschäftsbereich: [TODO: z.B. Cloud-Hosting, SaaS, Managed Services]
Gründungsjahr: [TODO: Jahr]
Mitarbeiteranzahl: [TODO: Anzahl]

2.2.2 2.2 Service Description

Service Name: {{ meta.tsc.system_name }}
Service Type: [TODO: z.B. Cloud-basierte Anwendung, Hosting-Service]
Service Purpose: [TODO: Zweck des Service]

Hauptfunktionen: - [TODO: Funktion 1] - [TODO: Funktion 2] - [TODO: Funktion 3]

2.2.3 2.3 Report Period

Report Type: [TODO: Type I / Type II]
Report Period: {{ meta.tsc.report_period }}
Report Date: [TODO: Datum für Type I oder Enddatum für Type II]

2.3 3. System Boundaries

2.3.1 3.1 In-Scope Systems

Systeme innerhalb des Scope:

System-ID	Systemname	Typ	Funktion	Standort
[TODO: SYS-001]	[TODO: Web Application]	Application	Hauptanwendung	[TODO: Cloud/On-Prem]
[TODO: SYS-002]	[TODO: Database Server]	Database	Datenspeicherung	[TODO: Cloud/On-Prem]
[TODO: SYS-003]	[TODO: API Gateway]	Infrastructure	API-Management	[TODO: Cloud/On-Prem]
[TODO: SYS-004]	[TODO: Load Balancer]	Infrastructure	Traffic-Verteilung	[TODO: Cloud/On-Prem]

2.3.2 3.2 Out-of-Scope Systems

Systeme außerhalb des Scope:

System	Begründung
[TODO: Internal HR System]	Nicht Teil des Kundenservice
[TODO: Development Environment]	Keine Produktionsdaten
[TODO: Marketing Website]	Keine Kundendaten

2.3.3 3.3 System Interfaces

Externe Schnittstellen:

Schnittstelle	Typ	Zweck	Sicherheit
[TODO: Payment Gateway]	API	Zahlungsabwicklung	TLS 1.2+
[TODO: Email Service]	SMTP	Benachrichtigungen	TLS
[TODO: Identity Provider]	SAML/OAuth	Authentifizierung	HTTPS

2.4 4. Infrastructure

2.4.1 4.1 Physical Infrastructure

Hosting-Modell: [TODO: Cloud / On-Premises / Hybrid]

Cloud Provider (falls zutreffend): - **Provider:** [TODO: AWS / Azure / GCP / andere] - **Regionen:** [TODO: eu-central-1, us-east-1] - **Availability Zones:** [TODO: Anzahl]

Data Centers (falls On-Premises): - **Primäres Rechenzentrum:** [TODO: Standort] - **Sekundäres Rechenzentrum:** [TODO: Standort] - **Zertifizierungen:** [TODO: ISO 27001, SOC 2]

2.4.2 4.2 Network Architecture

Netzwerksegmentierung: - **Production Network:** [TODO: VLAN/Subnet] - **Management Network:** [TODO: VLAN/Subnet] - **DMZ:** [TODO: VLAN/Subnet]

Netzwerksicherheit: - **Firewalls:** [TODO: Typ und Anzahl] - **IDS/IPS:** [TODO: Ja/Nein, Typ] - **DDoS Protection:** [TODO: Ja/Nein, Anbieter]

2.4.3 4.3 Compute Resources

Resource Type	Specification	Quantity	Purpose
[TODO: Web Servers]	[TODO: 4 vCPU, 16GB RAM]	[TODO: 3]	Application hosting
[TODO: Database Servers]	[TODO: 8 vCPU, 32GB RAM]	[TODO: 2]	Data storage
[TODO: Cache Servers]	[TODO: 2 vCPU, 8GB RAM]	[TODO: 2]	Performance

2.5 5. Software

2.5.1 5.1 Application Software

Application	Version	Vendor	Purpose
[TODO: Main Application]	[TODO: v2.5]	[TODO: Internal/Vendor]	Core service
[TODO: API Service]	[TODO: v1.3]	[TODO: Internal/Vendor]	API endpoints
[TODO: Admin Portal]	[TODO: v1.1]	[TODO: Internal/Vendor]	Administration

2.5.2 5.2 System Software

Software	Version	Purpose
[TODO: Operating System]	[TODO: Ubuntu 22.04]	Server OS
[TODO: Database]	[TODO: PostgreSQL 15]	Data storage
[TODO: Web Server]	[TODO: Nginx 1.24]	HTTP server
[TODO: Application Server]	[TODO: Node.js 18]	Runtime

2.5.3 5.3 Security Software

Software	Version	Purpose
[TODO: Antivirus]	[TODO: Latest]	Malware protection
[TODO: SIEM]	[TODO: Version]	Security monitoring
[TODO: Vulnerability Scanner]	[TODO: Version]	Vulnerability management
[TODO: Backup Software]	[TODO: Version]	Data backup

2.6 6. People

2.6.1 6.1 Organizational Structure

Management: - **CEO:** [TODO: Name] - **CTO:** [TODO: Name] - **CISO:** {{ meta.roles.ciso.name }} - **COO:** [TODO: Name]

Teams: - **Engineering:** [TODO: Anzahl Mitarbeiter] - **Operations:** [TODO: Anzahl Mitarbeiter] - **Security:** [TODO: Anzahl Mitarbeiter] - **Support:** [TODO: Anzahl Mitarbeiter]

2.6.2 6.2 Roles and Responsibilities

Role	Responsibilities	Count
[TODO: System Administrator]	System management, patching	[TODO: 3]

Role	Responsibilities	Count
[TODO: Security Engineer]	Security monitoring, incident response	[TODO: 2]
[TODO: Developer]	Application development	[TODO: 10]
[TODO: Support Engineer]	Customer support	[TODO: 5]

2.6.3 6.3 Training and Qualifications

Mandatory Training: - Security Awareness Training (jährlich) - Role-specific Technical Training - Compliance Training

Certifications: - [TODO: CISSP, CISM, AWS Certified, etc.]

2.7 7. Processes

2.7.1 7.1 Operational Processes

Key Processes:

1. **Change Management**
   - Change request and approval
   - Testing and validation
   - Deployment and rollback
2. **Incident Management**
   - Incident detection and logging
   - Incident response and resolution
   - Post-incident review
3. **Monitoring and Alerting**
   - System health monitoring
   - Security event monitoring
   - Performance monitoring
4. **Backup and Recovery**
   - Regular backups
   - Backup testing
   - Disaster recovery procedures

2.7.2 7.2 Security Processes

Security Operations:

1. **Access Management**
   - User provisioning and deprovisioning
   - Access reviews
   - Privileged access management
2. **Vulnerability Management**
   - Regular vulnerability scans
   - Patch management

- Penetration testing

3. **Security Monitoring**
   - Log collection and analysis
   - Security event correlation
   - Threat intelligence

2.8 8. Data

2.8.1 8.1 Data Types

Customer Data: - **Personal Information:** [TODO: Name, Email, etc.] - **Account Information:** [TODO: Credentials, Preferences] - **Transaction Data:** [TODO: Usage, Billing] - **Content Data:** [TODO: User-generated content]

System Data: - **Configuration Data:** System settings - **Log Data:** Audit logs, system logs - **Monitoring Data:** Metrics, alerts

2.8.2 8.2 Data Classification

Classification	Description	Examples
Public	Publicly available	Marketing materials
Internal	Internal use only	Policies, procedures
Confidential	Sensitive business data	Customer data, financial data
Restricted	Highly sensitive	Encryption keys, credentials

2.8.3 8.3 Data Flow

[TODO: Fügen Sie Datenflussdiagramm ein]

Main Data Flows:

1. **User Registration:**
   - User → Web Application → Database
   - Encryption: TLS 1.2+ in transit, AES-256 at rest
2. **Data Processing:**
   - Application → Processing Service → Database
   - Validation and integrity checks
3. **Data Backup:**
   - Database → Backup Service → Offsite Storage
   - Encrypted backups

2.9 9. Service Commitments and System Requirements

2.9.1 9.1 Service Level Agreements (SLAs)

Availability: - **Target:** [TODO: 99.9% uptime] - **Measurement:** Monthly uptime percentage - **Exclusions:** Planned maintenance windows

Performance: - **Response Time:** [TODO: < 200ms for 95% of requests] - **Throughput:** [TODO: 1000 requests/second]

Support: - **Response Time:** [TODO: < 1 hour for critical issues] - **Resolution Time:** [TODO: < 4 hours for critical issues]

2.9.2 9.2 Security Commitments

Data Protection: - Encryption of data in transit and at rest - Access control based on least privilege - Regular security assessments

Availability: - Redundant infrastructure - Disaster recovery capabilities - Regular backup testing

Confidentiality: - Confidentiality agreements with employees - Secure data disposal procedures - Access logging and monitoring

2.9.3 9.3 Compliance Requirements

Regulatory Compliance: - [TODO: GDPR, HIPAA, PCI-DSS, etc.]

Industry Standards: - [TODO: ISO 27001, NIST, CIS Controls]

2.10 10. Subservice Organizations

2.10.1 10.1 Subservice Providers

Provider	Service	SOC 2 Status	Carve-Out/Inclusive
[TODO: Cloud Provider]	Infrastructure	Type II available	Inclusive
[TODO: Email Service]	Email delivery	Type II available	Carve-Out
[TODO: Payment Processor]	Payment processing	Type II available	Carve-Out

2.10.2 10.2 Complementary User Entity Controls (CUEC)

Controls that require customer implementation:

1. **User Access Management**
   - Customers must implement strong password policies
   - Customers must enable multi-factor authentication
2. **Data Backup**
   - Customers must regularly export their data
   - Customers must test data restoration procedures
3. **Security Configuration**
   - Customers must configure security settings appropriately
   - Customers must review access logs regularly

2.11 11. Changes to the System

2.11.1 11.1 Significant Changes During Report Period

Date	Change Description	Impact	Approval
[TODO: 2026-01-15]	[TODO: New feature deployment]	[TODO: Low]	[TODO: CTO]
[TODO: 2026-02-01]	[TODO: Infrastructure upgrade]	[TODO: Medium]	[TODO: CTO]

2.11.2 11.2 Planned Changes

Upcoming Changes: - [TODO: Beschreibung geplanter Änderungen]

Dokumenthistorie:

Version	Datum	Autor	Änderungen
0.1	{{ meta.document.last_updated }}	{{ meta.defaults.author }}	Initiale Erstellung

ewpage

Chapter 3

System-Grenzen und Schnittstellen

Dokument-ID: TSC-0020
Organisation: AdminSend GmbH
Owner: IT Operations Manager
Genehmigt durch: CIO
Version: 1.0.0
Status: Entwurf / In Review / Freigegeben
Klassifizierung: internal
Letzte Aktualisierung: {{ meta.document.last_updated }}

3.1 1. Zweck

Dieses Dokument definiert die Grenzen des Service-Systems und dokumentiert alle Schnittstellen zu externen Systemen und Organisationen.

3.1.1 1.1 Ziele

- **Boundary Definition:** Klare Abgrenzung des Systems
- **Interface Documentation:** Dokumentation aller Schnittstellen
- **Trust Boundaries:** Identifikation von Vertrauensgrenzen
- **Scope Management:** Basis für Audit-Scope

3.2 2. System-Grenzen

3.2.1 2.1 In-Scope Komponenten

Infrastruktur: - [TODO: Produktions-Server] - [TODO: Datenbank-Server] - [TODO: Netzwerk-Komponenten] - [TODO: Sicherheits-Appliances]

Anwendungen: - [TODO: Haupt-Anwendung] - [TODO: API-Services] - [TODO: Admin-Portal]

Prozesse: - [TODO: Change Management] - [TODO: Incident Management] - [TODO: Access Management]

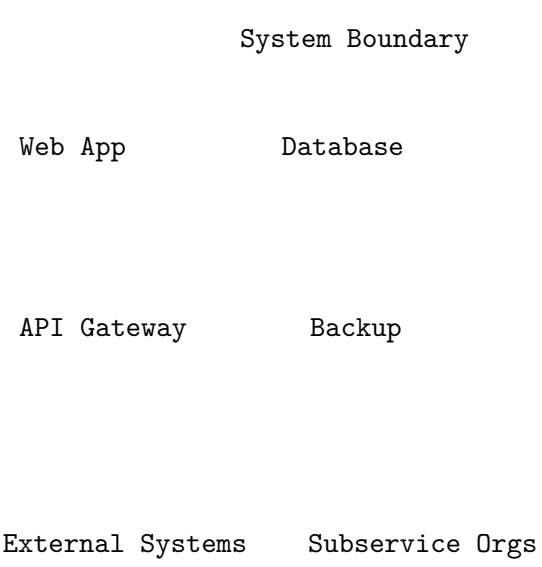
Personal: - [TODO: Operations Team] - [TODO: Security Team] - [TODO: Development Team]

3.2.2 2.2 Out-of-Scope Komponenten

Komponente	Begründung	Alternative Kontrolle
[TODO: HR System]	Keine Kundendaten	Separate Sicherheitskontrollen
[TODO: Dev Environment]	Keine Produktionsdaten	Isolierte Umgebung
[TODO: Marketing Tools]	Kein direkter Service-Bezug	Standard IT-Kontrollen

3.2.3 2.3 Boundary Diagram

[TODO: Fügen Sie System-Boundary-Diagramm ein]



3.3 3. Externe Schnittstellen

3.3.1 3.1 Kundensch nittstellen

User Interfaces:

Interface	Type	Access Method	Security
[TODO: Web Portal]	HTTPS	Browser	TLS 1.2+, MFA
[TODO: Mobile App]	HTTPS	Native App	TLS 1.2+, Certificate Pinning
[TODO: API]	REST API	HTTP Client	OAuth 2.0, API Keys

Data Interfaces:

Interface	Protocol	Data Type	Encryption
[TODO: File Upload]	HTTPS	Documents	TLS 1.2+, AES-256 at rest
[TODO: Bulk Import]	SFTP	CSV/JSON	SSH, GPG encryption
[TODO: Webhook]	HTTPS	JSON	TLS 1.2+, HMAC signature

3.3.2 3.2 Subservice Organization Interfaces

Subservice Org	Interface Type	Purpose	Security Controls
[TODO: Cloud Provider]	API	Infrastructure	IAM, Encryption
[TODO: Email Service]	SMTP/API	Notifications	TLS, API Keys
[TODO: Payment Gateway]	REST API	Payments	TLS, Tokenization
[TODO: Identity Provider]	SAML/OAuth	Authentication	SAML Assertion, TLS

3.3.3 3.3 Administrative Interfaces

Interface	Purpose	Access Control	Audit Logging
[TODO: SSH]	Server administration	Key-based, MFA	Yes
[TODO: Admin Console]	System configuration	RBAC, MFA	Yes
[TODO: Database Console]	Database management	IP whitelist, MFA	Yes

3.4 4. Datenflüsse über Grenzen

3.4.1 4.1 Inbound Data Flows

Von Kunden:

Data Flow	Source	Destination	Data Type	Security
[TODO: User Input]	Customer Browser	Web Application	Form Data	TLS 1.2+, Input Validation
[TODO: API Requests]	Customer System	API Gateway	JSON	OAuth 2.0, Rate Limiting
[TODO: File Uploads]	Customer	Storage Service	Files	TLS 1.2+, Virus Scanning

Von Subservice Organizations:

Data Flow	Source	Destination	Data Type	Security
[TODO: Auth Response]	Identity Provider	Application	SAML Token	TLS, Signature Verification
[TODO: Payment Status]	Payment Gateway	Application	JSON	TLS, Webhook Signature

3.4.2 4.2 Outbound Data Flows

Zu Kunden:

Data Flow	Source	Destination	Data Type	Security
[TODO: API Response]	Application	Customer System	JSON	TLS 1.2+, Data Filtering
[TODO: Email Notifications]	Application	Customer Email	Email	TLS, SPF/DKIM
[TODO: Reports]	Application	Customer	PDF	TLS 1.2+, Access Control

Zu Subservice Organizations:

Data Flow	Source	Destination	Data Type	Security
[TODO: Logs]	Application	SIEM	Log Data	TLS, Encryption
[TODO: Backups]	Database	Backup Service	Database Dump	Encryption, Access Control
[TODO: Metrics]	Application	Monitoring	Metrics	TLS, API Keys

3.4.3 4.3 Internal Data Flows

Data Flow	Source	Destination	Data Type	Security
[TODO: App to DB]	Application	Database	SQL Queries	TLS, Parameterized Queries
[TODO: Cache Updates]	Application	Cache	Key-Value	Internal Network, Encryption
[TODO: Log Shipping]	Servers	Log Server	Logs	TLS, Authentication

3.5 5. Trust Boundaries

3.5.1 5.1 External Trust Boundary

Internet-facing Components: - Web Application (DMZ) - API Gateway (DMZ) - Load Balancer (DMZ)

Security Controls: - Web Application Firewall (WAF) - DDoS Protection - Rate Limiting - Input Validation

3.5.2 5.2 Internal Trust Boundaries

Production vs. Non-Production: - Separate networks - No direct connectivity - Controlled data migration

Application vs. Database: - Database firewall - Least privilege access - Encrypted connections

Management vs. Production: - Jump servers/bastion hosts - MFA required - Session recording

3.5.3 5.3 Subservice Organization Boundaries

Carve-Out Services: - [TODO: Email Service] - Customer responsible for email security - [TODO: Payment Processing] - Separate SOC 2 report

Inclusive Services: - [TODO: Cloud Infrastructure] - Covered by our controls

3.6 6. Network Segmentation

3.6.1 6.1 Network Zones

Zone	Purpose	Security Level	Access Control
[TODO: DMZ]	Internet-facing services	High	Firewall, WAF
[TODO: Application]	Application servers	High	Firewall, VLAN
[TODO: Database]	Data storage	Very High	Firewall, IP Whitelist
[TODO: Management]	Administrative access	Very High	VPN, MFA, Jump Server

3.6.2 6.2 Firewall Rules

DMZ to Application: - Allow: HTTPS (443) from Load Balancer to Web Servers - Deny: All other traffic

Application to Database: - Allow: PostgreSQL (5432) from App Servers to DB Servers - Deny: All other traffic

Management to Production: - Allow: SSH (22) from Jump Server to Servers (with MFA) - Allow: HTTPS (443) from Admin Console to Management Interfaces - Deny: All other traffic

3.6.3 6.3 Network Diagram

[TODO: Fügen Sie detailliertes Netzwerkdiagramm ein]

3.7 7. Complementary User Entity Controls (CUEC)

3.7.1 7.1 Customer Responsibilities

Access Management: - Customers must implement strong authentication - Customers must regularly review user access - Customers must promptly remove access for terminated users

Data Protection: - Customers must classify their data appropriately - Customers must configure access controls - Customers must encrypt sensitive data before upload (if applicable)

Monitoring: - Customers must monitor their usage and access logs - Customers must report suspicious activity - Customers must review security alerts

3.7.2 7.2 CUEC Documentation

Control Area	Customer Responsibility	Service Org Responsibility
User Authentication	Enforce strong passwords, enable MFA	Provide MFA capability
Access Control	Assign appropriate roles	Enforce RBAC
Data Backup	Export data regularly	Provide backup functionality
Incident Response	Report security incidents	Respond to incidents

3.8 8. Boundary Changes

3.8.1 8.1 Change Management Process

Adding New Interfaces: 1. Security review required 2. Architecture review 3. Approval from CISO 4. Documentation update 5. Audit notification

Removing Interfaces: 1. Impact assessment 2. Customer notification (if applicable) 3. Decommissioning plan 4. Documentation update

3.8.2 8.2 Recent Boundary Changes

Date	Change	Impact	Approval
[TODO: 2026-01-15]	[TODO: New API endpoint]	New interface	[TODO: CISO]
[TODO: 2026-02-01]	[TODO: Removed legacy interface]	Reduced attack surface	[TODO: CISO]

3.9 9. Boundary Validation

3.9.1 9.1 Validation Activities

Regular Activities: - Quarterly network scans - Annual penetration testing - Continuous vulnerability scanning - Firewall rule reviews

Validation Results: - [TODO: Last validation date] - [TODO: Findings summary] - [TODO: Remediation status]

3.9.2 9.2 Boundary Testing

Test Procedures: 1. Network segmentation testing 2. Firewall rule validation 3. Access control testing 4. Data flow verification

Next Scheduled Test: [TODO: Datum]

Dokumenthistorie:

Version	Datum	Autor	Änderungen
0.1	{{ meta.document.last_updated }}	{{ meta.defaults.author }}	Initiale Erstellung

ewpage

Chapter 4

System-Komponenten

Dokument-ID: TSC-0030
Organisation: AdminSend GmbH
Owner: IT Operations Manager
Genehmigt durch: CIO
Version: 1.0.0
Status: Entwurf / In Review / Freigegeben
Klassifizierung: internal
Letzte Aktualisierung: {{ meta.document.last_updated }}

4.1 1. Zweck

Dieses Dokument beschreibt die fünf Hauptkomponenten des Service-Systems: Infrastructure, Software, People, Processes und Data.

4.2 2. Infrastructure

4.2.1 2.1 Physical Infrastructure

Hosting: [TODO: Cloud/On-Premises/Hybrid]
Provider: [TODO: AWS/Azure/GCP]
Regions: [TODO: Regionen]
Data Centers: [TODO: Standorte]

4.2.2 2.2 Compute Resources

Resource	Specification	Quantity	Purpose
[TODO: Web Servers]	[TODO: Spec]	[TODO: #]	Application
[TODO: DB Servers]	[TODO: Spec]	[TODO: #]	Data Storage

4.2.3 2.3 Network Infrastructure

- **Firewalls:** [TODO: Details]
- **Load Balancers:** [TODO: Details]
- **VPN:** [TODO: Details]

4.3 3. Software

4.3.1 3.1 Application Software

Application	Version	Purpose
[TODO: Main App]	[TODO: v1.0]	Core Service
[TODO: API]	[TODO: v1.0]	Integration

4.3.2 3.2 System Software

Software	Version	Purpose
[TODO: OS]	[TODO: Version]	Operating System
[TODO: Database]	[TODO: Version]	Data Storage

4.3.3 3.3 Security Software

Software	Version	Purpose
[TODO: AV]	[TODO: Latest]	Malware Protection
[TODO: SIEM]	[TODO: Version]	Security Monitoring

4.4 4. People

4.4.1 4.1 Organization

Management: - CEO: [TODO: Name] - CTO: [TODO: Name] - CISO: {{ meta.roles.ciso.name }}

Teams: - Engineering: [TODO: #] Mitarbeiter - Operations: [TODO: #] Mitarbeiter - Security: [TODO: #] Mitarbeiter

4.4.2 4.2 Roles

Role	Responsibilities	Count
[TODO: Admin]	System Management	[TODO: #]
[TODO: Engineer]	Development	[TODO: #]

4.5 5. Processes

4.5.1 5.1 Operational Processes

- **Change Management:** [TODO: Beschreibung]
- **Incident Management:** [TODO: Beschreibung]
- **Monitoring:** [TODO: Beschreibung]

4.5.2 5.2 Security Processes

- **Access Management:** [TODO: Beschreibung]
- **Vulnerability Management:** [TODO: Beschreibung]
- **Security Monitoring:** [TODO: Beschreibung]

4.6 6. Data

4.6.1 6.1 Data Types

Customer Data: - Personal Information - Account Information - Transaction Data

System Data: - Configuration Data - Log Data - Monitoring Data

4.6.2 6.2 Data Classification

Classification	Description
Public	Publicly available
Internal	Internal use only
Confidential	Sensitive data
Restricted	Highly sensitive

Dokumenthistorie:

Version	Datum	Autor	Änderungen
0.1	{{ meta.document.last_updated }}	{{ meta.defaults.author }}	Initiale Erstellung

ewpage

Chapter 5

Rollen und Verantwortlichkeiten

Dokument-ID: TSC-0040
Organisation: AdminSend GmbH
Owner: IT Operations Manager
Genehmigt durch: CIO
Version: 1.0.0
Status: Entwurf / In Review / Freigegeben
Klassifizierung: internal
Letzte Aktualisierung: {{ meta.document.last_updated }}

5.1 1. Zweck

Dieses Dokument definiert die Rollen und Verantwortlichkeiten für TSC-Compliance und SOC 2-Audits.

5.2 2. Management-Rollen

5.2.1 2.1 Executive Management

CEO: - **Name:** [TODO: Name] - **Verantwortlichkeiten:** - Gesamtverantwortung für Compliance - Genehmigung von Richtlinien - Ressourcenzuweisung

CTO: - **Name:** [TODO: Name] - **Verantwortlichkeiten:** - Technische Strategie - System-Architektur - Change Approval

CISO: - **Name:** {{ meta.roles.ciso.name }} - **Email:** {{ meta.roles.ciso.email }} - **Verantwortlichkeiten:** - Sicherheitsstrategie - Risikomanagement - Incident Response

5.3 3. Operational Rollen

5.3.1 3.1 System Administration

System Administrators: - **Anzahl:** [TODO: #] - **Verantwortlichkeiten:** - System-Wartung - Patch-Management - Backup-Verwaltung

5.3.2 3.2 Security Operations

Security Engineers: - **Anzahl:** [TODO: #] - **Verantwortlichkeiten:** - Security Monitoring - Incident Response - Vulnerability Management

5.3.3 3.3 Development

Developers: - **Anzahl:** [TODO: #] - **Verantwortlichkeiten:** - Application Development - Code Reviews - Security Testing

5.4 4. Compliance-Rollen

5.4.1 4.1 SOC 2 Program Manager

Name: [TODO: Name]
Email: [TODO: Email]
Verantwortlichkeiten: - SOC 2-Programm-Management - Audit-Koordination - Dokumentation - Compliance-Reporting

5.4.2 4.2 Service Auditor

Firma: {{ meta.roles.auditor.name }}
Kontakt: {{ meta.roles.auditor.email }}
Verantwortlichkeiten: - SOC 2-Audit durchführen - Kontrollwirksamkeit prüfen - SOC 2-Bericht erstellen

5.5 5. RACI-Matrix

5.5.1 5.1 Control Environment

Aktivität	CEO	CTO	CISO	Ops	Audit
Policy Approval	A	C	R	I	I
Risk Assessment	C	C	A/R	C	I
Control Design	I	C	A	R	C
Control Testing	I	I	C	R	A

5.5.2 5.2 Operations

Aktivität	CTO	CISO	Ops	Dev	Audit
Change Management	A	C	R	R	I
Incident Response	C	A	R	C	I
Monitoring	C	A	R	I	I
Backup/Recovery	A	C	R	I	I

Legende: R = Responsible, A = Accountable, C = Consulted, I = Informed

5.6 6. Training und Qualifikationen

5.6.1 6.1 Mandatory Training

- Security Awareness (jährlich)
- Role-specific Training
- Compliance Training

5.6.2 6.2 Certifications

Security Team: - [TODO: CISSP, CISM, CEH]

Operations Team: - [TODO: AWS Certified, Azure Certified]

Dokumenthistorie:

Version	Datum	Autor	Änderungen
0.1	{{ meta.document.last_updated }}	{{ meta.defaults.author }}	Initiale Erstellung

ewpage

Chapter 6

Control Environment

Dokument-ID: TSC-0050
Organisation: AdminSend GmbH
Owner: IT Operations Manager
Genehmigt durch: CIO
Version: 1.0.0
Status: Entwurf / In Review / Freigegeben
Klassifizierung: internal
Letzte Aktualisierung: {{ meta.document.last_updated }}

6.1 1. Zweck

Dieses Dokument beschreibt das Control Environment (Kontrollumgebung) gemäß TSC Common Criteria CC1.

6.2 2. Organizational Structure

6.2.1 2.1 Governance Structure

Board of Directors: - [TODO: Zusammensetzung] - [TODO: Meetings: Quartalsweise]

Executive Management: - CEO, CTO, CISO, CFO, COO - [TODO: Meetings: Monatlich]

Management Committees: - Security Committee - Change Advisory Board - Incident Response Team

6.2.2 2.2 Reporting Lines

[TODO: Organigramm einfügen]

6.3 3. Integrity and Ethical Values

6.3.1 3.1 Code of Conduct

Principles: - Integrity and Honesty - Respect and Fairness - Compliance with Laws - Confidentiality

Enforcement: - Annual acknowledgment required - Violations reported to HR - Disciplinary actions

6.3.2 3.2 Conflict of Interest

Policy: - Annual disclosure required - Review by management - Mitigation measures

6.4 4. Commitment to Competence

6.4.1 4.1 Job Descriptions

Key Roles: - System Administrator - Security Engineer - Developer - Support Engineer

Requirements: - Education - Experience - Certifications - Skills

6.4.2 4.2 Training Program

Onboarding: - Security Awareness - System Training - Policy Review

Ongoing: - Annual Security Training - Role-specific Training - Compliance Updates

6.5 5. Management Philosophy

6.5.1 5.1 Risk Management

Approach: - Risk-based decision making - Regular risk assessments - Risk treatment plans

6.5.2 5.2 Performance Management

Metrics: - System availability - Security incidents - Compliance status

Reviews: - Monthly operational reviews - Quarterly management reviews - Annual strategic reviews

6.6 6. Organizational Structure

6.6.1 6.1 Authority and Responsibility

Delegation: - Clear authority levels - Documented responsibilities - Approval matrices

6.6.2 6.2 Human Resources

Policies: - Background checks - Confidentiality agreements - Termination procedures

6.7 7. Oversight

6.7.1 7.1 Internal Audit

Program: - Annual audit plan - Risk-based approach - Follow-up on findings

6.7.2 7.2 External Audit

SOC 2 Audit: - Annual Type II audit - Service auditor: {{ meta.roles.auditor.name }} - Report distribution

---

Dokumenthistorie:

Version	Datum	Autor	Änderungen
0.1	{{ meta.document.last_updated }}	{{ meta.defaults.author }}	Initiale Erstellung

ewpage

Chapter 7

CC1: Control Environment

Dokument-ID: TSC-0100
Organisation: AdminSend GmbH
Owner: IT Operations Manager
Version: 1.0.0
Status: Entwurf / In Review / Freigegeben
Klassifizierung: internal
Letzte Aktualisierung: {{ meta.document.last_updated }}

7.1 1. Zweck

Dieses Dokument beschreibt die Kontrollen für TSC Common Criteria CC1: Control Environment.

7.2 2. CC1.1: Organizational Structure

Control Objective: The entity demonstrates a commitment to integrity and ethical values.

Control Activities: - Code of Conduct established and communicated - Annual acknowledgment by all employees - Ethics hotline available - Disciplinary actions for violations

Evidence: - [TODO: Code of Conduct document] - [TODO: Employee acknowledgments] - [TODO: Ethics training records]

7.3 3. CC1.2: Board Independence

Control Objective: The board of directors demonstrates independence from management.

Control Activities: - [TODO: Board composition] - [TODO: Independent directors] - [TODO: Oversight responsibilities]

7.4 4. CC1.3: Management Oversight

Control Objective: Management establishes oversight responsibilities.

Control Activities: - Organizational structure defined - Reporting lines established - Authority and responsibility assigned - Performance evaluations conducted

7.5 5. CC1.4: Competence

Control Objective: The entity demonstrates a commitment to attract, develop, and retain competent individuals.

Control Activities: - Job descriptions defined - Hiring process includes background checks - Training programs established - Performance reviews conducted

7.6 6. CC1.5: Accountability

Control Objective: The entity holds individuals accountable for their responsibilities.

Control Activities: - Performance metrics defined - Regular performance reviews - Consequences for non-performance - Rewards for good performance

---

Dokumenthistorie:

Version	Datum	Autor	Änderungen
0.1	{{ meta.document.last_updated }}	{{ meta.defaults.author }}	Initiale Erstellung

ewpage

Chapter 8

CC2: Communication and Information

Dokument-ID: TSC-0110
Organisation: AdminSend GmbH
Owner: IT Operations Manager
Version: 1.0.0
Status: Entwurf / In Review / Freigegeben
Klassifizierung: internal
Letzte Aktualisierung: {{ meta.document.last_updated }}

8.1 1. CC2.1: Internal Communication

Control Activities: - Policies and procedures documented - Regular team meetings - Internal communication channels - Policy updates communicated

8.2 2. CC2.2: External Communication

Control Activities: - Service commitments documented - Customer communication procedures - Incident notification process - Regulatory reporting procedures

8.3 3. CC2.3: Information Quality

Control Activities: - Information accuracy verified - Timely information delivery - Information accessibility - Information retention policies

---

Dokumenthistorie:

Version	Datum	Autor	Änderungen
0.1	{{ meta.document.last_updated }}	{{ meta.defaults.author }}	Initiale Erstellung

ewpage

Chapter 9

CC3: Risk Assessment

Dokument-ID: TSC-0120
Organisation: AdminSend GmbH
Owner: IT Operations Manager
Version: 1.0.0
Status: Entwurf / In Review / Freigegeben
Klassifizierung: internal
Letzte Aktualisierung: {{ meta.document.last_updated }}

9.1 1. CC3.1: Risk Identification

Control Activities: - Annual risk assessment conducted - Risk identification process - Threat and vulnerability analysis - Risk register maintained

9.2 2. CC3.2: Risk Analysis

Control Activities: - Risk likelihood and impact assessed - Risk prioritization - Risk treatment options evaluated - Risk acceptance criteria defined

9.3 3. CC3.3: Risk Response

Control Activities: - Risk treatment plans developed - Controls implemented - Residual risk monitored - Risk reporting to management

---

Dokumenthistorie:

Version	Datum	Autor	Änderungen
0.1	{{ meta.document.last_updated }}	{{ meta.defaults.author }}	Initiale Erstellung

ewpage

Chapter 10

CC4: Monitoring Activities

Dokument-ID: TSC-0130
Organisation: AdminSend GmbH
Owner: IT Operations Manager
Version: 1.0.0
Status: Entwurf / In Review / Freigegeben
Klassifizierung: internal
Letzte Aktualisierung: {{ meta.document.last_updated }}

10.1 1. CC4.1: Ongoing Monitoring

Control Activities: - Continuous monitoring of controls - Performance metrics tracked - Automated monitoring tools - Regular control testing

10.2 2. CC4.2: Separate Evaluations

Control Activities: - Internal audits conducted - External audits (SOC 2) - Penetration testing - Vulnerability assessments

10.3 3. CC4.3: Evaluation and Communication

Control Activities: - Findings documented - Remediation plans developed - Management reporting - Follow-up on corrective actions

---

Dokumenthistorie:

Version	Datum	Autor	Änderungen
0.1	{{ meta.document.last_updated }}	{{ meta.defaults.author }}	Initiale Erstellung

ewpage

Chapter 11

CC5: Control Activities

Dokument-ID: TSC-0140
Organisation: AdminSend GmbH
Owner: IT Operations Manager
Version: 1.0.0
Status: Entwurf / In Review / Freigegeben
Klassifizierung: internal
Letzte Aktualisierung: {{ meta.document.last_updated }}

11.1 1. CC5.1: Selection and Development of Control Activities

Control Activities: - Controls designed to mitigate risks - Preventive and detective controls - Manual and automated controls - Control documentation

11.2 2. CC5.2: Technology Controls

Control Activities: - Access controls implemented - Encryption for data protection - Network security controls - Endpoint protection

11.3 3. CC5.3: Policies and Procedures

Control Activities: - Policies established and documented - Procedures defined - Regular policy reviews - Policy compliance monitoring

---

Dokumenthistorie:

Version	Datum	Autor	Änderungen
0.1	{{ meta.document.last_updated }}	{{ meta.defaults.author }}	Initiale Erstellung

ewpage

Chapter 12

CC6-CC9: Security Controls

Dokument-ID: TSC-0150
Organisation: AdminSend GmbH
Owner: IT Operations Manager
Version: 1.0.0
Status: Entwurf / In Review / Freigegeben
Klassifizierung: internal
Letzte Aktualisierung: {{ meta.document.last_updated }}

12.1 1. CC6: Logical and Physical Access Controls

12.1.1 1.1 CC6.1: Logical Access

Control Activities: - User authentication required - Multi-factor authentication for privileged access - Access based on least privilege - Regular access reviews

12.1.2 1.2 CC6.2: Physical Access

Control Activities: - Badge access to data centers - Visitor logs maintained - Security cameras - Physical security reviews

12.2 2. CC7: System Operations

12.2.1 2.1 CC7.1: Detection and Monitoring

Control Activities: - Security monitoring tools deployed - Log collection and analysis - Alerting for security events - Incident detection procedures

12.2.2 2.2 CC7.2: System Capacity

Control Activities: - Capacity monitoring - Performance metrics tracked - Capacity planning process - Scalability testing

12.3 3. CC8: Change Management

12.3.1 3.1 CC8.1: Change Authorization

Control Activities: - Change request process - Change approval required - Testing before deployment - Rollback procedures

12.4 4. CC9: Risk Mitigation

12.4.1 4.1 CC9.1: Risk Assessment

Control Activities: - Annual risk assessment - Risk treatment plans - Risk monitoring - Risk reporting to management

12.4.2 4.2 CC9.2: Vendor Management

Control Activities: - Vendor risk assessment - Vendor contracts include security requirements - Vendor performance monitoring - Annual vendor reviews

---

Dokumenthistorie:

Version	Datum	Autor	Änderungen
0.1	{{ meta.document.last_updated }}	{{ meta.defaults.author }}	Initiale Erstellung

ewpage

Chapter 13

A1: Availability

Dokument-ID: TSC-0200
Organisation: AdminSend GmbH
Owner: IT Operations Manager
Version: 1.0.0
Status: Entwurf / In Review / Freigegeben
Klassifizierung: internal
Letzte Aktualisierung: {{ meta.document.last_updated }}

13.1 1. A1.1: Availability Commitments

Service Level Agreement: - **Target Uptime:** [TODO: 99.9%] - **Measurement Period:** Monthly - **Exclusions:** Planned maintenance

Control Activities: - SLA documented and communicated - Availability monitoring - SLA reporting to customers - SLA breach procedures

13.2 2. A1.2: System Monitoring

Control Activities: - 24/7 system monitoring - Automated alerting - Performance metrics tracked - Capacity planning

13.3 3. A1.3: Incident Management

Control Activities: - Incident detection and logging - Incident response procedures - Escalation procedures - Post-incident reviews

13.4 4. A1.4: Recovery Procedures

Control Activities: - Backup procedures defined - Regular backup testing - Disaster recovery plan - Recovery time objectives (RTO) defined

Dokumenthistorie:

Version	Datum	Autor	Änderungen
0.1	{{ meta.document.last_updated }}	{{ meta.defaults.author }}	Initiale Erstellung

ewpage

Chapter 14

PI1: Processing Integrity

Dokument-ID: TSC-0240
Organisation: AdminSend GmbH
Owner: IT Operations Manager
Version: 1.0.0
Status: Entwurf / In Review / Freigegeben
Klassifizierung: internal
Letzte Aktualisierung: {{ meta.document.last_updated }}

14.1 1. PI1.1: Processing Commitments

Processing Integrity Commitments: - Complete processing - Valid processing - Accurate processing - Timely processing - Authorized processing

14.2 2. PI1.2: Input Validation

Control Activities: - Input validation rules defined - Data type and format checks - Range and boundary checks - Rejection of invalid inputs

14.3 3. PI1.3: Processing Controls

Control Activities: - Processing logic documented - Error handling procedures - Transaction logging - Processing reconciliation

14.4 4. PI1.4: Output Controls

Control Activities: - Output validation - Output completeness checks - Output distribution controls - Output retention policies

---

Dokumenthistorie:

Version	Datum	Autor	Änderungen
0.1	{{ meta.document.last_updated }}	{{ meta.defaults.author }}	Initiale Erstellung

ewpage

Chapter 15

C1: Confidentiality

Dokument-ID: TSC-0280
Organisation: AdminSend GmbH
Owner: IT Operations Manager
Version: 1.0.0
Status: Entwurf / In Review / Freigegeben
Klassifizierung: internal
Letzte Aktualisierung: {{ meta.document.last_updated }}

15.1 1. C1.1: Confidentiality Commitments

Confidentiality Commitments: - Confidential data identified - Confidentiality agreements in place - Access restrictions enforced - Secure disposal procedures

15.2 2. C1.2: Access Controls

Control Activities: - Access based on need-to-know - Role-based access control - Regular access reviews - Privileged access management

15.3 3. C1.3: Encryption

Control Activities: - Data encrypted in transit (TLS 1.2+) - Data encrypted at rest (AES-256) - Key management procedures - Encryption key rotation

15.4 4. C1.4: Data Disposal

Control Activities: - Secure deletion procedures - Media sanitization - Certificate of destruction - Disposal verification

---

Dokumenthistorie:

Version	Datum	Autor	Änderungen
0.1	{{ meta.document.last_updated }}	{{ meta.defaults.author }}	Initiale Erstellung

ewpage

Chapter 16

P1-P8: Privacy

Dokument-ID: TSC-0320
Organisation: AdminSend GmbH
Owner: IT Operations Manager
Version: 1.0.0
Status: Entwurf / In Review / Freigegeben
Klassifizierung: internal
Letzte Aktualisierung: {{ meta.document.last_updated }}

16.1 1. P1: Notice and Communication

Control Activities: - Privacy notice published - Privacy policy communicated - Changes to privacy policy notified - Privacy contact information provided

16.2 2. P2-P3: Choice and Consent

Control Activities: - Consent obtained for data collection - Opt-in/opt-out mechanisms - Consent withdrawal procedures - Consent records maintained

16.3 3. P4-P5: Collection and Use

Control Activities: - Data collection limited to stated purposes - Data minimization practiced - Purpose limitation enforced - Secondary use requires consent

16.4 4. P6: Access

Control Activities: - Data subject access requests processed - Data provided in accessible format - Identity verification for access requests - Access request logging

16.5 5. P7: Disclosure to Third Parties

Control Activities: - Third-party disclosures documented - Data processing agreements in place - Third-party compliance verified - Disclosure notifications

16.6 6. P8: Quality

Control Activities: - Data accuracy procedures - Data correction mechanisms - Data quality monitoring - Data retention policies

---

Dokumenthistorie:

Version	Datum	Autor	Änderungen
0.1	{{ meta.document.last_updated }}	{{ meta.defaults.author }}	Initiale Erstellung

ewpage

Chapter 17

Anhang: Control Matrix

Dokument-ID: TSC-0400
Organisation: AdminSend GmbH
Owner: IT Operations Manager
Version: 1.0.0
Status: Entwurf / In Review / Freigegeben
Klassifizierung: internal
Letzte Aktualisierung: {{ meta.document.last_updated }}

17.1 1. Zweck

Dieses Dokument enthält die vollständige TSC Control Matrix mit allen implementierten Kontrollen.

17.2 2. Common Criteria (Security) - Pflicht

Control ID	Control Description	Control Owner	Test Frequency
CC1.1	Integrity and ethical values	CISO	Annual
CC1.2	Board independence	CEO	Annual
CC2.1	Internal communication	CISO	Quarterly
CC3.1	Risk identification	CISO	Annual
CC4.1	Ongoing monitoring	Security Team	Continuous
CC5.1	Control activities	Operations	Quarterly
CC6.1	Logical access	Security Team	Quarterly
CC7.1	Detection and monitoring	Security Team	Continuous
CC8.1	Change authorization	Change Manager	Per change
CC9.1	Risk assessment	CISO	Annual

17.3 3. Availability (Optional)

Control ID	Control Description	Control Owner	Test Frequency
A1.1	Availability commitments	Operations	Monthly
A1.2	System monitoring	Operations	Continuous
A1.3	Incident management	Operations	Per incident
A1.4	Recovery procedures	Operations	Quarterly

17.4 4. Processing Integrity (Optional)

Control ID	Control Description	Control Owner	Test Frequency
PI1.1	Processing commitments	Development	Quarterly
PI1.2	Input validation	Development	Per release
PI1.3	Processing controls	Development	Per release
PI1.4	Output controls	Development	Per release

17.5 5. Confidentiality (Optional)

Control ID	Control Description	Control Owner	Test Frequency
C1.1	Confidentiality commitments	CISO	Annual
C1.2	Access controls	Security Team	Quarterly
C1.3	Encryption	Security Team	Quarterly
C1.4	Data disposal	Operations	Per disposal

17.6 6. Privacy (Optional)

Control ID	Control Description	Control Owner	Test Frequency
P1	Notice and communication	Legal/Privacy	Annual
P2-P3	Choice and consent	Legal/Privacy	Per collection
P4-P5	Collection and use	Legal/Privacy	Quarterly
P6	Access	Legal/Privacy	Per request
P7	Disclosure	Legal/Privacy	Per disclosure
P8	Quality	Data Team	Quarterly

Dokumenthistorie:

Version	Datum	Autor	Änderungen
0.1	{{ meta.document.last_updated }}	{{ defaults.author }}	Initiale Erstellung

ewpage

Chapter 18

Anhang: Glossar

Dokument-ID: TSC-0440
Organisation: AdminSend GmbH
Owner: IT Operations Manager
Version: 1.0.0
Status: Entwurf / In Review / Freigegeben
Klassifizierung: internal
Letzte Aktualisierung: {{ meta.document.last_updated }}

18.1 TSC-spezifische Begriffe

18.1.1 A

AICPA: American Institute of Certified Public Accountants

Availability: The system is available for operation and use as committed or agreed.

18.1.2 C

Carve-Out Method: Subservice organization controls are not included in the service organization's description.

Common Criteria (CC): Security criteria required for all SOC 2 reports.

Complementary User Entity Controls (CUEC): Controls that the service organization assumes will be implemented by user entities.

Confidentiality: Information designated as confidential is protected as committed or agreed.

18.1.3 I

Inclusive Method: Subservice organization controls are included in the service organization's description.

18.1.4 P

Processing Integrity: System processing is complete, valid, accurate, timely, and authorized.

Privacy: Personal information is collected, used, retained, disclosed, and disposed of in conformity with privacy commitments.

18.1.5 S

Service Auditor: Independent CPA firm that performs the SOC 2 audit.

Service Organization: Entity that provides services to user entities.

SOC 2: Service Organization Control 2 report.

Subservice Organization: Service organization used by another service organization.

18.1.6 T

Trust Services Criteria (TSC): Criteria for SOC 2 reports developed by AICPA.

Type I Report: Report on the design of controls at a point in time.

Type II Report: Report on the design and operating effectiveness of controls over a period of time.

18.1.7 U

User Entity: Entity that uses the services of a service organization.

Dokumenthistorie:

Version	Datum	Autor	Änderungen
0.1	{{ meta.document.last_updated }}	{{ meta.defaults.author }}	Initiale Erstellung

ewpage