IPSec Risk and Compliance Reporting

Sample Summary Output

Full – ISO 27001

IPSec Pty Ltd
Gnd Flr, 10/270 Ferntree Gully Rd, Notting Hill, VIC, 3168
Ph: 1300 890 902   Fax: 03 9922 0022
http://www.ipsec.com.au

Commercial In Confidence
24/10/2017

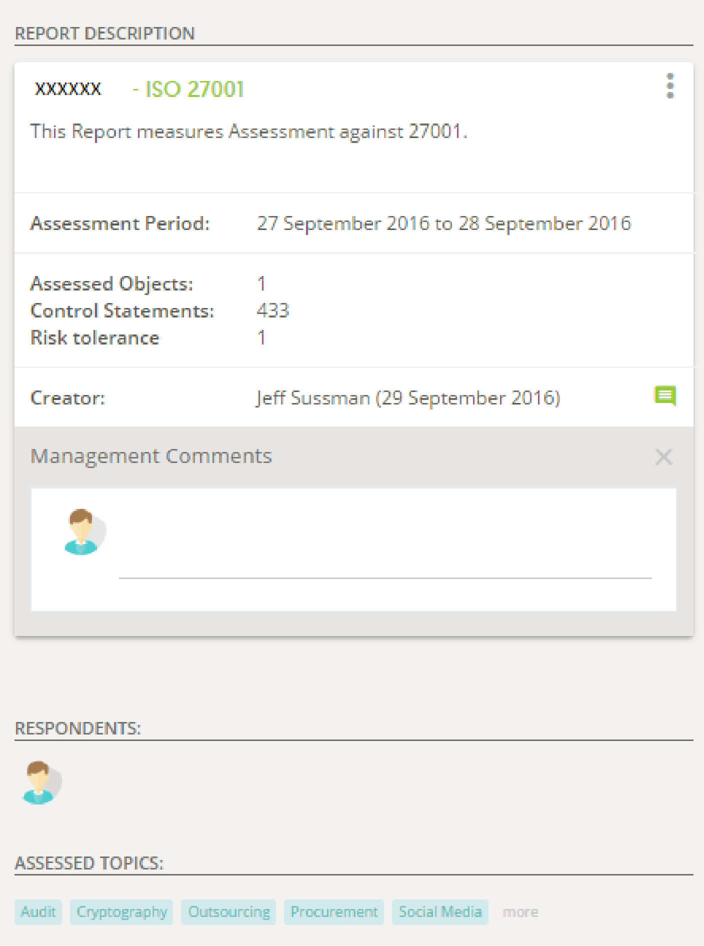
Sample assessment output

After completion of the assessments, the results are immediately available from the reporting engine.

This document is intended to demonstrate some of the features within the reporting functionality delivered via the browser based tool.

The header of Risk Report is the identifier and the other core components are as follows:

1. **Management Summary**
2. **Risk Heat Map**
3. **Risk Diagram**
4. **Gap Analysis**
5. **Compliance Summary**
6. **Risk Management**



REPORT DESCRIPTION

XXXXXX - ISO 27001

This Report measures Assessment against 27001.

Assessment Period: 27 September 2016 to 28 September 2016

Assessed Objects: 1
Control Statements: 433
Risk tolerance 1

Creator: Jeff Sussman (29 September 2016)

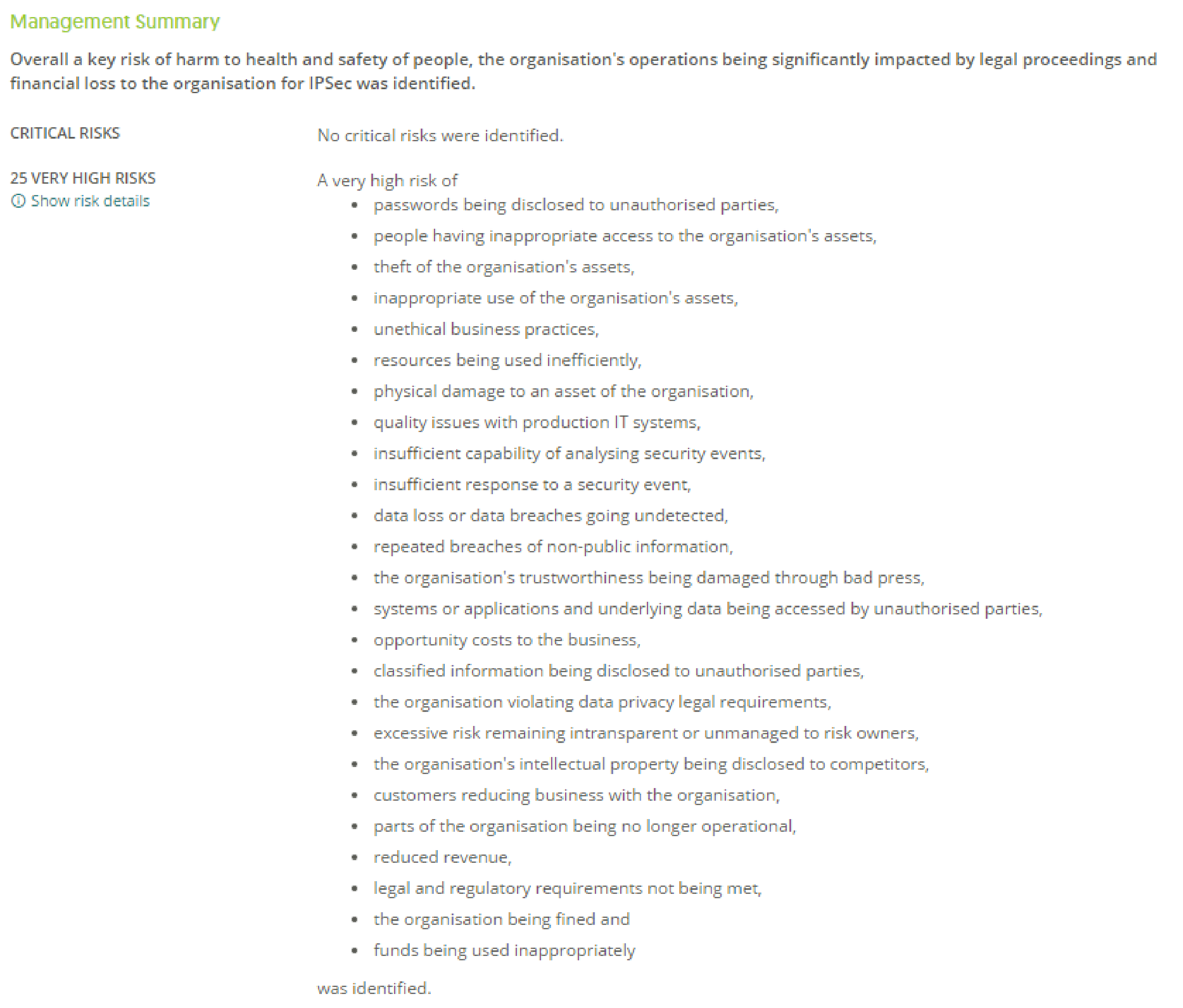
Management Comments

RESPONDENTS:

ASSESSED TOPICS:

1. Management Summary

Below is a sample of the management summary output. As can be seen, the findings are collated by risk rating.



Management Summary

Overall a key risk of harm to health and safety of people, the organisation's operations being significantly impacted by legal proceedings and financial loss to the organisation for IPSec was identified.

CRITICAL RISKS	No critical risks were identified.

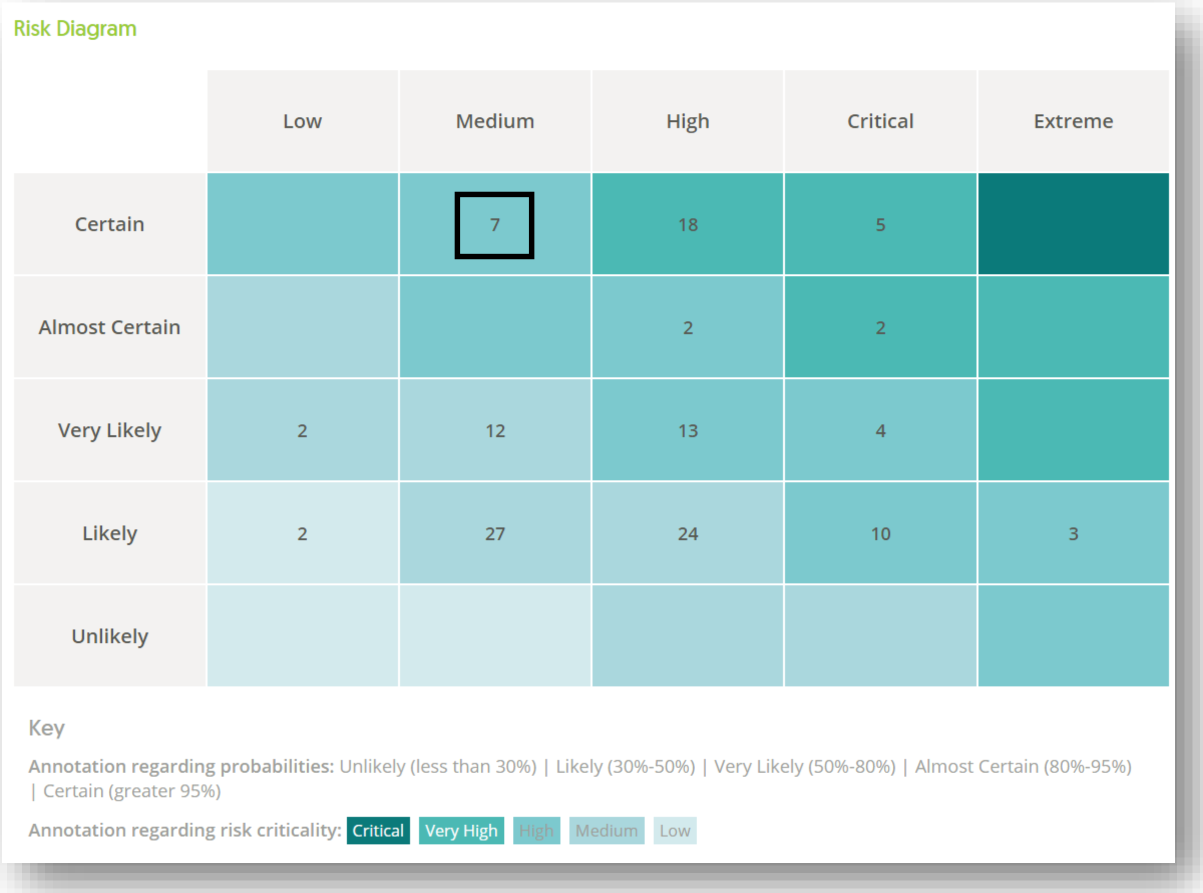
25 VERY HIGH RISKS
ⓘ Show risk details

A very high risk of

- passwords being disclosed to unauthorised parties,
- people having inappropriate access to the organisation's assets,
- theft of the organisation's assets,
- inappropriate use of the organisation's assets,
- unethical business practices,
- resources being used inefficiently,
- physical damage to an asset of the organisation,
- quality issues with production IT systems,
- insufficient capability of analysing security events,
- insufficient response to a security event,
- data loss or data breaches going undetected,
- repeated breaches of non-public information,
- the organisation's trustworthiness being damaged through bad press,
- systems or applications and underlying data being accessed by unauthorised parties,
- opportunity costs to the business,
- classified information being disclosed to unauthorised parties,
- the organisation violating data privacy legal requirements,
- excessive risk remaining intransparent or unmanaged to risk owners,
- the organisation's intellectual property being disclosed to competitors,
- customers reducing business with the organisation,
- parts of the organisation being no longer operational,
- reduced revenue,
- legal and regulatory requirements not being met,
- the organisation being fined and
- funds being used inappropriately

was identified.

2. Risk Heat Map



Risk Diagram

	Low	Medium	High	Critical	Extreme
Certain		7	18	5	
Almost Certain			2	2	
Very Likely	2	12	13	4	
Likely	2	27	24	10	3
Unlikely					

Key

Annotation regarding probabilities: Unlikely (less than 30%) | Likely (30%-50%) | Very Likely (50%-80%) | Almost Certain (80%-95%) | Certain (greater 95%)

Annotation regarding risk criticality: Critical Very High High Medium Low

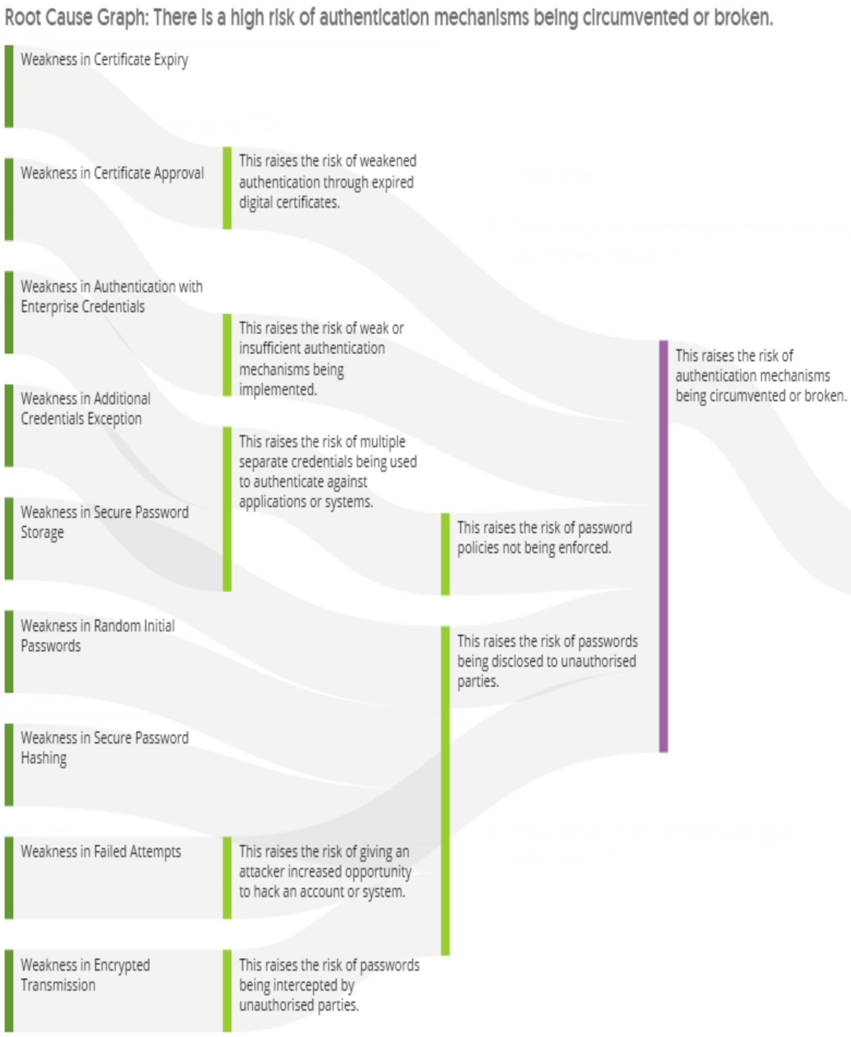
The above diagram determines the risk criticality based on identified deviations of the controls between expected and assessed maturity, the degree of separation in the risk tree and linkage to further control statements. The weighted overview identifies all possible risks which need to be assessed in the context of each individual organisation.

Drill down of **7 High Risk** items (Likelihood = Certain / Consequence = Medium)

- There is a high risk of authentication mechanisms being circumvented or broken.
- There is a high risk of incorrect processing of information.
- There is a high risk of IT providing insufficient support to the organisation's business.
- There is a high risk of insufficient reactions to data breaches.
- There is a high risk of the organisation's failure to notify data subjects of a breach.
- There is a high risk of the organisation's customers lose faith in the organisation's ability to secure personally identifiable information.
- There is a high risk of legal or regulatory business continuity requirements not being met.

3. Risk Diagram

Highlighting Control Weaknesses that lead to Business Risks



Root Cause Graph: There is a high risk of authentication mechanisms being circumvented or broken.

Weakness in Certificate Expiry

Weakness in Certificate Approval

Weakness in Authentication with Enterprise Credentials

Weakness in Additional Credentials Exception

Weakness in Secure Password Storage

Weakness in Random Initial Passwords

Weakness in Secure Password Hashing

Weakness in Failed Attempts

Weakness in Encrypted Transmission

This raises the risk of weakened authentication through expired digital certificates.

This raises the risk of weak or insufficient authentication mechanisms being implemented.

This raises the risk of multiple separate credentials being used to authenticate against applications or systems.

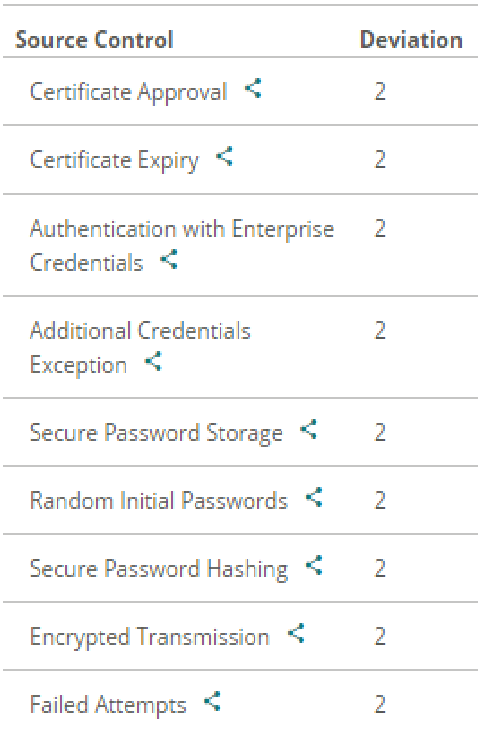
This raises the risk of giving an attacker increased opportunity to hack an account or system.

This raises the risk of passwords being intercepted by unauthorised parties.

This raises the risk of password policies not being enforced.

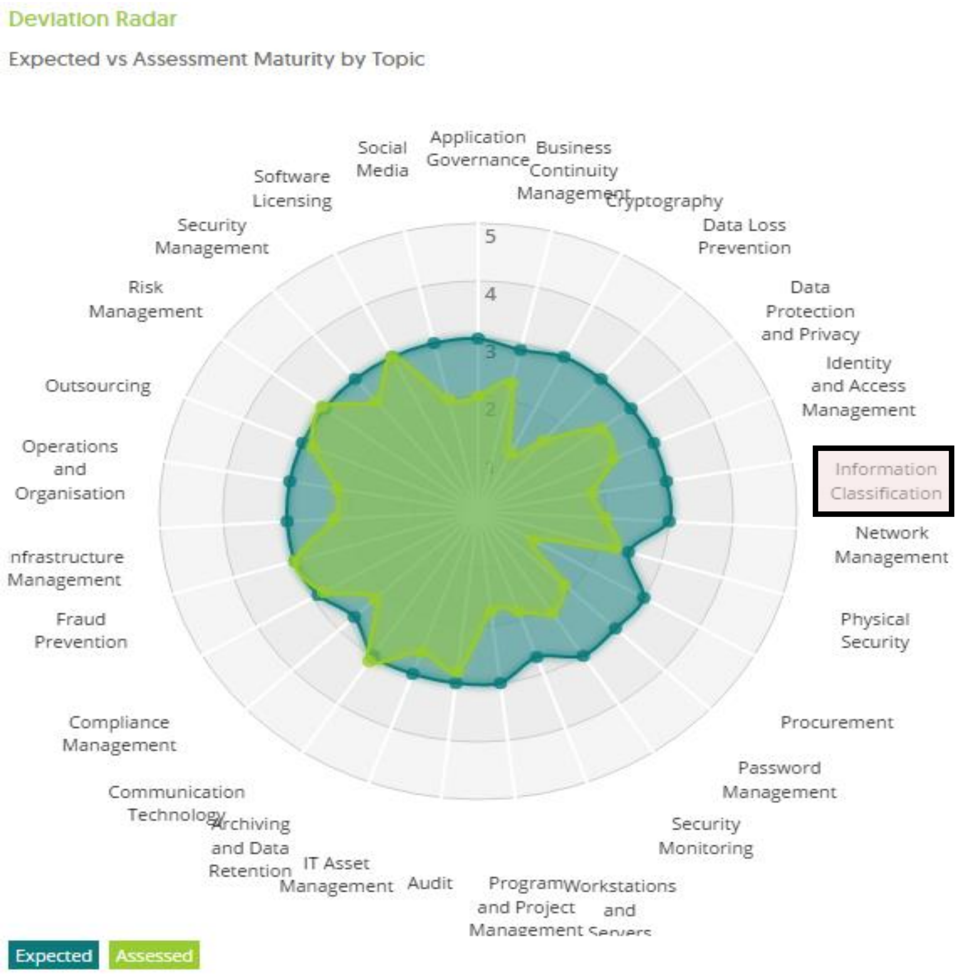
This raises the risk of passwords being disclosed to unauthorised parties.

This raises the risk of authentication mechanisms being circumvented or broken.

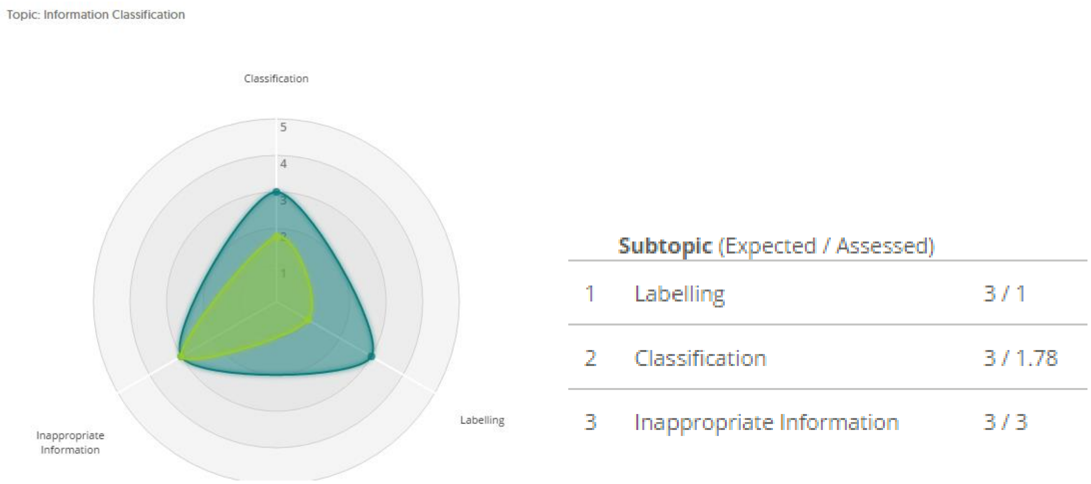


Source Control	Deviation
Certificate Approval	2
Certificate Expiry	2
Authentication with Enterprise Credentials	2
Additional Credentials Exception	2
Secure Password Storage	2
Random Initial Passwords	2
Secure Password Hashing	2
Encrypted Transmission	2
Failed Attempts	2

4. Gap Analysis – your organisation



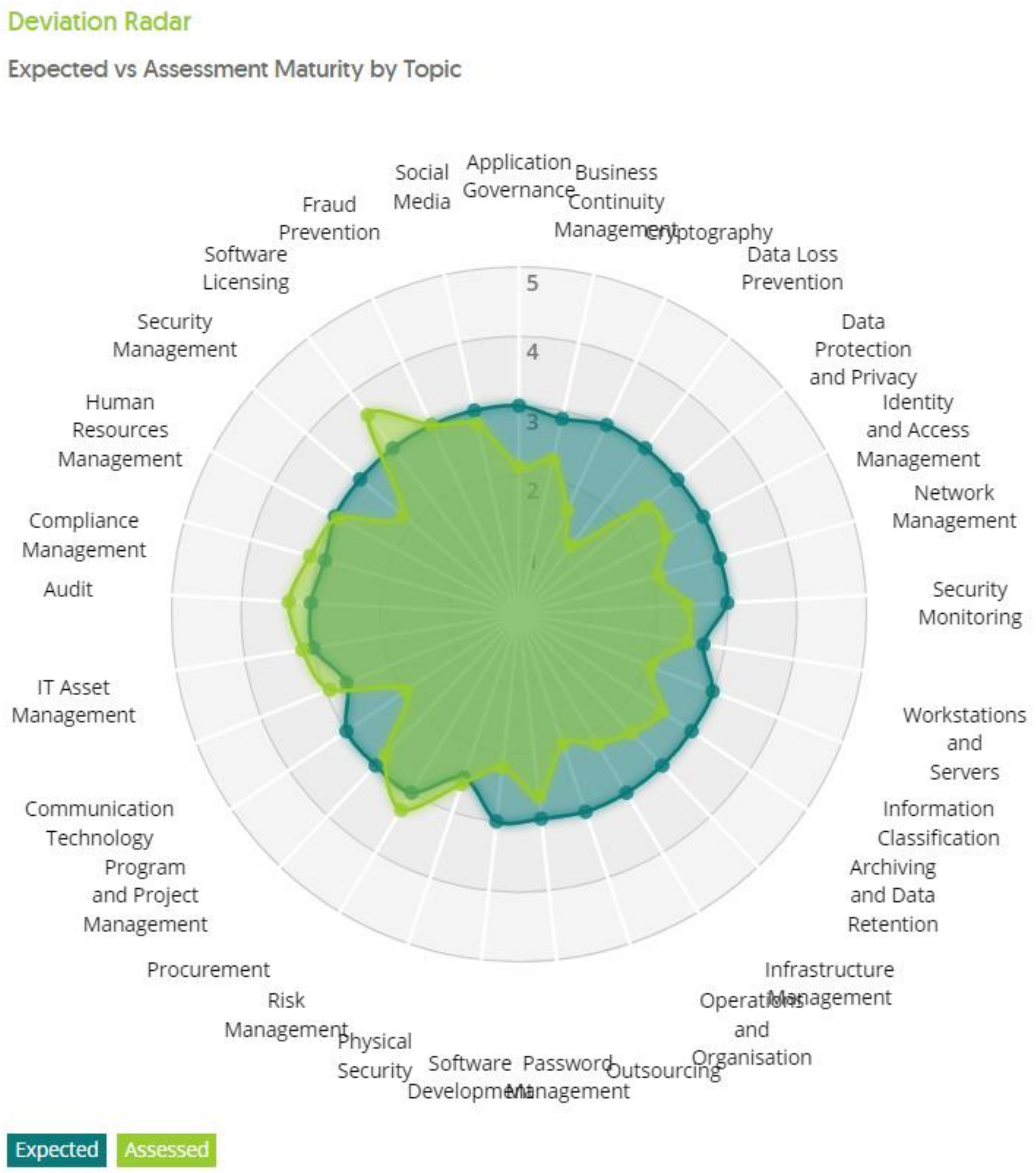
Each topic allows further drill down to understand underlying control scoring



	Subtopic (Expected / Assessed)	
1	Labelling	3 / 1
2	Classification	3 / 1.78
3	Inappropriate Information	3 / 3

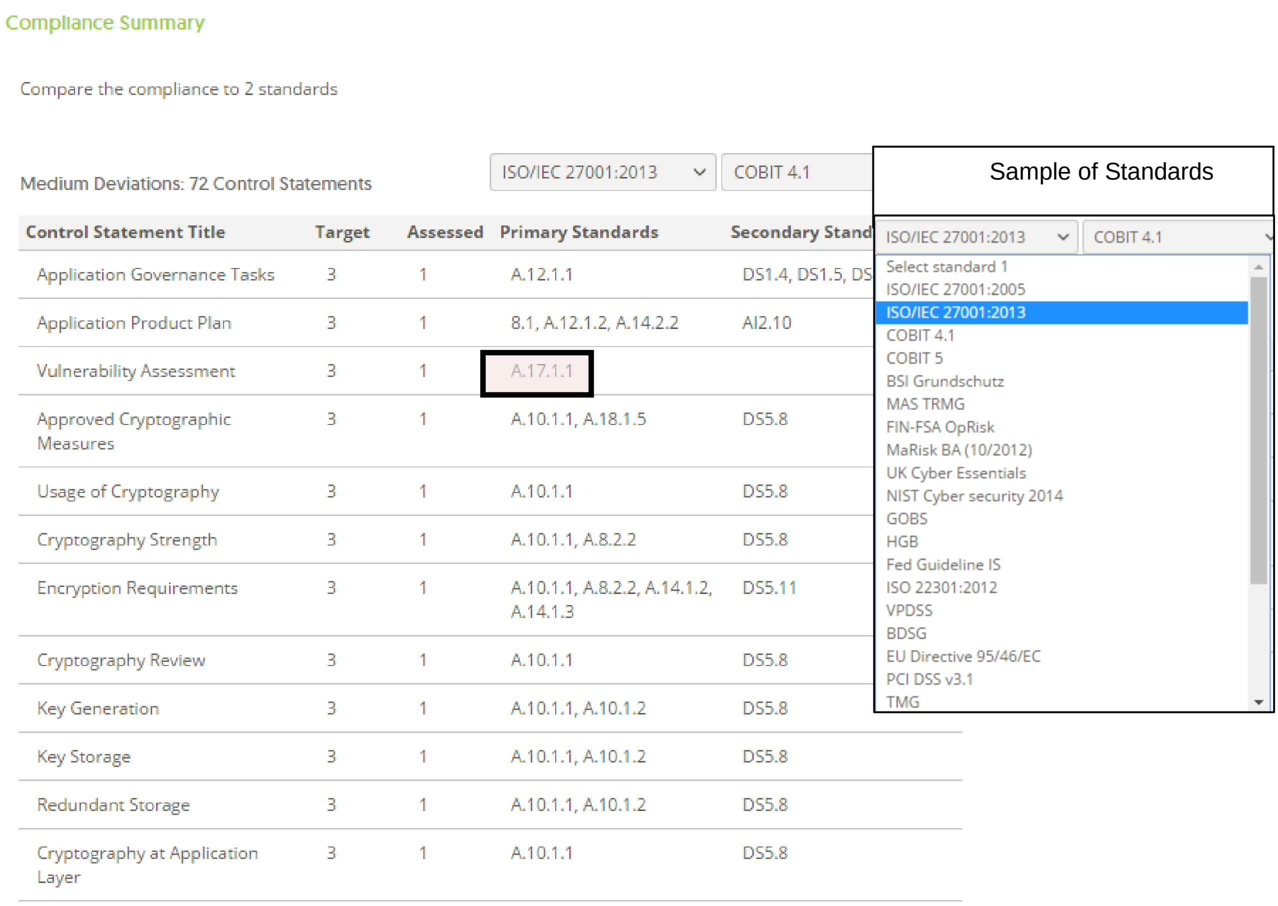
5. Gap Analysis Comparison – all survey responses – your Industry

This diagram will allow you to compare your Risk Profile to the Survey Population



6. Compliance Summary

This report shows all major compliance deviations and allows cross referencing to any two information security standards to highlight the applicable control statements.



Compliance Summary

Compare the compliance to 2 standards

Medium Deviations: 72 Control Statements

ISO/IEC 27001:2013 | COBIT 4.1

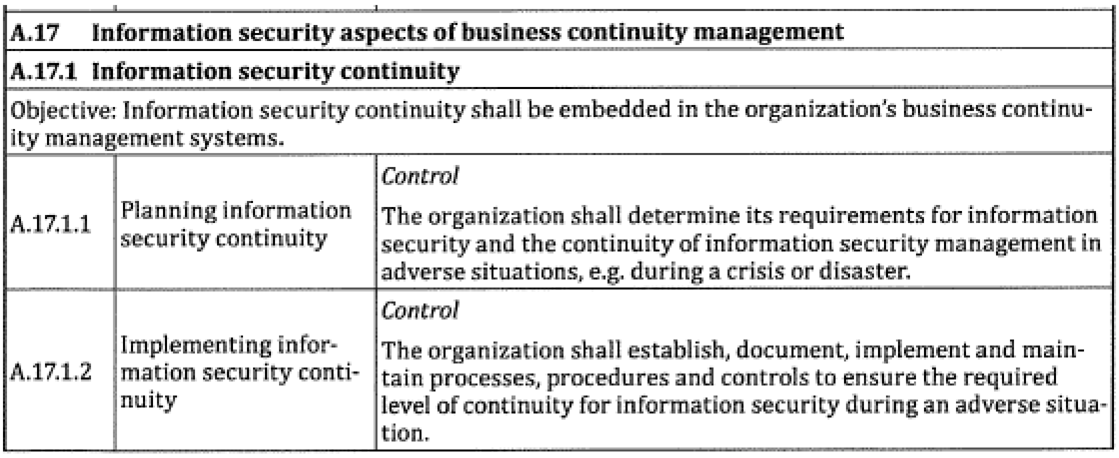
Control Statement Title	Target	Assessed	Primary Standards	Secondary Stand
Application Governance Tasks	3	1	A.12.1.1	DS1.4, DS1.5, DS
Application Product Plan	3	1	8.1, A.12.1.2, A.14.2.2	AI2.10
Vulnerability Assessment	3	1	A.17.1.1	
Approved Cryptographic Measures	3	1	A.10.1.1, A.18.1.5	DS5.8
Usage of Cryptography	3	1	A.10.1.1	DS5.8
Cryptography Strength	3	1	A.10.1.1, A.8.2.2	DS5.8
Encryption Requirements	3	1	A.10.1.1, A.8.2.2, A.14.1.2, A.14.1.3	DS5.11
Cryptography Review	3	1	A.10.1.1	DS5.8
Key Generation	3	1	A.10.1.1, A.10.1.2	DS5.8
Key Storage	3	1	A.10.1.1, A.10.1.2	DS5.8
Redundant Storage	3	1	A.10.1.1, A.10.1.2	DS5.8
Cryptography at Application Layer	3	1	A.10.1.1	DS5.8

Sample of Standards

ISO/IEC 27001:2013 | COBIT 4.1

- Select standard 1
- ISO/IEC 27001:2005
- ISO/IEC 27001:2013
- COBIT 4.1
- COBIT 5
- BSI Grundschutz
- MAS TRMG
- FIN-FSA OpRisk
- MaRisk BA (10/2012)
- UK Cyber Essentials
- NIST Cyber security 2014
- GOBS
- HGB
- Fed Guideline IS
- ISO 22301:2012
- VPDSS
- BDSG
- EU Directive 95/46/EC
- PCI DSS v3.1
- TMG

Example of Vulnerability Assessment cross referenced to ISO 27001:2013 Annex A.17.1.1

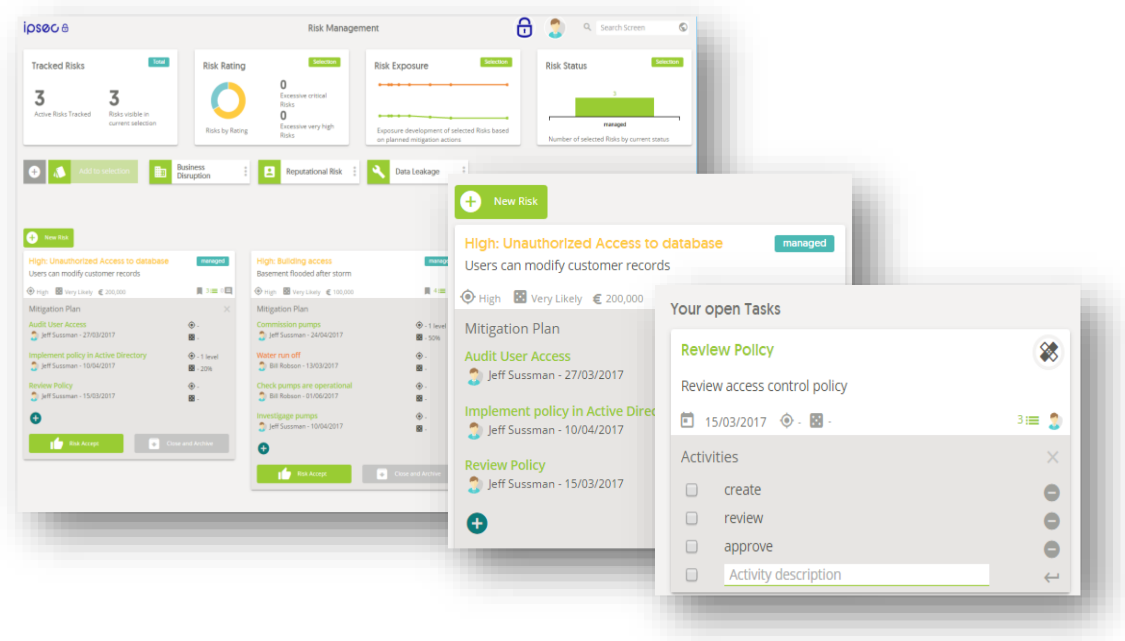


A.17	**Information security aspects of business continuity management**	
A.17.1	**Information security continuity**	
Objective: Information security continuity shall be embedded in the organization's business continuity management systems.		
A.17.1.1	Planning information security continuity	*Control* The organization shall determine its requirements for information security and the continuity of information security management in adverse situations, e.g. during a crisis or disaster.
A.17.1.2	Implementing information security continuity	*Control* The organization shall establish, document, implement and maintain processes, procedures and controls to ensure the required level of continuity for information security during an adverse situation.

7. Risk Register Dashboard & Task Manager (Full GRC license feature – not relevant to survey deliverable)

The on-line dashboard allows the risks to be grouped (on an inclusive or exclusive basis) showing the Risk appetite vs Residual risk based on a chosen standard. As risks are mitigated through control improvements, the dashboard shows dynamically in real time the reduction in the risk profile.

The inbuilt task manager makes assigning and managing individual tasks straightforward.



Risk Management

Tracked Risks (Total): 3 Active Risks Tracked; 3 Risks visible in current selection

Risk Rating (Selection): Risks by Rating; 0 Excessive critical Risks; 0 Excessive very high Risks

Risk Exposure (Selection): Exposure development of selected Risks based on planned mitigation actions

Risk Status (Selection): 3 managed; Number of selected Risks by current status

Add to selection · Business Disruption · Reputational Risk · Data Leakage

New Risk

High: Unauthorized Access to database (managed)
Users can modify customer records
High · Very Likely · € 200,000

Mitigation Plan
Audit User Access
Jeff Sussman - 27/03/2017
Implement policy in Active Directory (- 1 level, - 20%)
Jeff Sussman - 10/04/2017
Review Policy
Jeff Sussman - 15/03/2017

Risk Accept · Close and Archive

High: Building access (managed)
Basement flooded after storm
High · Very Likely · € 100,000

Mitigation Plan
Commission pumps (- 1 level, - 50%)
Jeff Sussman - 24/04/2017
Water run off
Bill Robson - 13/03/2017
Check pumps are operational
Bill Robson - 01/06/2017
Investigage pumps
Jeff Sussman - 10/04/2017

Risk Accept · Close and Archive

Your open Tasks

Review Policy
Review access control policy
15/03/2017

Activities
□ create
□ review
□ approve
□ Activity description