POLICY			
Policy Name	Information Systems Audit		
Policy Number	ISO-P023	**Version Number**	1.0
Supersedes Policy	N/A	**Effective Date**	11/13/2020
Last Reviewed Date	3/15/2023	**Last Revised Date**	11/13/2020
Policy Owner		**Approved By**	
Name	David Christensen	**Name**	Srinivasan Venkatramani
Title	CISO	**Title**	CTPO
Date Approved	3/15/2023	**Date Approved**	3/15/2023

Objective

This policy is in place to ensure the protection of the confidentiality, integrity, and availability of customer and PlanSource data.

Responsibilities

PlanSource Personnel – PlanSource Personnel are responsible for protecting the information and devices under their control, understanding and complying with PlanSource's Information Security policies, and reporting any suspicious system activity and potential weaknesses to management and Information Security.

Information Security – The Information Security team ("InfoSec") manages the development, maintenance and enforcement of information security policies and standards, in accordance with generally accepted best practices, focusing on business and risk objectives.

Auditor – Manages the audit process ensuring we have a objective view of the Security Program and its activities.

Table of Contents (if applicable)

1 General..... **Error! Bookmark not defined.**
2 Audit Scope..... **Error! Bookmark not defined.**
3 Audit Procedures..... **Error! Bookmark not defined.**
4 Audit Controls and Management..... **Error! Bookmark not defined.**

Definitions

Information Assets – These are assets that consist primarily of databases and data files, contracts and agreements, system documentation, research information, user manuals, training material, operational and support procedures, business continuity plans, fallback arrangements, audit trails, and archived data.

Information assets also include the physical assets, services, resources, software and intangibles that support the proliferation of information within the PlanSource global enterprise.

- Software Assets: application software, system software, development tools, and utilities;
- Physical Assets: facilities, computer equipment, communications equipment, removable media, and other

equipment;

- Services: computing, communications services, and general utilities;
- Personnel: personal qualifications, skills, and experience;
- Intangibles: the reputation and image of PlanSource.

Information Systems – This is any computer system or application that processes, maintains, or stores information used by PlanSource to manage their global enterprise.

Personally Identifiable Information – PII is information that can be used on its own or with other information to identify, contact, or locate a single person, or to identify an individual in context. PII can be any information about an individual including information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records.

Protected Health Information – PHI is any information about health status, provision of health care, or payment for health care that can be linked to a specific individual. This includes any part of a patient's medical record or payment history.

Auditor - Professional tasked with providing independent and objective evaluations of PlanSource's people, processes, and technology.

Restricted Information – This classification applies to the most sensitive business information that requires the highest level of scrutiny to ensure limited access to only authorized PlanSource Personnel. Information designated as "restricted" (e.g. Personally Identifiable Information, Protected Health Information, and customer sourced information) is deemed to have a profound impact on the business if lost or misused, the result of which could seriously and adversely impact PlanSource, its shareholders, employees, customers and business partners.

Information Security Office (ISO) **–** Internal PlanSource security team providing oversight of the controls that are implemented throughout PlanSource's systems.

Related Document(s)

- Information Security Policy

Applicable Standards/Regulations/Citations/References

- ISO 27001:2013

Revision History			
Date	**Version Number**	**Updated By**	**Description of Update**
11/13/2020	1.0	TJ Hart	Initial Policy
11/30/2020	1.0	TJ Hart	Executive Sponsor initial approval
3/15/21	1.0	TJ Hart	Annual Review and Approval

3/15/22	1.0	David Christensen	Annual Review and Approval
3/15/23	1.0	David Christensen	Annual Review and Approval