**Pressure Cooker: Access Controls in New and Existing ERP Systems**

Checklist for auditor preparation:

1. Setting up Auditor Access
   1. Access depends on request
   2. Separate role with least privilege based on need
   3. Direct access vs. demonstrations vs. data files
   4. Use most secure process for access, test well
2. Preparing documentation and pre-audit of access control
   1. What are auditors measuring by?
   2. Collect all policies, standards, procedures, initial account assignment
   3. Procedural documentation (provisioning, terminations, reviews)
   4. Pre-audit policies to practices (document/fix), delivered roles and accounts, roles and data stewards, Privileged access roles and accounts, Service accounts / shared accounts
3. Preparing documentation and pre-audit of change control
   1. Collect all change control documentation (Regular changes, emergency changes, peer reviews, change documentation, risk assessments, approval process)
   2. Pre-audit tickets from beginning with all associated systems and paperwork (separation of duty, business role in approvals, management approval, completeness, fallback strategy)
   3. Proactive monitoring of privileged system access
   4. Integrity of change control system
4. Timeline to success
   1. Focus preparation on major controls
   2. Prepare documentation in advance for auditor
   3. Ensure a team approach, know where and how to get information, share out knowledge quickly to teams to begin improvements
   4. Pre-validation of control processes
   5. Develop rapport with auditors, be helpful, timely, check in on needs, keep them in scope, learn the standards they use to measure controls
   6. Represent best of what UA is doing and keep a good perspective

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* Located in Tucson, Arizona
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