GETTING STARTED WITH THE SIG 2014: AN ISSUER'S GUIDE

By Shared Assessments

SHARED ASSESSMENTS

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ABOUT THE SIG

The Standard Information Gathering (SIG) questionnaire is a compilation of questions to determine how information technology and data security risks are managed across a broad spectrum of risk control areas. As such, it addresses risk controls across 15 different risk areas. The robust set of questions contained in the SIG is reviewed annually for updates and revisions, and are based on referenced industry standards (FFIEC, ISO, COBIT and PCI). New risk areas are added on a regular basis, with Cloud services and mobile device security as examples of some of the more recent additions.

The SIG provides its users with a standardized tool to gather pertinent information about the technology, operating and data security controls, within a third party's environment. The SIG was developed to enable a service provider to compile complete information about these risk areas in one document. By compiling all of this information in one document, a service provider is able to complete one questionnaire, which can then be shared with multiple clients. This avoids the time consuming and expensive requirement of completing multiple questionnaires for multiple clients. It can be used in a number of ways, by both the contracting company (issuer) and the third party they have engaged to provide services (responder).

Listed below are ways the SIG can be utilized:

- Used by a company outsourcing services (issuer) to evaluate their vendors' technology and data security risk controls.
- Completed by a service provider and used proactively as part of a Request For Proposal (RFP) response.
- Completed by a service provider and sent to their client(s) in lieu of completing multiple proprietary questionnaires.
- A self-assessment of risks and responses. If a service provider provides you with a SIG, ensure its scope meets your needs in terms of business service provided, breadth of risks to that service and range of responses to those risks (realizing that responses include more than controls).

Included with the SIG is the SIG Management Tool (SMT). The SMT is a Microsoft Excel, macro-based spreadsheet that assists both the issuer and the respondent in the proper management of the SIG. The SMT compares the results of a completed SIG and will transfer the responses and additional information between different versions of the SIG. Detailed information for using the SMT is included in this Guide.

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SIG QUICK START GUIDE FOR ISSUERS

The SIG is intended to simplify and speed up the process of gathering the information to assess the controls used by your vendor to protect your company's data, comply with the terms of your agreement, and to provide an operationally stable, protected and recoverable service. Properly scoping the SIG is vitally important to ascertain the state of the environment being assessed. When establishing the scope of the SIG it is important to consider that services may be provided in multiple locations and in multiple environments. To ensure the controls that are important to your organization are represented correctly in the SIG, please follow these steps:

1. Use the SMT to compare SIGs provided by your service providers to the responses you desire by creating a Master SIG. To create a Master SIG perform the following:
   - Open the SIG and navigate to the Formula Notes tab and select Master from the dropdown in cell D6.
   - Navigate to the Lite tab and provide responses appropriate for your organization for each question.
   - Optionally, enter a control score in column AA for each control. This score can be used by your organization to identify the level of importance of each control.
   - Repeat the above two steps for each SIG tab.
2. Contact your service provider prior to sending the SIG. This initial contact should include:
   - The specific services to be considered when completing the SIG.
   - Specific data elements to be covered when completing the SIG.
   - An explanation of the specific transport methods used to either transmit the data to the responder or the method the responder should use to access the data.
   - A reasonable timeframe for the responder to complete the SIG (see Step 4).
   - What the responder should expect once the SIG is returned (see Step 6) e.g., follow-up review, remediation of issues, etc.
   - An explanation that a control assessment is not just a one-time assessment, but is an ongoing and cyclical process.
3. Add any custom questions your organization may require to the Additional Question tab of the SIG.
4. Send the SIG to the responder. Be patient and allow ample time for the responder to complete the SIG. Usually the SIG can be completed within two to three weeks but more time may be necessary for some responders, especially in complex environments in terms of infrastructure types, services and locations.
5. Once you receive the completed SIG and all accompanying policy/process documents from the responder, you may evaluate the SIG either manually or using the SMT.

   Please note: *There are a number of questions in the SIG that are duplicated, this is intentional. The duplicated questions are used as a way to identify controls that may cross multiple areas within the organization. This allows the issuer to determine if a control is answered consistently by different areas within the company.*
6. Follow-up with the responder to review the non-implemented controls and identify if there are compensating controls or plans for remediation. This follow-up should be conducted in accordance with your company's policies. Track and complete the remediation of identified issues.
7. Repeat these steps using an assessment cycle as established by your company's third party service provider assessment and/or risk management policy.

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SIG COMPREHENSIVE GUIDE

Scoping

Scope definition is the most important step in completing a SIG. The SIG represents a range of potential controls applicable to a number of information technology and security standards. It includes a substantial list of assets, processes and controls. Your requirements may focus on only a subset of these items, and may vary between your clients. For example, you may have different facilities that provide different services and therefore require their own SIG. Thus, it is essential to take the time to establish the scope of the SIG for each client or specific service being assessed.

The purpose of any SIG assessment (self- or third party conducted) is to evaluate a set of controls relevant to services that are being provided by a specific service provider. The primary scope of the assessment is the agreement for services offered by a service provider. A secondary scope arises because of the way in which a service is provided to customers in accordance with the service agreement (e.g., location or infrastructure platforms, processing environments).

Tip: *Start small. Start with one data center or one line of business and answer the questions in the SIG for that area. Because of differences that you notice across data centers or product lines, you may determine a SIG is appropriate for each data center or each line of business. By starting small, the service provider and customer can both: a) focus on business objectives for a service and b) improve their efficiency and effectiveness in the evaluation process.*

TAB DESCRIPTION, USE, AND GUIDANCE

This section describes the use and guidance for each of the tabs on the SIG along with general information common across the entire SIG.

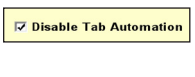
Common Information

Excel macros are used in the SIG to automate some tasks. However, if an organization restricts the use of macros there are dynamic capabilities of the SIG using formulas and conditional formatting which remain in place. It is important to understand this to avoid additional work when completing a SIG. These non-macro capabilities are described below.

Please note: *There are differences in the look and feel of the SIG based on whether macros are enabled. Thus, it is important to initially determine whether you are going to use the SIG with or without macros enabled.*

Macros Enabled

- Top-level questions will initially be displayed in the tab.
- Sub-questions on the tabs will either be displayed or suppressed depending on the response to the top-level question. For example, if yes is selected the sub-level questions will be displayed. If no or N/A is selected, the sub-level question(s) will remain suppressed.



Please note: *To disable macros for a specific tab(s) check the* Disable Tab Automation *checkbox at the top of the tab. When checked, all questions will be displayed.*

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Macros Disabled

All questions on the detail tab will be displayed if macros are disabled.

SIG Color Key

Password protection is used to restrict changes to the SIG. Therefore, colors are used to identify cells that can be changed. It is important to note that neither the content, nor the color codes indicate an endorsement of the "correctness" of the response. The initiator, in terms of their own needs, decides the relevance and importance of each response.

The following are the colors used in the SIG and a description for each:

LIGHT BLUE BACKGROUND IN A CELL indicates cells that are not protected and allow text to be entered or edited. Cells with this color are located on the Dashboard, Business Information, Documentation, and all detail tabs.

Yes

GREEN BACKGROUND IN A CELL identifies a "Yes" response to a question, whether or not the word "Yes" appears. If the text "Yes" does not appear in a green cell, then the response was inherited by the answer to the top-level question (see Question Hierarchy below for more detail).

No N/A

PURPLE BACKGROUND IN A CELL identifies a "No" or "N/A" response to a question, whether or not the word "No" appears. If the text "No" or "N/A" does not appear in a purple cell, then the response was inherited by the answer to its top-level question (see Question Hierarchy below for more detail).

CELLS WITH A HASH BACKGROUND are not to be filled in; rather they are a primary question with secondary questions below.

A YELLOW BACKGROUND ON THE TOP OF A TAB indicates the tab is incomplete. In addition to being found in an incomplete tab, the yellow background will appear on the Dashboard, Lite, and Business Information tabs to indicate where responses are still required. (See below for more information on the purpose of the Dashboard.)

A GREEN BACKGROUND ON THE TOP OF A TAB indicates the tab is complete. In addition to being found in a complete tab, the green background will appear on the Dashboard, Lite, and Business Information tabs to indicate where responses are still required. (See below for more information on the purpose of the Dashboard.)

Question Hierarchy

SIG questions are arranged hierarchically, top-level question followed by sub-questions, when appropriate. This hierarchy is identified by the question number, and the number of digits and separators (a period), which identify the relationship of the question (e.g., question A.1.1 is a sub-level of A.1). If a "No" or "N/A" response is provided for question A.1, question A.1.1 will inherit that response. This inherence is indicated by the background color of the response cell (see SIG Color Key above).Signage on each table in the luncheon area with your organization's logo and name.

SIG Errors and Recovery

Since the SIG uses formulas and macros for calculations, altering the SIG may generate worksheet errors. While content may be altered; users are advised against the deletion and/or addition of columns or rows. The preferable manner to perform these alterations is to "hide" columns or rows.

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SIG TABS

Instructions

The Instruction section gives basic instructions for using the SIG. This field is editable so customized instructions can be provided, if necessary.

Respondent Instructions	Issuer Instructions
Review the request provided by your client/customer which should provide you with instructions on how to answer the SIG and detail the sections of the SIG you are required to complete. If you did not receive instructions from your client we recommend you contact them and seek guidance on how they need the SIG answered and the sections they require you to complete. As you complete the SIG certain cells may change color or if Excel macros are enabled the questions may not be displayed. Based on your response, the SIG will either display questions and/or the response field will change color. This will reduce the number of questions you are required to answer. Primary or parent questions are followed by numbered sub-questions. If you answer 'No' or 'N/A' to a question that cell and all of its related sub-questions will either be hidden and/or the response field will turn purple indicating that you do NOT have to provide a response for those questions. They will show as 'No' or 'N/A' to the Issuer of the SIG when they receive your response. There are two parts to this questionnaire: - SIG Lite - Detail tabs (A through V). The instructions below will help you in the completion of the SIG Lite or full SIG.	We recommend that prior to issuing the SIG you rev vendor should answer based on the type of service(We recommend that along with the SIG, you provide they are required to answered and any other informa accurately complete the SIG (additional questions, c Detailed instructions on how to use the SIG are cont which also includes a Respondent Guide you may w **SIG Management Tool (SMT)** A macros-enabled spreadsheet is provided to Issuer service provider responses and managing the transf previous versions of the SIG. If a master SIG is crea comparisons of all responses in the master SIG to th provider. The SMT will also transfer responses and t field from previous versions of the SIG. For a full list to the SMT Functionality tab. **Note:** Detailed instructions for the use of the SMT a

Use and modify the instructions tab to suit your needs

Dashboard

The Dashboard allows the user to quickly see which tabs of the SIG are completed. The values show the percentage of question completion for each tab. All of the tab names in the Dashboard section are hyperlinks, when you click on the link you are taken to that tab.

Dashboard	Tabs
The Dashboard provides you with a quick and easy reference to determine if the required sections of the SIG have been completed. As questions are answered, either directly or by being pre-filled, the Dashboard will track the completion percentage of each section.	Terms Of Use Business Information Documentation Request List SIG Lite A. Risk Management B. Security Policy C. Organizational Security D. Asset Management E. Human Resources Security F. Physical and Environmental G. Communications and Operations Ma H. Access Control I. Information Systems Application Deve J. Incident Event and Communications M K. Business Continuity and Disaster Rec L. Compliance M. Mobile P. Privacy

Track your progress using the dynamically updated SIG dashboard

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Business Information

The Business Information tab is where the Responder provides information about the organization and defines the scope of the SIG. If the SIG is used as a self-assessment tool, only the last sections (Scope) should be completed.

Business Information	
19 Total Questions to be Answered	**0% Percent Complete**
Question/Request	**Response**
Responder Name	
Responder Job Title	
Responder Contact Information	
Names and titles/functions of individuals who contributed to this questionnaire	
Date of Response	
Company Profile	
Name of the holding or parent company	
Company/business name	
Publicly or privately held company	
If public, what is the name of the Exchange	
If public, what is the trading symbol	
Type of legal entity and state of incorporation	
How long has the company been in business	
Are there any material claims or judgments against the company	
If yes, describe the impact it may have on the services in scope of this document	

Responder business information

Documentation

The Documentation tab provides a list of suggested documents to include with the SIG and a way for the Responder to identify which documents were provided.

Documentation* Use this section to request any specific documentation you want the Respondent to provide along with the SIG		
Document Request	**Question Reference**	**Name and/or type of information provided (e.g document, summary, table of contents)**
* Information Security Policies and Procedures. This should include the following (if not, provide the individual documents as necessary): a) Hiring policies and practices and employment application b) User Account administration policy and procedures for all supported platforms where Scoped Systems and Data are processed and network/LAN access. c) Supporting documentation to indicate completion of User Entitlement reviews d) Employee Non-disclosure agreement document e) Information Security Incident Report policy and procedures, including all contract information f) Copy of Visitor Policy and procedures g) Security Log Review Policies and Procedures		
* Copy of internal or external information security audit report		
Information technology and security organization charts (including where information security resides in the organization and the composition of any information security		

Keep track of essential, associated documentation

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Lite

This tab can be used as a standalone questionnaire in lieu of the entire SIG. The Lite tab consists of a subset of questions duplicated from all of the detail tabs for the full SIG. It is generally used for vendors who offer lower risk services, but can also be used as a starting point to conduct an initial assessment of all vendors. Responses provided on the Lite tab are transferred to their corresponding questions on each detail tab. This avoids the need to copy answers from the Lite tab to a detailed tab if it is required that a full SIG is required.

SIG Lite

121 Total Questions to be Answered | 0% Percent Complete

Questionnaire Instructions:

- For each question choose either Yes, No or N/A from the drop-down menu provided. If N/A is chosen, an explanation is mandatory, use the Additional Information field to the

Ques Num	Question/Request	Response	Additional Information	AUP Reference
	A. Risk Assessment and Treatment			
SL.1	Is there a risk assessment program that has been approved by management, communicated to appropriate constituents and an owner to maintain and review the program?			A.1 IT & Infrastructure Risk Governance and Context
	B. Security Policy			
SL.2	Is there an information security policy that has been approved by management, communicated to appropriate constituents and an owner to maintain and review the policy?			
SL.3				
	C. Organizational Security			
SL.4	Is there an information security function responsible for security initiatives within the organization?			
SL.5				
	D. Asset Management			
SL.6	Is there an asset management policy or program that has been approved by management, communicated to appropriate constituents and an owner to maintain and review the policy?			

Speed your initial evaluation process by using the included SIG Lite

Glossary

The Glossary contains a list of terms used within the SIG. All terms included in the Glossary are italicized in the SIG.

Glossary

Term	Definition
Acceptable Use Policy	Part of the information security framework that defines what users are and are not a organization. It should contain a subset of the information security policy and refer relevant. It should also clearly define the sanctions applied if a user violates the pol
Acknowledgement of Acceptable Use	A written attestation from a user of an information system indicating the user's acce the relevant information systems control policies.
Anti-Tailgating / Anti-Piggybacking Mechanism	Two sets of doors whereby access to the second is not granted until the individual first, often referred to as a "man trap." A controlled turnstile is also considered an a
Asset Classification	The category or type assigned to an asset, which is derived from the asset classific frequently vary from company to company.
Asset Control Tag	A unique identification number assigned to all inventoried assets.
Attribute	A property or field of a particular object.
Baseline	A benchmark by which subsequent items are measured.
Battery	An electrochemical cell (or enclosed and protected material) that can be charged e for power or released electrical charge when needed.
Biometric Reader	A device that uses measurable biological characteristics such as fingerprints or iris

A comprehensive guide to the terminology used throughout the SIG

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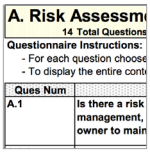
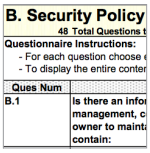
The Detail Tabs (A – Z)

Each of the detail tabs within the SIG allows the vendor to provide information on the extent of their risk controls within their environment.

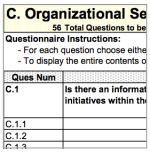
> **Please note:** *There are a number of questions repeated in the SIG on different tabs. This is intentional. The SIG may be answered by different groups within the vendor's environment. The use of redundant questions facilitates the ability to validate the consistency of the risk controls provided.*



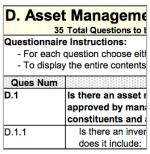
TAB A: RISK MANAGEMENT is used to describe the vendor's risk assessment program. It is further used to assess the maturity and operating effectiveness of the program and provides insight into management's commitment to security and compliance, as well as their ability to make risk-based decisions.



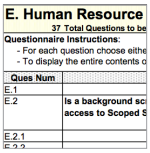
TAB B: SECURITY POLICY documents the information security policy controls of the responder's organization. Validating the existence of a comprehensive security policy provides assurance of the respondents overall approach to security.



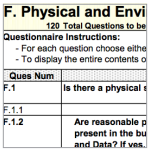
TAB C: ORGANIZATIONAL SECURITY assesses the structure and maturity of an organization's security function and its ability to meet its security obligations.



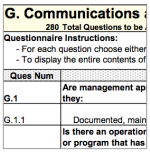
TAB D: ASSET MANAGEMENT determines whether the vendor has a formal asset management and classification structure in place to ensure that financial, security and privacy controls are effectively designed and operating properly.



TAB E: HUMAN RESOURCE SECURITY documents whether the respondent has an HR security program in place that meets the personnel vetting and oversight requirements of the respondent's organization.



TAB F: PHYSICAL AND ENVIRONMENTAL SECURITY examines the organization's perimeter and first layer of defense in order to prevent unauthorized physical access, as well as accidental and intentional damage to the organizations' physical premises, systems and information. The Tab also looks at the steps taken to protect against environmental and systems malfunctions or failures.



TAB G: COMMUNICATION AND OPERATIONS (OPS) MANAGEMENT conducts a detailed assessment of the operating procedures and technical controls used to ensure the effective management, operations, and integrity of the security information systems and data. A service provider's procedures for managing their third party vendors are also included in this tab.

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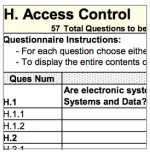
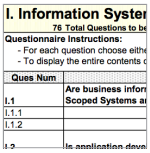
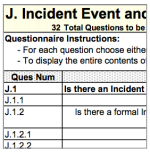

H. Access Control
57 Total Questions to be
Questionnaire Instructions:
- For each question choose eithe
- To display the entire contents
Ques Num
H.1 Are electronic syst Systems and Data?
H.1.1
H.1.2
H.2

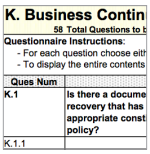
TAB H: ACCESS CONTROL examines the logical (technology-based) access controls of systems, password requirements, identity management, and controls placed around development, including access to information processing systems and facilities. In addition, it includes questions relating to remote access, encryption, and secure data transmission.


I. Information Syste
76 Total Questions to be
Questionnaire Instructions:
- For each question choose eithe
- To display the entire contents
Ques Num
I.1 Are business infor Scoped Systems a
I.1.1
I.1.2
I.2 Is application deve

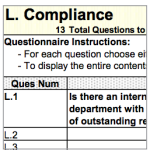
TAB I: INFORMATION SYSTEM ACQUISITION, DEVELOPMENT AND MAINTENANCE (AD&M) examines the controls for application development, programming, data storage and transmission.


J. Incident Event and
32 Total Questions to be
Questionnaire Instructions:
- For each question choose eithe
- To display the entire contents o
Ques Num
J.1 Is there an Incident
J.1.1
J.1.2 Is there a formal I
J.1.2.1
J.1.2.2

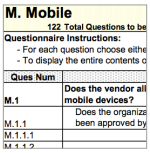
TAB J: INCIDENT EVENT AND COMMUNICATION MANAGEMENT looks to examine the respondent's incident management program, the ability of the company to respond effectively to an incident, and the maturity of the incident management program.


K. Business Contin
58 Total Questions to b
Questionnaire Instructions:
- For each question choose eith
- To display the entire contents
Ques Num
K.1 Is there a docume recovery that has appropriate const policy?
K.1.1

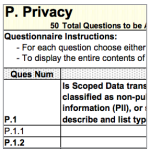
TAB K: BUSINESS CONTINUITY/DISASTER RECOVERY (BC/DR) determines if the respondent has incorporated business continuity considerations into the overall design of their business model, which are sufficient to mitigate the risk of service disruptions and supply chain failures. This tab examines whether technology, business operations, testing, and communication strategies critical to the renewal and continuation of services for the entire business are sufficiently addressed.


L. Compliance
13 Total Questions to
Questionnaire Instructions:
- For each question choose ei
- To display the entire content
Ques Num
L.1 Is there an intern department with of outstanding re
L.2
L.3

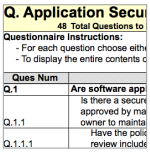
TAB L: COMPLIANCE examines the respondent's ability to satisfy requirements for data security and privacy protection consistent with the issuer's regulatory compliance obligations.


M. Mobile
122 Total Questions to be
Questionnaire Instructions:
- For each question choose eithe
- To display the entire contents
Ques Num
M.1 Does the vendor all mobile devices?
M.1.1 Does the organiz been approved by
M.1.1.1
M.1.1.2

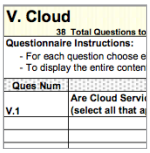
TAB M: MOBILE examines whether mobile devices are used to access the issuer's data and systems. If so, it examines the controls in place to manage mobile device use and access.


P. Privacy
50 Total Questions to be
Questionnaire Instructions:
- For each question choose either
- To display the entire contents of
Ques Num
P.1 Is Scoped Data trans classified as non-pu information (PII), or describe and list typ
P.1.1
P.1.2

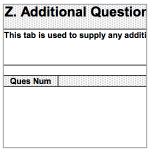
TAB P: PRIVACY examines the respondent's privacy program and privacy management framework used to protect the privacy of respondent's data through its full lifecycle of data collection, storage, usage, sharing, transferring, securing, retention, and destruction. In addition, this tab identifies any instances where initiator's data is obtained, transferred, moved, processed, or in any way leaves the U.S.


Q. Application Secu
48 Total Questions to
Questionnaire Instructions:
- For each question choose eithe
- To display the entire contents
Ques Num
Q.1 Are software app
Q.1.1 Is there a secure approved by ma owner to maintai
Q.1.1.1 Have the polic review include

TAB Q: APPLICATION SECURITY examines the respondent's process for developing software in a secure environment. The assessments of software application security primarily focuses on the formalized security processes implemented by the respondent.


V. Cloud
38 Total Questions to
Questionnaire Instructions:
- For each question choose e
- To display the entire conten
Ques Num
V.1 Are Cloud Servi (select all that a

TAB V: CLOUD question set of this tab is largely based on the Shared Assessments white paper, Evaluating Cloud Risk for the Enterprise: A Shared Assessments Guide. In this tab, the respondent identifies the service and deployment models used to provide Cloud services and the risk controls in place for each model.



TAB Z: ADDITIONAL QUESTIONS facilitates the ability of the issuer to provide additional questions unique to the services provided to them by the vendor.

OTHER TABS not referenced in this document include the Version History, Formula Notes and Full Tabs. The Full tab maps the questions in the SIG to relevant regulations and standards.

THE SIG MANAGEMENT TOOL

The SIG Management Tool (SMT) is a Microsoft Excel macro-based spreadsheet. The SMT is divided into two main functions: 1) to compare SIG responses, and 2) to transfer responses between two SIG spreadsheets. Details of each of these functions can be found below.

Comparison Function

The SMT will compare a Master SIG to a SIG provided by a respondent. The Master has all responses appropriate for the issuer's organization (see creating a Master SIG below). When executed, the SMT will perform a comparison and provide a report of all responses that did not match. The report is in an Excel format. In addition to identifying responses that did not match, the report also includes the value in the Optional Scoring column on the master to assist in the prioritization of any responses that require remediation (a default value of one is provided if there is nothing in the master).

The two SIGs to be compared must be the same version. If they are not, use the transfer function of the SMT to make them the same version. See the transfer function in this section to transfer responses.

Complete the following steps to compare a SIG using the SMT defaults:

1. Open the SMT making sure Excel macros are enabled

   Please note: *The SMT will not function unless macros are enabled*
2. Locate the Master SIG to be used for comparison, note the location
3. Locate the responder's SIG to be compared, note the location
4. Press the Compare SIG button in the upper left corner of the SMT 

5. The SMT will open a file open dialog box and ask for the Master SIG, using the location noted in Step 2, select and open the Master SIG
6. The SMT will open a second file open dialog box and ask for the responder's SIG, using the location noted in Step 3, open the responder's SIG
7. If no errors were encountered the SMT will create an excel file with the results of the comparison
8. If errors were encountered refer to the Potential SMT Errors and Corrections sub-section of this document
9. While the SMT runs, information on what the SMT is doing is displayed in the Excel status bar (located at the very bottom of the spreadsheet)

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10. The SMT will ask if you would like to save and close the output file
    a. If you select Yes the SMT will open a file save dialog box to save the output file to a location you choose and close the output file.

    Please Note: *If you cancel the file save, the SMT will finish and the output file will remain open*

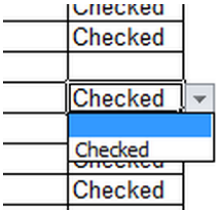
    b. If you select No the SMT will finish and leave the output file open
11. Use the results of the comparison to evaluate the responses provided by the responder

COMPARISON OPTIONS

A number of options are available in the SMT to allow you to customize the output Excel file of the SMT. Described below are each option and its function.

Deselecting/Selecting Individual Tabs

There may be a reason to compare only selected tabs of the Master SIG and the responder's SIG. To deselect tabs, clear the dropdown box next to the tab you would like to remove from comparison. To select the tab again, use the dropdown and select Checked.



Deselecting/Selecting All Tabs

To restore any or all deselected tabs, or to deselect all tabs, use the Check All and Clear All buttons. The Check All button will restore all deselected tabs and the Clear All button will deselect all tabs. Deselecting/Selecting All Tabs

Matching Output Grid

The Matching Output Grid on the SMT allows you to select which responses are either output or suppressed in the report. The grid is used by matching the top column headings from the Master SIG to the row headings of the received SIG and selecting if the output is to be sent to the output file or not. To restore the default output settings, select the Default Match Settings button. For example, if you did not want the SMT to report all additional information from the received SIG, you would use the dropdowns beside Additional Information (cell G22 and H22) and select No Output. The SMT will output only non-matching responses between the master and received SIG spreadsheets. Additional information would be sent to the report only if the values did not match.

Default Match Settings

Matching Output		Master SIG			
		Yes	No	N/A	Blank
Received SIG	Yes	No Output	Output	No Output	No Output
	No	Output	No Output	No Output	No Output
	N/A	Output	Output	No Output	No Output
	Blank	Output	Output	No Output	No Output
	Additional Info	Output	Output	No Output	No Output
	Child of failed parent	No Output			

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Child of Failed Parent

The dropdown next to the Child of Failed Parent in the Match Output Grid, if changed to Output will output all child questions where a parent response did not match. This option is available for a responder's SIGs even though they provided a No or N/A to a parent question, if they also provided responses to child questions. When the Default Match Settings button is pressed this value will change to No Output.

Output File Header Values

The headers for the Output File can be changed by editing the values in the SIG Results Sheet table. Add or edit the existing text to change the Output File headers. You may also add columns to the Output File by placing text into the blank fields below the existing text.

Please Note: *Fields cannot be moved, and only the existing field names can be changed and new fields added.*

Col	SIG Results Sheet
Title	SIG Results
A	Section
B	Parent Question
C	Question Number
D	Question Text
E	Master Response
F	Received Response
G	Additional Information
H	Control Score
I	Assessor Comments
J	Recommendation

Optional Scoring

The SMT supports the transfer of an optional scoring value from the Master SIG to the results sheet. The values output can be used to prioritize remediation of controls that are identified as important to your organization. If the response from the received SIG does not match the Master SIG the value in the Optional Scoring column (column AA) of the master will be transferred to the output sheet in the Control Score column. If there is no value in the Optional Scoring column a default value of 1 will be output. If the SMT is configured to output Additional Information and the responses match, the SMT will assign a value of 0 to those questions. When Child of Failed Parent is set to Output (default is No Output) the children of the failed parent will receive the control score from the Master.

The Optional Scoring function can be used with any version of the SIG. However, the Optional Scoring column will only be displayed on SIG Version 6 or greater when Master is selected. To use the Optional Scoring for all versions of the SIG follow these steps:

1. Create a Master SIG (see below)
2. For each question on the Master, add a value (any number including decimals can be used) in column AA
3. When you run the compare function of the SMT, the values entered on the Master will be output to the output sheet of the SMT
4. Use the values output to prioritize remediation of controls that are identified as important to your organization
5. This function can be used with any version of the SIG back to Version 6.0.

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Output Report

The Output Report may be used to compare results and identify those questions where the responder has provided additional information. If being utilized to compare results between the Master and the responder's SIG, each row of the report corresponds to a question that did not match between the Master and responder's SIG. If the user's desire is to identify questions containing additional information, the information for those questions will be included in the report.

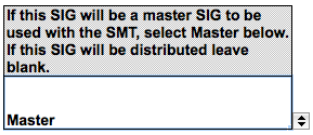
The report is formatted to print to most printers. The fields are as follows:

- **Section:** The section or tab for the question
- **Question:** The question number
- **Master Response:** The response provided in the Master
- **Received Response:** The response from the received SIG
- **Additional Information:** The text in the additional information field for that question
- **Control Score:** The value from the Master for that question
- **Assessor Comments:** A blank filed you can use to provide comments
- **Recommendation:** A blank field you can use to provide recommendations
- **Page Header:** The date and time the comparison was completed
- **Page Footer:** The full name and path of the Master and received SIG spreadsheets

CREATING A MASTER SIG

The Shared Assessments Program does not determine what controls should or should not be in place. That is left up to the user. Therefore, the issuer of the SIG must create a Master SIG for use in the comparison. The Master will be used by the issuer for comparison of all SIGs received. Perform the following steps to create a Master SIG:

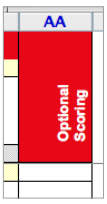
STEP 1: Navigate to the Formula Notes tab and select Master from the dropdown in cell D6



STEP 2: On each tab, Master will be displayed in the top information bar and a new column heading for Optional Scoring will be displayed in column AA

STEP 3: Navigate to the Lite tab and provide responses appropriate for your organization for each question

STEP 4 (OPTIONAL): Enter a control score in column AA for each control. This score can be used by your organization to identify the level of importance of controls (for a complete description of the optional scoring, see the Optional Scoring section of this document)



STEP 5: Repeat Step 4 for each tab of the SIG

STEP 6: Save the Master SIG, and if necessary, create another SIG for any additional services or sites

TRANSFER FUNCTION

The transfer function of the SMT allows either an issuer or a responder to transfer responses between SIG versions. Older versions may be transferred to newer versions and newer versions may be transferred to older versions. This function allows the issuer to transfer responses from a Master SIG when a new version is released, and allows responders to transfer responses from a previously completed SIG when a new version is released. In addition if an issuer receives a SIG that is different from their Master, the SMT transfer function allows the issuer to transfer the responses from their Master to match the version received from the responder. The transfer function will work between any versions of the SIG back to Version 3.0.

> ***Please Note:*** *To ensure the SIG is kept up-to-date, the Shared Assessments Program is constantly adding and removing questions. Therefore, when transferring responses between SIG versions it is important you conduct a review to ensure all questions in your Master SIG have been answered.*

1. Open the SMT making sure Excel macros are enabled.

   Please Note: *The SMT will not function unless macros are enabled*

2. Select the Transfer Responses button
3. Select if the responses on the Business Information and Documentation tabs are to be transferred by selecting or deselecting the checkbox:

   ☑ Include Business Information and Documentaion tabs in transfer

4. You will be prompted to select the SIG to transfer responses from. Then a second open dialog box will ask for the blank SIG to transfer responses to.
5. The blank SIG will open to the Dashboard and the percentages for each tab will increment as responses are transferred
6. You will receive a message when the transfer is complete, click Ok
7. The SMT will ask if you would like to save and close the destination SIG
8. If you select Yes the SMT will open a file save dialog box to save the destination SIG to a location you choose and close the destination SIG

Please Note: *If you cancel the file save the destination SIG will remain open*

9. If you select No the SMT will finish and leave the destination SIG open
10. Review, update, respond to and provide additional information for all questions transferred
11. If an error was displayed, refer to the SMT Error Messages section

SMT ERROR MESSAGES

The SMT is designed to detect the most common errors encountered when either comparing two SIG documents or transferring responses. The following table lists the errors the SIG detects and suggestions on correcting the errors: To transfer responses between two SIG versions perform the following steps:

Error (text)	Description	Correction
None	If a file is not selected (cancel is selected on the file open dialog) the SMT will exit to the main screen	Select a valid SIG file from the file open dialog box
The Master and received SIG versions could not be determined, please check to see if they have a cover sheet and there is a version number in cell A4 (Version 6 and below), A5 (Version 6.2) or B11 (Version 7) of the cover sheet.	The SMT uses the contents of a cell (listed below) on the cover sheet to determine the version of the Master and received SIG spreadsheets. If the contents of that cell has been moved, changed or removed or the Dashboard is missing the SMT will generate this error. The cells on the Dashboard that the SMT is looking at are: - Version 7.0: B11 - Version 6.2: A5 - Version 6.0 and below: A4	Check to see if there is a Dashboard, add Dashboard as necessary Check cell B11 (Version 7), A5 (Version 6.2) or A4 (Version 6.0 or earlier) for the text "Version X.X", add correct version in cell as necessary
The Master SIG version could not be determined, please check to see if the SIG has a cover sheet and there is a version number in cell A4 (Version 6 and below), A5 (Version 6.2) or B11 (Version 7) of the cover sheet.	Similar to the error above, only the Master SIG version could not be determined	Check to see if there is a Dashboard, add Dashboard as necessary Check cell B11 (Version 7), A5 (Version 6.2) or A4 (Version 6.0 or earlier) for the text "Version X.X", add correct version in cell as necessary

The received SIG version could not be determined, please check to see if the SIG has a cover sheet and there is a version number in cell A4 (Version 6 and below), A5 (Version 6.2) or B11 (Version 7) of the cover sheet.	Similar to the error above only the received SIG version could not be determined	Check to see if there is a Dashboard, add Dashboard as necessary Check cell B11 (Version 7), A5 (Version 6.2) or A4 (Version 6.0 or earlier) for the text "Version X.X", add correct version in cell as necessary
The Master SIG and received SIG versions do not match. The Master SIG is version "*version number*" The received SIG is version "*version number*" The versions must match.	The SIG versions do not match	Review the SIG versions of the received and master SIG documents, transfer responses as necessary to make sure both SIG spreadsheets are the same version
No tabs were selected. Please select a tab or tabs to compare and try again.	No tabs were selected on the SMT main tab	Select "Check All" button or select "Checked" for at least one tab to compare
None of the tabs selected were found on the Master, please check the file to make sure it is a SIG	The Master SIG is used as the source of the tab names, the SMT could not find any tab names on the Master matching the tabs selected on the SMT	Make sure the first three characters of the Tabs field on the SMT main tab match the first three characters of the tab names on the Master, correct the Master tab names or make sure the tabs checked on the SMT match the Master tab names
The following tab(s) were not found on the received SIG: "*list of tab name(s)*" Check the tab names and try again.	The selected tab names on the SMT did not match between the Master and the received SIGs, or the SMT could not find a selected tab on the received SIG. The tab names the SMT was looking for will be displayed in the error message box	This is a common error, often responders will change the names of the tabs From the tab names in the error message box review and correct the tab names on the received SIG Clear the checked box on the SMT for the missing tab
The "*tab name*" tab on the Master and received SIG do not Match. Do you want to Exit the SMT? If No is selected the tab will be skipped and the rest of the SIG will be processed.	The SMT compares the number of used rows on the master and received SIGs; this is not a fatal error if the number of rows didn't match. However the tabs cannot be compared. The SMT will prompt you to ask if you would like to continue. If you select No the SMT will ignore that tab and compare the rest of the selected tabs	Select Yes to stop the SMT. Using the tab name in the error box, review the number or questions on the received SIG and compare to the master, if the responder added rows to the SIG they created, remove the rows and compare again. Select No to skip the tab

The question starting point was not found on the "*tab name*" in row "*row*". Check to see if there is a cell error (#REF!, #DIV/0!, etc.) on the "*tab name*" tab in the question number column of the source SIG. Note: this error may be in the total questions to be answered cell (usually cell B2).	This error will be displayed in two cases; if the SMT found a cell with an error in the formula (most common), or the SMT could not find the header "Ques Num" on the tab displayed in the error box.	Open the received SIG and go to the tab identified in the error box Look in column B starting at row 1 and review each cell in column B Look for: A formula error (#REF!, #DIV/0!, etc.) and correct as necessary The text "Ques Num" in column B, removing any extra columns or editing the text
None	If a file is not selected (cancel is selected on the file open dialog) the SMT will exit to the main screen	Select a valid SIG file from the file open dialog box
The source and destination SIG versions could not be determined, please check to see if they have a cover sheet and there is a version number in cell A4 (Version 6 and below), A5 (Version 6.2) or B11 (Version 7) of the cover sheet.	The SMT uses the contents of a cell (listed below) on the cover sheet to determine the version of the source and destination SIG spreadsheets. If the contents of that cell has been moved, changed or removed or the Dashboard is missing the SMT will generate this error. The cells on the Dashboard the SMT is looking at are: - Version 7.0: B11 - Version 6.2: A5 - Version 6.0 and below: A4	Check to see if there is a Dashboard, add Dashboard as necessary Check cell B11 (Version 7), A5 (Version 6.2) or A4 (Version 6.0 or earlier) for the text "Version X.X", add correct version in cell as necessary
The source SIG version could not be determined, please check to see if the SIG has a cover sheet and there is a version number in cell A4 (Version 6 and below), A5 (Version 6.2) or B11 (Version 7) of the cover sheet.	Similar to the error above only the source SIG version could not be determined	Check to see if there is a Dashboard, add Dashboard as necessary Check cell B11 (Version 7), A5 (Version 6.2) or A4 (Version 6.0 or earlier) for the text "Version X.X", add correct version in cell as necessary

The destination SIG version could not be determined, please check to see if the SIG has a cover sheet and there is a version number in cell A4 (Version 6 and below), A5 (Version 6.2) or B11 (Version 7) of the cover sheet.	Similar to the error above only the destination SIG version could not be determined	Check to see if there is a Dashboard, add Dashboard as necessary Check cell B11 (Version 7), A5 (Version 6.2) or A4 (Version 6.0 or earlier) for the text "Version X.X", add correct version in cell as necessary
No tabs were selected. Please select a tab or tabs to compare and try again.	No tabs were selected on the SMT main tab	Select "Check All" button or select "Checked" for at least one tab to transfer
None of the tabs selected were found on the source, please check the file to make sure it is a SIG	The SMT could not find any tab names on the source SIG matching the tabs selected on the SMT main tab	Make sure the first three characters of the Tabs field on the SMT main tab match the source SIG, correct the source tab names or make sure the tabs checked on the SMT main tab match the source tab names
None of the tabs selected were found on the destination, please check the file to make sure it is a SIG.	The SMT could not find any tab names on the destination SIG matching the tabs selected on the SMT main tab	Make sure the first three characters of the Tabs field on the SMT main tab match the destination SIG, correct the destination tab names or make sure the tabs checked on the SMT main tab match the destination tab names
The source SIG question starting point was not found on the "*tab name*" in row "*row number*" Check to see if there is a cell error (#REF!, #DIV/0!, etc.) on the "*tab name*" tab in the question number column of the source SIG. Note: this error may be in the total questions to be answered cell (usually cell B2).	This error will be displayed in two cases; if the SMT found a cell with an error in the formula (most common) or the SMT could not find the header "Ques Num" on the tab displayed in the error box.	Open the source SIG and go to the tab identified in the error box Look in column B starting at row 1 and review each cell in column B Look for: A formula error (#REF!, #DIV/0!, etc.) and correct as necessary The text "Ques Num" in column B, removing any extra columns or editing the text

The destination SIG question starting point was not found on the "tab name" in row "row number" check to see if there is a cell error (#REF!, #DIV/0!, etc.) on the "tab name" tab in the question number column of the source SIG. Note: this error may be in the total questions to be answered cell (usually cell B2).	This error will be displayed in two cases; if the SMT found a cell with an error in the formula (most common) or the SMT could not find the header "Ques Num" on the tab displayed in the error box.	Open the destination SIG and go to the tab identified in the error box Look in column B starting at row 1 and review each cell in column B Look for: A formula error (#REF!, #DIV/0!, etc.) and correct as necessary The text "Ques Num" in column B, removing any extra columns or editing the text
Business Information and Documentation can only be transferred for SIG versions greater then 4.0	The Business Information and/or the Documentation tabs can only be transferred for SIG Versions 4 or greater	Manually copy the responses on the Business Information and/or the Documentation tabs for SIG versions prior to Version 4.

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To learn more or to purchase the Shared Assessments Program Tools, or to obtain information about membership opportunities, contact Julie Lebo, Vice President Client Relations, The Santa Fe Group, at (703) 533-7256 or *julie@santa-fe-group.com*.