



What are the UCP IT Impact Matrices?

Helping compliance professionals to identify opportunities for alignment and unification of various compliance efforts is the primary goal of the UCP. To facilitate this objective, the UCP provides a chart — or IT Impact Matrix — for every IT Impact Zone. The Matrices cross-reference Authorities (major regulations and governance standards and frameworks) with IT control objectives (compliance-driven process goals) related to each of the IT Impact Zones. Matrices are available as complete, printable, editable Excel tables; complete HTML tables; and printable, non-editable PDF excerpts.

The UCP's simple, tabular comparison of IT control objectives, regulatory requirements, and implementation guidance makes it easy to identify how regulations overlap with each other, as well as with established IT standards and governance frameworks. The IT Impact Matrices reveal how requirements for multiple regulatory requirements — such as Sarbanes-Oxley and HIPAA, for example — overlap each other at the IT control level. And finally, the list of simplified control objectives can help you identify where your existing IT processes might already fulfill a part of your compliance obligations.

In addition to the IT Impact Matrixes, IT Impact Zones contain many topical resources and references that provide context and ongoing support for compliance efforts. The following guide will help you efficiently use the Excel version of the UCP IT Impact Matrices.

What is the UCP?

The Unified Compliance Project (UCP) is an ongoing research project from the IT Compliance Institute that aims to demystify the requirements of major regulations, compliance goals, and IT governance frameworks.

The main objective of the UCP is to help companies simplify, standardize, and sustain more efficient compliance efforts. Within the UCP, you'll find strategic tools, expert research, in-depth analysis, and vendor insight related to every major realm of IT compliance efforts.

Find out more at:
www.itcinstitute.com/ucp

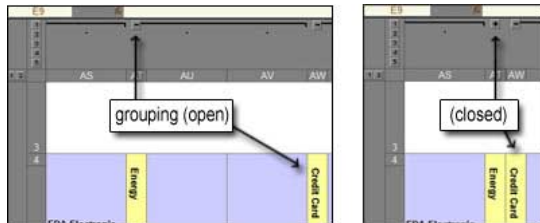


How to Use the Excel Version of the IT Impact Matrices

Beginning August, 2006, IT Impact Matrices are available in a customizable, printable Excel format. Using the Impact Matrices in Excel offers several benefits over other formats.

Below are a few ways you can take advantage of the benefits of using the Excel version of the tables.

Show or Hide Groups of Regulations and Control Objectives



Show or hide groups of regulations and control objectives, depending on your unique corporate environment and regulatory focus. Using Excel's built-in filtering, grouping, and show/hide functionality allows you to quickly construct a comprehensive and concentrated overview of your regulatory reality.

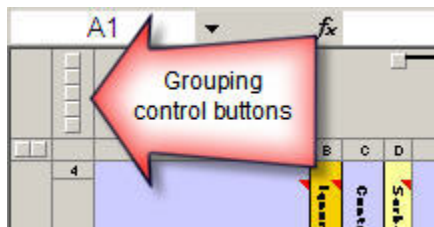
Excel's grouping functions can help you more effectively view and navigate Matrix information. Each Excel table contains two kinds of groupings: Authority groupings and Control Objective groupings. Groupings band related pieces of guidance under a group heading. You can expand (show) and collapse (hide) groups by clicking on the [+] or [-] symbol directly above the group, in the border of the worksheet.

Authority Groups appear in Row 6 and include "Sarbanes-Oxley," "Healthcare," and "Credit Card Regulations," among others. Each Authority Group covers multiple Authorities. Authorities and Authority Groups are consistent across all worksheets.



How to Use the Excel Version of the UCP IT Impact Matrix

Control Objectives appear in Column A. Control Objective grouping symbols appear to the left of Column A. Both Control Objectives and Control Objective Groups are unique for each worksheet.



Some Excel sheets offer multiple ways to expand/collapse view groups. These options are indicated by small, square buttons in the very top-left corner of each Matrix worksheet (see image, below). In the vertical row of buttons, the top button expands all, the bottom button collapses all, and buttons in between selectively expand/contract various groups. Familiarizing yourself with these buttons' functionality can make the Matrices much more useful.

Excel also offers filtering functions that can help you concentrate the most relevant information where it's easiest to see. Filtering hides (without deleting or rearranging) rows of data that you don't want to see. To use the filtering option, begin by place an "X" in Column B ("Ignore Control") next to irrelevant controls. [See example, below.]

To hide controls marked as "Ignore":

- Select Cell B6
- Under Excel's Data menu (at the top of the application screen), select "Filter," then "AutoFilter" in the submenu. Dropdown arrows should appear at the bottom of each cell in Row 5.
- Click the dropdown arrow in Cell B6. Select "[Custom...]" in the context menu. The Custom AutoFilter dialog box should appear.
- Click the arrow next to the top-left box and select "does not equal." In the top-right box, type "X."
- Click "OK"





Screen Shots of Excel IT Impacts Zones

The screenshot shows an Excel spreadsheet titled "ITCI_UCP_Ldrshp-HiLvlObj_0608.xls [Read-Only]". The spreadsheet is titled "IT IMPACT ZONE: LEADERSHIP & HIGH-LEVEL OBJECTIVES".

Column Headers:

- Column A: Simplified Control Objective
- Column B: Control ID
- Column C: Ignore Control (X)
- Column D: Sarbanes-Oxley
- Column E: Sarbanes-Oxley Act (SOX)
- Column F: PCAOB
- Column G: SAS 94
- Column H: AICPA/CICA Privacy Framework
- Column I: AICPA Suitable Trust Services Criteria
- Column J: Retention of Records, SEC 17 CFR 210.2-06

Row 5: Leadership and High-Level Objectives

Row 6: 597 X § 108 ¶ 97, ¶ 114 ¶ 8 - 13, ¶ 15, ¶ 34 - 36 Pg 10, Component 1

Row 7: 598

Row 8: 599

Row 9: 600

Row 10: 601

Callouts:

- Yellow Callout (Column C):** Cells in this Column denote simplified control objectives. Control objectives are IT and business goals that are indicated by the various guidance documents in Row. Use the +/- button to the left of the column to expand and collapse control groups.
- Yellow Callout (Column D):** This cell and all cells to the right in this Row represent individual guidance documents, such as the text of laws, other regulatory guidance, IT standards, and governance frameworks.
- Yellow Callout (Columns D-G):** Yellow columns indicate groupings of related guidance. Use the +/- buttons at the top of the page to expand/collapse control groups.
- Yellow Callout (Column A):** This column allows you specify whether the IT control objective in Column A is relevant to your company:
 1. Check the controls that are not relevant to your business
 2. Use the Filter command under the Data menu to filter out (hide) all rows that you want to ignore in your planning

Footer: COVER PAGE | LEADERSHIP & HL OBJECTIVES



How to Use the Excel Version of the UCP IT Impact Matrix

Microsoft Excel - ITCI_UCP_Ldrshp-HiLvIObj_0608.xls [Read-Only]

File Edit View Insert Format Tools Data Window Help Adobe PDF

Type a question for help

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1 2 3

1 2 D P AC AK AT AW BB BP BT CA CN CS CZ DK DX FH FR GC GF HH HY HZ IA IB IC

IMPACT ZONE: LEADERSHIP & HIGH-LEVEL OBJECTIVES

	Sarbanes-Oxley	Banking and Finance	NASB / NYSE	Health Care and Life Science	Energy	Credit Card	Federal Security	IRS	Records Management	NIST	ISO	ITIL	General Guidance	US Federal Privacy	US State Privacy	EU Guidance	UK Canadian Guidance	Latin American Guidance	Other European Guidance	Asia and Pacific Rim Guidance	Internal Guidance				
4	X	X	X			X	X	X	X	X	X	X	X			X	X								
5																									
6											X	X				X									
7															X										
8													X												
9						X			X			X	X												
10																									

Yellow columns indicate groupings of related guidance.
Use the +/- buttons at the top of the page to expand/collapse control groups.

Add your own guidance documents, beginning here...
...and filling rows to the right >>>

Enter your own guidance documents here.

COVER PAGE | LEADERSHIP & HL OBJECTIVES

Ready



How to Use the Excel Version of the UCP IT Impact Matrix

Microsoft Excel - ITCI_UCP_Ldrshp-HiLvlObj_0608.xls [Read-Only]

File Edit View Insert Format Tools Data Window Help Adobe PDF

Type a question for help

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	D	P	AC	AK	AT	AW	BB	BP	BT	CA	CN	CO	CP	CQ	CR	CS	CZ	DK	DX	FH	FR	GC	G
4	Sarbanes-Oxley	Banking and Finance	NASD / NYSE	Health Care and Life Science	Energy	Credit Card	Federal Security	IRS	Records Management	NIST	ISO	ISO 73:2002 Risk Management-Vocabulary	ISO 1335 Information Technology – Guidelines for Management of IT Security	ISO 17799:2000 Code of Practice for Information Security Management	ISO 27001:2005 Information Security Management Systems – Requirements	ITIL	General Guidance	US Federal Privacy	US State Privacy	EU Guidance	UK Canadian Guidance	Latin American Guidance	Other European Guidance
5	X	X	X			X	X		X	X	X		§ 7.1, § 7.2	Pg xi, § 11.1.1	§ 4.2.3		X			X	X		
6											X		§ 7.1, § 12				X				X		
7																							
8																	X	X					
9																	X	X					
10						X				X													
11				X			X			X	X						X	X					
12							X				X			Pg x-xi (a)			X	X					
13																	X						

Yellow columns indicate groupings of related guidance.
Use the +/- buttons at the top of the page to expand/collapse control groups.

COVER PAGE | LEADERSHIP & HI OBJECTIVES

Ready