

**For an ANNUAL SELF-ASSESSMENT complete the following tabs:**

- Security and Privacy Controls *(Follow the instructions below, in Rows 2-5, to fill in this tab)*
- SAR-Raw Scan Files
- SAR-Pen Test Results

**For a THIRD -PARTY INDEPENDENT ASSESSMENT complete the following tabs:**

- Security and Privacy Controls *(Follow the instructions below, in Rows 7-11, to fill in this tab)*
- SAP-Roles
- SAP Infrastructure
- SAP-Applications
- SAP-Databases
- SAR-Detailed Findings
- SAR-Infrastructure Scan Results
- SAR-Application Scan Results
- SAR-Database Scan Results
- SAR-Source Code Scan Results
- SAR-Pen Test Results
- SAR-Raw Scan Files
- SAR-False Positives

**NOTE: For additional Annual Attestation requirements, see the Security and Privacy Annual Attestation Procedures.**

**For the ANNUAL THIRD-PARTY INDEPENDENT ASSESSMENT "SECURITY AND PRIVACY CONTROLS" TAB ONLY**

**[Instructions:** The assessor must evaluate the list of MARS-E security and privacy controls to ensure the effectiveness of the implementation according to the MARS-E SSP. See below for column descriptions.

**Examine:** Identify artifacts and processes that will be examined for each control.

**Test:** Identify methods and objects you will use to test each control. If automated tools are utilized for this assessment, identify which tools were utilized.

**Interview:** Identify personnel or role that is responsible for the implementation of each control.

**Result (Pass/Fail):** To be filled out after assessment is completed.

**Comments:** Include comments as needed.

**In the 'Attestation Year' column(D), identify the Attestation being conducted by clicking the filter drop down icon in Row 11-Column D. In the drop-down list, there is a clickable box to the left of every selection. Choose the correct annual attestation year, from the following options**

**Annual Attestation Year 1**

For an annual attestation being conducted for **Year 1** Security and Privacy Controls, choose the type of annual Third-Party Independent Assessment that applies.

**• For a Third-Party Independent Assessment with NO Supplemental Controls**

1. Uncheck "Select All".
2. Check the "Y1" box. All Y1 security and/or privacy controls will be displayed.
3. For each control selected, populate the cells for ALL of the assessment methods (Examine, Interview, and Test)
4. Add comments in the 'Comments' column, if necessary.

**• For a Third-Party Independent Assessment with Supplemental Controls**

1. Uncheck "Select All".
2. Check "Blanks".
3. After checking "Blanks" in the drop-down list, scroll down to the security and/or privacy control(s) that need to be added to this year's annual attestation.
4. In the cell of column D for each specific supplemental control, click the drop-down icon and select "Supplemental".
5. Scroll up to the top of the Security and Privacy Controls tab, click the filter drop-down icon in **Row 11-Column D** again.
6. Check the "Supplemental" and "Y1" boxes.
7. Uncheck "Blanks". All Y1 and Supplemental security and/or privacy controls to be assessed will be displayed.
8. For each control selected, populate the cells for ALL of the assessment methods (Examine, Interview, and Test).
9. Add comments in the 'Comments' column, if necessary.

**Annual Attestation Year 2**

For an annual attestation being conducted for **Year 2** Security and Privacy Controls, choose the type of annual Third-Party Independent Assessment that applies.

**• For a Third-Party Independent Assessment with NO Supplemental Controls**

1. Uncheck "Select All".
2. Check the "Y2" box. All Y2 security and/or privacy controls will be displayed.
3. For each control selected, populate the cells for ALL of the assessment methods (Examine, Interview, and Test)
4. Add comments in the 'Comments' column, if necessary.

**• For a Third-Party Independent Assessment with Supplemental Controls**

1. Uncheck "Select All".
2. Check "Blanks".
3. After checking "Blanks" in the drop-down list, scroll down to the security and/or privacy control(s) that need to be added to this year's annual attestation.
4. In the cell of column D for each specific supplemental control, click the drop-down icon and select "Supplemental".
5. Scroll up to the top of the Security and Privacy Controls tab, click the filter drop-down icon in **Row 11-Column D** again.
6. Check the "Supplemental" and "Y2" boxes.
7. Uncheck "Blanks". All Y2 and Supplemental security and/or privacy controls to be assessed will be displayed.
8. For each control selected, populate the cells for ALL of the assessment methods (Examine, Interview, and Test).
9. Add comments in the 'Comments' column, if necessary.