Payment Card Industry (PCI)
Data Security Standard

Report on Compliance

Template for Report on Compliance for use with PCI DSS v3.1

Revision 1.0

April 2015

Document Changes

Date	Version	Description
February 2014	PCI DSS 3.0, Revision1.0	To introduce the template for submitting Reports on Compliance. *This document is intended for use with version 3.0 of the PCI Data Security Standard.*
July 2014	PCI DSS 3.0, Revision 1.1	Errata - Minor edits made to address typos and general errors, slight addition of content
April 2015	PCI DSS 3.1, Revision1.0	Revision to align with changes from PCI DSS 3.0 to PCI DSS 3.1 (see *PCI DSS – Summary of Changes from PCI DSS Version 3.0 to 3.1* for details of those changes). Also includes minor edits made for clarification and/or format.

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Introduction to the ROC Template

This document, the *PCI DSS Template for Report on Compliance for use with PCI DSS v3.1, Revision 1.0* ("ROC Reporting Template"), is the mandatory template for Qualified Security Assessors (QSAs) completing a Report on Compliance (ROC) for assessments against the *PCI DSS Requirements and Security Assessment Procedures v3.1.* The ROC Reporting Template provides reporting instructions and the template for QSAs to use. This can help provide reasonable assurance that a consistent level of reporting is present among assessors.

Use of this Reporting Template is mandatory for all v3.1 submissions.

Tables have been included in this template to facilitate the reporting process for certain lists and other information as appropriate. The tables in this template may be modified to increase/decrease the number of rows, or to change column width. Additional appendices may be added if the assessor feels there is relevant information to be included that is not addressed in the current format. However, the assessor must not remove any details from the tables provided in this document. Personalization, such as the addition of company logos, is acceptable.

Do not delete any content from any place in this document, including this section and the versioning above. These instructions are important for the assessor as the report is written and for the recipient in understanding the context the responses and conclusions are made. Addition of text or sections is applicable within reason, as noted above. Refer to the "Frequently Asked Questions for use with ROC Reporting Template for PCI DSS v3.x" document on the PCI SSC website for further guidance.

The Report on Compliance (ROC) is produced during onsite PCI DSS assessments as part of an entity's validation process. The ROC provides details about the entity's environment and assessment methodology, and documents the entity's compliance status for each PCI DSS Requirement. A PCI DSS compliance assessment involves thorough testing and assessment activities, from which the assessor will generate detailed work papers. These work papers contain comprehensive records of the assessment activities, including observations, results of system testing, configuration data, file lists, interview notes, documentation excerpts, references, screenshots, and other evidence collected during the course of the assessment. The ROC is effectively a ***summary of evidence*** derived from the assessor's work papers to describe how the assessor performed the validation activities and how the resultant findings were reached. At a high level, the ROC provides a comprehensive ***summary of testing activities performed and information collected*** during the assessment against the *PCI DSS Requirements and Security Assessment Procedures v3.1*. The information contained in a ROC must provide enough detail and coverage to verify that the assessed entity is compliant with all PCI DSS requirements.

ROC Sections

The ROC includes the following sections and appendices:

- Section 1: Contact Information and Report Date
- Section 2: Summary Overview
- Section 3: Description of Scope of Work and Approach Taken
- Section 4: Details about Reviewed Environment
- Section 5: Quarterly Scan Results
- Section 6: Findings and Observations

- Appendix A: Additional PCI DSS Requirements for Shared Hosting Providers
- Appendices B and C: Compensating Controls and Compensating Controls Worksheet (as applicable)
- Appendix D: Segmentation and Sampling of Business Facilities/System Components (diagram)

The first five sections must be thoroughly and accurately completed, in order for the assessment findings in Section 6 and any applicable responses in the Appendices to have the proper context. The Reporting Template includes tables with Reporting Instructions built-in to help assessors provide all required information throughout the document. Responses should be specific, but efficient. Details provided should focus on concise quality of detail, rather than lengthy, repeated verbiage. Parroting the testing procedure within a description is discouraged, as it does not add any level of assurance to the narrative. Use of template language for summaries and descriptions is discouraged and details should be specifically relevant to the assessed entity.

ROC Summary of Assessor Findings

With the Reporting Template, an effort was made to efficiently use space, and as such, there is one response column for results/evidence ("ROC Reporting Details: Assessor's Response") instead of three. Additionally, the results for "Summary of Assessor Findings" were expanded to more effectively represent the testing and results that took place, which should be aligned with the Attestation of Compliance (AOC).

There are now five results possible – In Place, In Place with CCW (Compensating Control Worksheet), Not Applicable, Not Tested, and Not in Place. At each sub-requirement there is a place to designate the result ("Summary of Assessor Findings"), which can be checked as appropriate. See the example format on the following page, as referenced.

The following table is a helpful representation when considering which selection to make. Remember, only one response should be selected at the sub-requirement level, and reporting of that should be consistent with other required documents, such as the AOC.

Refer to the "Frequently Asked Questions for use with ROC Reporting Template for PCI DSS v3.x" document on the PCI SSC website for further guidance.

RESPONSE	WHEN TO USE THIS RESPONSE:	USING THE SAMPLE BELOW:
In Place	The expected testing has been performed, and all elements of the requirement have been met as stated.	*In the sample, the Summary of Assessment Findings at 1.1 is "in place" if all report findings are in place for 1.1.a and 1.1.b or a combination of in place and not applicable.*

RESPONSE	WHEN TO USE THIS RESPONSE:	USING THE SAMPLE BELOW:
In Place w/ CCW (Compensating Control Worksheet)	The expected testing has been performed, and the requirement has been met with the assistance of a compensating control. All responses in this column require completion of a Compensating Control Worksheet (CCW) Information on the use of compensating controls and guidance on how to complete the worksheet is provided in the PCI DSS.	*In the sample, the Summary of Assessment Findings at 1.1 is "in place with CCW" if all report findings are in place for 1.1.a and 1.1.b with the use of a CCW for one or both (completed at the end of the report) or a combination of in place with CCW and not applicable.*
Not in Place	Some or all elements of the requirement have not been met, or are in the process of being implemented, or require further testing before it will be known if they are in place.	*In the sample, the Summary of Assessment Findings at 1.1 is "not in place" if either 1.1.a or 1.1.b are concluded to be "not in place."*
N/A (Not Applicable)	The requirement does not apply to the organization's environment. All "not applicable" responses require reporting on testing performed to confirm the "not applicable" status. Note that a "Not Applicable" response still requires a detailed description explaining how it was determined that the requirement does not apply. Certain requirements are always applicable (3.2.1-3.2.3, for example), and that will be designated by a grey box under "Not Applicable."	*In the sample, the Summary of Assessment Findings at 1.1 is "not applicable" if both 1.1.a and 1.1.b are concluded to be "not applicable." A requirement is applicable if any aspects of the requirement apply to the environment being assessed, and a "Not Applicable" designation in the Summary of Assessment Findings should not be used in this scenario.* ***Note, future-dated requirements are considered Not Applicable until the future date has passed. While it is true that the requirement is likely not tested (hence the original instructions), it is not required to be tested until the future date has passed, and the requirement is therefore not applicable until that date. As such, a "Not Applicable" response to future-dated requirements is accurate, whereas a "Not Tested" response would imply there was not any consideration as to whether it could apply (and be perceived as a partial or incomplete ROC).* *Once the future date has passed, responses to those requirements should be consistent with instructions for all requirements.*

RESPONSE	WHEN TO USE THIS RESPONSE:	USING THE SAMPLE BELOW:
Not Tested	The requirement (or any single aspect of the requirement) was not included for consideration in the assessment and was not tested in any way. (See "What is the difference between 'Not Applicable' and 'Not Tested'?" below for examples of when this option should be used.)	*In the sample, the Summary of Assessment Findings at 1.1 is "not tested" if either 1.1.a or 1.1.b are concluded to be "not tested."*

What is the difference between "Not Applicable" and "Not Tested?"

Requirements that are deemed to be not applicable to an environment must be verified as such. Using the example of wireless and an organization that does not use wireless technology in any capacity, an assessor could select "N/A" for Requirements 1.2.3, 2.1.1, and 4.1.1, after the assessor confirms that there are no wireless technologies used in their CDE or that connect to their CDE via assessor testing. Once this has been confirmed, the organization may select "N/A" for those specific requirements, and the accompanying reporting must reflect the testing performed to confirm the not applicable status.

If a requirement is completely excluded from review without any consideration as to whether it could apply, the "Not Tested" option should be selected. Examples of situations where this could occur may include:

- An organization may be asked by their acquirer to validate a subset of requirements—for example: using the prioritized approach to validate certain milestones.
- An organization may wish to validate a new security control that impacts only a subset of requirements—for example, implementation of a new encryption methodology that requires assessment of PCI DSS Requirements 2, 3, and 4.
- A service provider organization might offer a service that covers only a limited number of PCI DSS requirements—for example, a physical storage provider may only wish to validate the physical security controls per PCI DSS Requirement 9 for their storage facility.

In these scenarios, the organization only wishes to validate certain PCI DSS requirements even though other requirements might also apply to their environment. Compliance is determined by the brands and acquirers, and the AOCs they see will be clear in what was tested and not tested. They will decide whether to accept a ROC with something "not tested," and the QSA should speak with them if any exception like this is planned. This should not change current practice, just reporting.

Requirement X: Sample

Note – checkboxes have been added to the "Summary of Assessment Findings" so that the assessor may double click to check the applicable summary result. Hover over the box you'd like to mark and click once to mark with an 'x.' To remove a mark, hover over the box and click again.

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place with CCW	Not Applicable	Not Tested	Not in Place
1.1 Sample sub-requirement			☐	☐	☐	☐	☐
1.1.a Sample testing procedure	Reporting Instruction	*<Report Findings Here>*					
1.1.b Sample testing procedure	Reporting Instruction	*<Report Findings Here>*					

ROC Reporting Details

The reporting instructions in the Reporting Template explain the intent of the response required. There is no need to repeat the testing procedure or the reporting instruction within each assessor response. As noted earlier, responses should be specific and relevant to the assessed entity. Details provided should focus on concise quality of detail, rather than lengthy, repeated verbiage and should avoid parroting of the testing procedure without additional detail or generic template language.

Assessor responses will generally fall into categories such as the following:

- One word **(yes/no)**

  *Example Reporting Instruction: **Indicate whether** the assessed entity is an issuer or supports issuing services. **(yes/no)***

- Document name or interviewee job title/reference – In Sections 4.10, "Documentation Reviewed," and 4.11, "Individuals Interviewed" below, there is a space for a reference number and ***it is the QSA's choice*** to use the document name/interviewee job title or the reference number at the individual reporting instruction response.

  *Example Reporting Instruction: **Identify** the document that defines vendor software development processes.*
  *Example Reporting Instruction: **Identify the individuals** interviewed who confirm that …*

- Sample description – For sampling, the QSA must use the table at "Sample sets for reporting" in the Details about Reviewed Environment section of this document to fully report the sampling, but ***it is the QSA's choice*** to use the Sample set reference number ("Sample Set-5") or list out the items from the sample again at the individual reporting instruction response.

  *Example Reporting Instruction: **Identify the sample** of removable media observed.*

- Brief description/short answer – Short and to the point, but provide detail and individual content that is not simply an echoing of the testing procedure or reporting instruction nor a template answer used from report-to-report, but instead relevant and specific to the assessed entity.

  *Example Reporting Instruction: **Describe** the procedures for secure key distribution that were observed to be implemented.*
  *Example Reporting Instruction: For the interview, **summarize the relevant details** discussed that verify …*

Dependence on another service provider's compliance:

Generally, when reporting on a requirement where a third-party service provider is responsible for the tasks, an acceptable response for an "in place" finding may be something like:

"Assessor verified this is the responsibility of Service Provider X, as verified through review of x/y contract (document). Assessor reviewed the AOC for Service Provider X, dated MM/DD/YYYY, and confirmed the service provider was found to be PCI DSS compliant ***against PCI DSS v2.0 (or PCI DSS v3.0/PCI DSS v3.1)*** *for all applicable requirements, and that it covers the scope of the services used by the assessed entity."*

That response could vary, but what's important is that it is noted as "in place" and that there has been a level of testing by the assessor to support the conclusion that this responsibility is verified and that the responsible party has been tested against the requirement and found to be compliant.

Dependence on another service provider's compliance where the service providers is compliant with PCI DSS v2.0, but the entity is being assessed against PCI DSS v3.1:

During the implementation period for PCI DSS version 3, an entity being assessed against PCI DSS v3.1 may be relying on the compliance of third-party service providers who are assessed as compliant against PCI DSS v2.0. This is acceptable, and there is no need to force the third-party service provider to be assessed against PCI DSS 3.1 while their PCI DSS 2.0 assessment is still valid. How should this be documented?

In the scenario where the entity is assessing against PCI DSS 3.1, but the third-party service provider's current compliant assessment is against PCI DSS 2.0, two possibilities exist:

- The requirement and/or testing procedure exists in both standards, in which case the response noted above would likely be sufficient. Noting that the service provider is compliant with 2.0 of the PCI DSS in the response is worthwhile to address any possible changes to requirements or testing procedures. As noted above, future-dated requirements are considered Not Applicable until the future date has passed. Until that date, an acceptable answer for the accompanying "not applicable" finding might be something like: *"Not Applicable, as this is a future-dated requirement. Assessor verified this is the responsibility of Service Provider X, as verified through review of x/y contract (document). Assessor reviewed the AOC for Service Provider X, dated 1/12/2013, and confirmed the SP is compliant with v2.0 of the PCI DSS."*

  Refer to the FAQs on the PCI SSC website at https://www.pcisecuritystandards.org/faq/ for more information.

Do's and Don'ts: Reporting Expectations

DO:	*DON'T:*
▪ Use this Reporting Template when assessing against v3.1 of the PCI DSS. ▪ Complete all sections in the order specified. ▪ Read and understand the intent of each Requirement and Testing Procedure. ▪ Provide a response for every Testing Procedure. ▪ Provide sufficient detail and information to support the designated finding, but be concise. ▪ Describe *how* a Requirement was verified per the Reporting Instruction, not just that it *was* verified. ▪ Ensure the parts of the Testing Procedure and Reporting Instruction are addressed. ▪ Ensure the response covers all applicable system components. ▪ Perform an internal quality assurance review of the ROC for clarity, accuracy, and quality. ▪ Provide useful, meaningful diagrams, as directed.	▪ Don't report items in the "In Place" column unless they have been verified as being "in place" as stated. ▪ Don't include forward-looking statements or project plans in the "In Place" assessor response. ▪ Don't simply repeat or echo the Testing Procedure in the response. ▪ Don't copy responses from one Testing Procedure to another. ▪ Don't copy responses from previous assessments. ▪ Don't include information irrelevant to the assessment.

ROC Template for PCI Data Security Standard v3.1

This template is to be used for creating a Report on Compliance. Content and format for a ROC is defined as follows:

1. Contact Information and Report Date

1.1 Contact information

Client	
▪ Company name:	
▪ Company address:	
▪ Company URL:	
▪ Company contact name:	
▪ Contact phone number:	
▪ Contact e-mail address:	
Assessor Company	
▪ Company name:	
▪ Company address:	
▪ Company website:	
Assessor	
▪ Assessor name:	
▪ Assessor PCI credentials: (QSA, PA-QSA, etc.)	
▪ Assessor phone number:	
▪ Assessor e-mail address:	
Assessor Quality Assurance (QA) Primary Reviewer for this specific report (not the general QA contact for the QSA)	
▪ QA reviewer name:	
▪ QA reviewer phone number:	
▪ QA reviewer e-mail address:	

1.2 Date and timeframe of assessment

▪ Date of Report:	
▪ Timeframe of assessment (start date to completion date):	
▪ Identify date(s) spent onsite at the entity:	
▪ Descriptions of time spent onsite at the entity and time spent performing remote assessment activities, including time spent on validation of remediation activities.	

1.3 PCI DSS version

▪ Version of the PCI Data Security Standard used for the assessment (should be 3.1):	

1.4 Additional services provided by QSA company

The PCI DSS Validation Requirements for QSAs v1.2, Section 2.2 "Independence" specifies requirements for QSAs around disclosure of such services and/or offerings that could reasonably be viewed to affect independence of assessment. Complete the below after review of this portion of the Validation Requirements, to ensure responses are consistent with documented obligations.

▪ Disclose all services offered to the assessed entity by the QSAC, including but not limited to whether the assessed entity uses any security-related devices or security-related applications that have been developed or manufactured by the QSA, or to which the QSA owns the rights or that the QSA has configured or manages:	
▪ Describe efforts made to ensure no conflict of interest resulted from the above mentioned services provided by the QSAC:	

2. Summary Overview

2.1 Description of the entity's payment card business

Provide an overview of the entity's payment card business, including:

▪ Describe the nature of the entity's business (what kind of work they do, etc.) ***Note:*** *This is not intended to be a cut-and-paste from the entity's website, but should be a tailored description that shows the assessor understands the business of the entity being assessed.*	
▪ Describe how and why the entity stores, processes, and/or transmits cardholder data. ***Note:*** *This is not intended to be a cut-and-paste from above, but should build on the understanding of the business and the impact this can have upon the security of cardholder data. website*	
▪ What types of payment channels the entity serves, such as card-present and card-not-present (for example, mail order/telephone order (MOTO), e-commerce).	
▪ Any entities that the assessed entity connects to for payment transmission or processing, including processor relationships.	

2.2 High-level network diagram(s)

Provide a ***high-level*** network diagram (either obtained from the entity or created by assessor) of the entity's networking topography, showing the overall architecture of the environment being assessed. This high-level diagram should summarize all locations and key systems, and the boundaries between them and should include the following:

- Connections into and out of the network including demarcation points between the cardholder data environment (CDE) and other networks/zones
- Critical components within the cardholder data environment, including POS devices, systems, databases, and web servers, as applicable
- Other necessary payment components, as applicable

<Insert high-level network diagram(s)>

3. Description of Scope of Work and Approach Taken

3.1 Assessor's validation of defined cardholder data environment and scope accuracy

Document how the assessor validated the accuracy of the defined CDE/PCI DSS scope for the assessment, including:

As noted in PCI DSS, v3.1 – "At least annually and prior to the annual assessment, the assessed entity should confirm the accuracy of their PCI DSS scope by identifying all locations and flows of cardholder data, and identify all systems that are connected to or if compromised could impact the CDE (e.g. authentication servers) to ensure they are included in the PCI DSS scope." *Note – additional reporting has been added below to emphasize systems that are connected to or if compromised could impact the CDE.*	
▪ Describe the methods or processes (for example, tools, observations, feedback, scans, data flow analysis) used to identify and document all existences of cardholder data (as executed by the assessor, assessed entity or a combination):	
▪ Describe the methods or processes (for example, tools, observations, feedback, scans, data flow analysis) used to verify that no cardholder data exists outside of the defined CDE (as executed by the assessor, assessed entity or a combination):	
▪ Describe how the results of the methods/processes were evaluated by the assessor to verify that the PCI DSS scope of review is appropriate:	
▪ Describe how the results of the methods/processes were documented (for example, the results may be a diagram or an inventory of cardholder data locations):	
▪ Describe why the methods (for example, tools, observations, feedback, scans, data flow analysis) used for scope verification are considered by the assessor to be effective and accurate:	
▪ Provide the name of the assessor who attests that the defined CDE and scope of the assessment has been verified to be accurate, to the best of the assessor's ability and with all due diligence:	

3.2 Cardholder Data Environment (CDE) overview

Provide an overview of the cardholder data environment encompassing the people, processes, technologies, and locations (for example, client's Internet access points, internal corporate network, processing connections).

▪ People – such as technical support, management, administrators, operations teams, cashiers, telephone operators, etc.: ***Note** – this is not intended to be a list of individuals interviewed, but instead a list of the types of people, teams, etc. who were included in the scope.*	

▪ Processes – such as payment channels, business functions, etc.:	
▪ Technologies – such as e-commerce systems, internal network segments, DMZ segments, processor connections, POS systems, etc.: ▪ ***Note** – this is not intended to be a list of devices but instead a list of the types of technologies, purposes, functions, etc. included in the scope.*	
▪ Locations/sites/stores – such as retail outlets, data centers, corporate office locations, call centers, etc.:	
▪ Other details, if applicable:	

3.3 Network segmentation

▪ Identify whether the assessed entity has used network segmentation to reduce the scope of the assessment. **(yes/no)**	
▪ ***If segmentation is not used:*** Provide the name of the assessor who attests that the whole network has been included in the scope of the assessment.	
▪ ***If segmentation is used:*** Briefly describe how the segmentation is implemented.	
• Identify the technologies used and any supporting processes	
• Explain how the assessor validated the effectiveness of the segmentation, as follows:	
- Describe the methods used to validate the effectiveness of the segmentation (for example, observed configurations of implemented technologies, tools used, network traffic analysis, etc.).	
- Describe how it was verified that the segmentation is functioning as intended.	
- Describe how it was verified that adequate security controls are in place to ensure the integrity of the segmentation mechanisms (e.g., access controls, change management, logging, monitoring, etc.).	
▪ Provide the name of the assessor who attests that the segmentation was verified to be adequate to reduce the scope of the assessment AND that the technologies/processes used to implement segmentation were included in the PCI DSS assessment.	

3.4 Network segment details

Describe all networks that store, process and/or transmit CHD:

Network Name (in scope)	Function/ Purpose of Network

Describe all networks that do not store, process and/or transmit CHD, but are still in scope (e.g., connected to the CDE or provide management functions to the CDE):

Network Name (in scope)	Function/ Purpose of Network

Describe any networks confirmed to be out of scope:

Network Name (out of scope)	Function/ Purpose of Network

3.5 Connected entities for processing

Complete the following for connected entities for processing. If the assessor needs to include additional reporting for the specific brand and/or acquirer, it can be included either here within 3.5 or as an appendix at the end of this report. Do not alter the Attestation of Compliance (AOC) for this purpose.

Identify All Processing Entities (Acquirer/ Bank/ Brands directly connected to for processing)	Description of any discussions/issues between the QSA and Processing Entity on behalf of the Assessed Entity for this PCI DSS Assessment (if any)

▪ Other details, if applicable (add content or tables here for brand/acquirer use, if needed):	

3.6 Other business entities that require compliance with the PCI DSS

Entities wholly owned by the assessed entity that are required to comply with PCI DSS:
(This may include subsidiaries, different brands, DBAs, etc.)

Wholly Owned Entity Name	Reviewed:	
	As part of this assessment	Separately

International entities owned by the assessed entity that are required to comply with PCI DSS:

International Entity Name	Facilities in this country reviewed:	
	As part of this assessment	Separately

3.7 Wireless summary

▪ If there are no wireless networks or technologies in use, describe how this was verified by the assessor.	
▪ If there are wireless networks or technologies in use, identify and describe all wireless technologies in use that are **connected to or could impact**	

the security of the cardholder data environment. This would include: • Wireless LANs • Wireless payment applications (for example, POS terminals) • All other wireless devices/technologies	

3.8 Wireless details

For each wireless technology in scope, identify the following:

Identified wireless technology	For each wireless technology in scope, identify the following (yes/no):		
	Whether the technology is used to store, process or transmit CHD	Whether the technology is connected to or part of the CDE	Whether the technology could impact the security of the CDE

Wireless technology not in scope for this assessment:

Identified wireless technology (not in scope)	Describe how the wireless technology was validated by the assessor to be not in scope

4. Details about Reviewed Environment

4.1 Detailed network diagram(s)

Provide one or more ***detailed diagrams*** to illustrate each communication/connection point between in scope networks/environments/facilities. Diagrams should include the following:

- All boundaries of the cardholder data environment
- Any network segmentation points which are used to reduce scope of the assessment
- Boundaries between trusted and untrusted networks
- Wireless and wired networks
- All other connection points applicable to the assessment

Ensure the diagram(s) include enough detail to clearly understand how each communication point functions and is secured. *(For example, the level of detail may include identifying the types of devices, device interfaces, network technologies, protocols, and security controls applicable to that communication point.)*

<Insert detailed diagram(s)>

4.2 Description of cardholder data flows

Cardholder data flows	**Types of CHD involved** (for example, full track, PAN, expiry)	**Describe how cardholder data is transmitted and/or processed and for what purpose it is used**
Authorization		
Capture		
Settlement		
Chargeback		
Identify all other data flows, as applicable (add rows as needed)		
Other (describe)		
Other (describe)		

4.3 Cardholder data storage

Identify and list all databases, tables, and files storing cardholder data and provide the following details.

Note: *The list of files and tables that store cardholder data in the table below must be supported by an inventory created (or obtained from the client) and retained by the assessor in the work papers.*

Data Store (database, file, table, etc.)	**Cardholder data elements stored** (PAN, expiry, any elements of SAD)	**How data is secured** (for example, use of encryption, access controls, truncation, etc.)	**How access to data stores is logged** (description of logging mechanism used for logging access to data—for example, enterprise log management solution, application-level logging, operating system logging, etc.)

4.4 Critical hardware in use in the cardholder data environment

Identify and list all types of hardware in the cardholder environment, including network components, servers and other mainframes, devices performing security functions, end-user devices (such as laptops and workstations), virtualized devices (if applicable) and any other critical hardware – including homegrown components. For each item in the list, provide details for the hardware as indicated below. Add rows, as needed.

Type of Device	Vendor (make/model)	Role/Functionality

4.5 Critical software in use in the cardholder data environment

Identify and list all critical software in the cardholder environment, such as e-commerce applications, applications accessing CHD for non-payment functions (fraud modeling, credit verification, etc.), software performing security functions or enforcing PCI DSS controls, underlying operating systems that store, process or transmit CHD, system management software, virtualization management software, and other critical software – including homegrown software/applications. For each item in the list, provide details for the software as indicated below. Add rows, as needed.

Name of Software Product	Version or Release	Role/Functionality

4.6 Sampling

Identify whether sampling was used during the assessment.

▪ If sampling is not used:	
• Provide the name of the assessor who attests that every system component and all business facilities have been assessed.	
▪ If sampling is used:	
• Provide the name of the assessor who attests that all sample sets used for this assessment are represented in the below "Sample sets for reporting" table. *Examples may include, but are not limited to firewalls, application servers, retail locations, data centers, User IDs, people, etc.*	
• Describe the sampling rationale and/or standardized PCI DSS security and operational processes/controls used for selecting sample sizes (for people, processes, technologies, devices, locations/sites, etc.).	
• Describe how the above processes and controls were validated by the assessor.	

4.7 Sample sets for reporting

Note: *When a reporting instruction asks for a sample, the QSA may either refer to the Sample Set Identifier here (for example "Sample Set-1") OR list the sampled items individually in the response. Examples of sample sets may include, but are not limited to, firewalls, application servers, retail locations, data centers, User IDs, people, etc. Add rows as needed.*

Sample Set Reference Number	**Sample Type/ Description** (e.g., firewalls, datacenters, etc.)	**Listing of all components (devices, locations, etc.) of the Sample Set** (with make/model, as applicable)	**Total Sampled**	**Total Population**
Sample Set-1				
Sample Set-2				
Sample Set-3				
Sample Set-4				

4.8 Service providers and other third parties with which the entity shares cardholder data

For each service provider or third party, provide:

Note: *These entities are subject to PCI DSS Requirement 12.8.*

Company Name	**What data is shared** (for example, PAN, expiry date, etc.)	**The purpose for sharing the data** (for example, third-party storage, transaction processing, etc.)	**Status of PCI DSS Compliance** (Date of AOC and version #)

Company Name	What data is shared (for example, PAN, expiry date, etc.)	The purpose for sharing the data (for example, third-party storage, transaction processing, etc.)	Status of PCI DSS Compliance (Date of AOC and version #)

4.9 Third-party payment applications/solutions

Use the table on the following page to identify and list all third-party payment application products and version numbers in use, including whether each payment application has been validated according to PA-DSS or PCI P2PE. Even if a payment application has been PA-DSS or PCI P2PE validated, the assessor still needs to verify that the application has been implemented in a PCI DSS compliant manner and environment, and according to the payment application vendor's *PA-DSS Implementation Guide* for PA-DSS applications *or P2PE Implementation Manual (PIM) and* P2PE application vendor's P2PE Application Implementation Guide for PCI P2PE applications/solutions.

Note: *It is not a PCI DSS requirement to use PA-DSS validated applications. Please consult with each payment brand individually to understand their PA-DSS compliance requirements.*

Note*: Homegrown payment applications/solutions* ***must*** *be reported at the sections for Critical Hardware and Critical Software. It is also strongly suggested to address such homegrown payment applications/solutions below at "Any additional comments or findings" in order to represent all payment applications in the assessed environment in this table.*

Name of Third-Party Payment Application/Solution	Version of Product	PA-DSS validated? (yes/no)	P2PE validated? (yes/no)	PCI SSC listing reference number	Expiry date of listing, if applicable

▪ Provide the name of the assessor who attests that all PA-DSS validated payment applications were reviewed to verify they have been implemented in a PCI DSS compliant manner according to the payment application vendor's PA-DSS Implementation Guide	
▪ Provide the name of the assessor who attests that all PCI SSC-validated P2PE applications and solutions were reviewed to verify they have been implemented in a PCI DSS compliant manner according to the P2PE application vendor's *P2PE Application Implementation Guide* and the P2PE solution vendor's *P2PE Instruction Manual (PIM)*.	
▪ For any of the above Third-Party Payment Applications and/or solutions that are not listed on the PCI SSC website, identify any being considered for scope reduction/exclusion/etc.	
▪ Any additional comments or findings the assessor would like to share, as applicable:	

4.10 Documentation reviewed

Identify and list all reviewed documents. Include the following:

Reference Number	Document Name (including version, if applicable)	Brief description of document purpose	Document date (latest version date)
Doc-1			
Doc-2			
Doc-3			
Doc-4			
Doc-5			

4.11 Individuals interviewed

Identify and list the individuals interviewed. Include the following:

Reference Number	Employee Name	Role/Job Title	Organization	Is this person an ISA? (yes/no)	Summary of Topics Covered / Areas or Systems of Expertise (high-level summary only)
Int-1					
Int-2					
Int-3					
Int-4					

4.12 Managed service providers

For managed service provider (MSP) reviews, the assessor must clearly identify which requirements in this document apply to the MSP (and are included in the review), and which are not included in the review and are the responsibility of the MSP's customers to include in their reviews. Include information about which of the MSP's IP addresses are scanned as part of the MSP's quarterly vulnerability scans, and which IP addresses are the responsibility of the MSP's customers to include in their own quarterly scans:

▪ Identify whether the entity being assessed is a managed service provider. **(yes/no)**	
▪ *If "yes":*	
• List the requirements that apply to the MSP and are included in this assessment.	
• List the requirements that are the responsibility of the MSP's customers (and have not been included in this assessment).	

• Provide the name of the assessor who attests that the testing of these requirements and/or responsibilities of the MSP is accurately represented in the signed Attestation of Compliance.	
• Identify which of the MSP's IP addresses are scanned as part of the MSP's quarterly vulnerability scans.	
• Identify which of the MSP's IP addresses are the responsibility of the MSP's customers.	

4.13 Disclosure summary for "In Place with Compensating Control" responses

▪ Identify whether there were any responses indicated as "In Place with Compensating Control." **(yes/no)**	
▪ *If "yes," complete the table below:*	

List of all requirements/testing procedures with this result	**Summary of the issue** (legal obligation, etc.)

4.14 Disclosure summary for "Not Tested" responses

▪ Identify whether there were any responses indicated as "Not Tested": **(yes/no)**	
▪ *If "yes," complete the table below:*	

List of all requirements/testing procedures with this result	**Summary of the issue** (for example, not deemed in scope for the assessment, reliance on a third-party service provider who is compliant to PCI DSS v2.0 and hasn't yet assessed against 3.0 or 3.1, etc.)

5. Quarterly Scan Results

5.1 Quarterly scan results – initial PCI DSS compliance validation

▪ Is this the assessed entity's initial PCI DSS compliance validation? **(yes/no)**	
▪ *If "yes," complete the remainder of Table 5.1 below.* *If "no," proceed to Table 5.2.*	
▪ Identify how many external quarterly ASV scans were performed within the last 12 months:	

▪ *Summarize* the four most recent quarterly ASV scan results in the Summary Overview as well as in comments at Requirement 11.2.2.

Note: *It is not required that four passing quarterly scans must be completed for initial PCI DSS compliance if the assessor verified:*

- *The most recent scan result was a passing scan,*
- *The entity has documented policies and procedures requiring quarterly scanning going forward, and*
- *Any vulnerabilities noted in the initial scan have been corrected as shown in a re-scan.*

For subsequent years after the initial PCI DSS review, four passing quarterly scans must have occurred.

▪ For each quarterly ASV scan performed within the last 12 months, identify:

Date of the scan(s)	Were any vulnerabilities found that resulted in a failed initial scan? (yes/no)	For all scans resulting in a Fail, provide date(s) of re-scans showing that the vulnerabilities have been corrected
▪ Provide the name of the assessor who attests that the most recent scan result was verified to be a passing scan.		
▪ Identify the name of the document the assessor verified to include the entity's documented policies and procedures requiring quarterly scanning going forward.		
▪ Describe how the assessor verified that any vulnerabilities noted in the initial scan have been corrected, as shown in a re-scan.		

5.2 Quarterly scan results – all other PCI DSS compliance validation

▪ Identify whether this is the assessed entity's initial PCI DSS compliance validation. **(yes/no)**	

▪ *If "yes," complete the remainder of Table 5.1 above.*
If "no," complete the table below.

Date of the scan(s)	Results of Scans (Pass/Fail)	For all scans resulting in a Fail, provide date(s) of re-scans showing that the vulnerabilities have been corrected

Assessor comments, if applicable:	

5.3 Attestations of scan compliance

Scan must cover all externally accessible (Internet-facing) IP addresses in existence at the entity, in accordance with the *PCI DSS Approved Scanning Vendors (ASV) Program Guide.*

Provide the name of the assessor who attests that the ASV and the entity have completed the Attestations of Scan Compliance confirming that all externally accessible (Internet-facing) IP addresses in existence at the entity were appropriately scoped for the ASV scans:	

6. Findings and Observations

Build and Maintain a Secure Network and Systems

Requirement 1: Install and maintain a firewall configuration to protect cardholder data

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
1.1 Establish and implement firewall and router configuration standards that include the following:							
1.1 Inspect the firewall and router configuration standards and other documentation specified below and verify that standards are complete and implemented as follows:							
1.1.1 A formal process for approving and testing all network connections and changes to the firewall and router configurations.			☐	☐	☐	☐	☐
1.1.1.a Examine documented procedures to verify there is a formal process for testing and approval of all: • Network connections, and • Changes to firewall and router configurations.	**Identify the document(s)** reviewed to verify procedures define the formal processes for:						
	▪ Testing and approval of all network connections.	*<Report Findings Here>*					
	▪ Testing and approval of all changes to firewall and router configurations.	*<Report Findings Here>*					
1.1.1.b For a sample of network connections, interview responsible personnel and examine records to verify that network connections were approved and tested.	**Identify the sample of records** for network connections that were examined.	*<Report Findings Here>*					
	Identify the responsible personnel interviewed who confirm that network connections were approved and tested.	*<Report Findings Here>*					
	Describe how the sampled records were examined to verify that network connections were:						
	▪ Approved	*<Report Findings Here>*					
	▪ Tested	*<Report Findings Here>*					
1.1.1.c Identify a sample of actual changes made to firewall and router configurations, compare to the change records, and interview responsible personnel to verify the changes were approved and tested.	**Identify the sample of records** for firewall and router configuration changes that were examined.	*<Report Findings Here>*					
	Identify the responsible personnel interviewed who confirm that changes made to firewall and router configurations were approved and tested.	*<Report Findings Here>*					
	Describe how change records were compared to actual changes made to firewall and router configurations to verify the changes were:						

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	▪ Approved	<Report Findings Here>					
	▪ Tested	<Report Findings Here>					
1.1.2 Current diagram that identifies all connections between the cardholder data environment and other networks, including any wireless networks.			☐	☐	☐	☐	☐
1.1.2.a Examine diagram(s) and observe network configurations to verify that a current network diagram exists and that it documents all connections to the cardholder data environment, including any wireless networks.	**Identify the current network diagram**(s) examined.	<Report Findings Here>					
	Describe how network connections were observed and compared to the diagram(s) to verify that the diagram:						
	▪ Is current.	<Report Findings Here>					
	▪ Includes all connections to cardholder data.	<Report Findings Here>					
	▪ Includes any wireless network connections.	<Report Findings Here>					
1.1.2.b Interview responsible personnel to verify that the diagram is kept current.	**Identify the document** examined to verify processes require that the network diagram is kept current.	<Report Findings Here>					
	Identify the responsible personnel interviewed for this testing procedure.	<Report Findings Here>					
	For the interview, **summarize the relevant details discussed** to verify that the diagram is kept current.	<Report Findings Here>					
1.1.3 Current diagram that shows all cardholder data flows across systems and networks.			☐	☐	☐	☐	☐
1.1.3.a Examine data flow diagram and interview personnel to verify the diagram: • Shows all cardholder data flows across systems and networks. • Is kept current and updated as needed upon changes to the environment.	**Identify the data-flow diagram**(s) examined.	<Report Findings Here>					
	Identify the responsible personnel interviewed for this testing procedure.	<Report Findings Here>					
	For the interview, **summarize the relevant details discussed** to verify the diagram:						
	▪ Shows all cardholder data flows across systems and networks.	<Report Findings Here>					
	▪ Is kept current and updated as needed upon changes to the environment.	<Report Findings Here>					
1.1.4 Requirements for a firewall at each Internet connection and between any demilitarized zone (DMZ) and the internal network zone.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
1.1.4.a Examine the firewall configuration standards and verify that they include requirements for a firewall at each Internet connection and between any DMZ and the internal network zone.	**Identify the firewall configuration standards document** examined to verify requirements for a firewall: • At each Internet connection. • Between any DMZ and the internal network zone.	*<Report Findings Here>*					
1.1.4.b Verify that the current network diagram is consistent with the firewall configuration standards.	**Provide the name of the assessor** who attests that the current network diagram identified at 1.1.2.a was compared to the firewall configuration standards identified at 1.1.4.a to verify they are consistent with each other.	*<Report Findings Here>*					
1.1.4.c Observe network configurations to verify that a firewall is in place at each Internet connection and between any demilitarized zone (DMZ) and the internal network zone, per the documented configuration standards and network diagrams.	**Describe how** network configurations were observed to verify that, per the documented configuration standards and network diagrams, a firewall is in place:						
	▪ At each Internet connection.	*<Report Findings Here>*					
	▪ Between any DMZ and the internal network zone.	*<Report Findings Here>*					
1.1.5 Description of groups, roles, and responsibilities for management of network components.			☐	☐	☐	☐	☐
1.1.5.a Verify that firewall and router configuration standards include a description of groups, roles, and responsibilities for management of network components.	**Identify the firewall and router configuration standards document(s)** reviewed to verify they include a description of groups, roles and responsibilities for management of network components.	*<Report Findings Here>*					
1.1.5.b Interview personnel responsible for management of network components to confirm that roles and responsibilities are assigned as documented.	**Identify the personnel** responsible for management of network components interviewed for this testing procedure.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details discussed** to verify that roles and responsibilities are assigned as documented for management of firewall and router components.	*<Report Findings Here>*					
1.1.6 Documentation and business justification for use of all services, protocols, and ports allowed, including documentation of security features implemented for those protocols considered to be insecure. *Examples of insecure services, protocols, or ports include but are not limited to FTP, Telnet, POP3, IMAP, and SNMP v1 and v2.*			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
1.1.6.a Verify that firewall and router configuration standards include a documented list of all services, protocols and ports, including business justification for each—for example, hypertext transfer protocol (HTTP) and Secure Sockets Layer (SSL), Secure Shell (SSH), and Virtual Private Network (VPN) protocols.	**Identify the firewall configuration standards document(s)** reviewed to verify the document(s) contains a list of all services, protocols and ports necessary for business, including a business justification for each.	*<Report Findings Here>*					
	Identify the router configuration standards document(s) reviewed to verify the document contains a list of all services, protocols and ports necessary for business, including a business justification for each.	*<Report Findings Here>*					
1.1.6.b Identify insecure services, protocols, and ports allowed; and verify that security features are documented for each service.	**Indicate whether** any insecure services, protocols or ports are allowed. **(yes/no)**	*<Report Findings Here>*					
	If "yes," complete the instructions below for EACH insecure service, protocol, and port allowed: (add rows as needed)						
	Identify the documented justification.	*<Report Findings Here>*					
	Identify the firewall and router configuration standards reviewed to verify that security features are documented for each insecure service/protocol/port.	*<Report Findings Here>*					
1.1.6.c Examine firewall and router configurations to verify that the documented security features are implemented for each insecure service, protocol, and port.	*If "yes" at 1.1.6.b, complete the following for each insecure service, protocol, and/or port present (add rows as needed):*						
	Describe how the firewall and router configurations were examined to verify that the documented security features are implemented for each insecure service, protocol and/or port.	*<Report Findings Here>*					
1.1.7 Requirement to review firewall and router rule sets at least every six months.			☐	☐	☐	☐	☐
1.1.7.a Verify that firewall and router configuration standards require review of firewall and router rule sets at least every six months.	**Identify the firewall and router configuration standards** reviewed to verify they require a review of firewall rule sets at least every six months.	*<Report Findings Here>*					
1.1.7.b Examine documentation relating to rule set reviews and interview responsible personnel to verify that the rule sets are reviewed at least every six months.	**Identify the document(s) relating to rule set reviews** that were examined to verify that rule sets are reviewed at least every six months for firewall and router rule sets.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Identify the responsible personnel interviewed who confirm that rule sets are reviewed at least every six months for firewall and router rule sets.	*<Report Findings Here>*					
1.2 Build firewall and router configurations that restrict connections between untrusted networks and any system components in the cardholder data environment. ***Note:*** *An "untrusted network" is any network that is external to the networks belonging to the entity under review, and/or which is out of the entity's ability to control or manage.*							
1.2 Examine firewall and router configurations and perform the following to verify that connections are restricted between untrusted networks and system components in the cardholder data environment:							
1.2.1 Restrict inbound and outbound traffic to that which is necessary for the cardholder data environment, and specifically deny all other traffic.			☐	☐	☐	☐	☐
1.2.1.a Examine firewall and router configuration standards to verify that they identify inbound and outbound traffic necessary for the cardholder data environment.	**Identify the firewall and router configuration standards** reviewed to verify they identify inbound and outbound traffic necessary for the cardholder data environment.	*<Report Findings Here>*					
1.2.1.b Examine firewall and router configurations to verify that inbound and outbound traffic is limited to that which is necessary for the cardholder data environment.	**Describe how** firewall and router configurations were examined to verify that the following traffic is limited to that which is necessary for the cardholder data environment:						
	▪ Inbound traffic	*<Report Findings Here>*					
	▪ Outbound traffic	*<Report Findings Here>*					
1.2.1.c Examine firewall and router configurations to verify that all other inbound and outbound traffic is specifically denied, for example by using an explicit "deny all" or an implicit deny after allow statement.	**Describe how** firewall and router configurations were examined to verify the following is specifically denied:						
	▪ All other inbound traffic	*<Report Findings Here>*					
	▪ All other outbound traffic	*<Report Findings Here>*					
1.2.2 Secure and synchronize router configuration files.			☐	☐	☐	☐	☐
1.2.2.a Examine router configuration files to verify they are secured from unauthorized access.	**Describe how** router configuration files were examined to verify they are secured from unauthorized access.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
1.2.2.b Examine router configurations to verify they are synchronized—for example, the running (or active) configuration matches the start-up configuration (used when machines are booted).	**Describe how** router configuration files were examined to verify they are synchronized.	*<Report Findings Here>*					
1.2.3 Install perimeter firewalls between all wireless networks and the cardholder data environment, and configure these firewalls to deny or, if traffic is necessary for business purposes, permit only authorized traffic between the wireless environment and the cardholder data environment.			☐	☐	☐	☐	☐
1.2.3.a Examine firewall and router configurations to verify that there are perimeter firewalls installed between all wireless networks and the cardholder data environment.	**Describe how** firewall and router configurations were examined to verify perimeter firewalls are in place between all wireless networks and the cardholder data environment.	*<Report Findings Here>*					
1.2.3.b Verify that the firewalls deny or, if traffic is necessary for business purposes, permit only authorized traffic between the wireless environment and the cardholder data environment.	**Indicate whether** traffic between the wireless environment and the cardholder data environment is necessary for business purposes. **(yes/no)**	*<Report Findings Here>*					
	If "no":						
	Describe how firewall and/or router configurations were observed to verify firewalls deny all traffic from any wireless environment into the cardholder environment.	*<Report Findings Here>*					
	If "yes":						
	Describe how firewall and/or router configurations were observed to verify firewalls permit only authorized traffic from any wireless environment into the cardholder environment.	*<Report Findings Here>*					
1.3 Prohibit direct public access between the Internet and any system component in the cardholder data environment.							
1.3 Examine firewall and router configurations—including but not limited to the choke router at the Internet, the DMZ router and firewall, the DMZ cardholder segment, the perimeter router, and the internal cardholder network segment—and perform the following to determine that there is no direct access between the Internet and system components in the internal cardholder network segment:							

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
1.3.1 Implement a DMZ to limit inbound traffic to only system components that provide authorized publicly accessible services, protocols, and ports.			☐	☐	☐	☐	☐
1.3.1 Examine firewall and router configurations to verify that a DMZ is implemented to limit inbound traffic to only system components that provide authorized publicly accessible services, protocols, and ports.	**Describe how** the firewall and router configurations were examined to verify that the DMZ is implemented to limit inbound traffic to only system components that provide authorized publicly accessible services, protocols, and ports.	*<Report Findings Here>*					
1.3.2 Limit inbound Internet traffic to IP addresses within the DMZ.			☐	☐	☐	☐	☐
1.3.2 Examine firewall and router configurations to verify that inbound Internet traffic is limited to IP addresses within the DMZ.	**Describe how** the firewall and router configurations were examined to verify that configurations limit inbound Internet traffic to IP addresses within the DMZ.	*<Report Findings Here>*					
1.3.3 Do not allow any direct connections inbound or outbound for traffic between the Internet and the cardholder data environment.			☐	☐	☐	☐	☐
1.3.3 Examine firewall and router configurations to verify direct connections inbound or outbound are not allowed for traffic between the Internet and the cardholder data environment.	**Describe how** the examined firewall and router configurations were observed to prevent direct connections between the Internet and the cardholder data environment:						
	▪ Inbound	*<Report Findings Here>*					
	▪ Outbound	*<Report Findings Here>*					
1.3.4 Implement anti-spoofing measures to detect and block forged source IP addresses from entering the network. *(For example, block traffic originating from the Internet with an internal source address)*			☐	☐	☐	☐	☐
1.3.4 Examine firewall and router configurations to verify that anti-spoofing measures are implemented, for example internal addresses cannot pass from the Internet into the DMZ**.**	**Describe how** firewall and router configurations were examined to verify that anti-spoofing measures are implemented.	*<Report Findings Here>*					
	Describe the anti-spoofing measures implemented	*<Report Findings Here>*					
1.3.5 Do not allow unauthorized outbound traffic from the cardholder data environment to the Internet.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
1.3.5 Examine firewall and router configurations to verify that outbound traffic from the cardholder data environment to the Internet is explicitly authorized.	**Describe how** firewall and router configurations were examined to verify that outbound traffic from the cardholder data environment to the Internet is explicitly authorized.	*<Report Findings Here>*					
1.3.6 Implement stateful inspection, also known as dynamic packet filtering. (That is, only "established" connections are allowed into the network.)			☐	☐	☐	☐	☐
1.3.6 Examine firewall and router configurations to verify that the firewall performs stateful inspection (dynamic packet filtering). (Only established connections should be allowed in, and only if they are associated with a previously established session.)	**Describe how** firewall and router configurations were examined to verify that the firewall performs stateful inspection.	*<Report Findings Here>*					
	Describe how observed firewall configurations implement stateful inspection	*<Report Findings Here>*					
1.3.7 Place system components that store cardholder data (such as a database) in an internal network zone, segregated from the DMZ and other untrusted networks.			☐	☐	☐	☐	☐
1.3.7 Examine firewall and router configurations to verify that system components that store cardholder data are on an internal network zone, segregated from the DMZ and other untrusted networks.	**Indicate whether** any system components store cardholder data. **(yes/no)**	*<Report Findings Here>*					
	If "yes":						
	Describe how firewall and router configurations were examined to verify that the system components that store cardholder data are located on an internal network zone, and are segregated from the DMZ and other untrusted networks.	*<Report Findings Here>*					
1.3.8 Do not disclose private IP addresses and routing information to unauthorized parties. Note: Methods to obscure IP addressing may include, but are not limited to: • Network Address Translation (NAT), • Placing servers containing cardholder data behind proxy servers/firewalls, • Removal or filtering of route advertisements for private networks that employ registered addressing, • Internal use of RFC1918 address space instead of registered addresses.			☐	☐	☐	☐	☐
1.3.8.a Examine firewall and router configurations to verify that methods are in place to prevent the disclosure of	**Describe** the methods in place to prevent the disclosure of private IP addresses and routing information from internal networks to the Internet.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
private IP addresses and routing information from internal networks to the Internet.	**Describe how** firewall and router configurations were examined to verify that methods are in place to prevent the disclosure of private IP addresses and routing information from internal networks to the Internet.	*<Report Findings Here>*					
1.3.8.b Interview personnel and examine documentation to verify that any disclosure of private IP addresses and routing information to external entities is authorized.	**Identify the document** reviewed that specifies whether any disclosure of private IP addresses and routing information to external parties is permitted.	*<Report Findings Here>*					
	For each permitted disclosure, **identify the responsible personnel** interviewed who confirm that the disclosure is authorized.	*<Report Findings Here>*					
1.4 Install personal firewall software on any mobile and/or employee-owned devices that connect to the Internet when outside the network (for example, laptops used by employees), and which are also used to access the network. Firewall configurations include: • Specific configuration settings are defined for personal firewall software. • Personal firewall software is actively running. • Personal firewall software is not alterable by users of mobile and/or employee-owned devices.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
1.4.a Examine policies and configuration standards to verify: • Personal firewall software is required for all mobile and/or employee-owned devices that connect to the Internet when outside the network, (for example, laptops used by employees), and which are also used to access the network. • Specific configuration settings are defined for personal firewall software. • Personal firewall software is configured to actively run. • Personal firewall software is configured to not be alterable by users of mobile and/or employee-owned devices.	**Indicate whether** mobile and/or employee-owned computers with direct connectivity to the Internet when outside the network are used to access the organization's network. **(yes/no)**	*<Report Findings Here>*					
	If "no," **identify the document** reviewed that explicitly prohibits mobile and/or employee-owned computers with direct connectivity to the Internet when outside the network from being used to access the organization's network. *Mark 1.4.b as "not applicable"*	*<Report Findings Here>*					
	If "yes," **identify the documented policies and configuration standards** that define the following: • Personal firewall software is required for all mobile and/or employee-owned devices that connect to the Internet when outside the network, and which are also used to access the network. • Specific configuration settings are defined for personal firewall software. • Personal firewall software is configured to actively run. • Personal firewall software is configured to not be alterable by users of mobile and/or employee-owned devices.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
1.4.b Inspect a sample of mobile and/or employee-owned devices to verify that: • Personal firewall software is installed and configured per the organization's specific configuration settings. • Personal firewall software is actively running. • Personal firewall software is not alterable by users of mobile and/or employee-owned devices.	**Identify the sample** of mobile and/or employee-owned devices selected for this testing procedure.	*<Report Findings Here>*					
	Describe how the sample of mobile and/or employee-owned devices was inspected to verify that personal firewall software is:						
	▪ Installed and configured per the organization's specific configuration settings.	*<Report Findings Here>*					
	▪ Actively running.	*<Report Findings Here>*					
	▪ Not alterable by users of mobile and/or employee-owned devices.	*<Report Findings Here>*					
1.5 Ensure that security policies and operational procedures for managing firewalls are documented, in use, and known to all affected parties.			☐	☐	☐	☐	☐
1.5 Examine documentation and interview personnel to verify that security policies and operational procedures for managing firewalls are: • Documented, • In use, and • Known to all affected parties.	**Identify the document reviewed** to verify that security policies and operational procedures for managing firewalls are documented.	*<Report Findings Here>*					
	Identify responsible personnel interviewed who confirm that the above documented security policies and operational procedures for managing firewalls are: • In use • Known to all affected parties	*<Report Findings Here>*					

Requirement 2: Do not use vendor-supplied defaults for system passwords and other security parameters

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
2.1 Always change vendor-supplied defaults and remove or disable unnecessary default accounts **before** installing a system on the network. This applies to ALL default passwords, including but not limited to those used by operating systems, software that provides security services, application and system accounts, POS terminals, Simple Network Management Protocol (SNMP) community strings, etc.			☐	☐	☐	☐	☐
2.1.a Choose a sample of system components, and attempt to log on (with system administrator help) to the devices and applications using default vendor-supplied accounts and passwords, to verify that ALL default passwords (including those on operating systems, software that provides security services, application and system accounts, POS terminals, and Simple Network Management Protocol (SNMP) community strings) have been changed. (Use vendor manuals and sources on the Internet to find vendor-supplied accounts/passwords.)	**Identify the sample** of system components selected.	*<Report Findings Here>*					
	Identify the vendor manuals and sources on the Internet used to find vendor-supplied accounts/passwords.	*<Report Findings Here>*					
	For each item in the sample, **describe how** attempts to log on (with system administrator help) to the sample of devices and applications using default vendor-supplied accounts and passwords were performed to verify that all default passwords have been changed.	*<Report Findings Here>*					
2.1.b For the sample of system components, verify that all unnecessary default accounts (including accounts used by operating systems, security software, applications, systems, POS terminals, SNMP, etc.) are removed or disabled.	*For each item in the sample of system components indicated at 2.1.a, **describe how** all unnecessary default accounts were verified to be **either**:*						
	▪ Removed	*<Report Findings Here>*					
	▪ Disabled	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
2.1.c Interview personnel and examine supporting documentation to verify that: • All vendor defaults (including default passwords on operating systems, software providing security services, application and system accounts, POS terminals, Simple Network Management Protocol (SNMP) community strings, etc.) are changed before a system is installed on the network. • Unnecessary default accounts (including accounts used by operating systems, security software, applications, systems, POS terminals, SNMP, etc.) are removed or disabled before a system is installed on the network.	**Identify responsible personnel** interviewed who verify that: • All vendor defaults (including default passwords on operating systems, software providing security services, application and system accounts, POS terminals, Simple Network Management Protocol (SNMP) community strings, etc.) are changed before a system is installed on the network. • Unnecessary default accounts (including accounts used by operating systems, security software, applications, systems, POS terminals, SNMP, etc.) are removed or disabled before a system is installed on the network.	*<Report Findings Here>*					
	Identify supporting documentation examined for this testing procedure.	*<Report Findings Here>*					
	Describe how the supporting documentation examined verified that:						
	▪ All vendor defaults are changed before a system is installed on the network.	*<Report Findings Here>*					
	▪ Unnecessary default accounts are removed or disabled before a system is installed on the network.	*<Report Findings Here>*					
2.1.1 For wireless environments connected to the cardholder data environment or transmitting cardholder data, change ALL wireless vendor defaults at installation, including but not limited to default wireless encryption keys, passwords, and SNMP community strings.			☐	☐	☐	☐	☐
2.1.1.a Interview responsible personnel and examine supporting documentation to verify that: • Encryption keys were changed from default at installation • Encryption keys are changed anytime	**Indicate whether** there are wireless environments connected to the cardholder data environment or transmitting cardholder data. **(yes/no)** *If "no," mark 2.1.1 as "Not Applicable" and proceed to 2.2.*	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	If "yes":						
	Identify responsible personnel interviewed who verify that encryption keys are changed: • From default at installation • Anytime anyone with knowledge of the keys leaves the company or changes positions.	*<Report Findings Here>*					
	Identify supporting documentation examined for this testing procedure.	*<Report Findings Here>*					
	Describe how the supporting documentation was examined to verify that encryption keys are changed:						
	▪ From default at installation	*<Report Findings Here>*					
	▪ Anytime anyone with knowledge of the keys leaves the company or changes positions.	*<Report Findings Here>*					
2.1.1.b Interview personnel and examine policies and procedures to verify: • Default SNMP community strings are required to be changed upon installation. • Default passwords/phrases on access points are required to be changed upon installation.	**Identify responsible personnel** interviewed who verify that: • Default SNMP community strings are required to be changed upon installation. • Default passwords/phrases on access points are required to be changed upon installation.	*<Report Findings Here>*					
	Identify policies and procedures examined to verify that: • Default SNMP community strings are required to be changed upon installation. • Default passwords/phrases on access points are required to be changed upon installation.	*<Report Findings Here>*					
2.1.1.c Examine vendor documentation and login to wireless devices, with system administrator help, to verify:	**Identify vendor documentation** examined for this testing procedure.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Describe how examined vendor documentation was used to attempt to login to wireless devices (with system administrator help) to verify:						
	▪ Default SNMP community strings are not used.	*<Report Findings Here>*					
	▪ Default passwords/passphrases on access points are not used.	*<Report Findings Here>*					
2.1.1.d Examine vendor documentation and observe wireless configuration settings to verify firmware on wireless devices is updated to support strong encryption for: • Authentication over wireless networks • Transmission over wireless networks	**Identify vendor documentation** examined for this testing procedure.	*<Report Findings Here>*					
	Describe how wireless configuration settings were observed with examined vendor documentation to verify that firmware on wireless devices is updated to support strong encryption for:						
	▪ Authentication over wireless networks.	*<Report Findings Here>*					
	▪ Transmission over wireless networks.	*<Report Findings Here>*					
2.1.1.e Examine vendor documentation and observe wireless configuration settings to verify other security-related wireless vendor defaults were changed, if applicable.	**Identify vendor documentation** examined for this testing procedure.	*<Report Findings Here>*					
	Describe how wireless configuration settings were observed with examined vendor documentation to verify other security-related wireless vendor defaults were changed, if applicable.	*<Report Findings Here>*					
2.2 Develop configuration standards for all system components. Assure that these standards address all known security vulnerabilities and are consistent with industry-accepted system hardening standards. Sources of industry-accepted system hardening standards may include, but are not limited to: • Center for Internet Security (CIS) • International Organization for Standardization (ISO) • SysAdmin Audit Network Security (SANS) Institute • National Institute of Standards Technology (NIST)			☐	☐	☐	☐	☐
2.2.a Examine the organization's system configuration standards for all types of system components and verify the system	**Identify the documented system configuration standards** for all types of system components examined.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
configuration standards are consistent with industry-accepted hardening standards.	**Identify the industry-accepted hardening standards** the system configuration standards were verified to be consistent with.	*<Report Findings Here>*					
2.2.b Examine policies and interview personnel to verify that system configuration standards are updated as new vulnerability issues are identified, as defined in Requirement 6.1.	**Identify the policy documentation** verified to define that system configuration standards are updated as new vulnerability issues are identified	*<Report Findings Here>*					
	Identify the personnel interviewed for this testing procedure.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details** discussed that verify that the process is implemented.	*<Report Findings Here>*					
2.2.c Examine policies and interview personnel to verify that system configuration standards are applied when new systems are configured and verified as being in place before a system is installed on the network.	**Identify the policy documentation** examined to verify it defines that system configuration standards are applied when new systems are configured and verified as being in place before a system is installed on the network	*<Report Findings Here>*					
	Identify the personnel interviewed for this testing procedure.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details** discussed that verify:						
	▪ System configuration standards are applied when new systems are configured	*<Report Findings Here>*					
	▪ System configuration standards are verified as being in place before a system is installed on the network.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
2.2.d Verify that system configuration standards include the following procedures for all types of system components: • Changing of all vendor-supplied defaults and elimination of unnecessary default accounts • Implementing only one primary function per server to prevent functions that require different security levels from co-existing on the same server • Enabling only necessary services, protocols, daemons, etc., as required for the function of the system • Implementing additional security features for any required services, protocols or daemons that are considered to be insecure • Configuring system security parameters to prevent misuse • Removing all unnecessary functionality, such as scripts, drivers, features, subsystems, file systems, and unnecessary web servers	**Identify the system configuration standards** for all types of system components that include the following procedures: • Changing of all vendor-supplied defaults and elimination of unnecessary default accounts • Implementing only one primary function per server to prevent functions that require different security levels from co-existing on the same server • Enabling only necessary services, protocols, daemons, etc., as required for the function of the system • Implementing additional security features for any required services, protocols or daemons that are considered to be insecure • Configuring system security parameters to prevent misuse • Removing all unnecessary functionality, such as scripts, drivers, features, subsystems, file systems, and unnecessary web servers	*<Report Findings Here>*				
2.2.1 Implement only one primary function per server to prevent functions that require different security levels from co-existing on the same server. (For example, web servers, database servers, and DNS should be implemented on separate servers.) ***Note:*** *Where virtualization technologies are in use, implement only one primary function per virtual system component.*			☐	☐	☐	☐	☐
2.2.1.a Select a sample of system components and inspect the system configurations to verify that only one primary function is implemented per server.	**Identify the sample** of system components observed.	*<Report Findings Here>*					
	For each item in the sample, **describe how** system configurations were inspected to verify that only one primary function per server is implemented.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
2.2.1.b If virtualization technologies are used, inspect the system configurations to verify that only one primary function is implemented per virtual system component or device.	**Indicate whether** virtualization technologies are used. **(yes/no)**	<*Report Findings Here*>					
	If "no," **describe how** systems were observed to verify that no virtualization technologies are used.	<*Report Findings Here*>					
	If "yes":						
	Identify the functions for which virtualization technologies are used.	<*Report Findings Here*>					
	Identify the sample of virtual system components or devices observed.	<*Report Findings Here*>					
	For each virtual system component and device in the sample, **describe how** the system configurations were inspected to verify that only one primary function is implemented per virtual system component or device.	<*Report Findings Here*>					
2.2.2 Enable only necessary services, protocols, daemons, etc., as required for the function of the system.			☐	☐	☐	☐	☐
2.2.2.a Select a sample of system components and inspect enabled system services, daemons, and protocols to verify that only necessary services or protocols are enabled.	**Identify the sample** of system components selected.	<*Report Findings Here*>					
	For each item in the sample, **describe how** the enabled system services, daemons, and protocols were inspected to verify that only necessary services or protocols are enabled.	<*Report Findings Here*>					
2.2.2.b Identify any enabled insecure services, daemons, or protocols and interview personnel to verify they are justified per documented configuration standards.	*For each item in the sample of system components from 2.2.2.a,* **indicate whether** any insecure services, daemons, or protocols are enabled. **(yes/no)** *If "no," mark the remainder of 2.2.2.b and 2.2.3 as "Not Applicable."*	<*Report Findings Here*>					
	If "yes," **identify responsible personnel** interviewed who confirm that a documented business justification was present for each insecure service, daemon, or protocol	<*Report Findings Here*>					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
2.2.3 Implement additional security features for any required services, protocols, or daemons that are considered to be insecure—for example, use secured technologies such as SSH, S-FTP, TLS, or IPSec VPN to protect insecure services such as NetBIOS, file-sharing, Telnet, FTP, etc. ***Note:*** *SSL and early TLS are not considered strong cryptography and cannot be used as a security control after 30th June, 2016. Prior to this date, existing implementations that use SSL and/or early TLS must have a formal Risk Mitigation and Migration Plan in place.* *Effective immediately, new implementations must not use SSL or early TLS.* *POS POI terminals (and the SSL/TLS termination points to which they connect) that can be verified as not being susceptible to any known exploits for SSL and early TLS may continue using these as a security control after 30th June, 2016.*			☐	☐	☐	☐	☐
2.2.3.a Inspect configuration settings to verify that security features are documented and implemented for all insecure services, daemons, or protocols.	*If "yes" at 2.2.2.b, perform the following:*						
	Identify configuration settings inspected.	*<Report Findings Here>*					
	Describe how configuration settings were inspected to verify that security features for all insecure services, daemons, or protocols are:						
	▪ Documented	*<Report Findings Here>*					
	▪ Implemented	*<Report Findings Here>*					
2.2.3.b *For POS POI terminals (and the SSL/TLS termination points to which they connect) using SSL and/or early TLS and for which the entity asserts are not susceptible to any known exploits for those protocols:* Confirm that the entity has documentation (for example, vendor documentation, system/network configuration details, etc.) that verifies the devices are not susceptible to any known exploits for SSL/early TLS.	**Indicate whether** the assessed entity includes POS POI terminals (and the SSL/TLS termination points to which they connect) using SSL and/or early TLS – for which the entity asserts are not susceptible to any known exploits for those protocols. **(yes/no)** *If 'no,' mark the remainder of 2.2.3.b as 'not applicable.'*	*<Report Findings Here>*					
	If 'yes,' **identify the document(s)** examined to verify that the entity maintains documentation that verifies the devices are not susceptible to any known exploits for SSL/early TLS.	*<Report Findings Here>*					
2.2.3.c *For all other environments using SSL and/or early TLS:* Review the documented Risk Mitigation and Migration Plan to verify it includes:	**Indicate whether** the assessed entity includes any other environments using SSL and/or early TLS **(yes/no)** *If 'no,' mark the remainder of 2.2.3.c as 'not applicable.'*	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
• Description of usage, including; what data is being transmitted, types and number of systems that use and/or support SSL/early TLS, type of environment; • Risk assessment results and risk reduction controls in place; • Description of processes to monitor for new vulnerabilities associated with SSL/early TLS; • Description of change control processes that are implemented to ensure SSL/early TLS is not implemented into new environments; • Overview of migration project plan including target migration completion date no later than 30th June 2016.	If 'yes,' **identify the Risk Mitigation and Migration Plan document(s)** examined to verify that it includes: ▪ Description of usage, including; what data is being transmitted, types and number of systems that use and/or support SSL/early TLS, type of environment; ▪ Risk assessment results and risk reduction controls in place; ▪ Description of processes to monitor for new vulnerabilities associated with SSL/early TLS; ▪ Description of change control processes that are implemented to ensure SSL/early TLS is not implemented into new environments; ▪ Overview of migration project plan including target migration completion date no later than 30th June 2016.	*<Report Findings Here>*					
2.2.4 Configure system security parameters to prevent misuse.			☐	☐	☐	☐	☐
2.2.4.a Interview system administrators and/or security managers to verify that they have knowledge of common security parameter settings for system components.	**Identify the system administrators and/or security managers** interviewed for this testing procedure.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details** discussed to verify that they have knowledge of common security parameter settings for system components.	*<Report Findings Here>*					
2.2.4.b Examine the system configuration standards to verify that common security parameter settings are included.	**Identify the system configuration standards** examined to verify that common security parameter settings are included.	*<Report Findings Here>*					
2.2.4.c Select a sample of system	**Identify the sample** of system components selected.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
components and inspect the common security parameters to verify that they are set appropriately and in accordance with the configuration standards.	*For each item in the sample*, **describe how** the common security parameters were inspected to verify that they are set appropriately and in accordance with the configuration standards.	*<Report Findings Here>*					
2.2.5 Remove all unnecessary functionality, such as scripts, drivers, features, subsystems, file systems, and unnecessary web servers.			☐	☐	☐	☐	☐
2.2.5.a Select a sample of system components and inspect the configurations to verify that all unnecessary functionality (for example, scripts, drivers, features, subsystems, file systems, etc.) is removed.	**Identify the sample** of system components selected.	*<Report Findings Here>*					
	For each item in the sample, **describe how** the configurations were inspected to verify that all unnecessary functionality is removed.	*<Report Findings Here>*					
2.2.5.b. Examine the documentation and security parameters to verify enabled functions are documented and support secure configuration.	**Describe how** the security parameters were examined with relevant documentation to verify that enabled functions are:						
	▪ Documented	*<Report Findings Here>*					
	▪ Support secure configuration	*<Report Findings Here>*					
2.2.5.c. Examine the documentation and security parameters to verify that only documented functionality is present on the sampled system components.	**Identify documentation** examined for this testing procedure.	*<Report Findings Here>*					
	Describe how the security parameters were examined with relevant documentation to verify that only documented functionality is present on the sampled system components from 2.2.5.a.	*<Report Findings Here>*					
2.3 Encrypt all non-console administrative access using strong cryptography. Use technologies such as SSH, VPN, or TLS for web-based management and other non-console administrative access. ***Note:*** *SSL and early TLS are not considered strong cryptography and cannot be used as a security control after 30th June, 2016. Prior to this date, existing implementations that use SSL and/or early TLS must have a formal Risk Mitigation and Migration Plan in place.* *Effective immediately, new implementations must not use SSL or early TLS.* *POS POI terminals (and the SSL/TLS termination points to which they connect) that can be verified as not being susceptible to any known exploits for SSL and early TLS may continue using these as a security control after 30th June, 2016.*			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
2.3 Select a sample of system components and verify that non-console administrative access is encrypted by performing the following:	**Identify the sample** of system components selected for 2.3.a-2.3.d to verify that non-console administrative access is encrypted	*<Report Findings Here>*					
2.3.a Observe an administrator log on to each system and examine system configurations to verify that a strong encryption method is invoked before the administrator's password is requested.	*For each item in the sample from 2.3:*						
	Describe how the administrator log on for each system was observed to verify that a strong encryption method is invoked before the administrator's password is requested.	*<Report Findings Here>*					
	Describe how system configurations for each system were examined to verify that a strong encryption method is invoked before the administrator's password is requested.	*<Report Findings Here>*					
	Identify the strong encryption method used for non-console administrative access.	*<Report Findings Here>*					
2.3.b Review services and parameter files on systems to determine that Telnet and other insecure remote-login commands are not available for non-console access.	*For each item in the sample from 2.3:*						
	Describe how services on systems were reviewed to determine that Telnet and other insecure remote-login commands are not available for non-console access.	*<Report Findings Here>*					
	Describe how parameter files on systems were reviewed to determine that Telnet and other insecure remote-login commands are not available for non-console access.	*<Report Findings Here>*					
2.3.c Observe an administrator log on to each system to verify that administrator access to any web-based management	*For each item in the sample from 2.3:*						

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Describe how the administrator log on to each system was observed to verify that administrator access to any web-based management interfaces was encrypted with strong cryptography.	*<Report Findings Here>*					
	Identify the strong encryption method used for any web-based management interfaces.	*<Report Findings Here>*					
2.3.d Examine vendor documentation and interview personnel to verify that strong cryptography for the technology in use is implemented according to industry best practices and/or vendor recommendations.	**Identify the vendor documentation** examined to verify that strong cryptography for the technology in use is implemented according to industry best practices and/or vendor recommendations.	*<Report Findings Here>*					
	Identify the personnel interviewed for this testing procedure.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details** discussed that verify that strong cryptography for the technology in use is implemented according to industry best practices and/or vendor recommendations.	*<Report Findings Here>*					
2.3.e *For POS POI terminals (and the SSL/TLS termination points to which they connect) using SSL and/or early TLS and for which the entity asserts are not susceptible to any known exploits for those protocols:* Confirm that the entity has documentation (for example, vendor documentation, system/network configuration details, etc.) that verifies the devices are not susceptible to any known exploits for SSL/early TLS.	**Indicate whether** the assessed entity includes POS POI terminals (and the SSL/TLS termination points to which they connect) using SSL and/or early TLS – for which the entity asserts are not susceptible to any known exploits for those protocols. **(yes/no)** *If 'no,' mark the remainder of 2.3.e as 'not applicable.'*	*<Report Findings Here>*					
	If 'yes,' **identify the document(s)** examined to verify that the entity maintains documentation that verifies the devices are not susceptible to any known exploits for SSL/early TLS.	*<Report Findings Here>*					
2.3.f *For all other environments using SSL and/or early TLS:* Review the documented Risk Mitigation	**Indicate whether** the assessed entity includes any other environments using SSL and/or early TLS **(yes/no)** *If 'no,' mark the remainder of 2.3.f as 'not applicable.'*	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
and Migration Plan to verify it includes: • Description of usage, including; what data is being transmitted, types and number of systems that use and/or support SSL/early TLS, type of environment; • Risk assessment results and risk reduction controls in place; • Description of processes to monitor for new vulnerabilities associated with SSL/early TLS; • Description of change control processes that are implemented to ensure SSL/early TLS is not implemented into new environments; • Overview of migration project plan including target migration completion date no later than 30th June 2016.	*If 'yes,'* **identify the Risk Mitigation and Migration Plan document(s)** examined to verify that it includes: ▪ Description of usage, including; what data is being transmitted, types and number of systems that use and/or support SSL/early TLS, type of environment; ▪ Risk assessment results and risk reduction controls in place; ▪ Description of processes to monitor for new vulnerabilities associated with SSL/early TLS; ▪ Description of change control processes that are implemented to ensure SSL/early TLS is not implemented into new environments; ▪ Overview of migration project plan including target migration completion date no later than 30th June 2016.	*<Report Findings Here>*					
2.4 Maintain an inventory of system components that are in scope for PCI DSS.			☐	☐	☐	☐	☐
2.4.a Examine system inventory to verify that a list of hardware and software components is maintained and includes a description of function/use for each.	**Describe how** the system inventory was examined to verify that a list of hardware and software components is:						
	▪ Maintained	*<Report Findings Here>*					
	▪ Includes a description of function/use for each	*<Report Findings Here>*					
2.4.b Interview personnel to verify the documented inventory is kept current.	**Identify the personnel** interviewed for this testing procedure.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details** discussed that verify that the documented inventory is kept current.	*<Report Findings Here>*					
2.5 Ensure that security policies and operational procedures for managing vendor defaults and other security parameters are documented, in use, and known to all affected parties.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
2.5 Examine documentation and interview personnel to verify that security policies and operational procedures for managing vendor defaults and other security parameters are: • Documented, • In use, and • Known to all affected parties.	**Identify the document** reviewed to verify that security policies and operational procedures for managing vendor defaults and other security parameters are documented.	<Report Findings Here>					
	Identify responsible personnel interviewed who confirm that the above documented security policies and operational procedures for managing vendor defaults and other security parameters are: • In use • Known to all affected parties	*<Report Findings Here>*					
2.6 Shared hosting providers must protect each entity's hosted environment and cardholder data. These providers must meet specific requirements as detailed in *Appendix A: Additional PCI DSS Requirements for Shared Hosting Providers.*			☐	☐	☐	☐	☐
2.6 Perform testing procedures **A.1.1** through **A.1.4** detailed in *Appendix A: Additional PCI DSS Requirements for Shared Hosting Providers* for PCI DSS assessments of shared hosting providers, to verify that shared hosting providers protect their entities' (merchants and service providers) hosted environment and data.	**Indicate whether** the assessed entity is a shared hosting provider. **(yes/no)**	*<Report Findings Here>*					
	If "yes," **provide the name of the assessor** who attests that Appendix A: Additional PCI DSS Requirements for Shared Hosting Providers has been completed.	*<Report Findings Here>*					

Protect Stored Cardholder Data

Requirement 3: Protect stored cardholder data

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
3.1 Keep cardholder data storage to a minimum by implementing data-retention and disposal policies, procedures and processes that include at least the following for all CHD storage: • Limiting data storage amount and retention time to that which is required for legal, regulatory, and/or business requirements. • Specific retention requirements for cardholder data • Processes for secure deletion of data when no longer needed. • A quarterly process for identifying and securely deleting stored cardholder data that exceeds defined retention.			☐	☐	☐	☐	☐
3.1.a Examine the data-retention and disposal policies, procedures and processes to verify they include the following for all cardholder data (CHD) storage: • Limiting data storage amount and retention time to that which is required for legal, regulatory, and/or business requirements. • Specific requirements for retention of cardholder data (for example, cardholder data needs to be held for X period for Y business reasons). • Processes for secure deletion of cardholder data when no longer needed for legal, regulatory, or business reasons • A quarterly process for identifying and securely deleting stored cardholder data that exceeds defined retention requirements.	**Identify the data-retention and disposal documentation** examined to verify policies, procedures, and processes define the following for all cardholder data (CHD) storage: • Limiting data storage amount and retention time to that which is required for legal, regulatory, and/or business requirements for data retention. • Specific requirements for retention of cardholder data. • Processes for secure deletion of cardholder data when no longer needed for legal, regulatory, or business reasons. • A quarterly process for identifying and securely deleting stored cardholder data that exceeds defined retention requirements.	*<Report Findings Here>*				

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
3.1.b Interview personnel to verify that: • All locations of stored cardholder data are included in the data-retention and disposal processes. • Either a quarterly automatic or manual process is in place to identify and securely delete stored cardholder data. • The quarterly automatic or manual process is performed for all locations of cardholder data.	**Identify the personnel** interviewed who confirm that: • All locations of stored cardholder data are included in the data-retention and disposal processes. • Either a quarterly automatic or manual process is in place to identify and securely delete stored cardholder data. • The quarterly automatic or manual process is performed for all locations of cardholder data.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details** discussed that verify the following:						
	▪ All locations of stored cardholder data are included in the data-retention and disposal process.	*<Report Findings Here>*					
	▪ Either a quarterly automatic or manual process is in place to identify and securely delete stored cardholder data.	*<Report Findings Here>*					
	▪ The quarterly automatic or manual process is performed for all locations of cardholder data.	*<Report Findings Here>*					
	Describe the quarterly process in place to identify and securely delete stored cardholder data, including whether it is an automatic or manual process.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
3.1.c For a sample of system components that store cardholder data: • Examine files and system records to verify that the data stored does not exceed the requirements defined in the data-retention policy. • Observe the deletion mechanism to verify data is deleted securely.	**Identify the sample** of system components selected.	*<Report Findings Here>*					
	For each item in the sample, **describe how** files and system records were examined to verify that the data stored does not exceed the requirements defined in the data-retention policy.	*<Report Findings Here>*					
	Describe how the deletion mechanism was observed to verify data is deleted securely.	*<Report Findings Here>*					
3.2 Do not store sensitive authentication data after authorization (even if encrypted). If sensitive authentication data is received, render all data unrecoverable upon completion of the authorization process. *It is permissible for issuers and companies that support issuing services to store sensitive authentication data if:* • *There is a business justification, and* • *The data is stored securely.* *Sensitive authentication data includes the data as cited in the following Requirements 3.2.1 through 3.2.3:*			☐	☐	☐	☐	☐
3.2.a For issuers and/or companies that support issuing services and store sensitive authentication data, review policies and interview personnel to verify there is a documented business justification for the storage of sensitive authentication data.	**Indicate whether** the assessed entity is an issuer or supports issuing service. **(yes/no)**	*<Report Findings Here>*					
	If "yes," complete the responses for 3.2.a and 3.2.b and mark 3.2.c and 3.2.d as "Not Applicable." *If "no," mark the remainder of 3.2.a and 3.2.b as "Not Applicable" and proceed to 3.2.c and 3.2.d.*						
	Identify the documentation reviewed to verify there is a documented business justification for the storage of sensitive authentication data.	*<Report Findings Here>*					
	Identify the interviewed personnel who confirm there is a documented business justification for the storage of sensitive authentication data.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details** of the business justification described.	*<Report Findings Here>*					
3.2.b For issuers and/or companies that support issuing services and store sensitive authentication data, examine data stores and system configurations to	*If "yes" at 3.2.a,*						
	Identify data stores examined.	*<Report Findings Here>*					
	Identify the system configurations examined.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
verify that the sensitive authentication data is secured.	**Describe how** the data stores and system configurations were examined to verify that the sensitive authentication data is secured.	*<Report Findings Here>*					
3.2.c For all other entities, if sensitive authentication data is received, review policies and procedures, and examine system configurations to verify the data is not retained after authorization.	**Indicate whether** sensitive authentication data is received. **(yes/no)**	*<Report Findings Here>*					
	If "yes," complete 3.2.c and 3.2.d. *If "no," mark the remainder of 3.2.c and 3.2.d as "Not Applicable" and proceed to 3.2.1.*						
	Identify the document(s) reviewed to verify that it defines that data is not retained after authorization.	*<Report Findings Here>*					
	Describe how system configurations were examined to verify the data is not retained after authorization.	*<Report Findings Here>*					
3.2.d For all other entities, if sensitive authentication data is received, review procedures and examine the processes for securely deleting the data to verify that the data is unrecoverable.	**Identify the document(s)** reviewed to verify that it defines processes for securely deleting the data to verify that the data is unrecoverable.	*<Report Findings Here>*					
	Describe how the processes for securely deleting the data were examined to verify that the data is unrecoverable.	*<Report Findings Here>*					
3.2.1 Do not store the full contents of any track (from the magnetic stripe located on the back of a card, equivalent data contained on a chip, or elsewhere) after authorization. This data is alternatively called full track, track, track 1, track 2, and magnetic-stripe data. ***Note:*** *In the normal course of business, the following data elements from the magnetic stripe may need to be retained:* • *The cardholder's name* • *Primary account number (PAN)* • *Expiration date* • *Service code* *To minimize risk, store only these data elements as needed for business.*			☐	☐	☐	☐	☐
3.2.1 For a sample of system components, examine data sources, including but not limited to the following, and verify that the full contents of any track from the magnetic stripe on the back of card or equivalent data on a chip are	**Identify the sample** of system components selected for 3.2.1-3.2.3.	*<Report Findings Here>*					
	For each data source type below from the sample of system of components examined, **summarize the specific examples of each data source type observed** to verify that the full contents of any track from the magnetic stripe on the back of card or equivalent data on a chip are not stored after authorization. If that type of data source is not present, indicate that in the space.						

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
not stored after authorization: • Incoming transaction data • All logs (for example, transaction, history, debugging, error) • History files • Trace files • Several database schemas • Database contents	▪ Incoming transaction data	*<Report Findings Here>*					
	▪ All logs (for example, transaction, history, debugging error)	*<Report Findings Here>*					
	▪ History files	*<Report Findings Here>*					
	▪ Trace files	*<Report Findings Here>*					
	▪ Database schemas	*<Report Findings Here>*					
	▪ Database contents	*<Report Findings Here>*					
	▪ If applicable, **any other output observed** to be generated	*<Report Findings Here>*					
3.2.2 Do not store the card verification code or value (three-digit or four-digit number printed on the front or back of a payment card) used to verify card-not-present transactions after authorization.			☐	☐	☐	☐	☐
3.2.2 For a sample of system components, examine data sources, including but not limited to the following, and verify that the three-digit or four-digit card verification code or value printed on the front of the card or the signature panel (CVV2, CVC2, CID, CAV2 data) is not stored after authorization: • Incoming transaction data • All logs (for example, transaction, history, debugging, error) • History files • Trace files • Several database schemas • Database contents	*For each data source type below from the sample of system of components at 3.2.1,* **summarize the specific examples of each data source type observed** to verify that the three-digit or four-digit card verification code or value printed on the front of the card or the signature panel (CVV2, CVC2, CID, CAV2 data) is not stored after authorization. If that type of data source is not present, indicate that in the space.						
	▪ Incoming transaction data	*<Report Findings Here>*					
	▪ All logs (for example, transaction, history, debugging error)	*<Report Findings Here>*					
	▪ History files	*<Report Findings Here>*					
	▪ Trace files	*<Report Findings Here>*					
	▪ Database schemas	*<Report Findings Here>*					
	▪ Database contents	*<Report Findings Here>*					
	▪ If applicable, **any other output observed** to be generated	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
3.2.3 Do not store the personal identification number (PIN) or the encrypted PIN block after authorization.			☐	☐	☐	☐	☐
3.2.3 For a sample of system components, examine data sources, including but not limited to the following and verify that PINs and encrypted PIN blocks are not stored after authorization: • Incoming transaction data • All logs (for example, transaction, history, debugging, error) • History files • Trace files • Several database schemas • Database contents	*For each data source type below from the sample of system of components at 3.2.1,* **summarize the specific examples of each data source type observed**. If that type of data source is not present, indicate that in the space.						
	▪ Incoming transaction data	*<Report Findings Here>*					
	▪ All logs (for example, transaction, history, debugging error)	*<Report Findings Here>*					
	▪ History files	*<Report Findings Here>*					
	▪ Trace files	*<Report Findings Here>*					
	▪ Database schemas	*<Report Findings Here>*					
	▪ Database contents	*<Report Findings Here>*					
	▪ If applicable, **any other output observed** to be generated	*<Report Findings Here>*					
3.3 Mask PAN when displayed (the first six and last four digits are the maximum number of digits to be displayed), such that only personnel with a legitimate business need can see the full PAN. ***Note:*** *This requirement does not supersede stricter requirements in place for displays of cardholder data—for example, legal or payment card brand requirements for point-of-sale (POS) receipts.*			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
3.3.a Examine written policies and procedures for masking the display of PANs to verify: • A list of roles that need access to displays of full PAN is documented, together with a legitimate business need for each role to have such access. • PAN must be masked when displayed such that only personnel with a legitimate business need can see the full PAN. • All other roles not specifically authorized to see the full PAN must only see masked PANs.	**Identify the document(s)** reviewed to verify that written policies and procedures for masking the displays of PANs include the following: • A list of roles that need access to displays of full PAN is documented, together with a legitimate business need for each role to have such access. • PAN must be masked when displayed such that only personnel with a legitimate business need can see the full PAN. • All other roles not specifically authorized to see the full PAN must only see masked PANs.	*<Report Findings Here>*					
3.3.b Examine system configurations to verify that full PAN is only displayed for users/roles with a documented business need, and that PAN is masked for all other requests.	**Describe how** system configurations were examined to verify that:						
	▪ Full PAN is only displayed for users/roles with a documented business need.	*<Report Findings Here>*					
	▪ PAN is masked for all other requests.	*<Report Findings Here>*					
3.3.c Examine displays of PAN (for example, on screen, on paper receipts) to verify that PANs are masked when displaying cardholder data, and that only those with a legitimate business need are able to see full PAN.	**Describe how** displays of PAN were examined to verify that:						
	▪ PANs are masked when displaying cardholder data.	*<Report Findings Here>*					
	▪ Only those with a legitimate business need are able to see full PAN.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
3.4 Render PAN unreadable anywhere it is stored (including on portable digital media, backup media, and in logs) by using any of the following approaches: • One-way hashes based on strong cryptography, (hash must be of the entire PAN). • Truncation (hashing cannot be used to replace the truncated segment of PAN). • Index tokens and pads (pads must be securely stored). • Strong cryptography with associated key-management processes and procedures. ***Note:*** *It is a relatively trivial effort for a malicious individual to reconstruct original PAN data if they have access to both the truncated and hashed version of a PAN. Where hashed and truncated versions of the same PAN are present in an entity's environment, additional controls must be in place to ensure that the hashed and truncated versions cannot be correlated to reconstruct the original PAN.*			☐	☐	☐	☐	☐
3.4.a Examine documentation about the system used to protect the PAN, including the vendor, type of system/process, and the encryption algorithms (if applicable) to verify that the PAN is rendered unreadable using any of the following methods: • One-way hashes based on strong cryptography, • Truncation • Index tokens and pads, with the pads being securely stored • Strong cryptography, with associated key-management processes and procedures	**Identify the documentation** examined about the system used to protect the PAN.	*<Report Findings Here>*					
	Briefly describe the documented methods—including the vendor, type of system/process, and then encryption algorithms (if applicable)— used to protect the PAN.	*<Report Findings Here>*					
	Identify which of the following methods is used to render the PAN unreadable: • One-way hashes based on strong cryptography • Truncation • Index token and pads, with the pads being securely stored • Strong cryptography, with associated key-management processes and procedures	*<Report Findings Here>*					
3.4.b Examine several tables or files from a sample of data repositories to verify the PAN is rendered unreadable (that is, not stored in plain-text).	**Identify the sample** of data repositories selected.	*<Report Findings Here>*					
	Identify the tables or files examined for each item in the sample of data repositories.	*<Report Findings Here>*					
	For each item in the sample, **describe how** the table or file was examined to verify the PAN is rendered unreadable.	*<Report Findings Here>*					
3.4.c Examine a sample of removable	**Identify the sample** of removable media selected.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
media (for example, backup tapes) to confirm that the PAN is rendered unreadable.	*For each item in the sample*, **describe how** the sample of removable media was examined to confirm that the PAN is rendered unreadable.	*<Report Findings Here>*					
3.4.d Examine a sample of audit logs to confirm that the PAN is rendered unreadable or removed from the logs.	**Identify the sample** of audit logs selected.	*<Report Findings Here>*					
	For each item in the sample, **describe how** the sample of audit logs was examined to confirm that the PAN is rendered unreadable or removed from the logs.	*<Report Findings Here>*					
3.4.e If hashed and truncated versions of the same PAN are present in the environment, examine implemented controls to verify that the hashed and truncated versions cannot be correlated to reconstruct the original PAN.	**Identify whether** hashed and truncated versions of the same PAN are present in the environment **(yes/no)** *If 'no,'* mark 3.4.e as 'not applicable' and proceed to 3.4.1.	*<Report Findings Here>*					
	If 'yes,' **describe** the implemented controls examined to verify that the hashed and truncated versions cannot be correlated to reconstruct the original PAN.	*<Report Findings Here>*					
3.4.1 If disk encryption is used (rather than file- or column-level database encryption), logical access must be managed separately and independently of native operating system authentication and access control mechanisms (for example, by not using local user account databases or general network login credentials). Decryption keys must not be associated with user accounts.			☐	☐	☐	☐	☐
3.4.1.a If disk encryption is used, inspect the configuration and observe the authentication process to verify that logical access to encrypted file systems is implemented via a mechanism that is separate from the native operating system's authentication mechanism (for example, not using local user account databases or general network login credentials).	**Indicate whether** disk encryption is used. **(yes/no)**	*<Report Findings Here>*					
	If "yes," complete the remainder of 3.4.1.a, 3.4.1.b, and 3.4.1.c. *If "no," mark the remainder of 3.4.1.a, 3.4.1.b and 3.4.1.c as "Not Applicable."*						
	Describe the disk encryption mechanism(s) in use.	*<Report Findings Here>*					
	For each disk encryption mechanism in use, **describe how** the configuration was inspected and the authentication process observed to verify that logical access to encrypted file systems is separate from the native operating system's authentication mechanism.	*<Report Findings Here>*					
3.4.1.b Observe processes and interview personnel to verify that cryptographic keys	**Describe how** processes were observed to verify that cryptographic keys are stored securely.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
are stored securely (for example, stored on removable media that is adequately protected with strong access controls).	**Identify the personnel** interviewed who confirm that cryptographic keys are stored securely.	*<Report Findings Here>*					
3.4.1.c Examine the configurations and observe the processes to verify that cardholder data on removable media is encrypted wherever stored. ***Note:*** *If disk encryption is not used to encrypt removable media, the data stored on this media will need to be rendered unreadable through some other method.*	**Identify the configurations** examined.	*<Report Findings Here>*					
	Describe how the configurations were examined and the processes observed to verify that cardholder data on removable media is encrypted wherever stored.	*<Report Findings Here>*					
3.5 Document and implement procedures to protect keys used to secure stored cardholder data against disclosure and misuse: ***Note:*** *This requirement applies to keys used to encrypt stored cardholder data, and also applies to key-encrypting keys used to protect data-encrypting keys—such key-encrypting keys must be at least as strong as the data-encrypting key.*			☐	☐	☐	☐	☐
3.5 Examine key-management policies and procedures to verify processes are specified to protect keys used for encryption of cardholder data against disclosure and misuse and include at least the following: • Access to keys is restricted to the fewest number of custodians necessary. • Key-encrypting keys are at least as strong as the data-encrypting keys they protect. • Key-encrypting keys are stored separately from data-encrypting keys. • Keys are stored securely in the fewest possible locations and forms.	**Identify the documented key-management policies and processes** examined to verify processes are defined to protect keys used for encryption of cardholder data against disclosure and misuse and include at least the following: • Access to keys is restricted to the fewest number of custodians necessary. • Key-encrypting keys are at least as strong as the data-encrypting keys they protect. • Key-encrypting keys are stored separately from data-encrypting keys. • Keys are stored securely in the fewest possible locations and forms.	*<Report Findings Here>*					
3.5.1 Restrict access to cryptographic keys to the fewest number of custodians necessary.			☐	☐	☐	☐	☐
3.5.1 Examine user access lists to verify	**Identify user access lists** examined.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
that access to keys is restricted to the fewest number of custodians necessary.	**Describe how** user access lists were examined to verify that access to keys is restricted to the fewest number of custodians necessary.	*<Report Findings Here>*					
3.5.2 Store secret and private keys used to encrypt/decrypt cardholder data in one (or more) of the following forms at all times: • Encrypted with a key-encrypting key that is at least as strong as the data-encrypting key, and that is stored separately from the data-encrypting key. • Within a secure cryptographic device (such as a hardware/host security module (HSM) or PTS-approved point-of-interaction device). • As at least two full-length key components or key shares, in accordance with an industry-accepted method. ***Note:*** *It is not required that public keys be stored in one of these forms.*			☐	☐	☐	☐	☐
3.5.2.a Examine documented procedures to verify that cryptographic keys used to encrypt/decrypt cardholder data must only exist in one (or more) of the following forms at all times. • Encrypted with a key-encrypting key that is at least as strong as the data-encrypting key, and that is stored separately from the data-encrypting key. • Within a secure cryptographic device (such as a hardware (host) security module (HSM) or PTS-approved point-of-interaction device). • As key components or key shares, in accordance with an industry-accepted method.	**Identify the documented procedures** examined to verify that cryptographic keys used to encrypt/decrypt cardholder data must only exist in one (or more) of the following forms at all times. • Encrypted with a key-encrypting key that is at least as strong as the data-encrypting key, and that is stored separately from the data-encrypting key. • Within a secure cryptographic device (such as a hardware (host) security module (HSM) or PTS-approved point-of-interaction device). • As key components or key shares, in accordance with an industry-accepted method.	*<Report Findings Here>*				

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
3.5.2.b Examine system configurations and key storage locations to verify that cryptographic keys used to encrypt/decrypt cardholder data exist in one, (or more), of the following form at all times. • Encrypted with a key-encrypting key. • Within a secure cryptographic device (such as a hardware (host) security module (HSM) or PTS-approved point-of-interaction device). • As key components or key shares, in accordance with an industry-accepted method.	**Provide the name of the assessor** who attests that all locations where keys are stored were identified.	*<Report Findings Here>*					
	Describe how system configurations and key storage locations were examined to verify that cryptographic keys used to encrypt/decrypt cardholder data must only exist in one (or more) of the following forms at all times. • Encrypted with a key-encrypting key that is at least as strong as the data-encrypting key, and that is stored separately from the data-encrypting key. • Within a secure cryptographic device (such as a hardware (host) security module (HSM) or PTS-approved point-of-interaction device). • As key components or key shares, in accordance with an industry-accepted method.	*<Report Findings Here>*					
3.5.2.c Wherever key-encrypting keys are used, examine system configurations and key storage locations to verify: • Key-encrypting keys are at least as strong as the data-encrypting keys they protect. • Key-encrypting keys are stored separately from data-encrypting keys.	**Describe how** system configurations and key storage locations were examined to verify that, wherever key-encrypting keys are used:						
	▪ Key-encrypting keys are at least as strong as the data-encrypting keys they protect	*<Report Findings Here>*					
	▪ Key-encrypting keys are stored separately from data-encrypting keys.	*<Report Findings Here>*					
3.5.3 Store cryptographic keys in the fewest possible locations.			☐	☐	☐	☐	☐
3.5.3 Examine key storage locations and observe processes to verify that keys are stored in the fewest possible locations.	**Describe how** key storage locations were examined and processes were observed to verify that keys are stored in the fewest possible locations.	*<Report Findings Here>*					
3.6 Fully document and implement all key-management processes and procedures for cryptographic keys used for encryption of cardholder data, including the following: ***Note:*** *Numerous industry standards for key management are available from various resources including NIST, which can be found at http://csrc.nist.gov.*			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
3.6.a ***Additional Procedure for service provider assessments only***: If the service provider shares keys with their customers for transmission or storage of cardholder data, examine the documentation that the service provider provides to their customers to verify that it includes guidance on how to securely transmit, store, and update customers' keys, in accordance with Requirements 3.6.1 through 3.6.8 below.	**Indicate whether** the assessed entity is a service provider that shares keys with their customers for transmission or storage of cardholder data. **(yes/no)**	*<Report Findings Here>*					
	If "yes," **Identify the document** that the service provider provides to their customers examined to verify that it includes guidance on how to securely transmit, store and update customers' keys, in accordance with Requirements 3.6.1 through 3.6.8 below.	*<Report Findings Here>*					
3.6.b Examine the key-management procedures and processes for keys used for encryption of cardholder data and perform the following:							
3.6.1 Generation of strong cryptographic keys.			☐	☐	☐	☐	☐
3.6.1.a Verify that key-management procedures specify how to generate strong keys.	**Identify the documented key-management procedures** examined to verify procedures specify how to generate strong keys.	*<Report Findings Here>*					
3.6.1.b Observe the method for generating keys to verify that strong keys are generated.	**Describe how** the method for generating keys was observed to verify that strong keys are generated.	*<Report Findings Here>*					
3.6.2 Secure cryptographic key distribution.			☐	☐	☐	☐	☐
3.6.2.a Verify that key-management procedures specify how to securely distribute keys.	**Identify the documented key-management procedures** examined to verify procedures specify how to securely distribute keys.	*<Report Findings Here>*					
3.6.2.b Observe the method for distributing keys to verify that keys are distributed securely.	**Describe how** the method for distributing keys was observed to verify that keys are distributed securely.	*<Report Findings Here>*					
3.6.3 Secure cryptographic key storage.			☐	☐	☐	☐	☐
3.6.3.a Verify that key-management procedures specify how to securely store keys.	**Identify the documented key-management procedures examined** to verify procedures specify how to securely store keys.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
3.6.3.b Observe the method for storing keys to verify that keys are stored securely.	**Describe how** the method for storing keys was observed to verify that keys are stored securely.	*<Report Findings Here>*					
3.6.4 Cryptographic key changes for keys that have reached the end of their cryptoperiod (for example, after a defined period of time has passed and/or after a certain amount of cipher-text has been produced by a given key), as defined by the associated application vendor or key owner, and based on industry best practices and guidelines (for example, NIST Special Publication 800-57).			☐	☐	☐	☐	☐
3.6.4.a Verify that key-management procedures include a defined cryptoperiod for each key type in use and define a process for key changes at the end of the defined cryptoperiod(s).	**Identify the document** that defines: • Key cryptoperiod(s) for each key type in use • A process for key changes at the end of the defined cryptoperiod(s)	*<Report Findings Here>*					
3.6.4.b Interview personnel to verify that keys are changed at the end of the defined cryptoperiod(s).	**Identify personnel interviewed** for this testing procedure who confirm that keys are changed at the end of the defined cryptoperiod(s).	*<Report Findings Here>*					
3.6.5 Retirement or replacement (for example, archiving, destruction, and/or revocation) of keys as deemed necessary when the integrity of the key has been weakened (for example, departure of an employee with knowledge of a clear-text key component), or keys are suspected of being compromised. ***Note:*** *If retired or replaced cryptographic keys need to be retained, these keys must be securely archived (for example, by using a key-encryption key). Archived cryptographic keys should only be used for decryption/verification purposes.*			☐	☐	☐	☐	☐
3.6.5.a Verify that key-management procedures specify processes for the following: • The retirement or replacement of keys when the integrity of the key has been weakened. • The replacement of known or suspected compromised keys. • Any keys retained after retiring or replacing are not used for encryption operations.	**Identify the key-management document** examined to verify that key-management processes specify the following: • The retirement or replacement of keys when the integrity of the key has been weakened. • The replacement of known or suspected compromised keys. • Any keys retained after retiring or replacing are not used for encryption operations.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
3.6.5.b Interview personnel to verify the following processes are implemented: • Keys are retired or replaced as necessary when the integrity of the key has been weakened, including when someone with knowledge of the key leaves the company. • Keys are replaced if known or suspected to be compromised. • Any keys retained after retiring or replacing are not used for encryption operations.	**Identify the personnel** interviewed for this testing procedure.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details discussed** that verify the following processes are implemented:						
	▪ Keys are retired or replaced as necessary when the integrity of the key has been weakened, including when someone with knowledge of the key leaves the company.	*<Report Findings Here>*					
	▪ Keys are replaced if known or suspected to be compromised.	*<Report Findings Here>*					
	▪ Any keys retained after retiring or replacing are not used for encryption operations.	*<Report Findings Here>*					
3.6.6 If manual clear-text cryptographic key-management operations are used, these operations must be managed using split knowledge and dual control. ***Note:*** *Examples of manual key-management operations include, but are not limited to: key generation, transmission, loading, storage and destruction.*			☐	☐	☐	☐	☐
3.6.6.a Verify that manual clear-text key-management procedures specify processes for the use of the following: • Split knowledge of keys, such that key components are under the control of at least two people who only have knowledge of their own key components; AND • Dual control of keys, such that at least two people are required to perform any key-management operations and no one person has access to the authentication materials (for example, passwords or keys) of another.	**Indicate whether** manual clear-text cryptographic key-management operations are used. **(yes/no)**	*<Report Findings Here>*					
	If "no," mark the remainder of 3.6.6.a and 3.6.6.b as "Not Applicable." *If "yes," complete 3.6.6.a and 3.6.6.b.*						
	Identify the document examined to verify that manual clear-text key-management procedures define processes for the use of the following: • Split knowledge of keys, such that key components are under the control of at least two people who only have knowledge of their own key components; AND • Dual control of keys, such that at least two people are required to perform any key-management operations and no one person has access to the authentication materials of another.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
3.6.6 b Interview personnel and/or observe processes to verify that manual clear-text keys are managed with: • Split knowledge, AND • Dual control	**Identify the personnel** interviewed for this testing procedure, if applicable.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details discussed and/or describe how** processes were observed to verify the following processes are implemented:						
	▪ Split knowledge	*<Report Findings Here>*					
	▪ Dual Control	*<Report Findings Here>*					
3.6.7 Prevention of unauthorized substitution of cryptographic keys.			☐	☐	☐	☐	☐
3.6.7.a Verify that key-management procedures specify processes to prevent unauthorized substitution of keys.	**Identify the document** examined to verify that key-management procedures specify processes to prevent unauthorized substitution of keys.	*<Report Findings Here>*					
3.6.7.b Interview personnel and/or observe process to verify that unauthorized substitution of keys is prevented.	**Identify the personnel** interviewed for this testing procedure, if applicable.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details discussed and/or describe how** processes were observed to verify that unauthorized substitution of keys is prevented.	*<Report Findings Here>*					
3.6.8 Requirement for cryptographic key custodians to formally acknowledge that they understand and accept their key-custodian responsibilities.			☐	☐	☐	☐	☐
3.6.8.a Verify that key-management procedures specify processes for key custodians to acknowledge (in writing or electronically) that they understand and accept their key-custodian responsibilities.	**Identify the document** examined to verify that key-management procedures specify processes for key custodians to acknowledge that they understand and accept their key-custodian responsibilities.	*<Report Findings Here>*					
3.6.8.b Observe documentation or other evidence showing that key custodians have acknowledged (in writing or electronically) that they understand and accept their key-custodian responsibilities.	**Describe how** key custodian acknowledgements or other evidence were observed to verify that key custodians have acknowledged that they understand and accept their key-custodian responsibilities.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
3.7 Ensure that security policies and operational procedures for protecting stored cardholder data are documented, in use, and known to all affected parties.			☐	☐	☐	☐	☐
3.7 Examine documentation and interview personnel to verify that security policies and operational procedures for protecting stored cardholder data are: • Documented, • In use, and • Known to all affected parties	**Identify the document** reviewed to verify that security policies and operational procedures for protecting stored cardholder data are documented.	<Report Findings Here>					
	Identify responsible personnel interviewed who confirm that the above documented security policies and operational procedures for protecting stored cardholder data are: • In use • Known to all affected parties	*<Report Findings Here>*					

Requirement 4: Encrypt transmission of cardholder data across open, public networks

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
4.1 Use strong cryptography and security protocols (for example, TLS, IPSEC, SSH, etc.) to safeguard sensitive cardholder data during transmission over open, public networks, including the following: • Only trusted keys and certificates are accepted. • The protocol in use only supports secure versions or configurations. • The encryption strength is appropriate for the encryption methodology in use. ***Note:*** *SSL and early TLS are not considered strong cryptography and cannot be used as a security control after 30th June, 2016. Prior to this date, existing implementations that use SSL and/or early TLS must have a formal Risk Mitigation and Migration Plan in place.* *Effective immediately, new implementations must not use SSL or early TLS.* *POS POI terminals (and the SSL/TLS termination points to which they connect) that can be verified as not being susceptible to any known exploits for SSL and early TLS may continue using these as a security control after 30th June, 2016.* *Examples of open, public networks include but are not limited to:* • *The Internet* • *Wireless technologies, including 802.11 and Bluetooth* • *Cellular technologies, for example, Global System for Mobile communications (GSM), Code division multiple access (CDMA)* • *General Packet Radio Service (GPRS)* • *Satellite communications*			☐	☐	☐	☐	☐
4.1.a Identify all locations where cardholder data is transmitted or received	**Identify** all locations where cardholder data is transmitted or received over open, public networks.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
	Identify the documented standards examined.	*<Report Findings Here>*					
	Describe how the documented standards were examined and compared to system configurations to verify the use of:						
	▪ Security protocols observed in use	*<Report Findings Here>*					
	▪ Strong cryptography for all locations	*<Report Findings Here>*					
4.1.b Review documented policies and procedures to verify processes are specified for the following: • For acceptance of only trusted keys and/or certificates. • For the protocol in use to only support secure versions and configurations (that insecure versions or configurations are not supported). • For implementation of proper encryption strength per the encryption methodology in use.	**Identify the document** reviewed to verify that processes are specified for the following: • For acceptance of only trusted keys and/or certificates. • For the protocol in use to only support secure versions and configurations (that insecure versions or configurations are not supported). • For implementation of proper encryption strength per the encryption methodology in use.	*<Report Findings Here>*					
4.1.c Select and observe a sample of inbound and outbound transmissions as they occur to verify that all cardholder data is encrypted with strong cryptography during transit.	**Describe the sample** of inbound and outbound transmissions observed as they occurred.	*<Report Findings Here>*					
	Describe how the samples of inbound and outbound transmissions were observed as they occurred to verify that all cardholder data is encrypted with strong cryptography during transit.	*<Report Findings Here>*					
4.1.d Examine keys and certificates to verify that only trusted keys and/or certificates are accepted.	*For all instances where cardholder data is transmitted or received over open, public networks:*						
	Describe the mechanisms used to ensure that only trusted keys and/or certificates are accepted.	*<Report Findings Here>*					
	Describe how the mechanisms were observed to accept only trusted keys and/or certificates.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
4.1.e Examine system configurations to verify that the protocol is implemented to use only secure configurations and does not support insecure versions or configurations.	*For all instances where cardholder data Is transmitted or received over open, public networks,* **describe how** system configurations were observed to verify that the protocol is implemented:						
	▪ To use only secure configurations.	*<Report Findings Here>*					
	▪ Does not support insecure versions or configurations.	*<Report Findings Here>*					
4.1.f Examine system configurations to verify that the proper encryption strength is implemented for the encryption methodology in use. (Check vendor recommendations/best practices.)	*For each encryption methodology in use,*						
	Identify vendor recommendations/best practices for encryption strength.	*<Report Findings Here>*					
	Identify the encryption strength observed to be implemented.	*<Report Findings Here>*					
4.1.g For TLS implementations, examine system configurations to verify that TLS is enabled whenever cardholder data is transmitted or received. *For example, for browser-based implementations:* • *"HTTPS" appears as the browser Universal Record Locator (URL) protocol; and* • *Cardholder data is only requested if "HTTPS" appears as part of the URL.*	**Indicate whether** TLS is implemented to encrypt cardholder data over open, public networks in the CDE. **(yes/no)**	*<Report Findings Here>*					
	If "yes," for all instances where TLS is used to encrypt cardholder data over open, public networks, ***describe how*** *system configurations were examined to verify that TLS is enabled whenever cardholder data is transmitted or received, as follows:*						
	▪ HTTPS appears as part of the browser URL.	*<Report Findings Here>*					
	▪ Cardholder data is only requested if HTTPS appears as part of the URL.	*<Report Findings Here>*					
4.1.h *For POS POI terminals (and the SSL/TLS termination points to which they connect) using SSL and/or early TLS and for which the entity asserts are not susceptible to any known exploits for those protocols:* Confirm that the entity has documentation (for example, vendor documentation, system/network configuration details, etc.) that verifies the devices are not susceptible to any known exploits for SSL/early TLS.	**Indicate whether** the assessed entity includes POS POI terminals (and the SSL/TLS termination points to which they connect) using SSL and/or early TLS – for which the entity asserts are not susceptible to any known exploits for those protocols. **(yes/no)** *If 'no,' mark the remainder of 4.1.h as 'not applicable.'*	*<Report Findings Here>*					
	If 'yes,' **identify the document(s)** examined to verify that the entity maintains documentation that verifies the devices are not susceptible to any known exploits for SSL/early TLS.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
4.1.i *For all other environments using SSL and/or early TLS:* Review the documented Risk Mitigation and Migration Plan to verify it includes: • Description of usage, including; what data is being transmitted, types and number of systems that use and/or support SSL/early TLS, type of environment; • Risk assessment results and risk reduction controls in place; • Description of processes to monitor for new vulnerabilities associated with SSL/early TLS; • Description of change control processes that are implemented to ensure SSL/early TLS is not implemented into new environments; • Overview of migration project plan including target migration completion date no later than 30th June 2016.	**Indicate whether** the assessed entity includes any other environments using SSL and/or early TLS **(yes/no)** *If 'no,' mark the remainder of 4.1.i as 'not applicable.'*	*<Report Findings Here>*					
	If 'yes,' **identify the Risk Mitigation and Migration Plan document(s)** examined to verify that it includes: ▪ Description of usage, including; what data is being transmitted, types and number of systems that use and/or support SSL/early TLS, type of environment; ▪ Risk assessment results and risk reduction controls in place; ▪ Description of processes to monitor for new vulnerabilities associated with SSL/early TLS; ▪ Description of change control processes that are implemented to ensure SSL/early TLS is not implemented into new environments; ▪ Overview of migration project plan including target migration completion date no later than 30th June 2016.	*<Report Findings Here>*					
4.1.1 Ensure wireless networks transmitting cardholder data or connected to the cardholder data environment, use industry best practices (for example, IEEE 802.11i) to implement strong encryption for authentication and transmission. ***Note:*** *The use of WEP as a security control is prohibited.*			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
4.1.1 Identify all wireless networks transmitting cardholder data or connected to the cardholder data environment. Examine documented standards and compare to system configuration settings to verify the following for all wireless networks identified: • Industry best practices (for example, IEEE 802.11i) are used to implement strong encryption for authentication and transmission. • Weak encryption (for example, WEP, SSL) is not used as a security control for authentication or transmission.	**Identify** all wireless networks transmitting cardholder data or connected to the cardholder data environment.	*<Report Findings Here>*					
	Identify the documented standards examined to verify processes define the following for all wireless networks identified: • Industry best practices (for example, IEEE 802.11i) are used to implement strong encryption for authentication and transmission. • Weak encryption is not used as a security control for authentication or transmission.	*<Report Findings Here>*					
	Describe how documented standards were examined and compared to system configuration settings to verify the following for all wireless networks identified:						
	▪ Industry best practices are used to implement strong encryption for authentication and transmission.	*<Report Findings Here>*					
	▪ Weak encryption is not used as a security control for authentication or transmission.	*<Report Findings Here>*					
4.2 Never send unprotected PANs by end-user messaging technologies (for example, e-mail, instant messaging, SMS, chat, etc.).			☐	☐	☐	☐	☐
4.2.a If end-user messaging technologies are used to send cardholder data, observe processes for sending PAN and examine a sample of outbound transmissions as they occur to verify that PAN is rendered unreadable or secured with strong cryptography whenever it is sent via end-user messaging technologies.	**Indicate whether** end-user messaging technologies are used to send cardholder data. **(yes/no)**	*<Report Findings Here>*					
	If "no," mark the remainder of 4.2.a as "Not Applicable" and proceed to 4.2.b. *If "yes," complete the following:*						
	Describe how processes for sending PAN were observed to verify that PAN is rendered unreadable or secured with strong cryptography whenever it is sent via end-user messaging technologies.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
	Describe how the sample of outbound transmissions observed as they occurred to verify that PAN is rendered unreadable or secured with strong cryptography whenever it is sent via end-user messaging technologies.	*<Report Findings Here>*					
4.2.b Review written policies to verify the existence of a policy stating that unprotected PANs are not to be sent via end-user messaging technologies.	*If "yes" at 4.2.a:*						
	Identify the policy document stating that unprotected PANs must not be sent via end-user messaging technologies.	*<Report Findings Here>*					
	If "no" at 4.2.a:						
	Identify the policy document that explicitly prohibits PAN from being sent via end-user messaging technologies under any circumstances.	*<Report Findings Here>*					
4.3 Ensure that security policies and operational procedures for encrypting transmissions of cardholder data are documented, in use, and known to all affected parties.			☐	☐	☐	☐	☐
4.3 Examine documentation and interview personnel to verify that security policies and operational procedures for encrypting transmissions of cardholder data are: • Documented, • In use, and • Known to all affected parties.	**Identify the document** reviewed to verify that security policies and operational procedures for encrypting transmissions of cardholder data are documented.	<Report Findings Here>					
	Identify responsible personnel interviewed who confirm that the above documented security policies and operational procedures for encrypting transmissions of cardholder data are: • In use • Known to all affected parties	*<Report Findings Here>*					

Maintain a Vulnerability Management Program

Requirement 5: Protect all systems against malware and regularly update anti-virus software or programs

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
5.1 Deploy anti-virus software on all systems commonly affected by malicious software (particularly personal computers and servers).			☐	☐	☐	☐	☐
5.1 For a sample of system components including all operating system types commonly affected by malicious software, verify that anti-virus software is deployed if applicable anti-virus technology exists.	**Identify the sample** of system components selected (including all operating system types commonly affected by malicious software).	*<Report Findings Here>*					
	For each item in the sample, **describe how** anti-virus software was observed to be deployed.	*<Report Findings Here>*					
5.1.1 Ensure that anti-virus programs are capable of detecting, removing, and protecting against all known types of malicious software.			☐	☐	☐	☐	☐
5.1.1 Review vendor documentation and examine anti-virus configurations to verify that anti-virus programs; • Detect all known types of malicious software, • Remove all known types of malicious software, and • Protect against all known types of malicious software. *(Examples of types of malicious software include viruses, Trojans, worms, spyware, adware, and rootkits).*	**Identify the vendor documentation** reviewed to verify that anti-virus programs: • Detect all known types of malicious software, • Remove all known types of malicious software, and • Protect against all known types of malicious software.	*<Report Findings Here>*					
	Describe how anti-virus configurations were examined to verify that anti-virus programs:						
	▪ Detect all known types of malicious software,	*<Report Findings Here>*					
	▪ Remove all known types of malicious software, and	*<Report Findings Here>*					
	▪ Protect against all known types of malicious software.	*<Report Findings Here>*					
5.1.2 For systems considered to be not commonly affected by malicious software, perform periodic evaluations to identify and evaluate evolving malware threats in order to confirm whether such systems continue to not require anti-virus software.			☐	☐	☐	☐	☐
5.1.2 Interview personnel to verify that evolving malware threats are monitored	**Identify the personnel** interviewed for this testing procedure.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
and evaluated for systems not currently considered to be commonly affected by malicious software, in order to confirm whether such systems continue to not require anti-virus software.	For the interview, **summarize the relevant details discussed and/or describe how processes** were observed to verify that evolving malware threats are monitored and evaluated for systems not currently considered to be commonly affected by malicious software, and that such systems continue to not require anti-virus software.	*<Report Findings Here>*					
5.2 Ensure that all anti-virus mechanisms are maintained as follows: • Are kept current. • Perform periodic scans. • Generate audit logs which are retained per PCI DSS Requirement 10.7.			☐	☐	☐	☐	☐
5.2.a Examine policies and procedures to verify that anti-virus software and definitions are required to be kept up-to-date.	**Identify the documented policies and procedures** examined to verify that anti-virus software and definitions are required to be kept up to date.	*<Report Findings Here>*					
5.2.b Examine anti-virus configurations, including the master installation of the software, to verify anti-virus mechanisms are: • Configured to perform automatic updates, and • Configured to perform periodic	**Describe how** anti-virus configurations, including the master installation of the software, were examined to verify anti-virus mechanisms are:						

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	▪ Configured to perform automatic updates, and	<Report Findings Here>					
	▪ Configured to perform periodic scans.	<Report Findings Here>					
5.2.c Examine a sample of system components, including all operating system types commonly affected by malicious software, to verify that: • The anti-virus software and definitions are current. • Periodic scans are performed.	**Identify the sample** of system components, including all operating system types commonly affected by malicious software, selected for this testing procedure.	<Report Findings Here>					
	Describe how system components were examined to verify that:						
	▪ The anti-virus software and definitions are current.	<Report Findings Here>					
	▪ Periodic scans are performed.	<Report Findings Here>					
5.2.d Examine anti-virus configurations, including the master installation of the software and a sample of system components, to verify that: • Anti-virus software log generation is enabled, and • Logs are retained in accordance with PCI DSS Requirement 10.7.	**Identify the sample** of system components selected for this testing procedure.	<Report Findings Here>					
	For each item in the sample, **describe how** anti-virus configurations, including the master installation of the software, were examined to verify that:						
	▪ Anti-virus software log generation is enabled, and	<Report Findings Here>					
	▪ Logs are retained in accordance with PCI DSS Requirement 10.7.	<Report Findings Here>					
5.3 Ensure that anti-virus mechanisms are actively running and cannot be disabled or altered by users, unless specifically authorized by management on a case-by-case basis for a limited time period. ***Note:*** *Anti-virus solutions may be temporarily disabled only if there is legitimate technical need, as authorized by management on a case-by-case basis. If anti-virus protection needs to be disabled for a specific purpose, it must be formally authorized. Additional security measures may also need to be implemented for the period of time during which anti-virus protection is not active.*			☐	☐	☐	☐	☐
5.3.a Examine anti-virus configurations, including the master installation of the software and a sample of system components, to verify the anti-virus software is actively running.	**Identify the sample** of system components selected.	<Report Findings Here>					
	For each item in the sample, **describe how** anti-virus configurations, including the master installation of the software, were examined to verify that the anti-virus software is actively running.	<Report Findings Here>					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
5.3.b Examine anti-virus configurations, including the master installation of the software and a sample of system components, to verify that the anti-virus software cannot be disabled or altered by users.	*For each item in the sample from 5.3.a,* **describe how** anti-virus configurations, including the master installation of the software, were examined to verify that the anti-virus software cannot be disabled or altered by users.	*<Report Findings Here>*					
5.3.c Interview responsible personnel and observe processes to verify that anti-virus software cannot be disabled or altered by users, unless specifically authorized by management on a case-by-case basis for a limited time period.	**Identify the responsible personnel** interviewed who confirm that anti-virus software cannot be disabled or altered by users, unless specifically authorized by management on a case-by-case basis for a limited time period.	*<Report Findings Here>*					
	Describe how the process was observed to verify that anti-virus software cannot be disabled or altered by users, unless specifically authorized by management on a case-by-case basis for a limited time period.	*<Report Findings Here>*					
5.4 Ensure that security policies and operational procedures for protecting systems against malware are documented, in use, and known to all affected parties.			☐	☐	☐	☐	☐
5.4 Examine documentation and interview personnel to verify that security policies and operational procedures for protecting systems against malware are: • Documented, • In use, and • Known to all affected parties.	**Identify the document reviewed to** verify that security policies and operational procedures for protecting systems against malware are documented.	<Report Findings Here>					
	Identify responsible personnel interviewed who confirm that the above documented security policies and operational procedures for protecting systems against malware are: • In use • Known to all affected parties	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
6.1 Establish a process to identify security vulnerabilities, using reputable outside sources for security vulnerability information, and assign a risk ranking (for example, as "high," "medium," or "low") to newly discovered security vulnerabilities. ***Note:*** *Risk rankings should be based on industry best practices as well as consideration of potential impact. For example, criteria for ranking vulnerabilities may include consideration of the CVSS base score, and/or the classification by the vendor, and/or type of systems affected.* *Methods for evaluating vulnerabilities and assigning risk ratings will vary based on an organization's environment and risk assessment strategy. Risk rankings should, at a minimum, identify all vulnerabilities considered to be a "high risk" to the environment. In addition to the risk ranking, vulnerabilities may be considered "critical" if they pose an imminent threat to the environment, impact critical systems, and/or would result in a potential compromise if not addressed. Examples of critical systems may include security systems, public-facing devices and systems, databases, and other systems that store, process, or transmit cardholder data.*			☐	☐	☐	☐	☐
6.1.a Examine policies and procedures to verify that processes are defined for the following: • To identify new security vulnerabilities. • To assign a risk ranking to vulnerabilities that includes identification of all "high risk" and "critical" vulnerabilities. • To include using reputable outside sources for security vulnerability information.	**Identify the documented policies and procedures** examined to confirm that processes are defined: • To identify new security vulnerabilities. • To assign a risk ranking to vulnerabilities that includes identification of all "high risk" and "critical" vulnerabilities. • To include using reputable outside sources for security vulnerability information.	*<Report Findings Here>*					
6.1.b Interview responsible personnel and observe processes to verify that: • New security vulnerabilities are identified. • A risk ranking is assigned to vulnerabilities that includes identification of all "high" risk and "critical" vulnerabilities. • Processes to identify new security vulnerabilities include using reputable outside sources for security	**Identify the responsible personnel** interviewed who confirm that: • New security vulnerabilities are identified. • A risk ranking is assigned to vulnerabilities that includes identification of all "high" risk and "critical" vulnerabilities. • Processes to identify new security vulnerabilities include using reputable outside sources for security vulnerability information.	*<Report Findings Here>*					
	Describe the processes observed to verify that:						

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
vulnerability information.	▪ New security vulnerabilities are identified.	*<Report Findings Here>*					
	▪ A risk ranking is assigned to vulnerabilities to include identification of all "high" risk and "critical" vulnerabilities.	*<Report Findings Here>*					
	▪ Processes to identify new security vulnerabilities include using reputable outside sources for security vulnerability information.	*<Report Findings Here>*					
	Identify the outside sources used.	*<Report Findings Here>*					
6.2 Ensure that all system components and software are protected from known vulnerabilities by installing applicable vendor-supplied security patches. Install critical security patches within one month of release. ***Note:*** *Critical security patches should be identified according to the risk ranking process defined in Requirement 6.1.*			☐	☐	☐	☐	☐
6.2.a Examine policies and procedures related to security-patch installation to verify processes are defined for: • Installation of applicable critical vendor-supplied security patches within one month of release. • Installation of all applicable vendor-supplied security patches within an appropriate time frame (for example, within three months).	**Identify the documented policies and procedures** related to security-patch installation examined to verify processes are defined for: • Installation of applicable critical vendor-supplied security patches within one month of release. • Installation of all applicable vendor-supplied security patches within an appropriate time frame.	*<Report Findings Here>*					
6.2.b For a sample of system components and related software, compare the list of security patches installed on each system	**Identify the sample** of system components and related software selected for this testing procedure.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Identify the vendor security patch list reviewed.	*<Report Findings Here>*					
	For each item in the sample, **describe how** the list of security patches installed on each system was compared to the most recent vendor security-patch list to verify that:						
	▪ Applicable critical vendor-supplied security patches are installed within one month of release.	*<Report Findings Here>*					
	▪ All applicable vendor-supplied security patches are installed within an appropriate time frame.	*<Report Findings Here>*					
6.3 Develop internal and external software applications (including web-based administrative access to applications) securely, as follows: • In accordance with PCI DSS (for example, secure authentication and logging). • Based on industry standards and/or best practices. • Incorporate information security throughout the software development life cycle. ***Note**: this applies to all software developed internally as well as bespoke or custom software developed by a third party.*			☐	☐	☐	☐	☐
6.3.a Examine written software-development processes to verify that the processes are based on industry standards and/or best practices.	**Identify the document** that defines software development processes based on industry standards and/or best practices.	*<Report Findings Here>*					
	Identify the industry standards and/or best practices used.	*<Report Findings Here>*					
6.3.b Examine written software development processes to verify that information security is included throughout the life cycle.	**Identify the documented software development processes** examined to verify that information security is included throughout the life cycle.	*<Report Findings Here>*					
6.3.c Examine written software development processes to verify that software applications are developed in accordance with PCI DSS.	**Identify the documented software development processes** examined to verify that software applications are developed in accordance with PCI DSS.	*<Report Findings Here>*					
6.3.d Interview software developers to verify that written software development processes are implemented.	**Identify the software developers** interviewed for this testing procedure.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details discussed** to verify that written software development processes are implemented.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
6.3.1 Remove development, test and/or custom application accounts, user IDs, and passwords before applications become active or are released to customers.			☐	☐	☐	☐	☐
6.3.1 Examine written software-development procedures and interview responsible personnel to verify that pre-production and/or custom application accounts, user IDs and/or passwords are removed before an application goes into production or is released to customers.	**Identify the documented software-development processes** examined to verify processes define that pre-production and/or custom application accounts, user IDs and/or passwords are removed before an application goes into production or is released to customers.	*<Report Findings Here>*					
	Identify the responsible personnel interviewed for this testing procedure.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details discussed** to confirm that pre-production and/or custom application accounts, user IDs and/or passwords are removed before an application goes into production or is released to customers.	*<Report Findings Here>*					
6.3.2 Review custom code prior to release to production or customers in order to identify any potential coding vulnerability (using either manual or automated processes) to include at least the following: • Code changes are reviewed by individuals other than the originating code author, and by individuals knowledgeable about code review techniques and secure coding practices. • Code reviews ensure code is developed according to secure coding guidelines. • Appropriate corrections are implemented prior to release. • Code review results are reviewed and approved by management prior to release. ***Note:*** *This requirement for code reviews applies to all custom code (both internal and public-facing), as part of the system development life cycle.* *Code reviews can be conducted by knowledgeable internal personnel or third parties. Public-facing web applications are also subject to additional controls, to address ongoing threats and vulnerabilities after implementation, as defined at PCI DSS Requirement 6.6.*			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
6.3.2.a Examine written software development procedures and interview responsible personnel to verify that all custom application code changes must be reviewed (using either manual or automated processes) as follows: • Code changes are reviewed by individuals other than the originating code author, and by individuals who are knowledgeable in code review techniques and secure coding practices. • Code reviews ensure code is developed according to secure coding guidelines (see PCI DSS Requirement 6.5). • Appropriate corrections are implemented prior to release. • Code-review results are reviewed and approved by management prior to release.	**Identify the documented software-development processes** examined to verify processes define that all custom application code changes must be reviewed (using either manual or automated processes) as follows: • Code changes are reviewed by individuals other than the originating code author, and by individuals who are knowledgeable in code review techniques and secure coding practices. • Code reviews ensure code is developed according to secure coding guidelines (see PCI DSS Requirement 6.5). • Appropriate corrections are implemented prior to release. • Code-review results are reviewed and approved by management prior to release.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Identify the responsible personnel interviewed for this testing procedure who confirm that all custom application code changes are reviewed as follows: • Code changes are reviewed by individuals other than the originating code author, and by individuals who are knowledgeable in code-review techniques and secure coding practices. • Code reviews ensure code is developed according to secure coding guidelines (see PCI DSS Requirement 6.5). • Appropriate corrections are implemented prior to release. • Code-review results are reviewed and approved by management prior to release.	*<Report Findings Here>*					
	Describe how all custom application code changes must be reviewed, including whether processes are manual or automated.	*<Report Findings Here>*					
6.3.2.b Select a sample of recent custom application changes and verify that custom application code is reviewed according to 6.3.2.a, above.	**Identify the sample** of recent custom application changes selected for this testing procedure.	*<Report Findings Here>*					
	For each item in the sample, **describe how** code review processes were observed to verify custom application code is reviewed as follows:						
	▪ Code changes are reviewed by individuals other than the originating code author.	*<Report Findings Here>*					
	▪ Code changes are reviewed by individuals who are knowledgeable in code-review techniques and secure coding practices.	*<Report Findings Here>*					
	▪ Code reviews ensure code is developed according to secure coding guidelines (see PCI DSS Requirement 6.5).	*<Report Findings Here>*					
	▪ Appropriate corrections are implemented prior to release.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	▪ Code-review results are reviewed and approved by management prior to release.	*<Report Findings Here>*					
6.4 Follow change control processes and procedures for all changes to system components. The processes must include the following:			☐	☐	☐	☐	☐
6.4 Examine policies and procedures to verify the following are defined: • Development/test environments are separate from production environments with access control in place to enforce separation. • A separation of duties between personnel assigned to the development/test environments and those assigned to the production environment. • Production data (live PANs) are not used for testing or development. • Test data and accounts are removed before a production system becomes active. • Change control procedures related to implementing security patches and software modifications are documented.	**Identify the documented policies and procedures** examined to verify that the following are defined: • Development/test environments are separate from production environments with access control in place to enforce separation. • A separation of duties between personnel assigned to the development/test environments and those assigned to the production environment. • Production data (live PANs) are not used for testing or development. • Test data and accounts are removed before a production system becomes active. • Change-control procedures related to implementing security patches and software modifications are documented.	*<Report Findings Here>*					
6.4.1 Separate development/test environments from production environments, and enforce the separation with access controls.			☐	☐	☐	☐	☐
6.4.1.a Examine network documentation and network device configurations to verify that the development/test environments are separate from the production environment(s).	**Identify the network documentation** that illustrates that the development/test environments are separate from the production environment(s).	*<Report Findings Here>*					
	Describe how network device configurations were examined to verify that the development/test environments are separate from the production environment(s).	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
6.4.1.b Examine access controls settings to verify that access controls are in place to enforce separation between the development/test environments and the production environment(s).	**Identify the access control settings** examined for this testing procedure.	*<Report Findings Here>*					
	Describe how the access control settings were examined to verify that access controls are in place to enforce separation between the development/test environments and the production environment(s).	*<Report Findings Here>*					
6.4.2 Separation of duties between development/test and production environments.			☐	☐	☐	☐	☐
6.4.2 Observe processes and interview personnel assigned to development/test environments and personnel assigned to production environments to verify that separation of duties is in place between development/test environments and the production environment.	**Identify the personnel assigned to development/test environments** interviewed who confirm that separation of duties is in place between development/test environments and the production environment.	*<Report Findings Here>*					
	Identify the personnel assigned to production environments interviewed who confirm that separation of duties is in place between development/test environments and the production environment.	*<Report Findings Here>*					
	Describe how processes were observed to verify that separation of duties is in place between development/test environments and the production environment.	*<Report Findings Here>*					
6.4.3 Production data (live PANs) are not used for testing or development.			☐	☐	☐	☐	☐
6.4.3.a Observe testing processes and interview personnel to verify procedures are in place to ensure production data (live PANs) are not used for testing or development.	**Identify the personnel** interviewed who confirm that procedures are in place to ensure production data (live PANs) are not used for testing or development.	*<Report Findings Here>*					
	Describe how testing processes were observed to verify procedures are in place to ensure production data (live PANs) are not used for testing.	*<Report Findings Here>*					
	Describe how testing processes were observed to verify procedures are in place to ensure production data (live PANs) are not used for development.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
6.4.3.b Examine a sample of test data to verify production data (live PANs) is not used for testing or development.	**Describe how** a sample of test data was examined to verify production data (live PANs) is not used for testing.	*<Report Findings Here>*					
	Describe how a sample of test data was examined to verify production data (live PANs) is not used for development.	*<Report Findings Here>*					
6.4.4 Removal of test data and accounts before production systems become active.			☐	☐	☐	☐	☐
6.4.4.a Observe testing processes and interview personnel to verify test data and accounts are removed before a production system becomes active.	**Identify the personnel** interviewed who confirm that test data and accounts are removed before a production system becomes active.	*<Report Findings Here>*					
	Describe how testing processes were observed to verify that test data is removed before a production system becomes active.	*<Report Findings Here>*					
	Describe how testing processes were observed to verify that test accounts are removed before a production system becomes active.	*<Report Findings Here>*					
6.4.4.b Examine a sample of data and accounts from production systems recently installed or updated to verify test data and accounts are removed before the system becomes active.	**Describe how** a sample of data from production systems recently installed or updated was examined to verify test data is removed before the system becomes active.	*<Report Findings Here>*					
	Describe how a sample of accounts from production systems recently installed or updated was examined to verify test accounts are removed before the system becomes active.	*<Report Findings Here>*					
6.4.5 Change control procedures for the implementation of security patches and software modifications must include the following:			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
6.4.5.a Examine documented change-control procedures related to implementing security patches and software modifications and verify procedures are defined for: • Documentation of impact. • Documented change approval by authorized parties. • Functionality testing to verify that the change does not adversely impact the security of the system. • Back-out procedures.	**Identify the documented change-control procedures** related to implementing security patches and software modification examined to verify procedures are defined for: • Documentation of impact. • Documented change approval by authorized parties. • Functionality testing to verify that the change does not adversely impact the security of the system. • Back-out procedures.	*<Report Findings Here>*					
6.4.5.b For a sample of system components, interview responsible personnel to determine recent changes/security patches. Trace those changes back to related change control documentation. For each change examined, perform the following:	**Identify the sample** of system components selected.	*<Report Findings Here>*					
	Identify the responsible personnel interviewed to determine recent changes/security patches.	*<Report Findings Here>*					
	For each item in the sample, **identify the sample** of changes and the related change control documentation selected for this testing procedure (through 6.4.5.4)	*<Report Findings Here>*					
6.4.5.1 Documentation of impact.			☐	☐	☐	☐	☐
6.4.5.1 Verify that documentation of impact is included in the change control documentation for each sampled change.	*For each change from 6.4.5.b*, **describe how** the changes were traced back to the identified related change control documentation to verify that documentation of impact is included in the change control documentation for each sampled change.	*<Report Findings Here>*					
6.4.5.2 Documented change approval by authorized parties.			☐	☐	☐	☐	☐
6.4.5.2 Verify that documented approval by authorized parties is present for each sampled change.	*For each change from 6.4.5.b*, **describe how** the changes were traced back to the identified related change control documentation to verify that documented approval by authorized parties is present in the change control documentation for each sampled change.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
6.4.5.3 Functionality testing to verify that the change does not adversely impact the security of the system.			☐	☐	☐	☐	☐
6.4.5.3.a For each sampled change, verify that functionality testing is performed to verify that the change does not adversely impact the security of the system.	*For each change from 6.4.5.b*, **describe how** the changes were traced back to the identified related change control documentation to verify that the change control documentation for each sampled change includes evidence that functionality testing is performed to verify that the change does not adversely impact the security of the system.	*<Report Findings Here>*					
6.4.5.3.b For custom code changes, verify that all updates are tested for compliance with PCI DSS Requirement 6.5 before being deployed into production.	**Identify the sample** of system components selected for this testing procedure.	*<Report Findings Here>*					
	For each item in the sample, **identify the sample** of custom code changes and the related change control documentation selected for this testing procedure.	*<Report Findings Here>*					
	Describe how the custom code changes were traced back to the identified related change control documentation to verify that the change control documentation for each sampled custom code change includes evidence that all updates are tested for compliance with PCI DSS Requirement 6.5 before being deployed into production.	*<Report Findings Here>*					
6.4.5.4 Back-out procedures.			☐	☐	☐	☐	☐
6.4.5.4 Verify that back-out procedures are prepared for each sampled change.	*For each change from 6.4.5.b*, **describe how** the changes were traced back to the identified related change control documentation to verify that back-out procedures are prepared for each sampled change and present in the change control documentation for each sampled change.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
6.5 Address common coding vulnerabilities in software-development processes as follows: • Train developers in secure coding techniques, including how to avoid common coding vulnerabilities, and understanding how sensitive data is handled in memory. • Develop applications based on secure coding guidelines. ***Note:*** *The vulnerabilities listed at 6.5.1 through 6.5.10 were current with industry best practices when this version of PCI DSS was published. However, as industry best practices for vulnerability management are updated (for example, the OWASP Guide, SANS CWE Top 25, CERT Secure Coding, etc.), the current best practices must be used for these requirements.*			☐	☐	☐	☐	☐
6.5.a Examine software development policies and procedures to verify that training in secure coding techniques is required for developers, based on industry best practices and guidance.	**Identify the document** reviewed to verify that training in secure coding techniques is required for developers.	*<Report Findings Here>*					
	Identify the industry best practices and guidance that training is based on.	*<Report Findings Here>*					
6.5.b Interview a sample of developers to verify that they are knowledgeable in secure coding techniques.	**Identify the developers** interviewed for this testing procedure.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details discussed** to verify that they are knowledgeable in secure coding techniques.	*<Report Findings Here>*					
6.5.c Examine records of training to verify that software developers received training on secure coding techniques, including how to avoid common coding vulnerabilities, and understanding how sensitive data is handled in memory.	**Identify the records of training** that were examined to verify that software developers received training on secure coding techniques, including how to avoid common coding vulnerabilities, and understanding how sensitive data is handled in memory.	*<Report Findings Here>*					
6.5.d. Verify that processes are in place to protect applications from, at a minimum, the following vulnerabilities:	**Identify the software-development policies and procedures** examined to verify that processes are in place to protect applications from, at a minimum, the following vulnerabilities:	*<Report Findings Here>*					
	Identify the responsible personnel interviewed to verify that processes are in place to protect applications from, at a minimum, the following vulnerabilities:	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
Note: *Requirements 6.5.1 through 6.5.6, below, apply to all applications (internal or external):*							
6.5.1 Injection flaws, particularly SQL injection. Also consider OS Command Injection, LDAP and XPath injection flaws as well as other injection flaws.			☐	☐	☐	☐	☐
6.5.1 Examine software-development policies and procedures and interview responsible personnel to verify that injection flaws are addressed by coding techniques that include: • Validating input to verify user data cannot modify meaning of commands and queries. • Utilizing parameterized queries.	*For the interviews at 6.5.d*, **summarize the relevant interview details** that confirm processes are in place, consistent with the software development documentation at 6.5.d, to ensure that injection flaws are addressed by coding techniques that include:						
	▪ Validating input to verify user data cannot modify meaning of commands and queries.	*<Report Findings Here>*					
	▪ Utilizing parameterized queries.	*<Report Findings Here>*					
6.5.2 Buffer overflow.			☐	☐	☐	☐	☐
6.5.2 Examine software-development policies and procedures and interview responsible personnel to verify that buffer overflows are addressed by coding techniques that include: • Validating buffer boundaries. • Truncating input strings.	*For the interviews at 6.5.d*, **summarize the relevant interview details** that confirm processes are in place, consistent with the software development documentation at 6.5.d, to ensure that buffer overflows are addressed by coding techniques that include:						
	▪ Validating buffer boundaries.	*<Report Findings Here>*					
	▪ Truncating input strings.	*<Report Findings Here>*					
6.5.3 Insecure cryptographic storage.			☐	☐	☐	☐	☐
6.5.3 Examine software-development policies and procedures and interview responsible personnel to verify that insecure cryptographic storage is addressed by coding techniques that: • Prevent cryptographic flaws. • Use strong cryptographic algorithms and keys.	*For the interviews at 6.5.d,* **summarize the relevant interview details** that confirm processes are in place, consistent with the software development documentation at 6.5.d, to ensure that insecure cryptographic storage is addressed by coding techniques that:						
	▪ Prevent cryptographic flaws.	*<Report Findings Here>*					
	▪ Use strong cryptographic algorithms and keys.	*<Report Findings Here>*					
6.5.4 Insecure communications.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
6.5.4 Examine software-development policies and procedures and interview responsible personnel to verify that insecure communications are addressed by coding techniques that properly authenticate and encrypt all sensitive communications.	*For the interviews at 6.5.d,* **summarize the relevant interview details** that confirm processes are in place, consistent with the software development documentation at 6.5.d, to ensure that insecure communications are addressed by coding techniques that properly:						
	▪ Authenticate all sensitive communications.	*<Report Findings Here>*					
	▪ Encrypt all sensitive communications.	*<Report Findings Here>*					
6.5.5 Improper error handling.			☐	☐	☐	☐	☐
6.5.5 Examine-software development policies and procedures and interview responsible personnel to verify that improper error handling is addressed by coding techniques that do not leak information via error messages (for example, by returning generic rather than specific error details).	*For the interviews at 6.5.d***, summarize the relevant interview details** that confirm processes are in place, consistent with the software development documentation at 6.5.d, to ensure that improper error handling is addressed by coding techniques that do not leak information via error messages.	*<Report Findings Here>*					
6.5.6 All "high risk" vulnerabilities identified in the vulnerability identification process (as defined in PCI DSS Requirement 6.1).			☐	☐	☐	☐	☐
6.5.6 Examine software-development policies and procedures and interview responsible personnel to verify that coding techniques address any "high risk" vulnerabilities that could affect the application, as identified in PCI DSS Requirement 6.1.	*For the interviews at 6.5.d,* **summarize the relevant interview details** that confirm processes are in place, consistent with the software development documentation at 6.5.d, to ensure that applications are not vulnerable to "High" vulnerabilities, as identified in PCI DSS Requirement 6.1.	*<Report Findings Here>*					
Note: *Requirements 6.5.7 through 6.5.10, below, apply to web applications and application interfaces (internal or external):*							
Indicate whether web applications and application interfaces are present. **(yes/no)** *If "no,"* mark the below 6.5.7-6.5.10 as "Not Applicable." *If "yes,"* ***complete the following:***		*<Report Findings Here>*					
6.5.7 Cross-site scripting (XSS).			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
6.5.7 Examine software-development policies and procedures and interview responsible personnel to verify that cross-site scripting (XSS) is addressed by coding techniques that include: • Validating all parameters before inclusion. • Utilizing context-sensitive escaping.	*For the interviews at 6.5.d*, **summarize the relevant interview details** that confirm processes are in place, consistent with the software development documentation at 6.5.d, to ensure that cross-site scripting (XSS) is addressed by coding techniques that include:						
	▪ Validating all parameters before inclusion.	*<Report Findings Here>*					
	▪ Utilizing context-sensitive escaping.	*<Report Findings Here>*					
6.5.8 Improper access control (such as insecure direct object references, failure to restrict URL access, directory traversal, and failure to restrict user access to functions).			☐	☐	☐	☐	☐
6.5.8 Examine software-development policies and procedures and interview responsible personnel to verify that improper access control—such as insecure direct object references, failure to restrict URL access, and directory traversal—is addressed by coding technique that include: • Proper authentication of users. • Sanitizing input. • Not exposing internal object references to users. • User interfaces that do not permit access to unauthorized functions.	*For the interviews at 6.5.d*, **summarize the relevant interview details** that confirm processes are in place, consistent with the software development documentation at 6.5.d, to ensure that improper access control is addressed by coding techniques that include:						
	▪ Proper authentication of users.	*<Report Findings Here>*					
	▪ Sanitizing input.	*<Report Findings Here>*					
	▪ Not exposing internal object references to users.	*<Report Findings Here>*					
	▪ User interfaces that do not permit access to unauthorized functions.	*<Report Findings Here>*					
6.5.9 Cross-site request forgery (CSRF).			☐	☐	☐	☐	☐
6.5.9 Examine software development policies and procedures and interview responsible personnel to verify that cross-site request forgery (CSRF) is addressed by coding techniques that ensure applications do not rely on authorization credentials and tokens automatically submitted by browsers.	*For the interviews at 6.5.d*, **summarize the relevant interview details** that confirm processes are in place, consistent with the software development documentation at 6.5.d, to ensure that cross-site request forgery (CSRF) is addressed by coding techniques that ensure applications do not rely on authorization credentials and tokens automatically submitted by browsers.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
6.5.10 Broken authentication and session management**.** ***Note:*** *Requirement 6.5.10 is a best practice until June 30, 2015, after which it becomes a requirement.*			☐	☐	☐	☐	☐
6.5.10 Examine software development policies and procedures and interview responsible personnel to verify that broken authentication and session management are addressed via coding techniques that commonly include: • Flagging session tokens (for example cookies) as "secure." • Not exposing session IDs in the URL. • Incorporating appropriate time-outs and rotation of session IDs after a successful login.	**Indicate whether** this ROC is being completed prior to June 30, 2015**. (yes/no)**	*<Report Findings Here>*					
	If "yes" AND the assessed entity does not have this in place ahead of the requirement's effective date, mark the remainder of 6.5.10 as "Not Applicable." *If "no" OR if the assessed entity has this in place ahead of the requirement's effective date, complete the following:*						
	For the interviews at 6.5.d, **summarize the relevant interview details** that confirm processes are in place, consistent with the software development documentation at 6.5.d, to ensure that broken authentication and session management are addressed via coding techniques that protect credentials and session IDs, including:						
	▪ Flagging session tokens (for example cookies) as "secure."	*<Report Findings Here>*					
	▪ Not exposing session IDs in the URL.	*<Report Findings Here>*					
	▪ Implementing appropriate time-outs and rotation of session IDs after a successful login	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
6.6 For public-facing web applications, address new threats and vulnerabilities on an ongoing basis and ensure these applications are protected against known attacks by either of the following methods: • Reviewing public-facing web applications via manual or automated application vulnerability security assessment tools or methods, at least annually and after any changes. ***Note:*** *This assessment is not the same as the vulnerability scans performed for Requirement 11.2.* • Installing an automated technical solution that detects and prevents web-based attacks (for example, a web-application firewall) in front of public-facing web applications, to continually check all traffic.			☐	☐	☐	☐	☐
6.6 For *public-facing* web applications, ensure that *either* one of the following methods is in place as follows: • Examine documented processes, interview personnel, and examine records of application security assessments to verify that public-facing web applications are reviewed—using either manual or automated vulnerability security assessment tools or methods—as follows: - At least annually. - After any changes. - By an organization that specializes in application security.	For each public-facing web application, **identify which** of the two methods are implemented: • Web application vulnerability security assessments, AND/OR • Automated technical solution that detects and prevents web-based attacks, such as web application firewalls.	*<Report Findings Here>*					
	If application vulnerability security assessments are indicated above:						
	Describe the tools and/or methods used (manual or automated, or a combination of both).	*<Report Findings Here>*					
	Identify the organization(s) confirmed to specialize in application security that is performing the assessments.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
- That, at a minimum, all vulnerabilities in Requirement 6.5 are included in the assessment. - That all vulnerabilities are corrected. - That the application is re-evaluated after the corrections. • Examine the system configuration settings and interview responsible personnel to verify that an automated technical solution that detects and prevents web-based attacks (for example, a web-application firewall) is in place as follows: - Is situated in front of public-facing web applications to detect and prevent web-based attacks. - Is actively running and up-to-date as applicable. - Is generating audit logs. - Is configured to either block web-based attacks, or generate an alert that is immediately investigated.	**Identify the documented processes** that were examined to verify that public-facing web applications are reviewed using the tools and/or methods indicated above, as follows: • At least annually. • After any changes. • By an organization that specializes in application security. • That, at a minimum, all vulnerabilities in Requirement 6.5 are included in the assessment. • That all vulnerabilities are corrected • That the application is re-evaluated after the corrections.	*<Report Findings Here>*					
	Identify the responsible personnel interviewed who confirm that public-facing web applications are reviewed, as follows: • At least annually. • After any changes. • By an organization that specializes in application security. • That, at a minimum, all vulnerabilities in Requirement 6.5 are included in the assessment. • That all vulnerabilities are corrected. • That the application is re-evaluated after the corrections.	*<Report Findings Here>*					
	Identify the records of application security assessments examined for this testing procedure.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Describe how the records of application security assessments were examined to verify that public-facing web applications are reviewed as follows:						
	• At least annually.	*<Report Findings Here>*					
	• After any changes.	*<Report Findings Here>*					
	• By an organization that specialized in application security.	*<Report Findings Here>*					
	• That at a minimum, all vulnerabilities in requirement 6.5 are included in the assessment.	*<Report Findings Here>*					
	• That all vulnerabilities are corrected.	*<Report Findings Here>*					
	• That the application is re-evaluated after the corrections.	*<Report Findings Here>*					
	If an automated technical solution that detects and prevents web-based attacks (for example, a web-application firewall) is indicated above:						
	Describe the automated technical solution in use that detects and prevents web-based attacks.	*<Report Findings Here>*					
	Identify the responsible personnel interviewed who confirm that the above automated technical solution in use to detect and prevent web-based attacks is in place as follows: • Is situated in front of public-facing web applications to detect and prevent web-based attacks. • Is actively running and up-to-date as applicable. • Is generating audit logs. • Is configured to either block web-based attacks, or generate an alert that is immediately investigated.	*<Report Findings Here>*					
	Identify the system configuration settings examined for this testing procedure.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Describe how the system configuration settings were examined to verify that the above automated technical solution is use to detect and prevent web-based attacks is in place as follows:						
	• Is situated in front of public-facing web applications to detect and prevent web-based attacks.	*<Report Findings Here>*					
	• Is actively running and up-to-date as applicable.	*<Report Findings Here>*					
	• Is generating audit logs.	*<Report Findings Here>*					
	• Is configured to either block web-based attacks, or generate an alert that is immediately investigated.	*<Report Findings Here>*					
6.7 Ensure that security policies and operational procedures for developing and maintaining secure systems and applications are documented, in use, and known to all affected parties.			☐	☐	☐	☐	☐
6.7 Examine documentation and interview personnel to verify that security policies and operational procedures for developing and maintaining secure systems and applications are: • Documented, • In use, and • Known to all affected parties.	**Identify the document** reviewed to verify that security policies and operational procedures for developing and maintaining secure systems and applications are documented.	*<Report Findings Here>*					
	Identify responsible personnel interviewed who confirm that the above documented security policies and operational procedures for developing and maintaining secure systems and applications are: • In use • Known to all affected parties	<Report Findings Here>					

Implement Strong Access Control Measures

Requirement 7: Restrict access to cardholder data by business need to know

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
7.1 Limit access to system components and cardholder data to only those individuals whose job requires such access.			☐	☐	☐	☐	☐
7.1.a Examine written policy for access control, and verify that the policy incorporates 7.1.1 through 7.1.4 as follows: • Defining access needs and privilege assignments for each role. • Restriction of access to privileged user IDs to least privileges necessary to perform job responsibilities. • Assignment of access based on individual personnel's job classification and function. • Documented approval (electronically or in writing) by authorized parties for all access, including listing of specific privileges approved.	**Identify the written policy for access control** that was examined to verify the policy incorporates 7.1.1 through 7.1.4 as follows: • Defining access needs and privilege assignments for each role. • Restriction of access to privileged user IDs to least privileges necessary to perform job responsibilities. • Assignment of access based on individual personnel's job classification and function • Documented approval (electronically or in writing) by authorized parties for all access, including listing of specific privileges approved.	*<Report Findings Here>*					
7.1.1 Define access needs for each role, including: • System components and data resources that each role needs to access for their job function. • Level of privilege required (for example, user, administrator, etc.) for accessing resources.			☐	☐	☐	☐	☐
7.1.1 Select a sample of roles and verify access needs for each role are defined and include: • System components and data resources that each role needs to access for their job function. • Identification of privilege necessary for	**Identify the selected sample** of roles for this testing procedure.	*<Report Findings Here>*					
	For each role in the selected sample, **describe how** the role was examined to verify access needs for each role are defined and include:						

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
	▪ System components and data resources that each role needs to access for their job function.	*<Report Findings Here>*					
	▪ Identification of privilege necessary for each role to perform their job function.	*<Report Findings Here>*					
7.1.2 Restrict access to privileged user IDs to least privileges necessary to perform job responsibilities.			☐	☐	☐	☐	☐
7.1.2.a Interview personnel responsible for assigning access to verify that access to privileged user IDs is: • Assigned only to roles that specifically require such privileged access. • Restricted to least privileges necessary to perform job responsibilities.	**Identify the responsible personnel** interviewed who confirm that access to privileged user IDs is: • Assigned only to roles that specifically require such privileged access. • Restricted to least privileges necessary to perform job responsibilities.	*<Report Findings Here>*					
7.1.2.b Select a sample of user IDs with privileged access and interview responsible management personnel to verify that privileges assigned are: • Necessary for that individual's job function. • Restricted to least privileges necessary to perform job responsibilities.	**Identify the sample** of user IDs ***with privileged access*** selected for this testing procedure.	*<Report Findings Here>*					
	Identify the responsible management personnel interviewed to confirm that privileges assigned are: • Necessary for that individual's job function. • Restricted to least privileges necessary to perform job responsibilities.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details discussed** to confirm that privileges assigned to each user ID in the selected sample are:						
	▪ Necessary for that individual's job function.	*<Report Findings Here>*					
	▪ Restricted to least privileges necessary to perform job responsibilities.	*<Report Findings Here>*					
7.1.3 Assign access based on individual personnel's job classification and function.			☐	☐	☐	☐	☐
7.1.3 Select a sample of user IDs and interview responsible management personnel to verify that privileges assigned are based on that individual's job classification and function.	**Identify the sample** of user IDs examined for this testing procedure.	*<Report Findings Here>*					
	Identify the responsible management personnel interviewed who confirm that privileges assigned are based on that individual's job classification and function.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
	For the interview, **summarize the relevant details discussed** to confirm that privileges assigned to each user ID in the selected sample are based on an individual's job classification and function.	*<Report Findings Here>*					
7.1.4 Require documented approval by authorized parties specifying required privileges.			☐	☐	☐	☐	☐
7.1.4 Select a sample of user IDs and compare with documented approvals to verify that: • Documented approval exists for the assigned privileges. • The approval was by authorized parties. • That specified privileges match the roles assigned to the individual.	**Identify the sample** of user IDs examined for this testing procedure.	*<Report Findings Here>*					
	Describe how each item in the sample of user IDs was compared with documented approvals to verify that:						
	▪ Documented approval exists for the assigned privileges.	*<Report Findings Here>*					
	▪ The approval was by authorized parties.	*<Report Findings Here>*					
	▪ That specified privileges match the roles assigned to the individual.	*<Report Findings Here>*					
7.2 Establish an access control system for systems components that restricts access based on a user's need to know, and is set to "deny all" unless specifically allowed. This access control system must include the following:							
7.2 Examine system settings and vendor documentation to verify that an access control system is implemented as follows:							
7.2.1 Coverage of all system components.			☐	☐	☐	☐	☐
7.2.1 Confirm that access control systems are in place on all system components.	**Identify vendor documentation** examined.	*<Report Findings Here>*					
	Describe how system settings were examined with the vendor documentation to verify that access control systems are in place on all system components.	*<Report Findings Here>*					
7.2.2 Assignment of privileges to individuals based on job classification and function.			☐	☐	☐	☐	☐
7.2.2 Confirm that access control systems are configured to enforce privileges assigned to individuals based on job classification and function.	**Describe how** system settings were examined with the vendor documentation at 7.2.1 to verify that access control systems are configured to enforce privileges assigned to individuals based on job classification and function.	*<Report Findings Here>*					
7.2.3 Default "deny-all" setting.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
7.2.3 Confirm that the access control systems have a default "deny-all" setting.	**Describe how** system settings were examined with vendor documentation at 7.2.1 to verify that access control systems have a default "deny-all" setting.	*<Report Findings Here>*					
7.3 Ensure that security policies and operational procedures for restricting access to cardholder data are documented, in use, and known to all affected parties.			☐	☐	☐	☐	☐
7.3 Examine documentation and interview personnel to verify that security policies and operational procedures for restricting access to cardholder data are: • Documented, • In use, and • Known to all affected parties.	**Identify the document reviewed to** verify that security policies and operational procedures for restricting access to cardholder data are documented.	<Report Findings Here>					
	Identify responsible personnel interviewed who confirm that the above documented security policies and operational procedures for restricting access to cardholder data are: • In use • Known to all affected parties	<Report Findings Here>					

Requirement 8: Identify and authenticate access to system components

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
8.1 Define and implement policies and procedures to ensure proper user identification management for non-consumer users and administrators on all system components as follows:			☐	☐	☐	☐	☐
8.1.a Review procedures and confirm they define processes for each of the items below at 8.1.1 through 8.1.8.	**Identify the written procedures for user identification management** examined to verify processes are defined for each of the items below at 8.1.1 through 8.1.8: • Assign all users a unique ID before allowing them to access system components or cardholder data. • Control addition, deletion, and modification of user IDs, credentials, and other identifier objects. • Immediately revoke access for any terminated users. • Remove/disable inactive user accounts at least every 90 days. • Manage IDs used by vendors to access, support, or maintain system components via remote access as follows: - Enabled only during the time period needed and disabled when not in use. - Monitored when in use. • Limit repeated access attempts by locking out the user ID after not more than six attempts. • Set the lockout duration to a minimum of 30 minutes or until an administrator enables the user ID. • If a session has been idle for more than 15 minutes, require the user to re-authenticate to re-activate the terminal or session.	*<Report Findings Here>*				
8.1.b Verify that procedures are implemented for user identification management, by performing the following:							
8.1.1 Assign all users a unique ID before allowing them to access system components or cardholder data.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
8.1.1 Interview administrative personnel to confirm that all users are assigned a unique ID for access to system components or cardholder data.	**Identify the responsible administrative personnel** interviewed for this testing procedure.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details discussed** to confirm that all users are assigned a unique ID for access to system components or cardholder data.	*<Report Findings Here>*					
8.1.2 Control addition, deletion, and modification of user IDs, credentials, and other identifier objects.			☐	☐	☐	☐	☐
8.1.2 For a sample of privileged user IDs and general user IDs, examine associated authorizations and observe system settings to verify each user ID and privileged user ID has been implemented with only the privileges specified on the documented approval.	**Identify the sample** of privileged user IDs selected for this testing procedure.	*<Report Findings Here>*					
	Identify the sample of general user IDs selected for this testing procedure.	*<Report Findings Here>*					
	Describe how observed system settings and the associated authorizations documented for the user IDs were compared to verify that each ID has been implemented with only the privileges specified on the documented approval:						
	▪ For the sample of privileged user IDs.	*<Report Findings Here>*					
	▪ For the sample of general user IDs.	*<Report Findings Here>*					
8.1.3 Immediately revoke access for any terminated users.			☐	☐	☐	☐	☐
8.1.3.a Select a sample of users terminated in the past six months, and review current user access lists—for both local and remote access—to verify that their IDs have been deactivated or removed from the access lists.	**Identify the sample** of users terminated in the past six months selected.	*<Report Findings Here>*					
	Describe how the current user access lists for ***local access*** were reviewed to verify that the sampled user IDs have been deactivated or removed from the access lists.	*<Report Findings Here>*					
	Describe how the current user access lists for ***remote access*** were reviewed to verify that the sampled user IDs have been deactivated or removed from the access lists.	*<Report Findings Here>*					
8.1.3.b Verify all physical authentication methods—such as, smart cards, tokens, etc.—have been returned or deactivated.	*For the sample of users terminated in the past six months at 8.1.3.a*, **describe how** it was determined which, if any, physical authentication methods, the terminated users had access to prior to termination.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Describe how the physical authentication method(s) for the terminated employees were verified to have been returned or deactivated.	*<Report Findings Here>*					
8.1.4 Remove/disable inactive user accounts within 90 days.			☐	☐	☐	☐	☐
8.1.4 Observe user accounts to verify that any inactive accounts over 90 days old are either removed or disabled.	**Describe how** user accounts were observed to verify that any inactive accounts over 90 days old are either removed or disabled.	*<Report Findings Here>*					
8.1.5 Manage IDs used by vendors to access, support, or maintain system components via remote access as follows: • Enabled only during the time period needed and disabled when not in use. • Monitored when in use.			☐	☐	☐	☐	☐
8.1.5.a Interview personnel and observe processes for managing accounts used by vendors to access, support, or maintain system components to verify that accounts used by vendors for remote access are: • Disabled when not in use. • Enabled only when needed by the vendor, and disabled when not in use.	**Identify the personnel** interviewed who confirm that accounts used by vendors for remote access are: • Disabled when not in use. • Enabled only when needed by the vendor, and disabled when not in use.	*<Report Findings Here>*					
	Describe how processes for managing accounts used by vendors to access, support, or maintain system components were observed to verify that accounts used by vendors for remote access are:						
	▪ Disabled when not in use.	*<Report Findings Here>*					
	▪ Enabled only when needed by the vendor, and disabled when not in use.	*<Report Findings Here>*					
8.1.5.b Interview personnel and observe processes to verify that vendor remote access accounts are monitored while being used.	**Identify the personnel** interviewed who confirm that accounts used by vendors for remote access are monitored while being used.	*<Report Findings Here>*					
	Describe how processes for managing accounts used by vendors to access, support, or maintain system components were observed to verify that vendor remote access accounts are monitored while being used.	*<Report Findings Here>*					
8.1.6 Limit repeated access attempts by locking out the user ID after not more than six attempts.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
8.1.6.a For a sample of system components, inspect system configuration settings to verify that authentication parameters are set to require that user accounts be locked out after not more than six invalid logon attempts.	**Identify the sample** of system components selected for this testing procedure.	*<Report Findings Here>*					
	For each item in the sample, **describe how** system configuration settings were inspected to verify that authentication parameters are set to require that user accounts be locked after not more than six invalid logon attempts.	*<Report Findings Here>*					
8.1.6.b ***Additional procedure for service provider assessments only:*** Review internal processes and customer/user documentation, and observe implemented processes to verify that non-consumer customer user accounts are temporarily locked-out after not more than six invalid access attempts.	*Additional procedure for service provider assessments only,* **identify the documented internal processes and customer/user documentation** reviewed to verify that non-consumer customer user accounts are temporarily locked-out after not more than six invalid access attempts.	*<Report Findings Here>*					
	Describe the implemented processes that were observed to verify that non-consumer customer user accounts are temporarily locked-out after not more than six invalid access attempts.	*<Report Findings Here>*					
8.1.7 Set the lockout duration to a minimum of 30 minutes or until an administrator enables the user ID.			☐	☐	☐	☐	☐
8.1.7 For a sample of system components, inspect system configuration settings to verify that password parameters are set to require that once a user account is locked out, it remains locked for a minimum of 30 minutes or until a system administrator resets the account.	**Identify the sample** of system components selected for this testing procedure.	*<Report Findings Here>*					
	For each item in the sample, **describe how** system configuration settings were inspected to verify that password parameters are set to require that once a user account is locked out, it remains locked for a minimum of 30 minutes or until a system administrator resets the account.	*<Report Findings Here>*					
8.1.8 If a session has been idle for more than 15 minutes, require the user to re-authenticate to re-activate the terminal or session.			☐	☐	☐	☐	☐
8.1.8 For a sample of system components, inspect system configuration	**Identify the sample** of system components selected for this testing procedure.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
settings to verify that system/session idle time out features have been set to 15 minutes or less.	*For each item in the sample,* **describe how** system configuration settings were inspected to verify that system/session idle time out features have been set to 15 minutes or less.	*<Report Findings Here>*					
8.2 In addition to assigning a unique ID, ensure proper user-authentication management for non-consumer users and administrators on all system components by employing at least one of the following methods to authenticate all users: • Something you know, such as a password or passphrase. • Something you have, such as a token device or smart card. • Something you are, such as a biometric.			☐	☐	☐	☐	☐
8.2 To verify that users are authenticated using unique ID and additional authentication (for example, a password/phrase) for access to the cardholder data environment, perform the following: • Examine documentation describing the authentication method(s) used. • For each type of authentication method used and for each type of system component, observe an authentication to verify authentication is functioning consistent with documented authentication method(s).	**Identify the document** describing the authentication method(s) used that was reviewed to verify that the methods require users to be authenticated using a unique ID and additional authentication for access to the cardholder data environment.	*<Report Findings Here>*					
	Describe the authentication methods used (for example, a password or passphrase, a token device or smart card, a biometric, etc.) for each type of system component.	*<Report Findings Here>*					
	For each type of authentication method used and for each type of system component, **describe how** the authentication method was observed to be:						
	▪ Used for access to the cardholder data environment.	*<Report Findings Here>*					
	▪ Functioning consistently with the documented authentication method(s).	*<Report Findings Here>*					
8.2.1 Using strong cryptography, render all authentication credentials (such as passwords/phrases) unreadable during transmission and storage on all system components.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
8.2.1.a Examine vendor documentation and system configuration settings to verify that passwords are protected with strong cryptography during transmission and storage.	**Identify the vendor documentation** reviewed for this testing procedure.	*<Report Findings Here>*					
	Identify the sample of system components selected.	*<Report Findings Here>*					
	For each item in the sample, **describe how** system configuration settings were examined to verify that passwords are protected with strong cryptography during ***transmission***.	*<Report Findings Here>*					
	For each item in the sample, **describe how** system configuration settings were examined to verify that passwords are protected with strong cryptography during ***storage***.	*<Report Findings Here>*					
8.2.1.b For a sample of system components, examine password files to verify that passwords are unreadable during storage.	*For each item in the sample at 8.2.1.a,* **describe how** password files were examined to verify that passwords are unreadable during storage.	*<Report Findings Here>*					
8.2.1.c For a sample of system components, examine data transmissions to verify that passwords are unreadable during transmission.	*For each item in the sample at 8.2.1.a,* **describe how** password files were examined to verify that passwords are unreadable during transmission.	*<Report Findings Here>*					
8.2.1.d ***Additional procedure for service provider assessments only:*** Observe password files to verify that non-consumer customer passwords are unreadable during storage.	*Additional procedure for service provider assessments only: for each item in the sample at 8.2.1.a,* **describe how** password files were examined to verify that non-consumer customer passwords are unreadable during storage.	*<Report Findings Here>*					
8.2.1.e ***Additional procedure for service provider assessments only:*** Observe data transmissions to verify that non-consumer customer passwords are unreadable during transmission.	*Additional procedure for service provider assessments only: for each item in the sample at 8.2.1.a,* **describe how** password files were examined to verify that non-consumer customer passwords are unreadable during transmission.	*<Report Findings Here>*					
8.2.2 Verify user identity before modifying any authentication credential—for example, performing password resets, provisioning new tokens, or generating new keys.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
8.2.2 Examine authentication procedures for modifying authentication credentials and observe security personnel to verify that, if a user requests a reset of an authentication credential by phone, e-mail, web, or other non-face-to-face method, the user's identity is verified before the authentication credential is modified.	**Identify the document** examined to verify that authentication procedures for modifying authentication credentials define that if a user requests a reset of an authentication credential by a non-face-to-face method, the user's identity is verified before the authentication credential is modified.	*<Report Findings Here>*					
	Describe the non-face-to-face methods used for requesting password resets.	*<Report Findings Here>*					
	Describe how security personnel were observed to verify that if a user requests a reset of an authentication credential by a non-face-to-face method, the user's identity is verified before the authentication credential is modified.	*<Report Findings Here>*					
8.2.3 Passwords/phrases must meet the following: • Require a minimum length of at least seven characters. • Contain both numeric and alphabetic characters. Alternatively, the passwords/phrases must have complexity and strength at least equivalent to the parameters specified above.			☐	☐	☐	☐	☐
8.2.3.a For a sample of system components, inspect system configuration settings to verify that user password parameters are set to require at least the following strength/complexity: • Require a minimum length of at least seven characters. • Contain both numeric and alphabetic characters.	**Identify the sample** of system components selected for this testing procedure.	*<Report Findings Here>*					
	For each item in the sample, **describe how** system configuration settings were inspected to verify that user password parameters are set to require at least the following strength/complexity:						
	▪ Require a minimum length of at least seven characters.	*<Report Findings Here>*					
	▪ Contain both numeric and alphabetic characters.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
8.2.3.b ***Additional procedure for service provider assessments only***: Review internal processes and customer/user documentation to verify that non-consumer customer passwords are required to meet at least the following strength/complexity: • Require a minimum length of at least seven characters. • Contain both numeric and alphabetic characters.	*Additional procedure for service provider assessments only:* **Identify the documented internal processes and customer/user documentation** reviewed to verify that non-consumer customer passwords are required to meet at least the following strength/complexity: • A minimum length of at least seven characters. • Non-consumer user passwords are required to contain both numeric and alphabetic characters.	*<Report Findings Here>*					
	Describe how internal processes were reviewed to verify that non-consumer customer passwords are required to meet at least the following strength/complexity:						
	▪ A minimum length of at least seven characters.	*<Report Findings Here>*					
	▪ Non-consumer customer passwords are required to contain both numeric and alphabetic characters.	*<Report Findings Here>*					
8.2.4 Change user passwords/passphrases at least once every 90 days.			☐	☐	☐	☐	☐
8.2.4.a For a sample of system components, inspect system configuration settings to verify that user password parameters are set to require users to change passwords at least once every 90 days.	**Identify the sample** of system components selected for this testing procedure.	*<Report Findings Here>*					
	For each item in the sample, **describe how** system configuration settings were inspected to verify that user password parameters are set to require users to change passwords at least once every 90 days.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
8.2.4.b *Additional procedure for service provider assessments only*: Review internal processes and customer/user documentation to verify that: • Non-consumer customer user passwords are required to change periodically; and • Non-consumer customer users are given guidance as to when, and under what circumstances, passwords must change.	*Additional procedure for service provider assessments only,* **identify the documented internal processes and customer/user documentation** reviewed to verify that: • Non-consumer customer user passwords are required to change periodically; and • Non-consumer customer users are given guidance as to when, and under what circumstances, passwords must change.	*<Report Findings Here>*					
	Describe how internal processes were reviewed to verify that:						
	▪ Non-consumer customer user passwords are required to change periodically; and	*<Report Findings Here>*					
	▪ Non-consumer customer users are given guidance as to when, and under what circumstances, passwords must change.	*<Report Findings Here>*					
8.2.5 Do not allow an individual to submit a new password/phrase that is the same as any of the last four passwords/phrases he or she has used.			☐	☐	☐	☐	☐
8.2.5.a For a sample of system components, obtain and inspect system configuration settings to verify that password parameters are set to require that new passwords cannot be the same as the four previously used passwords.	**Identify the sample** of system components selected for this testing procedure.	*<Report Findings Here>*					
	For each item in the sample, **describe how** system configuration settings were inspected to verify that password parameters are set to require that new passwords cannot be the same as the four previously used passwords.	*<Report Findings Here>*					
8.2.5.b *Additional Procedure for service provider assessments only:* Review internal processes and customer/user documentation to verify that new non-consumer customer user passwords cannot be the same as the	*Additional procedure for service provider assessments only,* **identify the documented internal processes and customer/user documentation** reviewed to verify that new non-consumer customer user passwords cannot be the same as the previous four passwords.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
previous four passwords.	**Describe how** internal processes were reviewed to verify that new non-consumer customer user passwords cannot be the same as the previous four passwords.	*<Report Findings Here>*					
8.2.6 Set passwords/phrases for first-time use and upon reset to a unique value for each user, and change immediately after the first use.			☐	☐	☐	☐	☐
8.2.6 Examine password procedures and observe security personnel to verify that first-time passwords for new users, and reset passwords for existing users, are set to a unique value for each user and changed after first use.	**Identify the documented password procedures** examined to verify the procedures define that: • First-time passwords must be set to a unique value for each user. • First-time passwords must be changed after the first use. • Reset passwords must be set to a unique value for each user. • Reset passwords must be changed after the first use.	*<Report Findings Here>*					
	Describe how security personnel were observed to:						
	▪ Set first-time passwords to a unique value for each new user.	*<Report Findings Here>*					
	▪ Set first-time passwords to be changed after first use.	*<Report Findings Here>*					
	▪ Set reset passwords to a unique value for each existing user.	*<Report Findings Here>*					
	▪ Set reset passwords to be changed after first use.	*<Report Findings Here>*					
8.3 Incorporate two-factor authentication for remote network access originating from outside the network, by personnel (including users and administrators) and all third parties, (including vendor access for support or maintenance). ***Note:*** *Two-factor authentication requires that two of the three authentication methods (see Requirement 8.2 for descriptions of authentication methods) be used for authentication. Using one factor twice (for example, using two separate passwords) is not considered two-factor authentication.* *Examples of two-factor technologies include remote authentication and dial-in service (RADIUS) with tokens; terminal access controller access control system (TACACS) with tokens; and other technologies that facilitate two-factor authentication.*			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
8.3.a Examine system configurations for remote access servers and systems to verify two-factor authentication is required for: • All remote access by personnel. • All third-party/vendor remote access (including access to applications and system components for support or maintenance purposes).	**Describe how** system configurations for remote access servers and systems were examined to verify two-factor authentication is required for:						
	▪ All remote access by personnel.	*<Report Findings Here>*					
	▪ All third-party/vendor remote access (including access to applications and system components for support or maintenance purposes).	*<Report Findings Here>*					
8.3.b Observe a sample of personnel (for example, users and administrators) connecting remotely to the network and verify that at least two of the three authentication methods are used.	**Identify the sample of personnel** observed connecting remotely to the network selected.	*<Report Findings Here>*					
	For each item in the sample, **describe how** two-factor authentication was observed to be required for remote access to the network.	*<Report Findings Here>*					
	Identify which two factors are used: • Something you know • Something you are • Something you have	*<Report Findings Here>*					
8.4 Document and communicate authentication policies and procedures to all users including: • Guidance on selecting strong authentication credentials. • Guidance for how users should protect their authentication credentials. • Instructions not to reuse previously used passwords. • Instructions to change passwords if there is any suspicion the password could be compromised.			☐	☐	☐	☐	☐
8.4.a Examine procedures and interview personnel to verify that authentication policies and procedures are distributed to all users.	**Identify the documented policies and procedures** examined to verify authentication procedures define that authentication procedures and policies are distributed to all users.	*<Report Findings Here>*					
	Identify the personnel interviewed who confirm that authentication policies and procedures are distributed to all users.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
8.4.b Review authentication policies and procedures that are distributed to users and verify they include: • Guidance on selecting strong authentication credentials. • Guidance for how users should protect their authentication credentials. • Instructions for users not to reuse previously used passwords. • Instructions to change passwords if there is any suspicion the password could be compromised.	**Identify the documented authentication policies and procedures that are distributed to users** reviewed to verify they include: • Guidance on selecting strong authentication credentials. • Guidance for how users should protect their authentication credentials. • Instructions for users not to reuse previously used passwords. • That users should change passwords if there is any suspicion the password could be compromised.	*<Report Findings Here>*					
8.4.c Interview a sample of users to verify that they are familiar with authentication policies and procedures.	**Identify the sample** of users interviewed for this testing procedure.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details** discussed that verify that the sampled users are familiar with authentication policies and procedures.	*<Report Findings Here>*					
8.5 Do not use group, shared, or generic IDs, passwords, or other authentication methods as follows: • Generic user IDs are disabled or removed. • Shared user IDs do not exist for system administration and other critical functions. • Shared and generic user IDs are not used to administer any system components.			☐	☐	☐	☐	☐
8.5.a For a sample of system components, examine user ID lists to verify the following: • Generic user IDs are disabled or removed. • Shared user IDs for system administration activities and other critical functions do not exist. • Shared and generic user IDs are not used to administer any system components.	**Identify the sample** of system components selected for this testing procedure.	*<Report Findings Here>*					
	For each item in the sample, **describe how** user ID lists for the sample of system components were examined to verify that:						
	▪ Generic user IDs are disabled or removed.	*<Report Findings Here>*					
	▪ Shared user IDs for system administration activities and other critical functions do not exist.	*<Report Findings Here>*					
	▪ Shared and generic user IDs are not used to administer any system components.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
8.5.b Examine authentication policies and procedures to verify that use of group and shared IDs and/or passwords or other authentication methods are explicitly prohibited.	**Identify the documented policies and procedures** examined to verify authentication policies/procedures define that use of group and shared IDs and/or passwords or other authentication methods are explicitly prohibited.	*<Report Findings Here>*					
8.5.c Interview system administrators to verify that group and shared IDs and/or passwords or other authentication methods are not distributed, even if requested.	**Identify the system administrators** interviewed who confirm that group and shared IDs and/or passwords or other authentication methods are not distributed, even if requested.	*<Report Findings Here>*					
8.5.1 ***Additional requirement for service providers only:*** Service providers with remote access to customer premises (for example, for support of POS systems or servers) must use a unique authentication credential (such as a password/phrase) for each customer. *This requirement is not intended to apply to shared hosting providers accessing their own hosting environment, where multiple customer environments are hosted.* ***Note:*** *Requirement 8.5.1 is a best practice until June 30, 2015, after which it becomes a requirement.*			☐	☐	☐	☐	☐
8.5.1 ***Additional procedure for service providerassessments only:*** Examine authentication policies and procedures and interview personnel to verify that different authentication credentials are used for access to each customer.	*Additional procedure for service provider assessments only*, **indicate whether** this ROC is being completed prior to June 30, 2015**. (yes/no)**	*<Report Findings Here>*					
	If "yes" AND the assessed entity does not have this in place ahead of the requirement's effective date, mark this as "Not Applicable." *If "no" OR if the assessed entity has this in place ahead of the requirement's effective date,* complete the following*:*						
	Identify the documented procedures examined to verify that different authentication credentials are used for access to each customer.	*<Report Findings Here>*					
	Identify the personnel interviewed for this testing procedure.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details discussed** to confirm that different authentication credentials are used for access to each customer.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
8.6 Where other authentication mechanisms are used (for example, physical or logical security tokens, smart cards, certificates, etc.) use of these mechanisms must be assigned as follows: • Authentication mechanisms must be assigned to an individual account and not shared among multiple accounts. • Physical and/or logical controls must be in place to ensure only the intended account can use that mechanism to gain access.			☐	☐	☐	☐	☐
8.6.a Examine authentication policies and procedures to verify that procedures for using authentication mechanisms such as physical security tokens, smart cards, and certificates are defined and include: • Authentication mechanisms are assigned to an individual account and not shared among multiple accounts. • Physical and/or logical controls are defined to ensure only the intended account can use that mechanism to gain access.	**Identify the documented authentication policies and procedures** examined to verify the procedures for using authentication mechanisms define that: • Authentication mechanisms are assigned to an individual account and not shared among multiple accounts. • Physical and/or logical controls are defined to ensure only the intended account can use that mechanism to gain access.	*<Report Findings Here>*					
8.6.b Interview security personnel to verify authentication mechanisms are assigned to an account and not shared among multiple accounts.	**Identify the security personnel** interviewed who confirm that authentication mechanisms are assigned to an account and not shared among multiple accounts.	*<Report Findings Here>*					
8.6.c Examine system configuration settings and/or physical controls, as applicable, to verify that controls are implemented to ensure only the intended account can use that mechanism to gain access.	**Identify the sample** of system components selected for this testing procedure.	*<Report Findings Here>*					
	For each item in the sample, **describe how** system configuration settings and/or physical controls, as applicable, were examined to verify that controls are implemented to ensure only the intended account can use that mechanism to gain access.	*<Report Findings Here>*					
8.7 All access to any database containing cardholder data (including access by applications, administrators, and all other users) is restricted as follows: • All user access to, user queries of, and user actions on databases are through programmatic methods. • Only database administrators have the ability to directly access or query databases. • Application IDs for database applications can only be used by the applications (and not by individual users or other non-application processes).			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
8.7.a Review database and application configuration settings and verify that all users are authenticated prior to access.	**Identify** all databases containing cardholder data.	*<Report Findings Here>*					
	Describe how authentication is managed (for example, via application and/or database interfaces).	*<Report Findings Here>*					
	Describe how database and/or application configuration settings were observed to verify that all users are authenticated prior to access.	*<Report Findings Here>*					
8.7.b Examine database and application configuration settings to verify that all user access to, user queries of, and user actions on (for example, move, copy, delete), the database are through programmatic methods only (for example, through stored procedures).	*For each database from 8.7.a:*						
	Describe how the database and application configuration settings were examined to verify that only programmatic methods are used for:						
	▪ All user access to the database	*<Report Findings Here>*					
	▪ All user queries of the database	*<Report Findings Here>*					
	▪ All user actions on the database	*<Report Findings Here>*					
	Describe the process observed to verify that only programmatic methods are used for:						
	▪ All user access to the database	*<Report Findings Here>*					
	▪ All user queries of the database	*<Report Findings Here>*					
	▪ All user actions on the database	*<Report Findings Here>*					
8.7.c Examine database access control settings and database application configuration settings to verify that user direct access to or queries of databases are restricted to database administrators.	*For each database from 8.7.a,* **describe how** database application configuration settings were examined to verify that the following are restricted to only database administrators:						
	▪ User direct access to databases	*<Report Findings Here>*					
	▪ Queries of databases	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
8.7.d Examine database access control settings, database application configuration settings, and the related application IDs to verify that application IDs can only be used by the applications (and not by individual users or other processes).	*For each database from 8.7.a:*						
	▪ **Identify** applications with access to the database.	<*Report Findings Here*>					
	▪ **Describe** the implemented methods for ensuring that application IDs can only be used by the applications.	<*Report Findings Here*>					
	▪ **Describe how** database access control settings, database application configuration settings and related application IDs were examined together to verify that application IDs can only be used by the applications.	<*Report Findings Here*>					
8.8 Ensure that security policies and operational procedures for identification and authentication are documented, in use, and known to all affected parties.			☐	☐	☐	☐	☐
8.8 Examine documentation and interview personnel to verify that security policies and operational procedures for identification and authentication are: • Documented, • In use, and • Known to all affected parties.	**Identify the document** reviewed to verify that security policies and operational procedures for identification and authentication are documented.	<Report Findings Here>					
	Identify responsible personnel interviewed who confirm that the above documented security policies and operational procedures for identification and authentication are: • In use • Known to all affected parties	<Report Findings Here>					

Requirement 9: Restrict physical access to cardholder data

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
9.1 Use appropriate facility entry controls to limit and monitor physical access to systems in the cardholder data environment.			☐	☐	☐	☐	☐
9.1 Verify the existence of physical security controls for each computer room, data center, and other physical areas with systems in the cardholder data environment. • Verify that access is controlled with badge readers or other devices including authorized badges and lock and key. • Observe a system administrator's attempt to log into consoles for randomly selected systems in the cardholder environment and verify that they are "locked" to prevent unauthorized use.	**Identify and briefly describe** all of the following with systems in the cardholder data environment:						
	▪ All computer rooms	*<Report Findings Here>*					
	▪ All data centers	*<Report Findings Here>*					
	▪ Any other physical areas	*<Report Findings Here>*					
	For each area identified (add rows as needed), complete the following:						
	Describe the physical security controls to be in place, including authorized badges and lock and key.	*<Report Findings Here>*					
	Identify the randomly selected systems in the cardholder environment for which a system administrator login attempt was observed.	*<Report Findings Here>*					
	Describe how consoles for the randomly selected systems were observed to verify that they are "locked" when not in use to prevent unauthorized use.	*<Report Findings Here>*					
9.1.1 Use video cameras and/or access control mechanisms to monitor individual physical access to sensitive areas. Review collected data and correlate with other entries. Store for at least three months, unless otherwise restricted by law. ***Note:*** *"Sensitive areas" refers to any data center, server room, or any area that houses systems that store, process, or transmit cardholder data. This excludes public-facing areas where only point-of-sale terminals are present, such as the cashier areas in a retail store.*			☐	☐	☐	☐	☐
9.1.1.a Verify that video cameras and/or access control mechanisms are in place to monitor the entry/exit points to sensitive areas.	**Describe** the video cameras and/or access control mechanisms observed to monitor the entry/exit points to sensitive areas.	*<Report Findings Here>*					
9.1.1.b Verify that video cameras and/or access control mechanisms are protected from tampering or disabling.	**Describe how** the video cameras and/or access control mechanisms were observed to be protected from tampering and/or disabling.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
9.1.1.c Verify that data from video cameras and/or access control mechanisms is reviewed, and that data is stored for at least three months.	**Describe how** the data from video cameras and/or access control mechanisms were observed to be reviewed.	*<Report Findings Here>*					
	Describe how data was observed to be stored for at least three months.	*<Report Findings Here>*					
9.1.2 Implement physical and/or logical controls to restrict access to publicly accessible network jacks. *For example, network jacks located in public areas and areas accessible to visitors could be disabled and only enabled when network access is explicitly authorized. Alternatively, processes could be implemented to ensure that visitors are escorted at all times in areas with active network jacks.*			☐	☐	☐	☐	☐
9.1.2 Interview responsible personnel and observe locations of publicly accessible network jacks to verify that physical and/or logical controls are in place to restrict access to publicly-accessible network jacks.	**Identify responsible personnel** interviewed who confirm that physical and/or logical controls are in place to restrict access to publicly accessible network jacks.	*<Report Findings Here>*					
	Describe the physical and/or logical controls observed at the locations of publicly accessible network jacks to verify the controls are in place restrict access.	*<Report Findings Here>*					
9.1.3 Restrict physical access to wireless access points, gateways, handheld devices, networking/communications hardware, and telecommunication lines.			☐	☐	☐	☐	☐
9.1.3 Verify that physical access to wireless access points, gateways, handheld devices, networking/communications hardware, and telecommunication lines is appropriately restricted.	**Describe how** physical access was observed to be restricted to the following:						
	▪ Wireless access points	*<Report Findings Here>*					
	▪ Wireless gateways	*<Report Findings Here>*					
	▪ Wireless handheld devices	*<Report Findings Here>*					
	▪ Network/communications hardware	*<Report Findings Here>*					
	▪ Telecommunication lines	*<Report Findings Here>*					
9.2 Develop procedures to easily distinguish between onsite personnel and visitors, to include: • Identifying onsite personnel and visitors (for example, assigning badges). • Changes to access requirements. • Revoking or terminating onsite personnel and expired visitor identification (such as ID badges).			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
9.2.a Review documented processes to verify that procedures are defined for identifying and distinguishing between onsite personnel and visitors. Verify procedures include the following: • Identifying onsite personnel and visitors (for example, assigning badges), • Changing access requirements, and • Revoking terminated onsite personnel and expired visitor identification (such as ID badges).	**Identify the documented processes** reviewed to verify that procedures are defined for identifying and distinguishing between onsite personnel and visitors, including the following: • Identifying onsite personnel and visitors (for example, assigning badges), • Changing access requirements, and • Revoking terminated onsite personnel and expired visitor identification (such as ID badges).	*<Report Findings Here>*					
9.2.b Examine identification methods (such as ID badges) and observe processes for identifying and distinguishing between onsite personnel and visitors to verify that: • Visitors are clearly identified, and • It is easy to distinguish between onsite personnel and visitors.	**Identify** the identification methods examined.	*<Report Findings Here>*					
	Describe how processes for identifying and distinguishing between onsite personnel and visitors were observed to verify that:						
	▪ Visitors are clearly identified, and	*<Report Findings Here>*					
	▪ It is easy to distinguish between onsite personnel and visitors.	*<Report Findings Here>*					
9.2.c Verify that access to the identification process (such as a badge system) is limited to authorized personnel.	**Identify the document** that defines that access to the identification process is limited to authorized personnel.	*<Report Findings Here>*					
	Describe how access to the identification process was observed to be limited to authorized personnel.	*<Report Findings Here>*					
9.3 Control physical access for onsite personnel to sensitive areas as follows: • Access must be authorized and based on individual job function. • Access is revoked immediately upon termination, and all physical access mechanisms, such as keys, access cards, etc., are returned or disabled.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
9.3.a For a sample of onsite personnel with physical access to sensitive areas, interview responsible personnel and observe access control lists to verify that: • Access to the sensitive area is authorized. • Access is required for the individual's job function.	**Identify the sample** of onsite personnel with physical access to sensitive areas interviewed for this testing procedure.	*<Report Findings Here>*					
	For all items in the sample, **describe how** responsible personnel were interviewed and access control lists observed to verify that:						
	▪ Access to the sensitive area is authorized.	*<Report Findings Here>*					
	▪ Access is required for the individual's job function.	*<Report Findings Here>*					
9.3.b Observe personnel accessing sensitive areas to verify that all personnel are authorized before being granted access.	**Describe how** personnel accessing sensitive areas were observed to verify that all personnel are authorized before being granted access.	*<Report Findings Here>*					
9.3.c Select a sample of recently terminated employees and review access control lists to verify the personnel do not have physical access to sensitive areas.	**Identify the sample** of users recently terminated.	*<Report Findings Here>*					
	For all items in the sample, **provide the name of the assessor** who attests that the access control lists were reviewed to verify the personnel do not have physical access to sensitive areas.	*<Report Findings Here>*					
9.4 Implement procedures to identify and authorize visitors. Procedures should include the following:							
9.4 Verify that visitor authorization and access controls are in place as follows:							
9.4.1 Visitors are authorized before entering, and escorted at all times within, areas where cardholder data is processed or maintained.			☐	☐	☐	☐	☐
9.4.1.a Observe procedures and interview personnel to verify that visitors must be authorized before they are granted access to, and escorted at all times within, areas where cardholder data is processed or maintained.	**Describe how** visitor authorization processes were observed to verify that visitors: • Must be authorized before they are granted access to areas where cardholder data is processed or maintained. • Are escorted at all times within areas where cardholder data is processed and maintained.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
	Identify personnel interviewed who confirm that visitor authorization processes are in place so that visitors must be authorized before they are granted access to, and escorted at all times within, areas where cardholder data is processed or maintained.	*<Report Findings Here>*					
9.4.1.b Observe the use of visitor badges or other identification to verify that a physical token badge does not permit unescorted access to physical areas where cardholder data is processed or maintained.	**Describe how** the use of visitor badges or other identification was observed to verify that a physical token badge does not permit unescorted access to physical areas where cardholder data is processed or maintained.	*<Report Findings Here>*					
9.4.2 Visitors are identified and given a badge or other identification that expires and that visibly distinguishes the visitors from onsite personnel.			☐	☐	☐	☐	☐
9.4.2.a Observe people within the facility to verify the use of visitor badges or other identification, and that visitors are easily distinguishable from onsite personnel.	**Describe how** people within the facility were observed to use visitor badges or other identification.	*<Report Findings Here>*					
	Describe how visitors within the facility were observed to be easily distinguishable from onsite personnel.	*<Report Findings Here>*					
9.4.2.b Verify that visitor badges or other identification expire.	**Describe how** visitor badges or other identification were verified to expire.	*<Report Findings Here>*					
9.4.3 Visitors are asked to surrender the badge or identification before leaving the facility or at the date of expiration.			☐	☐	☐	☐	☐
9.4.3 Observe visitors leaving the facility to verify visitors are asked to surrender their badge or other identification upon departure or expiration.	**Describe how** visitors leaving the facility were observed to verify they are asked to surrender their badge or other identification upon departure or expiration.	*<Report Findings Here>*					
9.4.4 A visitor log is used to maintain a physical audit trail of visitor activity to the facility as well as for computer rooms and data centers where cardholder data is stored or transmitted. Document the visitor's name, the firm represented, and the onsite personnel authorizing physical access on the log. Retain this log for a minimum of three months, unless otherwise restricted by law.			☐	☐	☐	☐	☐
9.4.4.a Verify that a visitor log is in use to record physical access to the facility as well as computer rooms and data centers	**Describe how** it was verified that a visitor log is in use to record physical access to:						

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
	▪ The facility.	*<Report Findings Here>*					
	▪ Computer rooms and data centers where cardholder data is stored or transmitted.	*<Report Findings Here>*					
9.4.4.b Verify that the log contains: • The visitor's name, • The firm represented, and • The onsite personnel authorizing physical access.	**Provide the name of the assessor** who attests that the visitor log contains: • The visitor's name, • The firm represented, and • The onsite personnel authorizing physical access.	*<Report Findings Here>*					
9.4.4.c Verify that the log is retained for at least three months.	**Identify** the defined retention period for visitor logs.	*<Report Findings Here>*					
	Describe how visitor logs were observed to be retained for at least three months.	*<Report Findings Here>*					
9.5 Physically secure all media.			☐	☐	☐	☐	☐
9.5 Verify that procedures for protecting cardholder data include controls for physically securing all media (including but not limited to computers, removable electronic media, paper receipts, paper reports, and faxes).	**Identify the documented procedures for protecting cardholder data** reviewed to verify controls for physically securing all media are defined.	*<Report Findings Here>*					
	For all types of media used, **describe the controls** for physically securing the media used.	*<Report Findings Here>*					
9.5.1 Store media backups in a secure location, preferably an off-site facility, such as an alternate or back-up site, or a commercial storage facility. Review the location's security at least annually.			☐	☐	☐	☐	☐
9.5.1.a Observe the storage location's physical security to confirm that backup media storage is secure.	**Identify all locations** where backup media is stored.	*<Report Findings Here>*					
	Describe how it was observed that backup media storage is stored in a secure location.	*<Report Findings Here>*					
9.5.1.b Verify that the storage location security is reviewed at least annually.	**Identify the document** reviewed to verify that the storage location must be reviewed at least annually.	*<Report Findings Here>*					
	Describe how processes were observed to verify that reviews of the security of each storage location are performed at least annually.	*<Report Findings Here>*					
9.6 Maintain strict control over the internal or external distribution of any kind of media, including the following:			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
9.6 Verify that a policy exists to control distribution of media, and that the policy covers all distributed media including that distributed to individuals.	**Identify the documented policy to control distribution of media** that was reviewed to verify the policy covers all distributed media, including that distributed to individuals.	*<Report Findings Here>*					
	Describe how media distribution is controlled, including distribution to individuals.	*<Report Findings Here>*					
9.6.1 Classify media so the sensitivity of the data can be determined.			☐	☐	☐	☐	☐
9.6.1 Verify that all media is classified so the sensitivity of the data can be determined.	**Identify the documented policy** reviewed to verify policy defines how media is classified.	*<Report Findings Here>*					
	Describe how the classifications were observed to be implemented so the sensitivity of the data can be determined.	*<Report Findings Here>*					
9.6.2 Send the media by secured courier or other delivery method that can be accurately tracked.			☐	☐	☐	☐	☐
9.6.2.a Interview personnel and examine records to verify that all media sent outside the facility is logged and sent via secured courier or other delivery method that can be tracked.	**Identify the personnel** interviewed who confirm that all media sent outside the facility is logged and sent via secured courier or other delivery method that can be tracked.	*<Report Findings Here>*					
	Identify the records examined for this testing procedure.	*<Report Findings Here>*					
	Describe how offsite tracking records were examined to verify that all media is logged and sent via secured courier or other delivery method that can be tracked.	*<Report Findings Here>*					
9.6.2.b Select a recent sample of several days of offsite tracking logs for all media, and verify tracking details are documented.	**Identify the sample** of recent offsite tracking logs for all media selected.	*<Report Findings Here>*					
	For each item in the sample, **describe how** the offsite tracking logs were reviewed to verify that tracking details are documented.	*<Report Findings Here>*					
9.6.3 Ensure management approves any and all media that is moved from a secured area (including when media is distributed to individuals).			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
9.6.3 Select a recent sample of several days of offsite tracking logs for all media. From examination of the logs and interviews with responsible personnel, verify proper management authorization is obtained whenever media is moved from a secured area (including when media is distributed to individuals).	**Identify responsible personnel** interviewed who confirm that proper management authorization is obtained whenever media is moved from a secured area (including when media is distributed to individuals).	*<Report Findings Here>*					
	For each item in the sample in 9.6.2.b, **describe how** offsite tracking logs were examined to verify proper management authorization is obtained whenever media is moved from a secured area (including when media is distributed to individuals).	*<Report Findings Here>*					
9.7 Maintain strict control over the storage and accessibility of media.			☐	☐	☐	☐	☐
9.7 Obtain and examine the policy for controlling storage and maintenance of all media and verify that the policy requires periodic media inventories.	**Identify the documented policy for controlling storage and maintenance of all media** that was reviewed to verify that the policy defines required periodic media inventories.	*<Report Findings Here>*					
9.7.1 Properly maintain inventory logs of all media and conduct media inventories at least annually.			☐	☐	☐	☐	☐
9.7.1 Review media inventory logs to verify that logs are maintained and media inventories are performed at least annually.	**Identify the media inventories logs** reviewed.	*<Report Findings Here>*					
	Describe how the media inventory logs were reviewed to verify that:						
	▪ Media inventory logs of all media were observed to be maintained.	*<Report Findings Here>*					
	▪ Media inventories are performed at least annually.	*<Report Findings Here>*					
9.8 Destroy media when it is no longer needed for business or legal reasons as follows:			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
9.8 Examine the periodic media destruction policy and verify that it covers all media and defines requirements for the following: • Hard-copy materials must be crosscut shredded, incinerated, or pulped such that there is reasonable assurance the hard-copy materials cannot be reconstructed. • Storage containers used for materials that are to be destroyed must be secured. • Cardholder data on electronic media must be rendered unrecoverable (e.g. via a secure wipe program in accordance with industry-accepted standards for secure deletion, or by physically destroying the media).	**Identify the policy document for periodic media destruction** that was examined to verify it covers all media and defines requirements for the following: • Hard-copy materials must be crosscut shredded, incinerated, or pulped such that there is reasonable assurance the hard-copy materials cannot be reconstructed. • Storage containers used for materials that are to be destroyed must be secured. • Cardholder data on electronic media must be rendered unrecoverable (e.g. via a secure wipe program in accordance with industry-accepted standards for secure deletion, or by physically destroying the media).	*<Report Findings Here>*				
9.8.1 Shred, incinerate, or pulp hard-copy materials so that cardholder data cannot be reconstructed. Secure storage containers used for materials that are to be destroyed.			☐	☐	☐	☐	☐
9.8.1.a Interview personnel and examine procedures to verify that hard-copy materials are crosscut shredded, incinerated, or pulped such that there is reasonable assurance the hard-copy materials cannot be reconstructed.	**Identify personnel** interviewed who confirm that hard-copy materials are crosscut shredded, incinerated, or pulped such that there is reasonable assurance the hard-copy materials cannot be reconstructed.	*<Report Findings Here>*					
	Describe how the procedures were examined to verify that hard-copy materials are crosscut shredded, incinerated, or pulped such that there is reasonable assurance that hardcopy materials cannot be reconstructed.	*<Report Findings Here>*					
9.8.1.b Examine storage containers used for materials that contain information to be destroyed to verify that the containers are secured.	**Describe how** the storage containers used for materials to be destroyed are secured.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
9.8.2 Render cardholder data on electronic media unrecoverable so that cardholder data cannot be reconstructed.			☐	☐	☐	☐	☐
9.8.2 Verify that cardholder data on electronic media is rendered unrecoverable (e.g. via a secure wipe program in accordance with industry-accepted standards for secure deletion, or by physically destroying the media).	**Describe how** cardholder data on electronic media is rendered unrecoverable, via secure wiping of media and/or physical destruction of media.	*<Report Findings Here>*					
	If data is rendered unrecoverable via secure deletion or a secure wipe program, **identify the industry-accepted standards** used.	*<Report Findings Here>*					
9.9 Protect devices that capture payment card data via direct physical interaction with the card from tampering and substitution. ***Note:*** *These requirements apply to card-reading devices used in card-present transactions (that is, card swipe or dip) at the point of sale. This requirement is not intended to apply to manual key-entry components such as computer keyboards and POS keypads.* **Note:** Requirement 9.9 is a best practice until June 30, 2015, after which it becomes a requirement.			☐	☐	☐	☐	☐
9.9 Examine documented policies and procedures to verify they include: • Maintaining a list of devices. • Periodically inspecting devices to look for tampering or substitution. • Training personnel to be aware of suspicious behavior and to report tampering or substitution of POS devices.	**Indicate whether** this ROC is being completed prior to June 30, 2015**. (yes/no)**	*<Report Findings Here>*					
	If "yes" AND the assessed entity does not have this in place ahead of the requirement's effective date, mark 9.9 – 9.9.3.b as "Not Applicable." *If not OR if the assessed entity has this in place ahead of the requirement's effective date,* complete the following*:*						
	Identify the documented policies and procedures examined to verify they include: • Maintaining a list of devices. • Periodically inspecting devices to look for tampering or substitution. • Training personnel to be aware of suspicious behavior and to report tampering or substitution of POS devices.	*<Report Findings Here>*					
9.9.1 Maintain an up-to-date list of devices. The list should include the following: • Make, model of device. • Location of device (for example, the address of the site or facility where the device is located). • Device serial number or other method of unique identification.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
9.9.1.a Examine the list of devices to verify it includes: • Make, model of device. • Location of device (for example, the address of the site or facility where the device is located). • Device serial number or other method of unique identification.	*If "yes" at 9.9 AND the assessed entity does not have this in place ahead of the requirement's effective date,* mark 9.9.1.a -9.9.1.c as "Not Applicable." *If not OR if the assessed entity has this in place ahead of the requirement's effective date,* complete the following*:*						
	Identify the documented up-to-date list of devices examined to verify it includes: • Make, model of device. • Location of device (for example, the address of the site or facility where the device is located). • Device serial number or other method of unique identification.	*<Report Findings Here>*					
9.9.1.b Select a sample of devices from the list and observe devices and device locations to verify that the list is accurate and up-to-date.	**Identify the sample** of devices from the list selected for this testing procedure.	*<Report Findings Here>*					
	For all items in the sample, **describe how** the devices and device locations for the sample of devices were observed to verify that the list is accurate and up-to-date.	*<Report Findings Here>*					
9.9.1.c Interview personnel to verify the list of devices is updated when devices are added, relocated, decommissioned, etc.	**Identify personnel** interviewed for this testing procedure.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details** discussed that verify the list of devices is updated when devices are added, relocated, decommissioned, etc.	*<Report Findings Here>*					
9.9.2 Periodically inspect device surfaces to detect tampering (for example, addition of card skimmers to devices), or substitution (for example, by checking the serial number or other device characteristics to verify it has not been swapped with a fraudulent device). **Note:** Examples of signs that a device might have been tampered with or substituted include unexpected attachments or cables plugged into the device, missing or changed security labels, broken or differently colored casing, or changes to the serial number or other external markings.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
9.9.2.a Examine documented procedures to verify processes are defined to include the following: • Procedures for inspecting devices. • Frequency of inspections.	*If "yes" at 9.9 AND the assessed entity does not have this in place ahead of the requirement's effective date,* mark 9.9.2.a -9.9.2.b as "Not Applicable." *If not OR if the assessed entity has this in place ahead of the requirement's effective date,* complete the following*:*						
	Identify the documented procedures examined to verify that processes are defined to include the following: • Procedures for inspecting devices. • Frequency of inspections.	*<Report Findings Here>*					
9.9.2.b Interview responsible personnel and observe inspection processes to verify: • Personnel are aware of procedures for inspecting devices. • All devices are periodically inspected for evidence of tampering and substitution.	**Identify responsible personnel** interviewed who confirm that: • Personnel are aware of procedures for inspecting devices. • All devices are periodically inspected for evidence of tampering and substitution.	*<Report Findings Here>*					
	Describe how inspection processes were observed to verify that:						
	▪ All devices are periodically inspected for evidence of tampering.	*<Report Findings Here>*					
	▪ All devices are periodically inspected for evidence of substitution.	*<Report Findings Here>*					
9.9.3 Provide training for personnel to be aware of attempted tampering or replacement of devices. Training should include the following: • Verify the identity of any third-party persons claiming to be repair or maintenance personnel, prior to granting them access to modify or troubleshoot devices. • Do not install, replace, or return devices without verification. • Be aware of suspicious behavior around devices (for example, attempts by unknown persons to unplug or open devices). • Report suspicious behavior and indications of device tampering or substitution to appropriate personnel (for example, to a manager or security officer).			☐	☐	☐	☐	☐
9.9.3.a Review training materials for personnel at point-of-sale locations to verify it includes training in the following: • Verifying the identity of any third-party	*If "yes" at 9.9 AND the assessed entity does not have this in place ahead of the requirement's effective date,* mark 9.9.3.a -9.9.3.b as "Not Applicable." *If not OR if the assessed entity has this in place ahead of the requirement's effective date,* complete the following*:*						

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
persons claiming to be repair or maintenance personnel, prior to granting them access to modify or troubleshoot devices. • Not to install, replace, or return devices without verification. • Being aware of suspicious behavior around devices (for example, attempts by unknown persons to unplug or open devices). • Reporting suspicious behavior and indications of device tampering or substitution to appropriate personnel (for example, to a manager or security officer).	**Identify the training materials for personnel at point-of-sale locations** that were reviewed to verify the materials include training in the following: • Verifying the identity of any third-party persons claiming to be repair or maintenance personnel, prior to granting them access to modify or troubleshoot devices. • Not to install, replace, or return devices without verification. • Being aware of suspicious behavior around devices (for example, attempts by unknown persons to unplug or open devices). • Reporting all suspicious behavior to appropriate personnel (for example, a manager or security officer). • Reporting tampering or substitution of devices.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/CCW	N/A	Not Tested	Not in Place
9.9.3.b Interview a sample of personnel at point-of-sale locations to verify they have received training and are aware of the procedures for the following: • Verifying the identity of any third-party persons claiming to be repair or maintenance personnel, prior to granting them access to modify or troubleshoot devices. • Not to install, replace, or return devices without verification. • Being aware of suspicious behavior around devices (for example, attempts by unknown persons to unplug or open devices). • Reporting suspicious behavior and indications of device tampering or substitution to appropriate personnel (for example, to a manager or security officer).	**Identify the sample** of personnel at point-of-sale locations interviewed to verify they have received training.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details** discussed that verify interviewees are aware of the procedures for the following:						
	▪ Verifying the identity of any third-party persons claiming to be repair or maintenance personnel, prior to granting them access to modify or troubleshoot devices.	*<Report Findings Here>*					
	▪ Not to install, replace, or return devices without verification.	*<Report Findings Here>*					
	▪ Being aware of suspicious behavior around devices (for example, attempts by unknown persons to unplug or open devices).	*<Report Findings Here>*					
	▪ Reporting suspicious behavior and indications of device tampering or substitution to appropriate personnel (for example, to a manager or security officer).	*<Report Findings Here>*					
9.10 Ensure that security policies and operational procedures for restricting physical access to cardholder data are documented, in use, and known to all affected parties.			☐	☐	☐	☐	☐
9.10 Examine documentation and interview personnel to verify that security policies and operational procedures for restricting physical access to cardholder data are: • Documented, • In use, and • Known to all affected parties.	**Identify the document reviewed to** verify that security policies and operational procedures for restricting physical access to cardholder data are documented.	*<Report Findings Here>*					
	Identify responsible personnel interviewed who confirm that the above documented security policies and operational procedures for restricting physical access to cardholder data are:						
	▪ In use	*<Report Findings Here>*					
	▪ Known to all affected parties	*<Report Findings Here>*					

Regularly Monitor and Test Networks

Requirement 10: Track and monitor all access to network resources and cardholder data

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
10.1 Implement audit trails to link all access to system components to each individual user.			☐	☐	☐	☐	☐
10.1 Verify, through observation and interviewing the system administrator, that: • Audit trails are enabled and active for system components. • Access to system components is linked to individual users.	**Identify the system administrator(s)** interviewed who confirm that: • Audit trails are enabled and active for system components. • Access to system components is linked to individual users.	*<Report Findings Here>*					
	Describe how audit trails were observed to verify the following:						
	▪ Audit trails are enabled and active for system components.	*<Report Findings Here>*					
	▪ Access to system components is linked to individual users.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
10.2 Implement automated audit trails for all system components to reconstruct the following events:			☐	☐	☐	☐	☐
10.2 Through interviews of responsible personnel, observation of audit logs, and examination of audit log settings, perform the following:	**Identify the responsible personnel** interviewed who confirm the following from 10.2.1-10.2.7 are logged: • All individual access to cardholder data. • All actions taken by any individual with root or administrative privileges. • Access to all audit trails. • Invalid logical access attempts.Use of and changes to identification and authentication mechanisms, including: o All elevation of privileges. o All changes, additions, or deletions to any account with root or administrative privileges. • Initialization of audit logs. • Stopping or pausing of audit logs. • Creation and deletion of system level objects.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Identify the sample of audit logs observed to verify the following from 10.2.1-10.2.7 are logged: • All individual access to cardholder data. • All actions taken by any individual with root or administrative privileges. • Access to all audit trails. • Invalid logical access attempts. • Use of and changes to identification and authentication mechanisms, including. o All elevation of privileges. o All changes, additions, or deletions to any account with root or administrative privileges. • Initialization of audit logs. • Stopping or pausing of audit logs. • Creation and deletion of system level objects.	*<Report Findings Here>*					
10.2.1 All individual user accesses to cardholder data.			☐	☐	☐	☐	☐
10.2.1 Verify all individual access to cardholder data is logged.	*For all items in the sample at 10.2,* **describe how** configuration settings were observed to verify all individual access to cardholder data is logged.	*<Report Findings Here>*					
10.2.2 All actions taken by any individual with root or administrative privileges.			☐	☐	☐	☐	☐
10.2.2 Verify all actions taken by any individual with root or administrative privileges are logged.	*For all items in the sample at 10.2,* **describe how** configuration settings were observed to verify all actions taken by any individual with root or administrative privileges are logged.	*<Report Findings Here>*					
10.2.3 Access to all audit trails.			☐	☐	☐	☐	☐
10.2.3 Verify access to all audit trails is logged.	*For all items in the sample at 10.2*, **describe how** configuration settings were observed to verify access to all audit trails is logged.	*<Report Findings Here>*					
10.2.4 Invalid logical access attempts.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
10.2.4 Verify invalid logical access attempts are logged.	*For all items in the sample at 10.2,* **describe how** configuration settings were observed to verify invalid logical access attempts are logged.	*<Report Findings Here>*					
10.2.5 Use of and changes to identification and authentication mechanisms—including but not limited to creation of new accounts and elevation of privileges—and all changes, additions, or deletions to accounts with root or administrative privileges.			☐	☐	☐	☐	☐
10.2.5.a Verify use of identification and authentication mechanisms is logged.	*For all items in the sample at 10.2,* **describe how** configuration settings were observed to verify use of identification and authentication mechanisms is logged.	*<Report Findings Here>*					
10.2.5.b Verify all elevation of privileges is logged.	*For all items in the sample at 10.2,* **describe how** configuration settings were observed to verify all elevation of privileges is logged.	*<Report Findings Here>*					
10.2.5.c Verify all changes, additions, or deletions to any account with root or administrative privileges are logged.	*For all items in the sample at 10.2,* **describe how** configuration settings were observed to verify all changes, additions, or deletions to any account with root or administrative privileges are logged.	*<Report Findings Here>*					
10.2.6 Initialization, stopping, or pausing of the audit logs.			☐	☐	☐	☐	☐
10.2.6 Verify the following are logged: • Initialization of audit logs. • Stopping or pausing of audit logs.	*For all items in the sample at 10.2,* **describe how** configuration settings were observed to verify initialization of audit logs is logged.	*<Report Findings Here>*					
	For all items in the sample at 10.2, **describe how** configuration settings were observed to verify stopping and pausing of audit logs is logged.	*<Report Findings Here>*					
10.2.7 Creation and deletion of system-level objects.			☐	☐	☐	☐	☐
10.2.7 Verify creation and deletion of system level objects are logged.	*For all items in the sample at 10.2,* **describe how** configuration settings were observed to verify creation and deletion of system level objects are logged.	*<Report Findings Here>*					
10.3 Record at least the following audit trail entries for all system components for each event:			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
10.3 Through interviews and observation of audit logs, for each auditable event (from 10.2), perform the following:	**Identify the responsible personnel** interviewed who confirm that for each auditable event from 10.2.1-10.2.7, the following are included in log entries: • User identification • Type of event • Date and time • Success or failure indication • Origination of event	*<Report Findings Here>*					
	Identify the sample of audit logs from 10.2.1-10.2.7 observed to verify the following are included in log entries: • User identification • Type of event • Date and time • Success or failure indication • Origination of event	*<Report Findings Here>*					
10.3.1 User identification			☐	☐	☐	☐	☐
10.3.1 Verify user identification is included in log entries.	*For all logs in the sample at 10.3,* **describe how** the audit logs were observed to verify user identification is included in log entries.	*<Report Findings Here>*					
10.3.2 Type of event			☐	☐	☐	☐	☐
10.3.2 Verify type of event is included in log entries.	*For all logs in the sample at 10.3,* **describe how** the audit logs were observed to verify type of event is included in log entries.	*<Report Findings Here>*					
10.3.3 Date and time			☐	☐	☐	☐	☐
10.3.3 Verify date and time stamp is included in log entries.	*For all logs in the sample at 10.3,* **describe how** the audit logs were observed to verify date and time stamp is included in log entries.	*<Report Findings Here>*					
10.3.4 Success or failure indication			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
10.3.4 Verify success or failure indication is included in log entries.	*For all logs in the sample at 10.3,* **describe how** the audit logs were observed to verify success or failure indication is included in log entries.	*<Report Findings Here>*					
10.3.5 Origination of event			☐	☐	☐	☐	☐
10.3.5 Verify origination of event is included in log entries.	*For all logs in the sample at 10.3,* **describe how** the audit logs were observed to verify origination of event is included in log entries.	*<Report Findings Here>*					
10.3.6 Identity or name of affected data, system component, or resource			☐	☐	☐	☐	☐
10.3.6 Verify identity or name of affected data, system component, or resources is included in log entries.	*For all logs in the sample at 10.3,* **describe how** the audit logs were observed to verify the identity or name of affected data, system component, or resource is included in log entries.	*<Report Findings Here>*					
10.4 Using time-synchronization technology, synchronize all critical system clocks and times and ensure that the following is implemented for acquiring, distributing, and storing time. ***Note:*** *One example of time synchronization technology is Network Time Protocol (NTP).*			☐	☐	☐	☐	☐
10.4 Examine configuration standards and processes to verify that time-synchronization technology is implemented and kept current per PCI DSS Requirements 6.1 and 6.2.	**Identify** the time synchronization technologies in use. (If NTP, include version)	*<Report Findings Here>*					
	Identify the documented time-synchronization process that defines processes for ensuring the time synchronization technologies are kept current per PCI DSS Requirements 6.1 and 6.2.	*<Report Findings Here>*					
	Describe how processes were examined to verify that time synchronization technologies are:						
	• Implemented.	*<Report Findings Here>*					
	• Kept current, per the documented process.	*<Report Findings Here>*					
10.4.1 Critical systems have the correct and consistent time.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
10.4.1.a Examine the process for acquiring, distributing and storing the correct time within the organization to verify that: • Only the designated central time server(s) receive time signals from external sources, and time signals from external sources are based on International Atomic Time or UTC. • Where there is more than one designated time server, the time servers peer with one another to keep accurate time. • Systems receive time information only from designated central time server(s).	**Identify the documented process for acquiring, distributing, and storing the correct time within the organization** examined to verify that the process defines the following: • Only the designated central time server(s) receive time signals from external sources, and time signals from external sources are based on International Atomic Time or UTC. • Where there is more than one designated time server, the time servers peer with one another to keep accurate time. • Systems receive time information only from designated central time server(s).	*<Report Findings Here>*					
10.4.1.b Observe the time-related system-parameter settings for a sample of system components to verify: • Only the designated central time server(s) receive time signals from external sources, and time signals from external sources are based on International Atomic Time or UTC. • Where there is more than one designated time server, the designated central time server(s) peer with one another to keep accurate time. • Systems receive time only from designated central time server(s).	**Identify the sample** of system components selected for 10.4.1.b-10.4.2.b	*<Report Findings Here>*					
	For all items in the sample, **describe how** the time-related system-parameter settings for the sample of system components were observed to verify:						
	▪ Only the designated central time server(s) receive time signals from external sources, and time signals from external sources are based on International Atomic Time or UTC.	*<Report Findings Here>*					
	▪ Where there is more than one designated time server, the designated central time server(s) peer with one another to keep accurate time.	*<Report Findings Here>*					
	▪ Systems receive time only from designated central time server(s).	*<Report Findings Here>*					
10.4.2 Time data is protected.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
10.4.2.a Examine system configurations and time-synchronization settings to verify that access to time data is restricted to only personnel with a business need to access time data.	**Identify the documented time-synchronization procedures** examined to verify procedures define that: • Access to time data is restricted to only personnel with a business need to access time data. • Define which personnel have a business need to access time data.	*<Report Findings Here>*					
	Identify the authorized personnel interviewed who confirm that personnel with access to time data have a business need to access time data.	*<Report Findings Here>*					
	For all items in the sample from 10.4.1, **describe how** configuration settings were examined to restrict access to time data to only personnel with a documented need.	*<Report Findings Here>*					
10.4.2.b Examine system configurations, time synchronization settings and logs, and processes to verify that any changes to time settings on critical systems are logged, monitored, and reviewed.	**Identify the documented time-synchronization procedures** examined to verify procedures define that changes to time settings on critical systems must be: • Logged • Monitored • Reviewed	*<Report Findings Here>*					
	For all items in the sample from 10.4.1, **describe how** configuration settings on the sampled system components were examined to log any changes to time settings on critical systems.	*<Report Findings Here>*					
	For all items in the sample from 10.4.1, **describe how** logs were examined to log any changes to time settings on critical systems.	*<Report Findings Here>*					
	Describe how time synchronization processes were examined to verify changes to time settings on critical systems are:						
	• Logged	*<Report Findings Here>*					
	• Monitored	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	• Reviewed	<Report Findings Here>					
10.4.3 Time settings are received from industry-accepted time sources.			☐	☐	☐	☐	☐
10.4.3 Examine systems configurations to verify that the time server(s) accept time updates from specific, industry-accepted external sources (to prevent a malicious individual from changing the clock). Optionally, those updates can be encrypted with a symmetric key, and access control lists can be created that specify the IP addresses of client machines that will be provided with the time updates (to prevent unauthorized use of internal time servers).	**Identify the document** reviewed to verify it defines that: • Time settings are configured to either accept time updates from specific, industry-accepted time sources; OR • The updates are encrypted with a symmetric key and access control lists specify the IP addresses of client machines that will be provided with the time updates.	<Report Findings Here>					
	Identify the sample of time servers selected.	<Report Findings Here>					
	For all items in the sample, **describe how** configuration settings were examined to verify either of the following:						
	▪ **T**hat the time servers receive time updates from specific, industry-accepted external sources. OR	<Report Findings Here>					
	▪ That time updates are encrypted with a symmetric key, and access control lists specify the IP addresses of client machines.	<Report Findings Here>					
	Identify the industry-accepted time source indicated (if applicable).	<Report Findings Here>					
10.5 Secure audit trails so they cannot be altered.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
10.5 Interview system administrators and examine system configurations and permissions to verify that audit trails are secured so that they cannot be altered as follows:	**Identify the system administrators** interviewed who confirm that audit trails are secured so that they cannot be altered as follows (from 10.5.1-10.5.5): • Only individuals who have a job-related need can view audit trail files. • Current audit trail files are protected from unauthorized modifications via access control mechanisms, physical segregation, and/or network segregation. • Current audit trail files are promptly backed up to a centralized log server or media that is difficult to alter, including: - That current audit trail files are promptly backed up to the centralized log server or media - The frequency that audit trail files are backed up - That the centralized log server or media is difficult to alter • Logs for external-facing technologies (for example, wireless, firewalls, DNS, mail) are written onto a secure, centralized, internal log server or media. • Use file-integrity monitoring or change-detection software on logs to ensure that existing log data cannot be changed without generating alerts.	<*Report Findings Here*>					
	Identify the sample of system components selected for this testing procedure from 10.5.1-10.5.5.	<*Report Findings Here*>					
10.5.1 Limit viewing of audit trails to those with a job-related need.			☐	☐	☐	☐	☐
10.5.1 Only individuals who have a job-related need can view audit trail files.	*For each item in the sample at 10.5,* **describe how** system configurations and permissions were examined to verify they restrict viewing of audit trail files to only individuals who have a documented job-related need.	<*Report Findings Here*>					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
10.5.2 Protect audit trail files from unauthorized modifications.			☐	☐	☐	☐	☐
10.5.2 Current audit trail files are protected from unauthorized modifications via access control mechanisms, physical segregation, and/or network segregation.	*For each item in the sample at 10.5,* **describe how** system configurations and permissions were examined to verify that current audit trail files are protected from unauthorized modifications. (e.g., via access control mechanisms, physical segregation, and/or network segregation).	*<Report Findings Here>*					
10.5.3 Promptly back up audit trail files to a centralized log server or media that is difficult to alter.			☐	☐	☐	☐	☐
10.5.3 Current audit trail files are promptly backed up to a centralized log server or media that is difficult to alter.	*For each item in the sample at 10.5,* **describe how** system configurations and permissions were examined to verify that current audit trail files are promptly backed up to a centralized log server or media that is difficult to alter.	*<Report Findings Here>*					
	Identify and briefly describe the following:						
	▪ The centralized log server or media to which audit trail files are backed up.	*<Report Findings Here>*					
	▪ How frequently the audit trail files are backed up, and how the frequency is appropriate.	*<Report Findings Here>*					
	▪ How the centralized log server or media is difficult to alter.	*<Report Findings Here>*					
10.5.4 Write logs for external-facing technologies onto a secure, centralized, internal log server or media device.			☐	☐	☐	☐	☐
10.5.4 Logs for external-facing technologies (for example, wireless, firewalls, DNS, mail) are written onto a secure, centralized, internal log server or media.	*For each item in the sample at 10.5,* **describe how** system configurations and permissions were examined to verify that logs for external-facing technologies are written onto a secure, centralized, internal log server or media.	*<Report Findings Here>*					
	Describe how logs for external-facing technologies are written onto a secure centralized internal log server or media.	*<Report Findings Here>*					
10.5.5 Use file-integrity monitoring or change-detection software on logs to ensure that existing log data cannot be changed without generating alerts (although new data being added should not cause an alert).			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
10.5.5 Examine system settings, monitored files, and results from monitoring activities to verify the use of file-integrity monitoring or change-detection software on logs.	*For each item in the sample at 10.5,* **describe how** the following were examined to verify the use of file-integrity monitoring or change-detection software on logs:						
	• System settings	*<Report Findings Here>*					
	• Monitored files	*<Report Findings Here>*					
	• Results from monitoring activities	*<Report Findings Here>*					
	Identify the file-integrity monitoring (FIM) or change-detection software verified to be in use.	*<Report Findings Here>*					
10.6 Review logs and security events for all system components to identify anomalies or suspicious activity. ***Note:*** *Log harvesting, parsing, and alerting tools may be used to meet this Requirement.*							
10.6 Perform the following:							
10.6.1 Review the following at least daily: • All security events • Logs of all system components that store, process, or transmit CHD and/or SAD • Logs of all critical system components • Logs of all servers and system components that perform security functions (for example, firewalls, intrusion-detection systems/intrusion-prevention systems (IDS/IPS), authentication servers, e-commerce redirection servers, etc.).			☐	☐	☐	☐	☐
10.6.1.a Examine security policies and procedures to verify that procedures are defined for, reviewing the following at least daily, either manually or via log tools: • All security events • Logs of all system components that store, process, or transmit CHD and/or SAD • Logs of all critical system components	**Identify the documented security policies and procedures** examined to verify that procedures define reviewing the following at least daily, either manually or via log tools: • All security events • Logs of all system components that store, process, or transmit CHD and/or SAD • Logs of all critical system components • Logs of all servers and system components that perform security functions.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
• Logs of all servers and system components that perform security functions (for example, firewalls, intrusion-detection systems/intrusion-prevention systems (IDS/IPS), authentication servers, e-commerce redirection servers, etc.).	**Describe** the manual or log tools used for daily review of logs.	*<Report Findings Here>*					
10.6.1.b Observe processes and interview personnel to verify that the following are reviewed at least daily: • All security events • Logs of all system components that store, process, or transmit CHD and/or SAD • Logs of all critical system components • Logs of all servers and system components that perform security functions (for example, firewalls, intrusion-detection systems/intrusion-prevention systems (IDS/IPS), authentication servers, e-commerce redirection servers, etc.)	**Identify the personnel** interviewed who confirm that the following are reviewed at least daily: • All security events • Logs of all system components that store, process, or transmit CHD and/or SAD • Logs of all critical system components • Logs of all servers and system components that perform security functions.	*<Report Findings Here>*					
	Describe how processes were observed to verify that the following are reviewed at least daily:						
	▪ All security events.	*<Report Findings Here>*					
	▪ Logs of all system components that store, process, or transmit CHD and/or SAD.	*<Report Findings Here>*					
	▪ Logs of all critical system components.	*<Report Findings Here>*					
	▪ Logs of all servers and system components that perform security functions.	*<Report Findings Here>*					
10.6.2 Review logs of all other system components periodically based on the organization's policies and risk management strategy, as determined by the organization's annual risk assessment.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
10.6.2.a Examine security policies and procedures to verify that procedures are defined for reviewing logs of all other system components periodically—either manually or via log tools—based on the organization's policies and risk management strategy.	**Identify the documented security policies and procedures** examined to verify that procedures define reviewing logs of all other system components periodically—either manually or via log tools—based on the organization's policies and risk management strategy.	*<Report Findings Here>*					
	Describe the manual or log tools defined for periodic review of logs of all other system components.	*<Report Findings Here>*					
10.6.2.b Examine the organization's risk assessment documentation and interview personnel to verify that reviews are performed in accordance with organization's policies and risk management strategy.	**Identify the organization's risk assessment documentation** examined to verify that reviews are performed in accordance with the organization's policies and risk management strategy.	*<Report Findings Here>*					
	Identify the personnel interviewed for this testing procedure.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details** discussed that verify that reviews are performed in accordance with the organization's policies and risk management strategy.	*<Report Findings Here>*					
10.6.3 Follow up exceptions and anomalies identified during the review process.			☐	☐	☐	☐	☐
10.6.3.a Examine security policies and procedures to verify that procedures are defined for following up on exceptions and anomalies identified during the review process.	**Identify the documented security policies and procedures** examined to verify that procedures define following up on exceptions and anomalies identified during the review process.	*<Report Findings Here>*					
10.6.3.b Observe processes and interview personnel to verify that follow-up to exceptions and anomalies is performed.	**Describe how** processes were observed to verify that follow-up to exceptions and anomalies is performed.	*<Report Findings Here>*					
	Identify the personnel interviewed who confirm that follow-up to exceptions and anomalies is performed.	*<Report Findings Here>*					
10.7 Retain audit trail history for at least one year, with a minimum of three months immediately available for analysis (for example, online, archived, or restorable from backup).			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
10.7.a Examine security policies and procedures to verify that they define the following: • Audit log retention policies. • Procedures for retaining audit logs for at least one year, with a minimum of three months immediately available online.	**Identify the documented security policies and procedures** examined to verify that procedures define the following: • Audit log retention policies. • Procedures for retaining audit logs for at least one year, with a minimum of three months immediately available online.	*<Report Findings Here>*					
10.7.b Interview personnel and examine audit logs to verify that audit logs are retained for at least one year.	**Identify the personnel** interviewed who confirm that audit logs are retained for at least one year.	*<Report Findings Here>*					
	Describe how the audit logs were examined to verify that audit logs are retained for at least one year.	*<Report Findings Here>*					
10.7.c Interview personnel and observe processes to verify that at least the last three months' logs are immediately available for analysis.	**Identify the personnel** interviewed who confirm that at least the last three months' logs are immediately available for analysis.	*<Report Findings Here>*					
	Describe the processes observed to verify that at least the last three months' logs are immediately available for analysis.	*<Report Findings Here>*					
10.8 Ensure that security policies and operational procedures for monitoring all access to network resources and cardholder data are documented, in use, and known to all affected parties.			☐	☐	☐	☐	☐
10.8 Examine documentation and interview personnel to verify that security policies and operational procedures for monitoring all access to network resources and cardholder data are: • Documented, • In use, and • Known to all affected parties.	**Identify the document** reviewed to verify that security policies and operational procedures for monitoring all access to network resources and cardholder data are documented.	<Report Findings Here>					
	Identify responsible personnel interviewed who confirm that the above documented security policies and operational procedures for monitoring all access to network resources and cardholder data are: • In use • Known to all affected parties	<Report Findings Here>					

Requirement 11: Regularly test security systems and processes

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
11.1 Implement processes to test for the presence of wireless access points (802.11), and detect and identify all authorized and unauthorized wireless access points on a quarterly basis. ***Note:*** *Methods that may be used in the process include but are not limited to wireless network scans, physical/logical inspections of system components and infrastructure, network access control (NAC), or wireless IDS/IPS.* Whichever methods are used, they must be sufficient to detect and identify both authorized and unauthorized devices.			☐	☐	☐	☐	☐
11.1.a Examine policies and procedures to verify processes are defined for detection and identification of both authorized and unauthorized wireless access points on a quarterly basis.	**Identify the documented policies and procedures** examined to verify processes are defined for detection and identification of authorized and unauthorized wireless access points on a quarterly basis.	*<Report Findings Here>*					
11.1.b Verify that the methodology is adequate to detect and identify any unauthorized wireless access points, including at least the following: • WLAN cards inserted into system components. • Portable or mobile devices attached to system components to create a wireless access point (for example, by USB, etc.). • Wireless devices attached to a network port or network device.	**Describe how** the methodology/processes were verified to be adequate to detect and identify unauthorized wireless access points, including the following:						
	▪ WLAN cards inserted into system components.	*<Report Findings Here>*					
	▪ Portable or mobile devices attached to system components to create a wireless access point.	*<Report Findings Here>*					
	▪ Wireless devices attached to a network port or network device.	*<Report Findings Here>*					
	▪ Any other unauthorized wireless access point.	*<Report Findings Here>*					
11.1.c If wireless scanning is utilized, examine output from recent wireless scans to verify that:	**Indicate whether** wireless scanning is utilized. **(yes/no)** *If 'no,' mark the remainder of 11.1.c as 'not applicable.'*						

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
• Authorized and unauthorized wireless access points are identified, and • The scan is performed at least quarterly for all system components and facilities.	*If 'yes,'* **Identify/describe** the output from recent wireless scans examined to verify that: • Authorized wireless access points are identified. • Unauthorized wireless access points are identified. • The scan is performed at least quarterly. • The scan covers all system components. • The scan covers all facilities.	*<Report Findings Here>*					
11.1.d If automated monitoring is utilized (for example, wireless IDS/IPS, NAC, etc.), verify the configuration will generate alerts to notify personnel.	**Indicate whether** automated monitoring is utilized. **(yes/no)**	*<Report Findings Here>*					
	If "no," mark the remainder of 11.1.d as "Not Applicable." *If "yes," complete the following:*						
	Identify and describe any automated monitoring technologies in use.	*<Report Findings Here>*					
	For each monitoring technology in use, **describe how** the technology generates alerts to personnel.	*<Report Findings Here>*					
11.1.1 Maintain an inventory of authorized wireless access points including a documented business justification.			☐	☐	☐	☐	☐
11.1.1 Examine documented records to verify that an inventory of authorized wireless access points is maintained and a business justification is documented for all authorized wireless access points.	**Identify the documented inventory records** of authorized wireless access points examined to verify that an inventory of authorized wireless access points is maintained and a business justification is documented for all authorized wireless access points.	*<Report Findings Here>*					
11.1.2 Implement incident response procedures in the event unauthorized wireless access points are detected.			☐	☐	☐	☐	☐
11.1.2.a Examine the organization's incident response plan (Requirement 12.10) to verify it defines and requires a response in the event that an unauthorized wireless access point is detected.	**Identify the Incident Response Plan document** examined that defines and requires response in the event that an unauthorized wireless access point is detected.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
11.1.2.b Interview responsible personnel and/or inspect recent wireless scans and related responses to verify action is taken when unauthorized wireless access points are found.	**Identify the responsible personnel** interviewed for this testing procedure.	*<Report Findings Here>*					
	For the interview, **summarize the relevant details** discussed that verify that action is taken when unauthorized wireless access points are found.	*<Report Findings Here>*					
	And/or:						
	Identify the recent wireless scans inspected for this testing procedure.	*<Report Findings Here>*					
	Describe how the recent wireless scans and related responses were inspected to verify that action is taken when unauthorized wireless access points are found.	*<Report Findings Here>*					
11.2 Run internal and external network vulnerability scans at least quarterly and after any significant change in the network (such as new system component installations, changes in network topology, firewall rule modifications, product upgrades). ***Note:*** *Multiple scan reports can be combined for the quarterly scan process to show that all systems were scanned and all applicable vulnerabilities have been addressed. Additional documentation may be required to verify non-remediated vulnerabilities are in the process of being addressed.* *For initial PCI DSS compliance, it is not required that four quarters of passing scans be completed if the assessor verifies 1) the most recent scan result was a passing scan, 2) the entity has documented policies and procedures requiring quarterly scanning, and 3) vulnerabilities noted in the scan results have been corrected as shown in a re-scan(s). For subsequent years after the initial PCI DSS review, four quarters of passing scans must have occurred.*			☐	☐	☐	☐	☐
11.2 Examine scan reports and supporting documentation to verify that internal and external vulnerability scans are performed as follows:							
11.2.1 Perform quarterly internal vulnerability scans, and rescans as needed, until all "high-risk" vulnerabilities (as identified in Requirement 6.1) are resolved. Scans must be performed by qualified personnel.			☐	☐	☐	☐	☐
11.2.1.a Review the scan reports and verify that four quarterly internal scans occurred in the most recent 12-month period.	**Identify the internal vulnerability scan reports and supporting documentation** reviewed.	*<Report Findings Here>*					
	Provide the name of the assessor who attests that four quarterly internal scans were verified to have occurred in the most recent 12-month period.	*<Report Findings Here>*					
11.2.1.b Review the scan reports and verify that the scan process includes rescans until all "high-risk" vulnerabilities as defined in PCI DSS Requirement 6.1	**Identify the documented process for quarterly internal scanning** to verify the process defines performing rescans as part of the quarterly internal scan process.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
are resolved.	*For each of the four internal quarterly scans indicated at 11.2.1.a*, **indicate whether** a rescan was required. **(yes/no)**	*<Report Findings Here>*					
	*If "yes," **describe how** rescans were verified to be performed until either:*						
	▪ Passing results are obtained, or	*<Report Findings Here>*					
	▪ All "High" vulnerabilities as defined in PCI DSS Requirement 6.1 are resolved.	*<Report Findings Here>*					
11.2.1.c Interview personnel to verify that the scan was performed by a qualified internal resource(s) or qualified external third party, and if applicable, organizational independence of the tester exists (not required to be a QSA or ASV).	**Identify the responsible personnel** interviewed who confirm that the scan was performed by a qualified internal resource(s) or qualified external third party.	*<Report Findings Here>*					
	Indicate whether a qualified internal resource performs the scan. **(yes/no)** *If "no," mark the remainder of 11.2.1.c as "Not Applicable."* *If "yes," complete the following:*	*<Report Findings Here>*					
	Describe how the personnel who perform the scans demonstrated they are qualified to perform the scans.	*<Report Findings Here>*					
	Describe how organizational independence of the tester was observed to exist.	*<Report Findings Here>*					
11.2.2 Perform quarterly external vulnerability scans, via an Approved Scanning Vendor (ASV) approved by the Payment Card Industry Security Standards Council (PCI SSC). Perform rescans as needed, until passing scans are achieved. ***Note*:** *Quarterly external vulnerability scans must be performed by an Approved Scanning Vendor (ASV), approved by the Payment Card Industry Security Standards Council (PCI SSC).* *Refer to the ASV Program Guide published on the PCI SSC website for scan customer responsibilities, scan preparation, etc.*			☐	☐	☐	☐	☐
11.2.2.a Review output from the four most recent quarters of external vulnerability scans and verify that four quarterly external vulnerability scans occurred in the most recent 12-month period.	**Identify the external network vulnerability scan reports and supporting documentation** reviewed.	*<Report Findings Here>*					
	Provide the name of the assessor who attests that four quarterly external vulnerability scans were verified to have occurred in the most recent 12-month period.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
11.2.2.b Review the results of each quarterly scan and rescan to verify that the ASV Program Guide requirements for a passing scan have been met (for example, no vulnerabilities rated 4.0 or higher by the CVSS, no automatic failures).	**Describe how** the results of each quarterly scan were reviewed to verify that the ASV Program Guide requirements for a passing scan have been met.	*<Report Findings Here>*					
	For each of the four external quarterly scans indicated at 11.2.2.a, **indicate whether** a rescan was necessary. **(yes/no)**	*<Report Findings Here>*					
	If "yes," **describe how** the results of the rescan were reviewed to verify that the ASV Program Guide requirements for a passing scan have been met.	*<Report Findings Here>*					
11.2.2.c Review the scan reports to verify that the scans were completed by a PCI SSC Approved Scanning Vendor (ASV).	**Provide the name of the assessor** who attests that the external scan reports were reviewed and verified to have been completed by a PCI SSC-Approved Scanning Vendor (ASV).	*<Report Findings Here>*					
11.2.3 Perform internal and external scans, and rescans as needed, after any significant change. Scans must be performed by qualified personnel.			☐	☐	☐	☐	☐
11.2.3.a Inspect and correlate change control documentation and scan reports to verify that system components subject to any significant change were scanned.	**Identify the document** reviewed to verify processes are defined for performing internal and external scans after any significant change.	*<Report Findings Here>*					
	Identify the change control documentation and scan reports reviewed for this testing procedure.	*<Report Findings Here>*					
	Describe how the change control documentation and scan reports were inspected and correlated to verify that all system components subject to significant change were scanned after the change.	*<Report Findings Here>*					
11.2.3.b Review scan reports and verify that the scan process includes rescans until: • For external scans, no vulnerabilities exist that are scored 4.0 or higher by the CVSS. • For internal scans, all "high-risk" vulnerabilities as defined in PCI DSS Requirement 6.1 are resolved.	For all scans reviewed in 11.2.3.a, **indicate whether** a rescan was required. **(yes/no)**	*<Report Findings Here>*					
	If "yes" – for external scans, **describe how** rescans were performed until no vulnerabilities with a CVSS score greater than 4.0 exist.	*<Report Findings Here>*					
	If "yes" – for internal scans, **describe how** rescans were performed until either passing results were obtained or all "high-risk" vulnerabilities as defined in PCI DSS Requirement 6.1 were resolved.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
11.2.3.c Validate that the scan was performed by a qualified internal resource(s) or qualified external third party, and if applicable, organizational independence of the tester exists (not required to be a QSA or ASV).	**Describe how** it was validated that the scan was performed by a qualified internal resource(s) or qualified external third party.	*<Report Findings Here>*					
	Indicate whether an **i**nternal resource performed the scans. **(yes/no)** *If "no," mark the remainder of 11.2.3.c as "Not Applicable."* *If "yes," complete the following:*	*<Report Findings Here>*					
	Describe how the personnel who perform the scans demonstrated they are qualified to perform the scans.	*<Report Findings Here>*					
	Describe how organizational independence of the tester was observed to exist.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
11.3 Penetration Testing ***Note:*** *The update to Requirement 11.3 is a best practice until June 30, 2015, after which it becomes a requirement. PCI DSS v2.0 requirements for penetration testing must be followed until v3.1 is in place. Do not answer both v2.0 and 3.1 reporting instructions.*			☐	☐	☐	☐	☐
Indicate whether 11.3 for this ROC is being assessed against PCI DSS v2.0 or v3.1 (either is acceptable until June 30, 2015.) **(2.0/3.1)**		*<Report Findings Here>*					
If assessing against PCI DSS v2.0 for 11.3, please complete the following section in purple:							
11.3 Perform external and internal penetration testing at least once a year and after any significant infrastructure or application upgrade or modification (such as an operating system upgrade, a sub-network added to the environment, or a web server added to the environment). These penetration tests must include the following:			☐	☐	☐	☐	☐
11.3.a Obtain and examine the results from the most recent penetration test to verify that penetration testing is performed at least annually and after any significant changes to the environment.	▪ **Identify the documented penetration test results** which confirm: i. Internal penetration tests are performed annually. ii. External penetration tests are performed annually. ▪ **Identify whether** any significant infrastructure or application upgrade or modification occurred during the past 12 months. ▪ **Identify the documented penetration test results** confirming that penetration tests are performed after: i. Significant internal infrastructure or application upgrade. ii. Significant external infrastructure or application upgrade.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
11.3.b Verify that noted exploitable vulnerabilities were corrected and testing repeated.	▪ **Identify whether** any exploitable vulnerabilities were noted in the most recent: i. Internal penetration test results. ii. External penetration test results. ▪ **Identify the interviewed personnel** who confirm that all noted exploitable vulnerabilities were corrected. ▪ **Identify the documented penetration test results** confirming that: i. Testing was repeated. ii. All noted exploitable vulnerabilities were corrected.	*<Report Findings Here>*					
11.3.c Verify that the test was performed by a qualified internal resource or qualified external third party, and if applicable, organizational independence of the tester exists (not required to be a QSA or ASV).	▪ **Identify whether** internal and/or external resources perform the penetration tests. ▪ **Identify the interviewed personnel who perform the tests**, and describe how the personnel demonstrated they are qualified to perform the tests. ▪ **Describe how** organizational independence of the tester was observed to exist.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
11.3.1 Network-layer penetration tests.			☐	☐	☐	☐	☐
11.3.1 Verify that the penetration test includes network-layer penetration tests. These tests should include components that support network functions as well as operating systems.	▪ **Identify the documented results from the most recent penetration tests** confirming that: i. Internal penetration testing includes network-layer penetration tests. ii. External penetration testing includes network-layer penetration tests. iii. The network-layer penetration tests include: o Components that support network functions o Operating systems ▪ **Identify the responsible personnel** interviewed who confirm that: i. Internal penetration testing includes network-layer penetration tests. ii. External penetration testing includes network-layer penetration tests. iii. The network-layer penetration tests include: o Components that support network functions o Operating systems	*<Report Findings Here>*					
11.3.2 Application-layer penetration tests.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
11.3.2 Verify that the penetration test includes application-layer penetration tests. The tests should include, at a minimum, the vulnerabilities listed in Requirement 6.5.	▪ **Identify the documented results from the most recent penetration tests** confirming that: i. Internal penetration testing includes application-layer penetration tests. ii. External penetration testing includes application-layer penetration tests. iii. The application-layer tests include, at a minimum, the vulnerabilities listed in PCI DSS Requirement 6.5. ▪ **Identify the responsible personnel** interviewed who confirm that: i. Internal penetration testing includes application-layer penetration tests. ii. External penetration testing includes application-layer penetration tests. iii. The application-layer tests include, at a minimum, the vulnerabilities listed in PCI DSS Requirement 6.5.	*<Report Findings Here>*					
END OF PCI DSS 2.0, 11.3.							
If assessing against PCI DSS v3.1 for 11.3, please complete the following:							
11.3 Implement a methodology for penetration testing that includes at least the following: • Is based on industry-accepted penetration testing approaches (for example, NIST SP800-115). • Includes coverage for the entire CDE perimeter and critical systems. • Includes testing from both inside and outside of the network. • Includes testing to validate any segmentation and scope reduction controls. • Defines application-layer penetration tests to include, at a minimum, the vulnerabilities listed in Requirement 6.5. • Defines network-layer penetration tests to include components that support network functions as well as operating systems. • Includes review and consideration of threats and vulnerabilities experienced in the last 12 months. • Specifies retention of penetration testing results and remediation activities results. ***Note:*** *This update to Requirement 11.3 is a best practice until June 30, 2015, after which it becomes a requirement. Prior to this date, PCI DSS v2.0 requirements for penetration testing must be followed until version 3 is in place.*			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
11.3 Examine penetration-testing methodology and interview responsible personnel to verify a methodology is implemented and includes at least the following: • Is based on industry-accepted penetration testing approaches. • Includes coverage for the entire CDE perimeter and critical systems. • Includes testing from both inside and outside the network. • Includes testing to validate any segmentation and scope reduction controls. • Defines application-layer penetration tests to include, at a minimum, the vulnerabilities listed in Requirement 6.5. • Defines network-layer penetration tests to include components that support network functions as well as operating systems. • Includes review and consideration of threats and vulnerabilities experienced in the last 12 months. • Specifies retention of penetration testing results and remediation activities results.	**Identify the documented penetration-testing methodology** examined to verify a methodology is implemented that includes at least the following: • Based on industry-accepted penetration testing approaches. • Coverage for the entire CDE perimeter and critical systems. • Testing from both inside and outside the network. • Testing to validate any segmentation and scope reduction controls. • Defines application-layer penetration tests to include, at a minimum, the vulnerabilities listed in Requirement 6.5. • Defines network-layer penetration tests to include components that support network functions as well as operating systems. • Review and consideration of threats and vulnerabilities experienced in the last 12 months. • Retention of penetration testing results and remediation activities results.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Identify the responsible personnel interviewed who confirm the penetration–testing methodology implemented includes at least the following: • Based on industry-accepted penetration testing approaches. • Coverage for the entire CDE perimeter and critical systems. • Testing from both inside and outside the network. • Testing to validate any segmentation and scope reduction controls. • Defines application-layer penetration tests to include, at a minimum, the vulnerabilities listed in Requirement 6.5. • Defines network-layer penetration tests to include components that support network functions as well as operating systems. • Review and consideration of threats and vulnerabilities experienced in the last 12 months. • Retention of penetration testing results and remediation activities results.	*<Report Findings Here>*					
	Describe how the penetration-testing methodology was examined to verify that the implemented methodology includes at least the following:						
	▪ Based on industry-accepted penetration testing approaches.	*<Report Findings Here>*					
	▪ Coverage for the entire CDE perimeter and critical systems.	*<Report Findings Here>*					
	▪ Testing from both inside the network, and from outside of the network attempting to get in.	*<Report Findings Here>*					
	▪ Testing to validate any segmentation and scope-reduction controls.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	▪ Defines application-layer penetration tests to include, at a minimum, the vulnerabilities listed in Requirement 6.5.	*<Report Findings Here>*					
	▪ Defines network-layer penetration tests to include components that support network functions as well as operating systems.	*<Report Findings Here>*					
	▪ Review and consideration of threats and vulnerabilities experienced in the last 12 months.	*<Report Findings Here>*					
	▪ Retention of penetration testing results and remediation activities results.	*<Report Findings Here>*					
11.3.1 Perform ***external*** penetration testing at least annually and after any significant infrastructure or application upgrade or modification (such as an operating system upgrade, a sub-network added to the environment, or a web server added to the environment).			☐	☐	☐	☐	☐
11.3.1.a Examine the scope of work and results from the most recent external penetration test to verify that penetration testing is performed as follows: • Per the defined methodology • At least annually • After any significant changes to the environment	**Identify the documented external penetration test results** reviewed to verify that external penetration testing is performed: • Per the defined methodology • At least annually	*<Report Findings Here>*					
	Describe how the scope of work was reviewed to verify that external penetration testing is performed: • Per the defined methodology • At least annually	*<Report Findings Here>*					
	Identify whether any significant external infrastructure or application upgrade or modification occurred during the past 12 months.	*<Report Findings Here>*					
	Identify the documented penetration test results reviewed to verify that external penetration tests are performed after significant external infrastructure or application upgrade.	*<Report Findings Here>*					
11.3.1.b Verify that the test was performed by a qualified internal resource or qualified external third party,	**Describe how** it was validated that the test was performed by a qualified internal resource(s) or qualified external third party.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Indicate whether an **i**nternal resource performed the test. **(yes/no)** *If "no," mark the remainder of 11.3.1.b as "Not Applicable."* *If "yes," complete the following:*	.<*Report Findings Here*>					
	Describe how the personnel who perform the penetration tests demonstrated they are qualified to perform the tests.	<*Report Findings Here*>					
	Describe how organizational independence of the tester was observed to exist.	<*Report Findings Here*>					
11.3.2 Perform **internal** penetration testing at least annually and after any significant infrastructure or application upgrade or modification (such as an operating system upgrade, a sub-network added to the environment, or a web server added to the environment).			☐	☐	☐	☐	☐
11.3.2.a Examine the scope of work and results from the most recent internal penetration test to verify that penetration testing is performed as follows: • Per the defined methodology • At least annually • After any significant changes to the environment	**Identify the documented internal penetration test results** reviewed to verify that internal penetration testing is performed: • Per the defined methodology • At least annually	<*Report Findings Here*>					
	Describe how the scope of work was reviewed to verify that internal penetration testing is performed: • Per the defined methodology • At least annually	<*Report Findings Here*>					
	Indicate whether any significant internal infrastructure or application upgrade or modification occurred during the past 12 months. **(yes/no)**	<*Report Findings Here*>					
	Identify the documented internal penetration test results reviewed to verify that internal penetration tests are performed after significant internal infrastructure or application upgrade.	<*Report Findings Here*>					
11.3.2.b Verify that the test was performed by a qualified internal resource or qualified external third party,	**Describe how** it was validated that the test was performed by a qualified internal resource(s) or qualified external third party.	<*Report Findings Here*>					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
and if applicable, organizational independence of the tester exists (not required to be a QSA or ASV).	**Indicate whether** an **i**nternal resource performed the test. **(yes/no)** *If "no," mark the remainder of 11.3.2.b as "Not Applicable."* *If "yes," complete the following:*	*<Report Findings Here>*					
	Describe how the personnel who perform the penetration tests demonstrated they are qualified to perform the tests	*<Report Findings Here>*					
	Describe how organizational independence of the tester was observed to exist.	*<Report Findings Here>*					
11.3.3 Exploitable vulnerabilities found during penetration testing are corrected and testing is repeated to verify the corrections.			☐	☐	☐	☐	☐
11.3.3 Examine penetration testing results to verify that noted exploitable vulnerabilities were corrected and that repeated testing confirmed the vulnerability was corrected.	**Identify the documented penetration testing results** examined to verify that noted exploitable vulnerabilities were corrected and that repeated testing confirmed the vulnerability was corrected.	*<Report Findings Here>*					
11.3.4 If segmentation is used to isolate the CDE from other networks, perform penetration tests at least annually and after any changes to segmentation controls/methods to verify that the segmentation methods are operational and effective, and isolate all out-of-scope systems from systems in the CDE.			☐	☐	☐	☐	☐
11.3.4.a Examine segmentation controls and review penetration-testing methodology to verify that penetration-testing procedures are defined to test all segmentation methods to confirm they are operational and effective, and isolate all out-of-scope systems from systems in the CDE.	**Indicate whether** segmentation is used to isolate the CDE from other networks. **(yes/no)** *If "no," mark the remainder of 11.3.4.a and 11.3.4.b as "Not Applicable."*	*<Report Findings Here>*					
	If "yes," **Describe** segmentation controls examined for this testing procedure.	*<Report Findings Here>*					
	Describe how the segmentation controls and penetration-testing methodology were examined to verify that penetration testing procedures are defined to:						
	▪ Test all segmentation methods to confirm they are operational and effective.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	▪ Isolate all out-of-scope systems from systems in the CDE.	*<Report Findings Here>*					
11.3.4.b Examine the results from the most recent penetration test to verify that: • Penetration testing to verify segmentation controls is performed at least annually and after any changes to segmentation controls/methods. • The penetration testing covers all segmentation controls/methods in use. • The penetration testing verifies that segmentation controls/methods are operational and effective, and isolate all out-of-scope systems from systems in the CDE.	**Identify the documented results from the most recent penetration test** examined to verify that: • Penetration testing to verify segmentation controls is performed at least annually and after any changes to segmentation controls/methods. • The penetration testing covers all segmentation controls/methods in use. • the penetration testing verifies that segmentation controls/methods are operational and effective, and isolate all out-of-scope systems from systems in the CDE.	*<Report Findings Here>*					
11.4 Use intrusion-detection systems and/or intrusion-prevention techniques to detect and/or prevent intrusions into the network. Monitor all traffic at the perimeter of the cardholder data environment as well as at critical points in the cardholder data environment, and alert personnel to suspected compromises. Keep all intrusion-detection and prevention engines, baselines, and signatures up-to-date.			☐	☐	☐	☐	☐
11.4.a Examine system configurations and network diagrams to verify that techniques (such as intrusion-detection systems and/or intrusion-prevention systems) are in place to monitor all traffic: • At the perimeter of the cardholder data environment. • At critical points in the cardholder data environment.	**Identify the network diagrams** examined to verify that techniques are in place to monitor all traffic: • At the perimeter of the cardholder data environment. • At critical points in the cardholder data environment.	*<Report Findings Here>*					
	Identify the techniques observed to be in place to monitor all traffic: • At the perimeter of the cardholder data environment. • At critical points in the cardholder data environment.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Describe how system configurations were examined to verify that techniques are in place to monitor all traffic:						
	▪ At the perimeter of the cardholder data environment.	*<Report Findings Here>*					
	▪ At critical points in the cardholder data environment.	*<Report Findings Here>*					
11.4.b Examine system configurations and interview responsible personnel to confirm intrusion-detection and/or intrusion-prevention techniques alert personnel of suspected compromises.	**Describe how** system configurations for intrusion-detection, and/or intrusion-prevention techniques were examined to verify they are configured to alert personnel of suspected compromises.	*<Report Findings Here>*					
	Describe how alerts to personnel are generated.	*<Report Findings Here>*					
	Identify the responsible personnel interviewed who confirm that the generated alerts are received as intended.	*<Report Findings Here>*					
11.4.c Examine IDS/IPS configurations and vendor documentation to verify intrusion-detection, and/or intrusion-prevention techniques are configured, maintained, and updated per vendor instructions to ensure optimal protection.	**Identify the vendor document(s)** examined to verify defined vendor instructions for intrusion-detection and/or intrusion-prevention techniques	*<Report Findings Here>*					
	Describe how IDS/IPS configurations were examined and compared to vendor documentation to verify intrusion-detection, and/or intrusion-prevention techniques are:						
	▪ Configured per vendor instructions to ensure optimal protection.	*<Report Findings Here>*					
	▪ Maintained per vendor instructions to ensure optimal protection.	*<Report Findings Here>*					
	▪ Updated per vendor instructions to ensure optimal protection.	*<Report Findings Here>*					
11.5 Deploy a change-detection mechanism (for example, file-integrity monitoring tools) to alert personnel to unauthorized modification (including changes, additions and deletions) of critical system files, configuration files, or content files; and configure the software to perform critical file comparisons at least weekly. ***Note:*** *For change-detection purposes, critical files are usually those that do not regularly change, but the modification of which could indicate a system compromise or risk of compromise. Change-detection mechanisms such as file-integrity monitoring products usually come pre-configured with critical files for the related operating system. Other critical files, such as those for custom applications, must be evaluated and defined by the entity (that is, the merchant or* service provider*).*			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
11.5.a Verify the use of a change-detection mechanism within the cardholder data environment by observing system settings and monitored files, as well as reviewing results from monitoring activities. *Examples of files that should be monitored:* • *System executables* • *Application executables* • *Configuration and parameter files* • *Centrally stored, historical or archived, log and audit files* • *Additional critical files determined by entity (i.e., through risk assessment or other means)*	**Describe** the change-detection mechanism deployed.	*<Report Findings Here>*					
	Identify the results from monitored files reviewed.	*<Report Findings Here>*					
	Describe how change-detection mechanism settings and results from monitored files were observed to monitor changes to:						
	▪ Critical system files	*<Report Findings Here>*					
	▪ Critical configuration files	*<Report Findings Here>*					
	▪ Critical content files	*<Report Findings Here>*					
11.5.b Verify the mechanism is configured to alert personnel to unauthorized modification (including changes, additions and deletions) of critical files, and to perform critical file comparisons at least weekly.	**Describe how** it was verified that the change-detection mechanism is configured to:						
	▪ Alert personnel to unauthorized modification (including changes, additions and deletions) of critical files.	*<Report Findings Here>*					
	▪ Perform critical file comparisons at least weekly.	*<Report Findings Here>*					
11.5.1 Implement a process to respond to any alerts generated by the change-detection solution.			☐	☐	☐	☐	☐
11.5.1 Interview personnel to verify that all alerts are investigated and resolved.	**Identify the personnel** interviewed for this testing procedure.	*<Report Findings Here>*					
	For the interview, **summarize details of the interview** that verify that all alerts are investigated and resolved.	*<Report Findings Here>*					
11.6 Ensure that security policies and operational procedures for security monitoring and testing are documented, in use, and known to all affected parties.			☐	☐	☐	☐	☐
11.6 Examine documentation and interview personnel to verify that security policies and operational procedures for	**Identify the document** reviewed to verify that security policies and operational procedures for security monitoring and testing are documented.	<Report Findings Here>					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
security monitoring and testing are: ▪ Documented, ▪ In use, and ▪ Known to all affected parties.	**Identify responsible personnel** interviewed who confirm that the above documented security policies and operational procedures for security monitoring and testing are: • In use • Known to all affected parties	<Report Findings Here>					

Maintain an Information Security Policy

Requirement 12: Maintain a policy that addresses information security for all personnel

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
12.1 Establish, publish, maintain, and disseminate a security policy.			☐	☐	☐	☐	☐
12.1 Examine the information security policy and verify that the policy is published and disseminated to all relevant personnel (including vendors and business partners).	**Identify the documented information security policy** examined.	*<Report Findings Here>*					
	Describe how the information security policy was examined to verify that it is published and disseminated to:						
	▪ All relevant personnel.	*<Report Findings Here>*					
	▪ All relevant vendors and business partners.	*<Report Findings Here>*					
12.1.1 Review the security policy at least annually and update the policy when business objectives or the risk environment change.			☐	☐	☐	☐	☐
12.1.1 Verify that the information security policy is reviewed at least annually and updated as needed to reflect changes to business objectives or the risk environment.	**Identify the document** reviewed to verify that the information security policy is reviewed at least annually and updated as needed to reflect changes to business objectives or the risk environment.	*<Report Findings Here>*					
	Describe how the information security policy was verified to be:						
	▪ Reviewed at least annually.	*<Report Findings Here>*					
	▪ Updated as needed to reflect changes to business objectives or the risk environment.	*<Report Findings Here>*					
12.2 Implement a risk assessment process, that: • Is performed at least annually and upon significant changes to the environment (for example, acquisition, merger, relocation, etc.), • Identifies critical assets, threats, and vulnerabilities, and • Results in a formal, documented analysis of risk. *Examples of risk assessment methodologies include but are not limited to OCTAVE, ISO 27005 and NIST SP 800-30.*			☐	☐	☐	☐	☐
12.2.a Verify that an annual risk-assessment process is documented that:	**Describe how** it was verified that an annual risk-assessment process is documented that:						
	▪ Identifies critical assets, threats and vulnerabilities.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
• Identifies critical assets, threats, and vulnerabilities • Results in a formal, documented analysis of risk.	▪ Results in formal, documented analysis of risk.	*<Report Findings Here>*					
12.2.b Review risk-assessment documentation to verify that the risk-assessment process is performed at least annually and upon significant changes to the environment.	**Identify the risk assessment result documentation** reviewed to verify that: • The risk assessment process is performed at least annually. • The risk assessment is performed upon significant changes to the environment. • The documented risk assessment process was followed.	*<Report Findings Here>*					
12.3 Develop usage policies for critical technologies and define proper use of these technologies. ***Note:*** *Examples of critical technologies include, but are not limited to, remote access and wireless technologies, laptops, tablets, removable electronic media, e-mail usage and Internet usage.* Ensure these usage policies require the following:			☐	☐	☐	☐	☐
12.3 Examine the usage policies for critical technologies and interview responsible personnel to verify the following policies are implemented and followed:	**Identify** critical technologies in use.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Identify the usage policies for all identified critical technologies reviewed to verify the following policies (12.3.1-12.3.10) are defined: • Explicit approval from authorized parties to use the technologies. • All technology use to be authenticated with user ID and password or other authentication item. • A list of all devices and personnel authorized to use the devices. • A method to accurately and readily determine owner, contact information, and purpose. • Acceptable uses for the technology. • Acceptable network locations for the technology. • A list of company-approved products. • Automatic disconnect of sessions for remote-access technologies after a specific period of inactivity. • Activation of remote-access technologies used by vendors and business partners only when needed by vendors and business partners, with immediate deactivation after use. • Prohibit copying, moving, or storing of cardholder data onto local hard drives and removable electronic media when accessing such data via remote-access technologies.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Identify the responsible personnel interviewed who confirm usage policies for all identified critical technologies are implemented and followed (for 12.3.1–12.3.10): • Explicit approval from authorized parties to use the technologies. • All technology use to be authenticated with user ID and password or other authentication item. • A list of all devices and personnel authorized to use the devices. • A method to accurately and readily determine owner, contact information, and purpose. • Acceptable uses for the technology. • Acceptable network locations for the technology. • A list of company-approved products. • Automatic disconnect of sessions for remote-access technologies after a specific period of inactivity. • Activation of remote-access technologies used by vendors and business partners only when needed by vendors and business partners, with immediate deactivation after use. • Prohibit copying, moving, or storing of cardholder data onto local hard drives and removable electronic media when accessing such data via remote-access technologies.	*<Report Findings Here>*					
12.3.1 Explicit approval by authorized parties.			☐	☐	☐	☐	☐
12.3.1 Verify that the usage policies include processes for explicit approval from authorized parties to use the technologies.	**Provide the name of the assessor** who attests that the usage policies were verified to include processes for explicit approval from authorized parties to use the technologies.	*<Report Findings Here>*					
12.3.2 Authentication for use of the technology.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
12.3.2 Verify that the usage policies include processes for all technology use to be authenticated with user ID and password or other authentication item (for example, token).	**Provide the name of the assessor** who attests that the usage policies were verified to include processes s for all technology used to be authenticated with user ID and password or other authentication item.	*<Report Findings Here>*					
12.3.3 A list of all such devices and personnel with access.			☐	☐	☐	☐	☐
12.3.3 Verify that the usage policies define a list of all devices and personnel authorized to use the devices.	**Provide the name of the assessor** who attests that the usage policies were verified to include processes define a list of all devices and personnel authorized to use the devices.	*<Report Findings Here>*					
12.3.4 A method to accurately and readily determine owner, contact information, and purpose (for example, labeling, coding, and/or inventorying of devices).			☐	☐	☐	☐	☐
12.3.4 Verify that the usage policies define a method to accurately and readily determine owner, contact information, and purpose (for example, labeling, coding, and/or inventorying of devices).	**Provide the name of the assessor** who attests that the usage policies were verified to define a method to accurately and readily determine: • Owner • Contact Information • Purpose	*<Report Findings Here>*					
12.3.5 Acceptable uses of the technology.			☐	☐	☐	☐	☐
12.3.5 Verify that the usage policies define acceptable uses for the technology.	**Provide the name of the assessor** who attests that the usage policies were verified to define acceptable uses for the technology.	*<Report Findings Here>*					
12.3.6 Acceptable network locations for the technologies.			☐	☐	☐	☐	☐
12.3.6 Verify that the usage policies define acceptable network locations for the technology.	**Provide the name of the assessor** who attests that the usage policies were verified to define acceptable network locations for the technology.	*<Report Findings Here>*					
12.3.7 List of company-approved products.			☐	☐	☐	☐	☐
12.3.7 Verify that the usage policies include a list of company-approved products.	**Provide the name of the assessor** who attests that the usage policies were verified to include a list of company-approved products.	*<Report Findings Here>*					
12.3.8 Automatic disconnect of sessions for remote-access technologies after a specific period of inactivity.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
12.3.8.a Verify that the usage policies require automatic disconnect of sessions for remote-access technologies after a specific period of inactivity.	**Provide the name of the assessor** who attests that the usage policies were verified to require automatic disconnect of sessions for remote-access technologies after a specific period of inactivity.	*<Report Findings Here>*					
12.3.8.b Examine configurations for remote access technologies to verify that remote access sessions will be automatically disconnected after a specific period of inactivity.	**Describe how** configurations for remote access technologies were examined to verify that remote access sessions will be automatically disconnected after a specific period of inactivity.	*<Report Findings Here>*					
	Identify any remote access technologies in use.	*<Report Findings Here>*					
	Identify the period of inactivity specified.	*<Report Findings Here>*					
12.3.9 Activation of remote-access technologies for vendors and business partners only when needed by vendors and business partners, with immediate deactivation after use.			☐	☐	☐	☐	☐
12.3.9 Verify that the usage policies require activation of remote-access technologies used by vendors and business partners only when needed by vendors and business partners, with immediate deactivation after use.	**Provide the name of the assessor** who attests that the usage policies were verified to require activation of remote-access technologies used by vendors and business partners only when needed by vendors and business partners, with immediate deactivation after use.	*<Report Findings Here>*					
12.3.10 For personnel accessing cardholder data via remote-access technologies, prohibit the copying, moving, and storage of cardholder data onto local hard drives and removable electronic media, unless explicitly authorized for a defined business need. Where there is an authorized business need, the usage policies must require the data be protected in accordance with all applicable PCI DSS Requirements.			☐	☐	☐	☐	☐
12.3.10.a Verify that the usage policies prohibit copying, moving, or storing of cardholder data onto local hard drives and removable electronic media when accessing such data via remote-access technologies.	**Provide the name of the assessor** who attests that the usage policies were verified to prohibit copying, moving or storing of cardholder data onto local hard drives and removable electronic media when accessing such data via remote-access technologies.	*<Report Findings Here>*					
12.3.10.b For personnel with proper authorization, verify that usage policies require the protection of cardholder data in accordance with PCI DSS Requirements.	**Provide the name of the assessor** who attests that the usage policies were verified to require, for personnel with proper authorization, the protection of cardholder data in accordance with PCI DSS Requirements.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
12.4 Ensure that the security policy and procedures clearly define information security responsibilities for all personnel.			☐	☐	☐	☐	☐
12.4.a Verify that information security policy and procedures clearly define information security responsibilities for all personnel.	**Identify the information security policy and procedures** reviewed to verify that they clearly define information security responsibilities for all personnel.	*<Report Findings Here>*					
12.4.b Interview a sample of responsible personnel to verify they understand the security policies.	**Identify the responsible personnel** interviewed for this testing procedure who confirm they understand the security policy.	*<Report Findings Here>*					
	Provide the name of the assessor who attests that the interviews of responsible personnel conducted verified that they understand the security policies.	*<Report Findings Here>*					
12.5 Assign to an individual or team the following information security management responsibilities:			☐	☐	☐	☐	☐
12.5 Examine information security policies and procedures to verify: • The formal assignment of information security to a Chief Security Officer or other security-knowledgeable member of management. • The following information security responsibilities are specifically and formally assigned:	**Identify the information security policies** reviewed to verify the specific and formal assignment of the following (including 12.5.1-12.5.5): • Information security to a Chief Security Officer or other security-knowledgeable member of management. • Responsibility for establishing, documenting and distributing security policies and procedures. • Monitoring and analyzing security alerts and distributing information to appropriate information security and business unit management personnel. • Establishing, documenting, and distributing security incident response and escalation procedures. • Administering user account and authentication management. • Monitoring and controlling all access to data.	*<Report Findings Here>*					
12.5.1 Establish, document, and distribute security policies and procedures.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
12.5.1 Verify that responsibility for establishing, documenting and distributing security policies and procedures is formally assigned.	**Provide the name of the assessor** who attests that responsibilities were verified to be formally assigned for: • Establishing security policies and procedures. • Documenting security policies and procedures. • Distributing security policies and procedures.	*<Report Findings Here>*					
12.5.2 Monitor and analyze security alerts and information, and distribute to appropriate personnel.			☐	☐	☐	☐	☐
12.5.2 Verify that responsibility for monitoring and analyzing security alerts and distributing information to appropriate information security and business unit management personnel is formally assigned.	**Provide the name of the assessor** who attests that responsibilities were verified to be formally assigned for: • Monitoring and analyzing security alerts. • Distributing information to appropriate information security and business unit management personnel.	*<Report Findings Here>*					
12.5.3 Establish, document, and distribute security incident response and escalation procedures to ensure timely and effective handling of all situations.			☐	☐	☐	☐	☐
12.5.3 Verify that responsibility for establishing, documenting, and distributing security incident response and escalation procedures is formally assigned.	**Provide the name of the assessor** who attests that responsibilities were verified to be formally assigned for: • Establishing security incident response and escalation procedures. • Documenting security incident response and escalation procedures. • Distributing security incident response and escalation procedures.	*<Report Findings Here>*					
12.5.4 Administer user accounts, including additions, deletions, and modifications.			☐	☐	☐	☐	☐
12.5.4 Verify that responsibility for administering (adding, deleting, and modifying) user account and authentication management is formally assigned.	**Provide the name of the assessor** who attests that responsibilities were verified to be formally assigned for administering user account and authentication management.	*<Report Findings Here>*					
12.5.5 Monitor and control all access to data.			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
12.5.5 Verify that responsibility for monitoring and controlling all access to data is formally assigned.	**Provide the name of the assessor** who attests that responsibilities were verified to be formally assigned for: • Monitoring all access to data • Controlling all access to data	*<Report Findings Here>*					
12.6 Implement a formal security awareness program to make all personnel aware of the importance of cardholder data security.			☐	☐	☐	☐	☐
12.6.a Review the security awareness program to verify it provides awareness to all personnel about the importance of cardholder data security.	**Identify the documented security awareness program** reviewed to verify it provides awareness to all personnel about the importance of cardholder data security.	*<Report Findings Here>*					
12.6.b Examine security awareness program procedures and documentation and perform the following:	**Identify the documented security awareness program procedures and additional documentation** examined to verify that: • The security awareness program provides multiple methods of communicating awareness and educating personnel. • Personnel attend security awareness training: - Upon hire, and - At least annually • Personnel acknowledge, in writing or electronically and at least annually, that they have read and understand the information security policy.	*<Report Findings Here>*					
12.6.1 Educate personnel upon hire and at least annually. ***Note:*** *Methods can vary depending on the role of the personnel and their level of access to the cardholder data.*			☐	☐	☐	☐	☐
12.6.1.a Verify that the security awareness program provides multiple methods of communicating awareness and educating personnel (for example, posters, letters, memos, web-based training, meetings, and promotions).	**Describe how** the security awareness program provides multiple methods of communicating awareness and educating personnel.	*<Report Findings Here>*					
12.6.1.b Verify that personnel attend	**Describe how** it was observed that all personnel attend security awareness training:						

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
security awareness training upon hire and at least annually.	▪ Upon hire	*<Report Findings Here>*					
	▪ At least annually	*<Report Findings Here>*					
12.6.1.c Interview a sample of personnel to verify they have completed awareness training and are aware of the importance of cardholder data security.	**Identify the sample** of personnel interviewed who confirm they have completed security awareness training.	*<Report Findings Here>*					
	For the interview, **summarize details of the interview** that verify their awareness of the importance of cardholder data security.	*<Report Findings Here>*					
12.6.2 Require personnel to acknowledge at least annually that they have read and understood the security policy and procedures.			☐	☐	☐	☐	☐
12.6.2 Verify that the security awareness program requires personnel to acknowledge, in writing or electronically, at least annually that they have read and understand the information security policy.	**Describe how** it was verified that, per the security awareness program, all personnel:						
	▪ Acknowledge that they have read and understand the information security policy (including whether this is in writing or electronic).	*<Report Findings Here>*					
	▪ Provide an acknowledgement at least annually.	*<Report Findings Here>*					
12.7 Screen potential personnel prior to hire to minimize the risk of attacks from internal sources. (Examples of background checks include previous employment history, criminal record, credit history, and reference checks.) ***Note:*** *For those potential personnel to be hired for certain positions such as store cashiers who only have access to one card number at a time when facilitating a transaction, this requirement is a recommendation only.*			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
12.7 Inquire with Human Resource department management and verify that background checks are conducted (within the constraints of local laws) prior to hire on potential personnel who will have access to cardholder data or the cardholder data environment.	**Identify the documented policy** reviewed to verify requirement for background checks to be conducted: • On potential personnel who will have access to cardholder data or the cardholder data environment. • Prior to hiring the personnel.	*<Report Findings Here>*					
	Identify the Human Resources personnel interviewed who confirm background checks are conducted: • On potential personnel who will have access to cardholder data or the cardholder data environment. • Prior to hiring the personnel.	*<Report Findings Here>*					
	Describe how it was verified that background checks are conducted (within the constraints of local laws):						
	▪ On potential personnel who will have access to cardholder data or the cardholder data environment.	*<Report Findings Here>*					
	▪ Prior to hiring the personnel.	*<Report Findings Here>*					
12.8 Maintain and implement policies and procedures to manage service providers with whom cardholder data is shared, or that could affect the security of cardholder data, as follows:			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
12.8 Through observation, review of policies and procedures, and review of supporting documentation, verify that processes are implemented to manage service providers with whom cardholder data is shared, or that could affect the security of cardholder data (for example, backup tape storage facilities, managed service providers such as web-hosting companies or security service providers, those that receive data for fraud modeling purposes, etc.), as follows:	**Identify the documented policies and procedures to manage service providers with whom cardholder data is shared, or that could affect the security of cardholder data**, reviewed to verify policy defines the following from 12.8.1–12.8.5: • Maintain a list of service providers. • Maintain a written agreement that includes an acknowledgement that the service providers will maintain all applicable PCI DSS requirements to the extent the service provider handles, has access to, or otherwise stores, processes, or transmits the customer's cardholder data or sensitive authentication data, or manages the customer's cardholder data environment on behalf of a customer. • Ensure there is an established process for engaging service providers including proper due diligence prior to engagement. • Maintain a program to monitor service providers' PCI DSS compliance status at least annually. • Maintain information about which PCI DSS requirements are managed by each service provider, and which are managed by the entity.	*<Report Findings Here>*				
12.8.1 Maintain a list of service providers.			☐	☐	☐	☐	☐
12.8.1 Verify that a list of service providers is maintained.	**Describe how** the documented list of service providers was observed to be maintained (kept up-to-date).	*<Report Findings Here>*					
12.8.2 Maintain a written agreement that includes an acknowledgement that the service providers are responsible for the security of cardholder data the service providers possess or otherwise store, process or transmit on behalf of the customer, or to the extent that they could impact the security of the customer's CDE. ***Note:*** *The exact wording of an acknowledgement will depend on the agreement between the two parties, the details of the service being provided, and the responsibilities assigned to each party. The acknowledgement does not have to include the exact wording provided in this requirement.*			☐	☐	☐	☐	☐

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
12.8.2 Observe written agreements and confirm they include an acknowledgement by service providers that they are responsible for the security of cardholder data the service providers possess or otherwise store, process or transmit on behalf of the customer, or to the extent that they could impact the security of the customer's cardholder data environment.	**Describe how** written agreements for each service provider were observed to confirm they include an acknowledgement by service providers that they will maintain all applicable PCI DSS requirements to the extent the service provider handles, has access to, or otherwise stores, processes, or transmits the customer's cardholder data or sensitive authentication data, or manages the customer's cardholder data environment on behalf of a customer.	*<Report Findings Here>*					
12.8.3 Ensure there is an established process for engaging service providers including proper due diligence prior to engagement.			☐	☐	☐	☐	☐
12.8.3 Verify that policies and procedures are documented and implemented including proper due diligence prior to engaging any service provider.	**Describe how** it was verified that the procedures for proper due diligence prior to engaging a service provider are implemented, as documented in the policies and procedures at 12.8.	*<Report Findings Here>*					
12.8.4 Maintain a program to monitor service providers' PCI DSS compliance status at least annually.			☐	☐	☐	☐	☐
12.8.4 Verify that the entity maintains a program to monitor its service providers' PCI DSS compliance status at least annually.	**Describe how** it was verified that the entity maintains a program to monitor its service providers' PCI DSS compliance status at least annually.	*<Report Findings Here>*					
12.8.5 Maintain information about which PCI DSS requirements are managed by each service provider, and which are managed by the entity.			☐	☐	☐	☐	☐
12.8.5 Verify the entity maintains information about which PCI DSS requirements are managed by each service provider, and which are managed by the entity.	**Describe how** it was observed that the entity maintains information about which PCI DSS requirements are managed by each service provider, and which are managed by the entity.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
12.9 ***Additional requirement for service providers only*:** Service providers acknowledge in writing to customers that they are responsible for the security of cardholder data the service provider possesses or otherwise stores, processes, or transmits on behalf of the customer, or to the extent that they could impact the security of the customer's cardholder data environment. ***Note:*** *This requirement is a best practice until June 30, 2015, after which it becomes a requirement.* ***Note:*** *The exact wording of an acknowledgement will depend on the agreement between the two parties, the details of the service being provided, and the responsibilities assigned to each party. The acknowledgement does not have to include the exact wording provided in this requirement.*			☐	☐	☐	☐	☐
12.9 ***Additional testing procedure for service provider assessments only****:* Review service provider's policies and procedures and observe templates used for written agreement to confirm the service provider acknowledges in writing to customers that the service provider will maintain all applicable PCI DSS requirements to the extent the service provider possesses or otherwise stores, processes, or transmits cardholder data on behalf of the customer, or to the extent that they could impact the security of the customer's cardholder data environment.	**Indicate whether** the assessed entity is a service provider. **(yes/no)** *If "no," mark the remainder of 12.9 as "Not Applicable."* *If "yes":*	*<Report Findings Here>*					
	Indicate whether this ROC is being completed prior to June 30, 2015. **(yes/no)**	*<Report Findings Here>*					
	If "yes" AND the assessed entity does not have this in place ahead of the requirement's effective date, mark the remainder of 12.9 as "Not Applicable." *If "no" OR if the assessed entity has this in place ahead of the requirement's effective date:*						
	Identify the service provider's policies and procedures reviewed to verify that the service provider acknowledges in writing to customers that the service provider will maintain all applicable PCI DSS requirements to the extent the service provider possesses or otherwise stores, processes, or transmits cardholder data on behalf of the customer, or to the extent that they could impact the security of the customer's cardholder data environment.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Describe how templates used for written agreement were observed to verify that the service provider acknowledges in writing to customers that the service provider will maintain all applicable PCI DSS requirements to the extent the service provider possesses or otherwise stores, processes, or transmits cardholder data on behalf of the customer, or to the extent that they could impact the security of the customer's cardholder data environment.	*<Report Findings Here>*					
12.10 Implement an incident response plan. Be prepared to respond immediately to a system breach.			☐	☐	☐	☐	☐
12.10 Examine the incident response plan and related procedures to verify entity is prepared to respond immediately to a system breach by performing the following:	**Identify the documented incident response plan and related procedures** examined to verify the entity is prepared to respond immediately to a system breach, with defined processes as follows from 12.10.1–12.10.6: • Create the incident response plan to be implemented in the event of system breach. • Test the plan at least annually. • Designate specific personnel to be available on a 24/7 basis to respond to alerts: - 24/7 incident monitoring - 24/7 incident response • Provide appropriate training to staff with security breach response responsibilities. • Include alerts from security monitoring systems, including but not limited to intrusion-detection, intrusion-prevention, firewalls, and file-integrity monitoring systems. • Develop a process to modify and evolve the incident response plan according to lessons learned and to incorporate industry developments.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
12.10.1 Create the incident response plan to be implemented in the event of system breach. Ensure the plan addresses the following, at a minimum: • Roles, responsibilities, and communication and contact strategies in the event of a compromise including notification of the payment brands, at a minimum. • Specific incident response procedures. • Business recovery and continuity procedures. • Data back-up processes. • Analysis of legal requirements for reporting compromises. • Coverage and responses of all critical system components. • Reference or inclusion of incident response procedures from the payment brands.			☐	☐	☐	☐	☐
12.10.1.a Verify that the incident response plan includes: • Roles, responsibilities, and communication strategies in the event of a compromise including notification of the payment brands, at a minimum. • Specific incident response procedures. • Business recovery and continuity procedures • Data back-up processes • Analysis of legal requirements for reporting compromises (for example, California Bill 1386, which requires notification of affected consumers in the event of an actual or suspected compromise for any business with California residents in their database). • Coverage and responses for all critical system components. • Reference or inclusion of incident response procedures from the payment brands.	**Provide the name of the assessor** who attests that the incident response plan was verified to include: • Roles and responsibilities. • Communication strategies. • Requirement for notification of the payment brands. • Specific incident response procedures. • Business recovery and continuity procedures. • Data back-up processes. • Analysis of legal requirements for reporting compromises. • Coverage for all critical system components. • Responses for all critical system components. • Reference or inclusion of incident response procedures from the payment brands.	*<Report Findings Here>*				

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
12.10.1.b Interview personnel and review documentation from a sample of previously reported incidents or alerts to verify that the documented incident response plan and procedures were followed.	**Identify the sample** of personnel interviewed who confirm that the documented incident response plan and procedures are followed.	*<Report Findings Here>*					
	Identify the sample of previously reported incidents or alerts reviewed for this testing procedure.	*<Report Findings Here>*					
	For each item in the sample, **describe how** documentation was reviewed to confirm that the documented incident response plan and procedures are followed.	*<Report Findings Here>*					
12.10.2 Test the plan at least annually.			☐	☐	☐	☐	☐
12.10.2 Verify that the plan is tested at least annually.	**Describe how** it was observed that the incident response plan is tested at least annually.	*<Report Findings Here>*					
12.10.3 Designate specific personnel to be available on a 24/7 basis to respond to alerts.			☐	☐	☐	☐	☐
12.10.3 Verify through observation, review of policies, and interviews of responsible personnel that designated personnel are available for 24/7 incident response and monitoring coverage for any evidence of unauthorized activity, detection of unauthorized wireless access points, critical IDS alerts, and/or reports of unauthorized critical system or content file changes.	**Identify the document** requiring 24/7 incident response and monitoring coverage for: • Any evidence of unauthorized activity. • Detection of unauthorized wireless access points. • Critical IDS alerts. • Reports of unauthorized critical system or content file changes.	*<Report Findings Here>*					
	Identify the sample of responsible personnel interviewed who confirm 24/7 incident response and monitoring coverage for: • Any evidence of unauthorized activity. • Detection of unauthorized wireless access points. • Critical IDS alerts. • Reports of unauthorized critical system or content file changes.	*<Report Findings Here>*					
	Describe how it was observed that designated personnel are available for 24/7 incident response and monitoring coverage for:						

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	▪ Any evidence of unauthorized activity.	*<Report Findings Here>*					
	▪ Detection of unauthorized wireless access points.	*<Report Findings Here>*					
	▪ Critical IDS alerts.	*<Report Findings Here>*					
	▪ Reports of unauthorized critical system or content file changes.	*<Report Findings Here>*					
12.10.4 Provide appropriate training to staff with security breach response responsibilities.			☐	☐	☐	☐	☐
12.10.4 Verify through observation, review of policies, and interviews of responsible personnel that staff with responsibilities for security breach response are periodically trained.	**Identify the sample of responsible personnel** interviewed who confirm that staff with responsibilities for security breach response are periodically trained.	*<Report Findings Here>*					
	Identify the documented policy reviewed that defines that staff with responsibilities for security breach response are periodically trained.	*<Report Findings Here>*					
	Describe how it was observed that staff with responsibilities for security breach response are periodically trained.	*<Report Findings Here>*					
12.10.5 Include alerts from security monitoring systems, including but not limited to intrusion-detection, intrusion-prevention, firewalls, and file-integrity monitoring systems.			☐	☐	☐	☐	☐
12.10.5 Verify through observation and review of processes that monitoring and responding to alerts from security monitoring systems are covered in the Incident Response Plan.	**Describe how** processes were reviewed to verify that ***monitoring*** alerts from security monitoring systems are covered in the Incident Response Plan.	*<Report Findings Here>*					
	Describe how processes were reviewed to verify that ***responding to*** alerts from security monitoring systems are covered in the Incident Response Plan.	*<Report Findings Here>*					
12.10.6 Develop a process to modify and evolve the incident response plan according to lessons learned and to incorporate industry developments.			☐	☐	☐	☐	☐
12.10.6 Verify through observation, review of policies, and interviews of responsible personnel that there is a process to modify and evolve the incident response plan according to	**Identify the documented policy** reviewed to verify that processes are defined to modify and evolve the incident response plan: • According to lessons learned. • To incorporate industry developments.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
lessons learned and to incorporate industry developments.	**Identify the sample of responsible personnel** interviewed who confirm that processes are implemented to modify and evolve the incident response plan: • According to lessons learned. • To incorporate industry developments.	*<Report Findings Here>*					
	Describe how it was observed that processes are implemented to modify and evolve the incident response plan:						
	▪ According to lessons learned.	*<Report Findings Here>*					
	▪ To incorporate industry developments.	*<Report Findings Here>*					

Appendix A: Additional PCI DSS Requirements for Shared Hosting Providers

Note: *If the entity is not a shared hosting provider (and the answer at 2.6 was "no," indicate the below as "Not Applicable." Otherwise, complete the below.*

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
Indicate whether the assessed entity is a shared hosting provider (indicated at Requirement 2.6). **(yes/no)** *If "no,"* mark the below as "Not Applicable" (no further explanation required) *If "yes,"* ***complete the following:***			*<Report Findings Here>*				
A.1 Protect each entity's (that is, merchant, service provider, or other entity) hosted environment and data, per A.1.1 through A.1.4: A hosting provider must fulfill these requirements as well as all other relevant sections of the PCI DSS. ***Note:*** *Even though a hosting provider may meet these requirements, the compliance of the entity that uses the hosting provider is not guaranteed. Each entity must comply with the PCI DSS and validate compliance as applicable.*							
A.1 Specifically for a PCI DSS assessment of a shared hosting provider, to verify that shared hosting providers protect entities' (merchants and service providers) hosted environment and data, select a sample of servers (Microsoft Windows and Unix/Linux) across a representative sample of hosted merchants and service providers, and perform A.1.1 through A.1.4 below:							
A.1.1 Ensure that each entity only runs processes that have access to that entity's cardholder data environment.			☐	☐	☐	☐	☐
A.1.1 If a shared hosting provider allows entities (for example, merchants or service providers) to run their own applications, verify these application processes run using the unique ID of the entity. For example: • No entity on the system can use a shared web server user ID. • All CGI scripts used by an entity must	**Indicate whether** the hosting provider allows hosted entities to run their own applications. **(yes/no)**	*<Report Findings Here>*					
	If "no":						
	Identify the document reviewed to verify processes are defined to require that entities must not run their own applications.	*<Report Findings Here>*					
	Describe how it was observed that hosted entities are not able to run their own applications.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
be created and run as the entity's unique user ID.	*If "yes":*						
	Identify the document requiring that application processes use a unique ID for each entity.	*<Report Findings Here>*					
	Identify the sample of servers observed.	*<Report Findings Here>*					
	Identify the sample of hosted merchants and service providers (hosted entities) observed.	*<Report Findings Here>*					
	For each item in the sample, **describe how** the observed system configurations require that all hosted entities' application processes are run using the unique ID of that entity.	*<Report Findings Here>*					
	Describe how the hosted entities' application processes were observed to be running using unique IDs for each entity, including:						
	▪ Entities on the system cannot use a shared web server user ID.	*<Report Findings Here>*					
	▪ All CGI scripts used by an entity are created and run as the entity's unique user ID.	*<Report Findings Here>*					
A.1.2 Restrict each entity's access and privileges to its own cardholder data environment only.			☐	☐	☐	☐	☐
A.1.2.a Verify the user ID of any application process is not a privileged user (root/admin).	**Identify the document** examined to verify processes require that user IDs for hosted entities' application processes are not privileged users.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Using the sample of servers and hosted merchants and service providers from A.1.1, for each item perform the following:						
	Describe the observed system configurations examined to verify that user IDs for hosted entities' application processes are not privileged users.	*<Report Findings Here>*					
	Describe how running application processes IDs were observed to verify that the running application processes IDs are not privileged users.	*<Report Findings Here>*					
A.1.2.b Verify each entity (merchant, service provider) has read, write, or execute permissions only for files and directories it owns or for necessary system files (restricted via file system permissions, access control lists, chroot, jailshell, etc.) ***Important:*** *An entity's files may not be shared by group.*	**Identify the document** examined to verify permissions for hosted entities are defined as follows: • Read permissions are only assigned for the files and directories the hosted entity owns, or for necessary systems files. • Write permissions are only assigned for the files and directories the hosted entity owns, or for necessary systems files. • Access permissions are only assigned for the files and directories the hosted entity owns, or for necessary systems files. • Assigned permissions for hosted entities must be restricted. • An entity's files must not be shared by group.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Using the sample of servers and hosted merchants and service providers from A.1.1, for each item **describe** the system configuration setting observed to verify permissions are assigned as follows:						
	• Read permissions are only assigned for the files and directories the hosted entity owns, or for necessary systems files.	*<Report Findings Here>*					
	• Write permissions are only assigned for the files and directories the hosted entity owns, or for necessary systems files.	*<Report Findings Here>*					
	• Access permissions are only assigned for the files and directories the hosted entity owns, or for necessary systems files.	*<Report Findings Here>*					
	• Assigned permissions for hosted entities must be restricted.	*<Report Findings Here>*					
	• An entity's files must not be shared by group.	*<Report Findings Here>*					
	For each item in the sample, perform the following:						
	Describe permission observed to verify permissions are restricted.	*<Report Findings Here>*					
	Describe how the entity's files were observed to verify they are not shared by group.	*<Report Findings Here>*					
A.1.2.c Verify that an entity's users do not have write access to shared system binaries.	**Identify the document** examined to verify processes require a hosted entity's users do not write access to shared system binaries.	*<Report Findings Here>*					
	Using the sample of servers and hosted merchants and service providers from A.1.1, for each item in the summary **describe** the observed system configurations observed to verify that an entity's users do not have write access to shared system binaries.	*<Report Findings Here>*					
A.1.2.d Verify that viewing of log entries is restricted to the owning entity.	**Identify the document** examined to verify processes require that viewing of log entries is restricted to the owning entity.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
	Using the sample of servers and hosted merchants and service providers from A.1.1, for each item in the summary **describe** the observed system configurations observed to verify that viewing of log entries is restricted to the owning entity.	*<Report Findings Here>*					
A.1.2.e To ensure each entity cannot monopolize server resources to exploit vulnerabilities (for example, error, race, and restart conditions resulting in, for example, buffer overflows), verify restrictions are in place for the use of these system resources: • Disk space • Bandwidth • Memory • CPU	**Identify the document** examined to verify processes require restricts for the use of the following to ensure each entity cannot monopolize server resources to exploit vulnerabilities: • Disk space • Bandwidth • Memory • CPU	*<Report Findings Here>*					
	Using the sample of servers and hosted merchants and service providers from A.1.1, perform the following:						
	Describe the system configuration setting observed to verify restriction are implemented for the use of:						
	• Disk space	*<Report Findings Here>*					
	• Bandwidth	*<Report Findings Here>*					
	• Memory	*<Report Findings Here>*					
	• CPU	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
A.1.3 Ensure logging and audit trails are enabled and unique to each entity's cardholder data environment and consistent with PCI DSS Requirement 10.			☐	☐	☐	☐	☐
A.1.3 Verify the shared hosting provider has enabled logging as follows, for each merchant and service provider environment: • Logs are enabled for common third-party applications. • Logs are active by default. • Logs are available for review by the owning entity. • Log locations are clearly communicated to the owning entity.	**Identify the document** examined to verify processes require that logging is enabled for each hosting environment, with the following required for each hosted entity environment: • Logs are enabled for common third-party applications. • Logs are active by default. • Logs are available for review by the owning entity. • Log locations are clearly communicated to the owning entity.	*<Report Findings Here>*					
	Using the sample of servers and hosted merchants and service providers from A.1.1, **describe how** processes were observed to verify the following:						
	▪ Logging is enabled for each hosted entity.	*<Report Findings Here>*					
	▪ Logs are enabled for common third-party applications.	*<Report Findings Here>*					
	▪ Logs are active by default.	*<Report Findings Here>*					
	▪ Logs are available for review by the owning entity.	*<Report Findings Here>*					
	▪ Log locations are clearly communicated to the owning entity.	*<Report Findings Here>*					
	▪ Logging and audit trails are consistent with PCI DSS Requirement 10.	*<Report Findings Here>*					
A.1.4 Enable processes to provide for timely forensic investigation in the event of a compromise to any hosted merchant or service provider.			☐	☐	☐	☐	☐
A.1.4 Verify the shared hosting provider has written policies that provide for a timely forensics investigation of related	**Identify the document** examined to verify processes define timely forensics investigation in the event of a compromise to any hosted entity.	*<Report Findings Here>*					

PCI DSS Requirements and Testing Procedures	Reporting Instruction	Reporting Details: Assessor's Response	Summary of Assessment Findings (check one)				
			In Place	In Place w/ CCW	N/A	Not Tested	Not in Place
servers in the event of a compromise.	**Identify the responsible personnel** interviewed who confirm that processes are implemented in accordance with the documented policies.	*<Report Findings Here>*					
	Describe how processes were observed to verify that processes are implemented to provide for timely forensics investigation in the event of a compromise to any hosted entity.	*<Report Findings Here>*					

Appendix B: Compensating Controls

Compensating controls may be considered for most PCI DSS requirements when an entity cannot meet a requirement explicitly as stated, due to legitimate technical or documented business constraints, but has sufficiently mitigated the risk associated with the requirement through implementation of other, or compensating, controls.

Compensating controls must satisfy the following criteria:

1. Meet the intent and rigor of the original PCI DSS requirement.
2. Provide a similar level of defense as the original PCI DSS requirement, such that the compensating control sufficiently offsets the risk that the original PCI DSS requirement was designed to defend against. (See *Navigating PCI DSS* for the intent of each PCI DSS requirement.)
3. Be "above and beyond" other PCI DSS requirements. (Simply being in compliance with other PCI DSS requirements is not a compensating control.)

   When evaluating "above and beyond" for compensating controls, consider the following:

   Note: *The items at a) through c) below are intended as examples only. All compensating controls must be reviewed and validated for sufficiency by the assessor who conducts the PCI DSS review. The effectiveness of a compensating control is dependent on the specifics of the environment in which the control is implemented, the surrounding security controls, and the configuration of the control. Companies should be aware that a particular compensating control will not be effective in all environments.*

   a) Existing PCI DSS requirements CANNOT be considered as compensating controls if they are already required for the item under review. For example, passwords for non-console administrative access must be sent encrypted to mitigate the risk of intercepting clear-text administrative passwords. An entity cannot use other PCI DSS password requirements (intruder lockout, complex passwords, etc.) to compensate for lack of encrypted passwords, since those other password requirements do not mitigate the risk of interception of clear-text passwords. Also, the other password controls are already PCI DSS requirements for the item under review (passwords).

   b) Existing PCI DSS requirements MAY be considered as compensating controls if they are required for another area, but are not required for the item under review. For example, two-factor authentication is a PCI DSS requirement for remote access. Two-factor authentication *from within the internal network* can also be considered as a compensating control for non-console administrative access when transmission of encrypted passwords cannot be supported. Two-factor authentication may be an acceptable compensating control if: (1) it meets the intent of the original requirement by addressing the risk of intercepting clear-text administrative passwords; and (2) it is set up properly and in a secure environment.

   c) Existing PCI DSS requirements may be combined with new controls to become a compensating control. For example, if a company is unable to render cardholder data unreadable per Requirement 3.4 (for example, by encryption), a compensating control could consist of a device or combination of devices, applications, and controls that address all of the following: (1) internal network segmentation; (2) IP address or MAC address filtering; and (3) two-factor authentication from within the internal network.

4. Be commensurate with the additional risk imposed by not adhering to the PCI DSS requirement.

The assessor is required to thoroughly evaluate compensating controls during each annual PCI DSS assessment to validate that each compensating control adequately addresses the risk the original PCI DSS requirement was designed to address, per items 1-4 above. To maintain compliance, processes and controls must be in place to ensure compensating controls remain effective after the assessment is complete.

Appendix C: Compensating Controls Worksheet

Use this worksheet to define compensating controls for any requirement where compensating controls are used to meet a PCI DSS requirement. Note that compensating controls should also be documented in the Report on Compliance in the corresponding PCI DSS requirement section.

***Note:** Only companies that have undertaken a risk analysis and have legitimate technological or documented business constraints can consider the use of compensating controls to achieve compliance.*

Requirement Number and Definition:

Information Required		Explanation
1. Constraints	List constraints precluding compliance with the original requirement.	
2. Objective	Define the objective of the original control; identify the objective met by the compensating control.	
3. Identified Risk	Identify any additional risk posed by the lack of the original control.	
4. Definition of Compensating Controls	Define the compensating controls and explain how they address the objectives of the original control and the increased risk, if any.	
5. Validation of Compensating Controls	Define how the compensating controls were validated and tested.	
6. Maintenance	Define process and controls in place to maintain compensating controls.	

Compensating Controls Worksheet – Completed Example

Use this worksheet to define compensating controls for any requirement noted as being "in place" via compensating controls.

Requirement Number: *8.1.1 – Are all users identified with a unique user ID before allowing them to access system components or cardholder data?*

	Information Required	Explanation
1. Constraints	List constraints precluding compliance with the original requirement.	*Company XYZ employs stand-alone Unix Servers without LDAP. As such, they each require a "root" login. It is not possible for Company XYZ to manage the "root" login nor is it feasible to log all "root" activity by each user.*
2. Objective	Define the objective of the original control; identify the objective met by the compensating control.	*The objective of requiring unique logins is twofold. First, it is not considered acceptable from a security perspective to share login credentials. Secondly, having shared logins makes it impossible to state definitively that a person is responsible for a particular action.*
3. Identified Risk	Identify any additional risk posed by the lack of the original control.	*Additional risk is introduced to the access control system by not ensuring all users have a unique ID and are able to be tracked.*
4. Definition of Compensating Controls	Define the compensating controls and explain how they address the objectives of the original control and the increased risk, if any.	*Company XYZ is going to require all users to log into the servers using their regular user accounts, and then use the "sudo" command to run any administrative commands. This allows use of the "root" account privileges to run pre-defined commands that are recorded by sudo in the security log. In this way, each user's actions can be traced to an individual user account, without the "root" password being shared with the users.*
5. Validation of Compensating Controls	Define how the compensating controls were validated and tested.	*Company XYZ demonstrates to assessor that the sudo command is configured properly using a "sudoers" file, that only pre-defined commands can be run by specified users, and that all activities performed by those individuals using sudo are logged to identify the individual performing actions using "root" privileges.*
6. Maintenance	Define process and controls in place to maintain compensating controls.	*Company XYZ documents processes and procedures to ensure sudo configurations are not changed, altered, or removed to allow individual users to execute root commands without being individually identified, tracked and logged.*

Appendix D: Segmentation and Sampling of Business Facilities/System Components