

CSA Consensus Assessments Initiative Questionnaire (CAIQ)

May 2022



Notices

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Contents

Introduction 4
CSA Consensus Assessments Initiative Questionnaire..... 5
Further Reading..... 100
Document Revisions 100

Abstract

The CSA Consensus Assessments Initiative Questionnaire provides a set of questions the CSA anticipates a cloud consumer and/or a cloud auditor would ask of a cloud provider. It provides a series of security, control, and process questions which can then be used for a wide range of uses, including cloud provider selection and security evaluation. AWS has completed this questionnaire with the answers below. The questionnaire has been completed using the current CSA CAIQ standard, v4.0.2 (06.07.2021 Update).

Introduction

The Cloud Security Alliance (CSA) is a “not-for-profit organization with a mission to promote the use of best practices for providing security assurance within Cloud Computing, and to provide education on the uses of Cloud Computing to help secure all other forms of computing.” For more information, see <https://cloudsecurityalliance.org/about/>. A wide range of industry security practitioners, corporations, and associations participate in this organization to achieve its mission.

CSA Consensus Assessments Initiative Questionnaire

| Question | Question | CSP CAIQ Answer | SSRM Control Ownership | CSP Implementation Description (Optional/Recommended) | CSC Responsibilities (Optional/Recommended) | CCM Control ID | CCM Control Specification | CCM Control Title | CCM Domain Title |
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| A&A-01.1 | Are audit and assurance policies, procedures, and standards established, documented, approved, communicated, applied, evaluated, and maintained? | Yes | CSP-owned | <p>AWS has established formal policies and procedures to provide employees a common baseline for information security standards and guidance. The AWS Information Security Management System policy establishes guidelines for protecting the confidentiality, integrity, and availability of customers' systems and content. Maintaining customer trust and confidence is of the utmost importance to AWS.</p> <p>AWS works to comply with applicable federal, state, and local laws, statutes, ordinances, and regulations concerning security, privacy and data protection of AWS services in order to minimize the risk of accidental or unauthorized access or disclosure of customer content.</p> | | A&A-01 | Establish, document, approve, communicate, apply, evaluate and maintain audit and assurance policies and procedures and standards. Review and update the policies and procedures at least annually. | Audit and Assurance Policy and Procedures | Audit & Assurance |
| A&A-01.2 | Are audit and assurance policies, procedures, and standards reviewed and updated at least annually? | Yes | CSP-owned | <p>Policies are reviewed approved by AWS leadership at least annually or as needed basis.</p> | | A&A-01 | Establish, document, approve, communicate, apply, evaluate and maintain audit and assurance policies and procedures and standards. Review and update the policies and procedures at least annually. | Audit and Assurance Policy and Procedures | Audit & Assurance |

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| A&A-02.1 | Are independent audit and assurance assessments conducted according to relevant standards at least annually? | Yes | CSP-owned | <p>AWS has established a formal audit program that includes continual, independent internal and external assessments to validate the implementation and operating effectiveness of the AWS control environment.</p> <p>Internal and external audits are planned and performed according to a documented audit schedule to review the continued performance of AWS against standards-based criteria, like the ISO/IEC 27001 and to identify improvement opportunities.</p> <p>Compliance reports from these assessments are made available to customers, enabling them to evaluate AWS. You can access assessments in AWS Artifact: https://aws.amazon.com/artifact. The AWS Compliance reports identify the scope of AWS services and regions assessed, as well the assessor's attestation of compliance. Customers can perform vendor or supplier evaluations by leveraging these reports and certifications.</p> | | A&A-02 | Conduct independent audit and assurance assessments according to relevant standards at least annually. | Independent Assessments | Audit & Assurance |
| A&A-03.1 | Are independent audit and assurance assessments performed according to risk-based plans and policies? | Yes | CSP-owned | <p>AWS internal and external audit and assurance uses risk-based plans and approach to conduct assessments at least annually.</p> <p>AWS Compliance program covers sections including but not limited to assessment methodology, security assessment and results, and non-conforming controls.</p> | | A&A-03 | Perform independent audit and assurance assessments according to risk-based plans and policies. | Risk Based Planning Assessment | Audit & Assurance |
| A&A-04.1 | Is compliance verified regarding all relevant standards, regulations, legal/contractual, and statutory requirements applicable to the audit? | Yes | CSP-owned | <p>AWS maintains Security, Governance, Risk and Compliance relationships with internal and external parties to verify, monitor legal, regulatory, and contractual requirements.</p> <p>Should a new security directive be issued, AWS has documented plans in place to implement that directive with designated timeframes.</p> | | A&A-04 | Verify compliance with all relevant standards, regulations, legal/contractual, and statutory requirements applicable to the audit. | Requirements Compliance | Audit & Assurance |

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| A&A-05.1 | Is an audit management process defined and implemented to support audit planning, risk analysis, security control assessments, conclusions, remediation schedules, report generation, and reviews of past reports and supporting evidence? | Yes | CSP-owned | Internal and external audits are planned and performed according to the documented audit scheduled to review the continued performance of AWS against standards-based criteria and to identify general improvement opportunities. Standards-based criteria includes but is not limited to the ISO/IEC 27001, Federal Risk and Authorization Management Program (FedRAMP), the American Institute of Certified Public Accountants (AICPA): AT 801 (formerly Statement on Standards for Attestation Engagements [SSAE] 16), and the International Standards for Assurance Engagements No.3402 (ISAE 3402) professional standards. | | A&A-05 | Define and implement an Audit Management process to support audit planning, risk analysis, security control assessment, conclusion, remediation schedules, report generation, and review of past reports and supporting evidence. | Audit Management Process | Audit & Assurance |
| A&A-06.1 | Is a risk-based corrective action plan to remediate audit findings established, documented, approved, communicated, applied, evaluated, and maintained? | Yes | CSP-owned | In alignment with ISO 27001, AWS maintains a Risk Management program to mitigate and manage risk. AWS management has a strategic business plan which includes risk identification and the implementation of controls to mitigate or manage risks. AWS management re-evaluates the strategic business plan at least biannually. This process requires management to identify risks within its areas of responsibility and to implement appropriate measures designed to address those risks. | | A&A-06 | Establish, document, approve, communicate, apply, evaluate and maintain a risk-based corrective action plan to remediate audit findings, review and report remediation status to relevant stakeholders. | Remediation | Audit & Assurance |

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| A&A-06.2 | Is the remediation status of audit findings reviewed and reported to relevant stakeholders? | Yes | CSP-owned | <p>AWS has established a formal audit program that includes continual, independent internal and external assessments to validate the implementation and operating effectiveness of the AWS control environment.</p> <p>Internal and external audits are planned and performed according to a documented audit schedule to review the continued performance of AWS against standards-based criteria, like the ISO/IEC 27001 and to identify improvement opportunities.</p> <p>External audits are planned and performed according to a documented audit schedule to review the continued performance of AWS against standards-based criteria and to identify improvement opportunities. Standards-based criteria include, but are not limited to, Federal Risk and Authorization Management Program (FedRAMP), the American Institute of Certified Public Accountants (AICPA): AT 801 (formerly Statement on Standards for Attestation Engagements [SSAE] 18), the International Standards for Assurance Engagements No.3402 (ISAE 3402) professional standards, and the Payment Card Industry Data Security standard PCI DSS 3.2.1.</p> <p>Compliance reports from these assessments are made available to customers, enabling them to evaluate AWS. You can access assessments in AWS Artifact: https://aws.amazon.com/artifact. The AWS Compliance reports identify the scope of AWS services and regions assessed, as well the assessor's attestation of compliance. Customers can perform vendor or supplier evaluations by leveraging these reports and certifications.</p> | | A&A-06 | Establish, document, approve, communicate, apply, evaluate and maintain a risk-based corrective action plan to remediate audit findings, review and report remediation status to relevant stakeholders. | Remediation | Audit & Assurance |

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| AIS-01.1 | Are application security policies and procedures established, documented, approved, communicated, applied, evaluated, and maintained to guide appropriate planning, delivery, and support of the organization's application security capabilities? | Yes | CSP-owned | <p>AWS has established formal policies and procedures to provide employees a common baseline for information security standards and guidance. The AWS Information Security Management System policy establishes guidelines for protecting the confidentiality, integrity, and availability of customers' systems and content. Maintaining customer trust and confidence is of the utmost importance to AWS.</p> <p>AWS works to comply with applicable federal, state, and local laws, statutes, ordinances, and regulations concerning security, privacy and data protection of AWS services in order to minimize the risk of accidental or unauthorized access or disclosure of customer content.</p> | | AIS-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for application security to provide guidance to the appropriate planning, delivery and support of the organization's application security capabilities. Review and update the policies and procedures at least annually. | Application and Interface Security Policy and Procedures | Application & Interface Security |
| AIS-01.2 | Are application security policies and procedures reviewed and updated at least annually? | Yes | CSP-owned | <p>Policies are reviewed approved by AWS leadership at least annually or as needed basis.</p> | | AIS-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for application security to provide guidance to the appropriate planning, delivery and support of the organization's application security capabilities. Review and update the policies and procedures at least annually. | Application and Interface Security Policy and Procedures | Application & Interface Security |

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| AIS-02.1 | Are baseline requirements to secure different applications established, documented, and maintained? | Yes | CSP-owned | <p>AWS maintains a systematic approach, to planning and developing new services for the AWS environment, to ensure the quality and security requirements are met with each release. The design of new services or any significant changes to current services follow secure software development practices and are controlled through a project management system with multi-disciplinary participation. Prior to launch, each of the following requirements must be reviewed:</p> <ul style="list-style-type: none"> • Security Risk Assessment • Threat modeling • Security design reviews • Secure code reviews • Security testing • Vulnerability/penetration testing | | AIS-02 | Establish, document and maintain baseline requirements for securing different applications. | Application Security Baseline Requirements | Application & Interface Security |
| AIS-03.1 | Are technical and operational metrics defined and implemented according to business objectives, security requirements, and compliance obligations? | Yes | CSC-owned | See response to Question ID AIS-02.1 | | AIS-03 | Define and implement technical and operational metrics in alignment with business objectives, security requirements, and compliance obligations. | Application Security Metrics | Application & Interface Security |
| AIS-04.1 | Is an SDLC process defined and implemented for application design, development, deployment, and operation per organizationally designed security requirements? | Yes | CSP-owned | See response to Question ID AIS-02.1 | | AIS-04 | Define and implement a SDLC process for application design, development, deployment, and operation in accordance with security requirements defined by the organization. | Secure Application Design and Development | Application & Interface Security |

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| AIS-05.1 | Does the testing strategy outline criteria to accept new information systems, upgrades, and new versions while ensuring application security, compliance adherence, and organizational speed of delivery goals? | Yes | CSP-owned | See response to Question ID AIS-02.1 | | AIS-05 | Implement a testing strategy, including criteria for acceptance of new information systems, upgrades and new versions, which provides application security assurance and maintains compliance while enabling organizational speed of delivery goals. Automate when applicable and possible. | Automated Application Security Testing | Application & Interface Security |
| AIS-05.2 | Is testing automated when applicable and possible? | Yes | CSP-owned | Where appropriate, a continuous deployment methodology is conducted to ensure changes are automatically built, tested, and pushed to production, with the goal of eliminating as many manual steps as possible. Continuous deployment seeks to eliminate the manual nature of this process and automate each step, allowing service teams to standardize the process and increase the efficiency with which they deploy code. In continuous deployment, an entire release process is a "pipeline" containing "stages". | | AIS-05 | Implement a testing strategy, including criteria for acceptance of new information systems, upgrades and new versions, which provides application security assurance and maintains compliance while enabling organizational speed of delivery goals. Automate when applicable and possible. | Automated Application Security Testing | Application & Interface Security |
| AIS-06.1 | Are strategies and capabilities established and implemented to deploy application code in a secure, standardized, and compliant manner? | Yes | CSP-owned | Where appropriate, a continuous deployment methodology is conducted to ensure changes are automatically built, tested, and pushed to production, with the goal of eliminating as many manual steps as possible. Continuous deployment seeks to eliminate the manual nature of this process and automate each step, allowing service teams to standardize the process and increase the efficiency with which they deploy code. In continuous deployment, an entire release process is a "pipeline" containing "stages". | | AIS-06 | Establish and implement strategies and capabilities for secure, standardized, and compliant application deployment. Automate where possible. | Automated Secure Application Deployment | Application & Interface Security |

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| AIS-06.2 | Is the deployment and integration of application code automated where possible? | Yes | CSP-owned | Automated code analysis tools are run as a part of the AWS Software Development Lifecycle, and all deployed software undergoes recurring penetration testing performed by carefully selected industry experts. Our security risk assessment reviews begin during the design phase and the engagement lasts through launch to ongoing operations. Refer to the AWS Overview of Security Processes for further details. That whitepaper is located here. https://d1.awsstatic.com/whitepapers/Security/AWS_Security_Whitepaper.pdf | | AIS-06 | Establish and implement strategies and capabilities for secure, standardized, and compliant application deployment. Automate where possible. | Automated Secure Application Deployment | Application & Interface Security |
| AIS-07.1 | Are application security vulnerabilities remediated following defined processes? | Yes | CSP-owned | Static code analysis tools are run as a part of the standard build process, and all deployed software undergoes recurring penetration testing performed by carefully selected industry experts. Our security risk assessment reviews begin during the design phase and the engagement lasts through launch to ongoing operations. Refer to the Best Practices for Security, Identity, & Compliance website for further details - https://aws.amazon.com/architecture/security-identity-compliance/?cards=all.sort-by=item.additionalFields.sortDate&cards=all.sort-order=desc&awsf.content-type=*all&awsf.methodology=*all | | AIS-07 | Define and implement a process to remediate application security vulnerabilities, automating remediation when possible. | Application Vulnerability Remediation | Application & Interface Security |
| AIS-07.2 | Is the remediation of application security vulnerabilities automated when possible? | Yes | CSP-owned | Automated code analysis tools are run as a part of the AWS Software Development Lifecycle, and all deployed software undergoes recurring penetration testing performed by carefully selected industry experts. Our security risk assessment reviews begin during the design phase and the engagement lasts through launch to ongoing operations. Refer to the Best Practices for Security, Identity, & Compliance website for further details - https://aws.amazon.com/architecture/security-identity-compliance/?cards=all.sort-by=item.additionalFields.sortDate&cards=all.sort-order=desc&awsf.content-type=*all&awsf.methodology=*all | | AIS-07 | Define and implement a process to remediate application security vulnerabilities, automating remediation when possible. | Application Vulnerability Remediation | Application & Interface Security |

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| BCR-01.1 | Are business continuity management and operational resilience policies and procedures established, documented, approved, communicated, applied, evaluated, and maintained? | Yes | CSP-owned | <p>The AWS business continuity policy is designed to ensure minimum outage time and maximum effectiveness of the recovery and reconstitution efforts. which include</p> <ul style="list-style-type: none"> • Activation and Notification, • Recovery, and • Reconstitution Phase <p>AWS business continuity mechanisms are designed to ensure minimum outage time and maximum effectiveness of the recovery and reconstitution efforts. AWS resiliency encompasses the processes and procedures to identify, respond to, and recover from a major event or incident within our environment.</p> | | BCR-01 | Establish, document, approve, communicate, apply, evaluate and maintain business continuity management and operational resilience policies and procedures. Review and update the policies and procedures at least annually. | Business Continuity Management Policy and Procedures | Business Continuity Management and Operational Resilience |
| BCR-01.2 | Are the policies and procedures reviewed and updated at least annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | BCR-01 | Establish, document, approve, communicate, apply, evaluate and maintain business continuity management and operational resilience policies and procedures. Review and update the policies and procedures at least annually. | Business Continuity Management Policy and Procedures | Business Continuity Management and Operational Resilience |
| BCR-02.1 | Are criteria for developing business continuity and operational resiliency strategies and capabilities established based on business disruption and risk impacts? | Yes | Shared CSP and CSC | AWS Business Continuity Policies and Plans have been developed and tested in alignment with ISO 27001 standards. Refer to ISO 27001 standard, annex A domain 17 for further details on AWS and business continuity. | | BCR-02 | Determine the impact of business disruptions and risks to establish criteria for developing business continuity and operational resilience strategies and capabilities. | Risk Assessment and Impact Analysis | Business Continuity Management and Operational Resilience |
| BCR-03.1 | Are strategies developed to reduce the impact of, withstand, and recover from business disruptions in accordance with risk appetite? | Yes | Shared CSP and CSC | AWS Business Continuity Policies and Plans have been developed and tested in alignment with ISO 27001 standards. Refer to ISO 27001 standard, annex A domain 17 for further details on AWS and business continuity. | | BCR-03 | Establish strategies to reduce the impact of, withstand, and recover from business disruptions within risk appetite. | Business Continuity Strategy | Business Continuity Management and Operational Resilience |

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| BCR-04.1 | Are operational resilience strategies and capability results incorporated to establish, document, approve, communicate, apply, evaluate, and maintain a business continuity plan? | Yes | Shared CSP and CSC | AWS Business Continuity Policies and Plans have been developed and tested in alignment with ISO 27001 standards. Refer to ISO 27001 standard, annex A domain 17 for further details on AWS and business continuity. | | BCR-04 | Establish, document, approve, communicate, apply, evaluate and maintain a business continuity plan based on the results of the operational resilience strategies and capabilities. | Business Continuity Planning | Business Continuity Management and Operational Resilience |
| BCR-05.1 | Is relevant documentation developed, identified, and acquired to support business continuity and operational resilience plans? | Yes | CSP-owned | The AWS business continuity plan details the three-phased approach that AWS has developed to recover and reconstitute the AWS infrastructure: • Activation and Notification Phase • Recovery Phase • Reconstitution Phase This approach ensures that AWS performs system recovery and reconstitution efforts in a methodical sequence, maximizing the effectiveness of the recovery and reconstitution efforts and minimizing system outage time due to errors and omissions. | | BCR-05 | Develop, identify, and acquire documentation that is relevant to support the business continuity and operational resilience programs. Make the documentation available to authorized stakeholders and review periodically. | Documentation | Business Continuity Management and Operational Resilience |
| BCR-05.2 | Is business continuity and operational resilience documentation available to authorized stakeholders? | Yes | CSP-owned | Information System Documentation is made available internally to AWS personnel through the use of Amazon's Intranet site. Refer to ISO 27001 Appendix A Domain 12. | | BCR-05 | Develop, identify, and acquire documentation that is relevant to support the business continuity and operational resilience programs. Make the documentation available to authorized stakeholders and review periodically. | Documentation | Business Continuity Management and Operational Resilience |
| BCR-05.3 | Is business continuity and operational resilience documentation reviewed periodically? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | BCR-05 | Develop, identify, and acquire documentation that is relevant to support the business continuity and operational resilience programs. Make the documentation available to authorized stakeholders and review periodically. | Documentation | Business Continuity Management and Operational Resilience |

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| BCR-06.1 | Are the business continuity and operational resilience plans exercised and tested at least annually and when significant changes occur? | Yes | CSP-owned | <p>AWS Business Continuity Policies and Plans have been developed and tested at least annually in alignment with ISO 27001 standards.</p> <p>Refer to ISO 27001 standard, annex A domain 17 for further details on AWS and business continuity at least annually</p> | | BCR-06 | Exercise and test business continuity and operational resilience plans at least annually or upon significant changes. | Business Continuity Exercises | Business Continuity Management and Operational Resilience |
| BCR-07.1 | Do business continuity and resilience procedures establish communication with stakeholders and participants? | Yes | CSP-owned | <p>The AWS Business Continuity policy provides a complete discussion of AWS services, roles and responsibilities, and AWS processes for managing an outage from detection to deactivation.</p> <p>AWS Service teams create administrator documentation for their services and store the documents in internal AWS document repositories. Using these documents, teams provide initial training to new team members that covers their job duties, on-call responsibilities, service specific monitoring metrics and alarms, along with the intricacies of the service they are supporting. Once trained, service team members can assume on-call duties and be paged into an engagement as a resolver. In addition to the documentation stored in the repository, AWS also uses GameDay Exercises to train coordinators and Service Teams in their roles and responsibilities.</p> | | BCR-07 | Establish communication with stakeholders and participants in the course of business continuity and resilience procedures. | Communication | Business Continuity Management and Operational Resilience |

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| BCR-08.1 | Is cloud data periodically backed up? | Yes | Shared CSP and CSC | AWS maintains a retention policy applicable to AWS internal data and system components in order to continue operations of AWS business and services. Critical AWS system components, including audit evidence and logging records, are replicated across multiple Availability Zones and backups are maintained and monitored. | <p>Customers retain control and ownership of their content. When customers store content in a specific region, it is not replicated outside that region. It is the customer's responsibility to replicate content across regions if business needs require that.</p> <p>Backup and retention policies are the responsibility of the customer. AWS offers best practice resources to customers including guidance and alignment to the Well Architected Framework. Snapshots are AWS objects to which IAM users, groups, and roles can be assigned permissions, so that only authorized users can access Amazon backups.</p> <p>AWS Backup allows customers to centrally manage and automate backups across AWS services. The service enables customers to centralize and automate data protection across AWS services. For additional details, refer to - https://aws.amazon.com/backup.</p> | BCR-08 | Periodically backup data stored in the cloud. Ensure the confidentiality, integrity and availability of the backup, and verify data restoration from backup for resiliency. | Backup | Business Continuity Management and Operational Resilience |
| BCR-08.2 | Is the confidentiality, integrity, and availability of backup data ensured? | Yes | Shared CSP and CSC | See response to Question ID BCR-08.1 | | BCR-08 | Periodically backup data stored in the cloud. Ensure the confidentiality, integrity and availability of the backup, and verify data restoration from backup for resiliency. | Backup | Business Continuity Management and Operational Resilience |

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| BCR-08.3 | Can backups be restored appropriately for resiliency? | Yes | CSC-owned | | AWS Backup allows customers to centrally manage and automate backups across AWS services. For additional details, refer to - https://aws.amazon.com/backup | BCR-08 | Periodically backup data stored in the cloud. Ensure the confidentiality, integrity and availability of the backup, and verify data restoration from backup for resiliency. | Backup | Business Continuity Management and Operational Resilience |
| BCR-09.1 | Is a disaster response plan established, documented, approved, applied, evaluated, and maintained to ensure recovery from natural and man-made disasters? | Yes | Shared CSP and CSC | <p>The AWS business continuity policy is designed to ensure minimum outage time and maximum effectiveness of the recovery and reconstitution efforts. which include</p> <ul style="list-style-type: none"> • Activation and Notification, • Recovery, and • Reconstitution Phase <p>AWS business continuity mechanisms are designed to ensure minimum outage time and maximum effectiveness of the recovery and reconstitution efforts. AWS resiliency encompasses the processes and procedures to identify, respond to, and recover from a major event or incident within our environment</p> <p>AWS maintains a ubiquitous security control environment across its infrastructure. Each data center is built to physical, environmental, and security standards in an active-active configuration, employing an n+1 redundancy model to ensure system availability in the event of component failure.</p> <p>Components (N) have at least one independent backup component (+1), so the backup component is active in the operation even if other components are fully functional. In order to eliminate single points of failure, this model is applied throughout AWS, including network and data center implementation. Data centers are online and serving traffic; no data center is "cold." In case of failure, there is sufficient capacity to enable traffic to be load-balanced to the remaining sites.</p> | AWS provides customers with the capability to implement a robust continuity plan, including the utilization of frequent server instance back-ups, data redundancy replication, and the flexibility to place instances and store data within multiple geographic regions as well as across multiple Availability Zones within each region. Customers are responsible for properly implementing contingency planning, training and testing for their systems hosted on AWS. | BCR-09 | Establish, document, approve, communicate, apply, evaluate and maintain a disaster response plan to recover from natural and man-made disasters. Update the plan at least annually or upon significant changes. | Disaster Response Plan | Business Continuity Management and Operational Resilience |

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| BCR-09.2 | Is the disaster response plan updated at least annually, and when significant changes occur? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | BCR-09 | Establish, document, approve, communicate, apply, evaluate and maintain a disaster response plan to recover from natural and man-made disasters. Update the plan at least annually or upon significant changes. | Disaster Response Plan | Business Continuity Management and Operational Resilience |
| BCR-10.1 | Is the disaster response plan exercised annually or when significant changes occur? | Yes | CSP-owned | AWS tests the business continuity at least annually to ensure effectiveness of the associated procedures and the organization readiness. Testing consists of gameday exercises that execute on activities that would be performed in an actual outage. AWS documents the results, including lessons learned and any corrective actions that were completed. | | BCR-10 | Exercise the disaster response plan annually or upon significant changes, including if possible local emergency authorities. | Response Plan Exercise | Business Continuity Management and Operational Resilience |
| BCR-10.2 | Are local emergency authorities included, if possible, in the exercise? | No | CSP-owned | | | BCR-10 | Exercise the disaster response plan annually or upon significant changes, including if possible local emergency authorities. | Response Plan Exercise | Business Continuity Management and Operational Resilience |
| BCR-11.1 | Is business-critical equipment supplemented with redundant equipment independently located at a reasonable minimum distance in accordance with applicable industry standards? | Yes | CSP-owned | AWS maintains a ubiquitous security control environment across its infrastructure. Each data center is built to physical, environmental, and security standards in an active-active configuration, employing an n+1 redundancy model to ensure system availability in the event of component failure. Components (N) have at least one independent backup component (+1), so the backup component is active in the operation even if other components are fully functional. In order to eliminate single points of failure, this model is applied throughout AWS, including network and data center implementation. Data centers are online and serving traffic; no data center is "cold." In case of failure, there is sufficient capacity to enable traffic to be load-balanced to the remaining sites. | | BCR-11 | Supplement business-critical equipment with redundant equipment independently located at a reasonable minimum distance in accordance with applicable industry standards. | Equipment Redundancy | Business Continuity Management and Operational Resilience |

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| CCC-01.1 | Are risk management policies and procedures associated with changing organizational assets including applications, systems, infrastructure, configuration, etc., established, documented, approved, communicated, applied, evaluated and maintained (regardless of whether asset management is internal or external)? | Yes | CSP-owned | <p>AWS applies a systematic approach to managing change to ensure that all changes to a production environment are reviewed, tested, and approved. The AWS Change Management approach requires that the following steps be complete before a change is deployed to the production environment:</p> <ol style="list-style-type: none"> 1. Document and communicate the change via the appropriate AWS change management tool. 2. Plan implementation of the change and rollback procedures to minimize disruption. 3. Test the change in a logically segregated, non-production environment. 4. Complete a peer-review of the change with a focus on business impact and technical rigor. The review should include a code review. 5. Attain approval for the change by an authorized individual. <p>Where appropriate, a continuous deployment methodology is conducted to ensure changes are automatically built, tested, and pushed to production, with the goal of eliminating as many manual steps as possible. Continuous deployment seeks to eliminate the manual nature of this process and automate each step, allowing service teams to standardize the process and increase the efficiency with which they deploy code. In continuous deployment, an entire release process is a "pipeline" containing "stages".</p> | | CCC-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for managing the risks associated with applying changes to organization assets, including application, systems, infrastructure, configuration, etc., regardless of whether the assets are managed internally or externally (i.e., outsourced). Review and update the policies and procedures at least annually. | Change Management Policy and Procedures | Change Control and Configuration Management |

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| CCC-01.2 | Are the policies and procedures reviewed and updated at least annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | CCC-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for managing the risks associated with applying changes to organization assets, including application, systems, infrastructure, configuration, etc., regardless of whether the assets are managed internally or externally (i.e., outsourced). Review and update the policies and procedures at least annually. | Change Management Policy and Procedures | Change Control and Configuration Management |
| CCC-02.1 | Is a defined quality change control, approval and testing process (with established baselines, testing, and release standards) followed? | Yes | CSP-owned | See response to Question ID CCC-01.1 | | CCC-02 | Follow a defined quality change control, approval and testing process with established baselines, testing, and release standards. | Quality Testing | Change Control and Configuration Management |
| CCC-03.1 | Are risks associated with changing organizational assets (including applications, systems, infrastructure, configuration, etc.) managed, regardless of whether asset management occurs internally or externally (i.e., outsourced)? | Yes | CSP-owned | See response to Question ID CCC-01.1 | | CCC-03 | Manage the risks associated with applying changes to organization assets, including application, systems, infrastructure, configuration, etc., regardless of whether the assets are managed internally or externally (i.e., outsourced). | Change Management Technology | Change Control and Configuration Management |

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| CCC-04.1 | Is the unauthorized addition, removal, update, and management of organization assets restricted? | Yes | CSP-owned | Authorized staff must pass two-factor authentication a minimum of two times to access data center floors. Physical access points to server locations are recorded by closed circuit television camera (CCTV) as defined in the AWS Data Center Physical Security Policy. | | CCC-04 | Restrict the unauthorized addition, removal, update, and management of organization assets. | Unauthorized Change Protection | Change Control and Configuration Management |
| CCC-05.1 | Are provisions to limit changes that directly impact CSC-owned environments and require tenants to authorize requests explicitly included within the service level agreements (SLAs) between CSPs and CSCs? | No | CSP-owned | AWS notifies customers of changes to the AWS service offering in accordance with the commitment set forth in the AWS Customer Agreement. AWS continuously evolves and improves our existing services, and frequently adds new services. Our services are controlled using APIs. If we change or discontinue any API used to make calls to the services, we will continue to offer the existing API for 12 months. Additionally, AWS maintains a public Service Health Dashboard to provide customers with the real-time operational status of our services at http://status.aws.amazon.com/ . | | CCC-05 | Include provisions limiting changes directly impacting CSCs owned environments/tenants to explicitly authorized requests within service level agreements between CSPs and CSCs. | Change Agreements | Change Control and Configuration Management |
| CCC-06.1 | Are change management baselines established for all relevant authorized changes on organizational assets? | Yes | CSP-owned | See response to Question ID CCC-01.1 | | CCC-06 | Establish change management baselines for all relevant authorized changes on organization assets. | Change Management Baseline | Change Control and Configuration Management |
| CCC-07.1 | Are detection measures implemented with proactive notification if changes deviate from established baselines? | Yes | CSP-owned | See response to Question ID CCC-08.1 | | CCC-07 | Implement detection measures with proactive notification in case of changes deviating from the established baseline. | Detection of Baseline Deviation | Change Control and Configuration Management |
| CCC-08.1 | Is a procedure implemented to manage exceptions, including emergencies, in the change and configuration process? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | CCC-08 | 'Implement a procedure for the management of exceptions, including emergencies, in the change and configuration process. Align the procedure with the requirements of GRC-04: Policy Exception Process.' | Exception Management | Change Control and Configuration Management |

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| CCC-08.2 | 'Is the procedure aligned with the requirements of the GRC-04: Policy Exception Process?' | Yes | CSP-owned | See response to Question ID CCC-08.1 | | CCC-08 | 'Implement a procedure for the management of exceptions, including emergencies, in the change and configuration process. Align the procedure with the requirements of GRC-04: Policy Exception Process.' | Exception Management | Change Control and Configuration Management |
| CCC-09.1 | Is a process to proactively roll back changes to a previously known "good state" defined and implemented in case of errors or security concerns? | Yes | CSP-owned | See response to Question ID CCC-01.1 | | CCC-09 | Define and implement a process to proactively roll back changes to a previous known good state in case of errors or security concerns. | Change Restoration | Change Control and Configuration Management |
| CEK-01.1 | Are cryptography, encryption, and key management policies and procedures established, documented, approved, communicated, applied, evaluated, and maintained? | Yes | Shared CSP and CSC | Internally, AWS establishes and manages cryptographic keys for required cryptography employed within the AWS infrastructure. AWS produces, controls and distributes symmetric cryptographic keys using NIST approved key management technology and processes in the AWS information system. An AWS developed secure key and credential manager is used to create, protect and distribute symmetric keys, AWS credentials needed on hosts, RSA public/private keys and X.509 Certifications. | AWS customers are responsible for managing encryption keys within their AWS environments. Customers can leverage AWS services such as AWS KMS and CloudHSM to manage the lifecycle of their keys according to internal policy requirements. See following: AWS KMS https://aws.amazon.com/kms/ AWS CloudHSM https://aws.amazon.com/cloudhsm/ | CEK-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for Cryptography, Encryption and Key Management. Review and update the policies and procedures at least annually. | Encryption and Key Management Policy and Procedures | Cryptography, Encryption & Key Management |

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| CEK-01.2 | Are cryptography, encryption, and key management policies and procedures reviewed and updated at least annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | CEK-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for Cryptography, Encryption and Key Management. Review and update the policies and procedures at least annually. | Encryption and Key Management Policy and Procedures | Cryptography, Encryption & Key Management |
| CEK-02.1 | Are cryptography, encryption, and key management roles and responsibilities defined and implemented? | Yes | CSC-owned | See response to CEK-01.1 | | CEK-02 | Define and implement cryptographic, encryption and key management roles and responsibilities. | CEK Roles and Responsibilities | Cryptography, Encryption & Key Management |
| CEK-03.1 | Are data at-rest and in-transit cryptographically protected using cryptographic libraries certified to approved standards? | NA | CSC-owned | | AWS allows customers to use their own encryption mechanisms (for storage and in-transit) for nearly all the services, including S3, EBS and EC2. IPSec tunnels to VPC are also encrypted. In addition, customers can leverage AWS Key Management Systems (KMS) to create and control encryption keys (refer to https://aws.amazon.com/kms/). Refer to AWS SOC reports for more details on KMS. Refer to AWS: Overview of Security Processes Whitepaper for additional details - available at: http://aws.amazon.com/security/security-learning/ | CEK-03 | Provide cryptographic protection to data at-rest and in-transit, using cryptographic libraries certified to approved standards. | Data Encryption | Cryptography, Encryption & Key Management |

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| CEK-04.1 | Are appropriate data protection encryption algorithms used that consider data classification, associated risks, and encryption technology usability? | NA | CSC-owned | | This is a customer responsibility. AWS customers are responsible for the management of the data they place into AWS services. AWS has no insight as to what type of content the customer chooses to store in AWS and the customer retains complete control of how they choose to classify their content, where it is stored, used and protected from disclosure. | CEK-04 | Use encryption algorithms that are appropriate for data protection, considering the classification of data, associated risks, and usability of the encryption technology. | Encryption Algorithm | Cryptography, Encryption & Key Management |
| CEK-05.1 | Are standard change management procedures established to review, approve, implement and communicate cryptography, encryption, and key management technology changes that accommodate internal and external sources? | Yes | Shared CSP and CSC | See response to CEK-01.1 | AWS customers are responsible for managing encryption keys within their AWS environments according to their internal policy requirements. | CEK-05 | Establish a standard change management procedure, to accommodate changes from internal and external sources, for review, approval, implementation and communication of cryptographic, encryption and key management technology changes. | Encryption Change Management | Cryptography, Encryption & Key Management |

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| CEK-06.1 | Are changes to cryptography-, encryption- and key management-related systems, policies, and procedures, managed and adopted in a manner that fully accounts for downstream effects of proposed changes, including residual risk, cost, and benefits analysis? | Yes | Shared CSP and CSC | See response to CEK-01.1 | AWS allows customers to use their own encryption mechanisms for nearly all the services, including S3, EBS and EC2. IPSec tunnels to VPC are also encrypted. In addition, customers can leverage AWS Key Management Systems (KMS) to create and control encryption keys (refer to https://aws.amazon.com/kms/). Refer to AWS SOC reports for more details on KMS. Refer to AWS: Overview of Security Processes Whitepaper for additional details - available at: http://aws.amazon.com/security/security-learning/ | CEK-06 | Manage and adopt changes to cryptography-, encryption-, and key management-related systems (including policies and procedures) that fully account for downstream effects of proposed changes, including residual risk, cost, and benefits analysis. | Encryption Change Cost Benefit Analysis | Cryptography, Encryption & Key Management |

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| CEK-07.1 | Is a cryptography, encryption, and key management risk program established and maintained that includes risk assessment, risk treatment, risk context, monitoring, and feedback provisions? | Yes | CSP-owned | <p>AWS has established an information security management program with designated roles and responsibilities that are appropriately aligned within the organization. AWS management reviews and evaluates the risks identified in the risk management program at least annually. The risk management program encompasses the following phases:</p> <p>Discovery – The discovery phase includes listing out risks (threats and vulnerabilities) that exist in the environment. This phase provides a basis for all other risk management activities.</p> <p>Research – The research phase considers the potential impact(s) of identified risks to the business and its likelihood of occurrence and includes an evaluation of internal control effectiveness.</p> <p>Evaluate – The evaluate phase includes ensuring controls, processes and other physical and virtual safeguards in place to prevent and detect identified and assessed risks.</p> <p>Resolve – The resolve phase results in risk reports provided to managers with the data they need to make effective business decisions and to comply with internal policies and applicable regulations.</p> <p>Monitor – The monitor phase includes performing monitoring activities to evaluate whether processes, initiatives, functions and/or activities are mitigating the risk as designed.</p> | | CEK-07 | Establish and maintain an encryption and key management risk program that includes provisions for risk assessment, risk treatment, risk context, monitoring, and feedback. | Encryption Risk Management | Cryptography, Encryption & Key Management |

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| CEK-08.1 | Are CSPs providing CSCs with the capacity to manage their own data encryption keys? | Yes | CSC-owned | | AWS allows customers to use their own encryption mechanisms for nearly all the services, including S3, EBS and EC2. IPSec tunnels to VPC are also encrypted. In addition, customers can leverage AWS Key Management Systems (KMS) to create and control encryption keys (refer to https://aws.amazon.com/kms/). Refer to AWS SOC reports for more details on KMS. In addition, refer to AWS Cloud Security Whitepaper for additional details - available at http://aws.amazon.com/security | CEK-08 | CSPs must provide the capability for CSCs to manage their own data encryption keys. | CSC Key Management Capability | Cryptography, Encryption & Key Management |
| CEK-09.1 | Are encryption and key management systems, policies, and processes audited with a frequency proportional to the system's risk exposure, and after any security event? | Yes | CSP-owned | AWS has established a formal, periodic audit program that includes continual, independent internal and external assessments to validate the implementation and operating effectiveness of the AWS control environment. | | CEK-09 | Audit encryption and key management systems, policies, and processes with a frequency that is proportional to the risk exposure of the system with audit occurring preferably continuously but at least annually and after any security event(s). | Encryption and Key Management Audit | Cryptography, Encryption & Key Management |
| CEK-09.2 | Are encryption and key management systems, policies, and processes audited (preferably continuously but at least annually)? | Yes | CSP-owned | AWS has established a formal, periodic audit program that includes continual, independent internal and external assessments to validate the implementation and operating effectiveness of the AWS control environment. | | CEK-09 | Audit encryption and key management systems, policies, and processes with a frequency that is proportional to the risk exposure of the system with audit occurring preferably continuously but at least annually and after any security event(s). | Encryption and Key Management Audit | Cryptography, Encryption & Key Management |

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| CEK-10.1 | Are cryptographic keys generated using industry-accepted and approved cryptographic libraries that specify algorithm strength and random number generator specifications? | Yes | Shared CSP and CSC | <p>AWS allows customers to use their own encryption mechanisms for nearly all the services, including S3, EBS and EC2. In addition, customers can leverage AWS Key Management Systems (KMS) to create and control encryption keys (refer to https://aws.amazon.com/kms/). Refer to AWS SOC reports for more details on KMS.</p> <p>AWS establishes and manages cryptographic keys for required cryptography employed within the AWS infrastructure. AWS produces, controls and distributes symmetric cryptographic keys using NIST approved key management technology and processes in the AWS information system. An AWS developed secure key and credential manager is used to create, protect and distribute symmetric keys and is used to secure and distribute: AWS credentials needed on hosts, RSA public/private keys and X.509 Certifications.</p> <p>AWS cryptographic processes are reviewed by independent third-party auditors for our continued compliance with SOC, PCI DSS and ISO 27001.</p> | AWS customers are responsible for managing encryption keys within their AWS environments according to their internal policy requirements. | CEK-10 | Generate Cryptographic keys using industry accepted cryptographic libraries specifying the algorithm strength and the random number generator used. | Key Generation | Cryptography, Encryption & Key Management |
| CEK-11.1 | Are private keys provisioned for a unique purpose managed, and is cryptography secret? | NA | CSC-owned | | Customers determine whether they want to leverage AWS KMS to store encryption keys in the cloud or use other mechanisms (on-prem HSM, other key management technologies) to store keys within their on-premises environments. | CEK-11 | Manage cryptographic secret and private keys that are provisioned for a unique purpose. | Key Purpose | Cryptography, Encryption & Key Management |

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| CEK-12.1 | Are cryptographic keys rotated based on a cryptoperiod calculated while considering information disclosure risks and legal and regulatory requirements? | NA | CSC-owned | | AWS allows customers to use their own encryption mechanisms for nearly all the services, including S3, EBS and EC2. IPSec tunnels to VPC are also encrypted. In addition, customers can leverage AWS Key Management Systems (KMS) to create and control encryption keys (refer to https://aws.amazon.com/kms/). Refer to AWS SOC reports for more details on KMS. In addition, refer to AWS Cloud Security Whitepaper for additional details - available at http://aws.amazon.com/security | CEK-12 | Rotate cryptographic keys in accordance with the calculated cryptoperiod, which includes provisions for considering the risk of information disclosure and legal and regulatory requirements. | Key Rotation | Cryptography, Encryption & Key Management |
| CEK-13.1 | Are cryptographic keys revoked and removed before the end of the established cryptoperiod (when a key is compromised, or an entity is no longer part of the organization) per defined, implemented, and evaluated processes, procedures, and technical measures to include legal and regulatory requirement provisions? | NA | CSC-owned | | AWS allows customers to use their own encryption mechanisms for nearly all the services, including S3, EBS and EC2. IPSec tunnels to VPC are also encrypted. In addition, customers can leverage AWS Key Management Systems (KMS) to create and control encryption keys (refer to https://aws.amazon.com/kms/). Refer to AWS SOC reports for more details on KMS. In addition, refer to AWS Cloud Security Whitepaper for additional details - available at http://aws.amazon.com/security | CEK-13 | Define, implement and evaluate processes, procedures and technical measures to revoke and remove cryptographic keys prior to the end of its established cryptoperiod, when a key is compromised, or an entity is no longer part of the organization, which include provisions for legal and regulatory requirements. | Key Revocation | Cryptography, Encryption & Key Management |

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| CEK-14.1 | Are processes, procedures and technical measures to destroy unneeded keys defined, implemented and evaluated to address key destruction outside secure environments, revocation of keys stored in hardware security modules (HSMs), and include applicable legal and regulatory requirement provisions? | NA | CSC-owned | | AWS allows customers to use their own encryption mechanisms for nearly all the services, including S3, EBS and EC2. IPSec tunnels to VPC are also encrypted. In addition, customers can leverage AWS Key Management Systems (KMS) to create and control encryption keys (refer to https://aws.amazon.com/kms/). Refer to AWS SOC reports for more details on KMS. In addition, refer to AWS Cloud Security Whitepaper for additional details - available at http://aws.amazon.com/security | CEK-14 | Define, implement and evaluate processes, procedures and technical measures to destroy keys stored outside a secure environment and revoke keys stored in Hardware Security Modules (HSMs) when they are no longer needed, which include provisions for legal and regulatory requirements. | Key Destruction | Cryptography, Encryption & Key Management |
| CEK-15.1 | Are processes, procedures, and technical measures to create keys in a pre-activated state (i.e., when they have been generated but not authorized for use) being defined, implemented, and evaluated to include legal and regulatory requirement provisions? | NA | CSC-owned | | AWS allows customers to use their own encryption mechanisms for nearly all the services, including S3, EBS and EC2. IPSec tunnels to VPC are also encrypted. In addition, customers can leverage AWS Key Management Systems (KMS) to create and control encryption keys (refer to https://aws.amazon.com/kms/). Refer to AWS SOC reports for more details on KMS. In addition, refer to AWS Cloud Security Whitepaper for additional details - available at http://aws.amazon.com/security | CEK-15 | Define, implement and evaluate processes, procedures and technical measures to create keys in a pre-activated state when they have been generated but not authorized for use, which include provisions for legal and regulatory requirements. | Key Activation | Cryptography, Encryption & Key Management |

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| CEK-16.1 | Are processes, procedures, and technical measures to monitor, review and approve key transitions (e.g., from any state to/from suspension) being defined, implemented, and evaluated to include legal and regulatory requirement provisions? | NA | CSC-owned | | AWS allows customers to use their own encryption mechanisms for nearly all the services, including S3, EBS and EC2. IPSec tunnels to VPC are also encrypted. In addition, customers can leverage AWS Key Management Systems (KMS) to create and control encryption keys (refer to https://aws.amazon.com/kms/). Refer to AWS SOC reports for more details on KMS. In addition, refer to AWS Cloud Security Whitepaper for additional details - available at http://aws.amazon.com/security | CEK-16 | Define, implement and evaluate processes, procedures and technical measures to monitor, review and approve key transitions from any state to/from suspension, which include provisions for legal and regulatory requirements. | Key Suspension | Cryptography, Encryption & Key Management |
| CEK-17.1 | Are processes, procedures, and technical measures to deactivate keys (at the time of their expiration date) being defined, implemented, and evaluated to include legal and regulatory requirement provisions? | NA | CSC-owned | | AWS allows customers to use their own encryption mechanisms for nearly all the services, including S3, EBS and EC2. IPSec tunnels to VPC are also encrypted. In addition, customers can leverage AWS Key Management Systems (KMS) to create and control encryption keys (refer to https://aws.amazon.com/kms/). Refer to AWS SOC reports for more details on KMS. In addition, refer to AWS Cloud Security Whitepaper for additional details - available at http://aws.amazon.com/security | CEK-17 | Define, implement and evaluate processes, procedures and technical measures to deactivate keys at the time of their expiration date, which include provisions for legal and regulatory requirements. | Key Deactivation | Cryptography, Encryption & Key Management |

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| CEK-18.1 | Are processes, procedures, and technical measures to manage archived keys in a secure repository (requiring least privilege access) being defined, implemented, and evaluated to include legal and regulatory requirement provisions? | NA | CSC-owned | | AWS allows customers to use their own encryption mechanisms for nearly all the services, including S3, EBS and EC2. IPSec tunnels to VPC are also encrypted. In addition, customers can leverage AWS Key Management Systems (KMS) to create and control encryption keys (refer to https://aws.amazon.com/kms/). Refer to AWS SOC reports for more details on KMS. In addition, refer to AWS Cloud Security Whitepaper for additional details - available at http://aws.amazon.com/security | CEK-18 | Define, implement and evaluate processes, procedures and technical measures to manage archived keys in a secure repository requiring least privilege access, which include provisions for legal and regulatory requirements. | Key Archival | Cryptography, Encryption & Key Management |
| CEK-19.1 | Are processes, procedures, and technical measures to encrypt information in specific scenarios (e.g., only in controlled circumstances and thereafter only for data decryption and never for encryption) being defined, implemented, and evaluated to include legal and regulatory requirement provisions? | NA | CSC-owned | | This is a customer responsibility. AWS customers are responsible for the management of the data they place into AWS services. AWS has no insight as to what type of content the customer chooses to store in AWS and the customer retains complete control of how they choose to classify their content, where it is stored, used and protected from disclosure. | CEK-19 | Define, implement and evaluate processes, procedures and technical measures to use compromised keys to encrypt information only in controlled circumstance, and thereafter exclusively for decrypting data and never for encrypting data, which include provisions for legal and regulatory requirements. | Key Compromise | Cryptography, Encryption & Key Management |

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| CEK-20.1 | Are processes, procedures, and technical measures to assess operational continuity risks (versus the risk of losing control of keying material and exposing protected data) being defined, implemented, and evaluated to include legal and regulatory requirement provisions? | Yes | Shared CSP and CSC | AWS establishes and manages cryptographic keys for required cryptography employed within the AWS infrastructure. AWS produces, controls and distributes symmetric cryptographic keys using NIST approved key management technology and processes in the AWS information system. An AWS developed secure key and credential manager is used to create, protect and distribute symmetric keys and is used to secure and distribute: AWS credentials needed on hosts, RSA public/private keys and X.509 Certifications. AWS cryptographic processes are reviewed by independent third-party auditors for our continued compliance with SOC, PCI DSS and ISO 27001. | AWS allows customers to use their own encryption mechanisms for nearly all the services, including S3, EBS and EC2. In addition, customers can leverage AWS Key Management Systems (KMS) to create and control encryption keys (refer to https://aws.amazon.com/kms/). Refer to AWS SOC reports for more details on KMS. | CEK-20 | Define, implement and evaluate processes, procedures and technical measures to assess the risk to operational continuity versus the risk of the keying material and the information it protects being exposed if control of the keying material is lost, which include provisions for legal and regulatory requirements. | Key Recovery | Cryptography, Encryption & Key Management |
| CEK-21.1 | Are key management system processes, procedures, and technical measures being defined, implemented, and evaluated to track and report all cryptographic materials and status changes that include legal and regulatory requirements provisions? | NA | CSC-owned | | AWS allows customers to use their own encryption mechanisms for nearly all the services, including S3, EBS and EC2. IPSec tunnels to VPC are also encrypted. In addition, customers can leverage AWS Key Management Systems (KMS) to create and control encryption keys (refer to https://aws.amazon.com/kms/). Refer to AWS SOC reports for more details on KMS. In addition, refer to AWS Cloud Security Whitepaper for additional details - available at http://aws.amazon.com/security | CEK-21 | Define, implement and evaluate processes, procedures and technical measures in order for the key management system to track and report all cryptographic materials and changes in status, which include provisions for legal and regulatory requirements. | Key Inventory Management | Cryptography, Encryption & Key Management |

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| DCS-01.1 | Are policies and procedures for the secure disposal of equipment used outside the organization's premises established, documented, approved, communicated, enforced, and maintained? | Yes | CSP-owned | <p>Environments used for the delivery of the AWS services are managed by authorized personnel and are located in an AWS managed data centers. Media handling controls for the data centers are managed by AWS in alignment with the AWS Media Protection Policy. This policy includes procedures around access, marking, storage, transporting, and sanitation.</p> <p>Live media transported outside of data center secure zones is escorted by authorized personnel.</p> | | DCS-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for the secure disposal of equipment used outside the organization's premises. If the equipment is not physically destroyed a data destruction procedure that renders recovery of information impossible must be applied. Review and update the policies and procedures at least annually. | Off-Site Equipment Disposal Policy and Procedures | Datacenter Security |
| DCS-01.2 | Is a data destruction procedure applied that renders information recovery impossible if equipment is not physically destroyed? | Yes | CSP-owned | <p>When a storage device has reached the end of its useful life, AWS procedures include a decommissioning process that is designed to prevent customer data from being exposed to unauthorized individuals. AWS uses the techniques detailed in NIST 800-88 ("Guidelines for Media Sanitization") as part of the decommissioning process. Refer to AWS: Overview of Security Processes Whitepaper for additional details - available at: http://aws.amazon.com/security/security-learning/</p> | | DCS-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for the secure disposal of equipment used outside the organization's premises. If the equipment is not physically destroyed a data destruction procedure that renders recovery of information impossible must be applied. Review and update the policies and procedures at least annually. | Off-Site Equipment Disposal Policy and Procedures | Datacenter Security |

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| DCS-01.3 | Are policies and procedures for the secure disposal of equipment used outside the organization's premises reviewed and updated at least annually? | Yes | | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | DCS-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for the secure disposal of equipment used outside the organization's premises. If the equipment is not physically destroyed a data destruction procedure that renders recovery of information impossible must be applied. Review and update the policies and procedures at least annually. | Off-Site Equipment Disposal Policy and Procedures | Datacenter Security |
| DCS-02.1 | Are policies and procedures for the relocation or transfer of hardware, software, or data/information to an offsite or alternate location established, documented, approved, communicated, implemented, enforced, maintained? | Yes | | <p>AWS has established formal policies and procedures to provide employees a common baseline for information security standards and guidance. The AWS Information Security Management System policy establishes guidelines for protecting the confidentiality, integrity, and availability of customers' systems and content. Maintaining customer trust and confidence is of the utmost importance to AWS.</p> <p>AWS works to comply with applicable federal, state, and local laws, statutes, ordinances, and regulations concerning security, privacy and data protection of AWS services in order to minimize the risk of accidental or unauthorized access or disclosure of customer content.</p> | | DCS-02 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for the relocation or transfer of hardware, software, or data/information to an offsite or alternate location. The relocation or transfer request requires the written or cryptographically verifiable authorization. Review and update the policies and procedures at least annually. | Off-Site Transfer Authorization Policy and Procedures | Datacenter Security |

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| DCS-02.2 | Does a relocation or transfer request require written or cryptographically verifiable authorization? | Yes | | <p>Environments used for the delivery of the AWS services are managed by authorized personnel and are located in an AWS managed data centers. Media handling controls for the data centers are managed by AWS in alignment with the AWS Media Protection Policy. This policy includes procedures around access, marking, storage, transporting, and sanitation.</p> <p>Live media transported outside of data center secure zones is escorted by authorized personnel.</p> | | DCS-03 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for the relocation or transfer of hardware, software, or data/information to an offsite or alternate location. The relocation or transfer request requires the written or cryptographically verifiable authorization. Review and update the policies and procedures at least annually. | Off-Site Transfer Authorization Policy and Procedures | Datacenter Security |
| DCS-02.3 | Are policies and procedures for the relocation or transfer of hardware, software, or data/information to an offsite or alternate location reviewed and updated at least annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | DCS-04 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for the relocation or transfer of hardware, software, or data/information to an offsite or alternate location. The relocation or transfer request requires the written or cryptographically verifiable authorization. Review and update the policies and procedures at least annually. | Off-Site Transfer Authorization Policy and Procedures | Datacenter Security |

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| DCS-03.1 | Are policies and procedures for maintaining a safe and secure working environment (in offices, rooms, and facilities) established, documented, approved, communicated, enforced, and maintained? | Yes | CSP-owned | AWS engages with external certifying bodies and independent auditors to review and validate our compliance with compliance frameworks. AWS SOC reports provide additional details on the specific physical security control activities executed by AWS. Refer to ISO 27001 standards; Annex A, domain 11 for additional details. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard. | | DCS-03 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for maintaining a safe and secure working environment in offices, rooms, and facilities. Review and update the policies and procedures at least annually. | Secure Area Policy and Procedures | Datacenter Security |
| DCS-03.2 | Are policies and procedures for maintaining safe, secure working environments (e.g., offices, rooms) reviewed and updated at least annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | DCS-03 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for maintaining a safe and secure working environment in offices, rooms, and facilities. Review and update the policies and procedures at least annually. | Secure Area Policy and Procedures | Datacenter Security |
| DCS-04.1 | Are policies and procedures for the secure transportation of physical media established, documented, approved, communicated, enforced, evaluated, and maintained? | Yes | CSP-owned | Environments used for the delivery of the AWS services are managed by authorized personnel and are located in an AWS managed data centers. Media handling controls for the data centers are managed by AWS in alignment with the AWS Media Protection Policy. This policy includes procedures around access, marking, storage, transporting, and sanitation. Live media transported outside of data center secure zones is escorted by authorized personnel. | | DCS-04 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for the secure transportation of physical media. Review and update the policies and procedures at least annually. | Secure Media Transportation Policy and Procedures | Datacenter Security |

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| DCS-04.2 | Are policies and procedures for the secure transportation of physical media reviewed and updated at least annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | DCS-04 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for the secure transportation of physical media. Review and update the policies and procedures at least annually. | Secure Media Transportation Policy and Procedures | Datacenter Security |
| DCS-05.1 | Is the classification and documentation of physical and logical assets based on the organizational business risk? | Yes | CSP-owned | In alignment with ISO 27001 standards, AWS assets are assigned an owner, tracked and monitored by the AWS personnel with AWS proprietary inventory management tools. | | DCS-05 | Classify and document the physical, and logical assets (e.g., applications) based on the organizational business risk. | Assets Classification | Datacenter Security |
| DCS-06.1 | Are all relevant physical and logical assets at all CSP sites cataloged and tracked within a secured system? | Yes | CSP-owned | In alignment with ISO 27001 standards, AWS Hardware assets are assigned an owner, tracked and monitored by the AWS personnel with AWS proprietary inventory management tools. | | DCS-06 | Catalogue and track all relevant physical and logical assets located at all of the CSP's sites within a secured system. | Assets Cataloging and Tracking | Datacenter Security |
| DCS-07.1 | Are physical security perimeters implemented to safeguard personnel, data, and information systems? | Yes | CSP-owned | Physical security controls include but are not limited to perimeter controls such as fencing, walls, security staff, video surveillance, intrusion detection systems and other electronic means. Authorized staff must pass two-factor authentication a minimum of two times to access data center floors. The AWS SOC reports provide additional details on the specific control activities executed by AWS. Refer to ISO 27001 standards; Annex A, domain 11 for further information. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard. For more information on the design, layout and operations of our data centers, please visit this site: AWS Data Center Overview | | DCS-07 | Implement physical security perimeters to safeguard personnel, data, and information systems. Establish physical security perimeters between the administrative and business areas and the data storage and processing facilities areas. | Controlled Access Points | Datacenter Security |

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| DCS-07.2 | Are physical security perimeters established between administrative and business areas, data storage, and processing facilities? | Yes | CSP-owned | <p>Physical security controls include but are not limited to perimeter controls such as fencing, walls, security staff, video surveillance, intrusion detection systems and other electronic means. Authorized staff must pass two-factor authentication a minimum of two times to access data center floors.</p> <p>The AWS SOC reports provide additional details on the specific control activities executed by AWS. Refer to ISO 27001 standards; Annex A, domain 11 for further information. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard. For more information on the design, layout and operations of our data centers, please visit this site: AWS Data Center Overview</p> | | DCS-07 | Implement physical security perimeters to safeguard personnel, data, and information systems. Establish physical security perimeters between the administrative and business areas and the data storage and processing facilities areas. | Controlled Access Points | Datacenter Security |
| DCS-08.1 | Is equipment identification used as a method for connection authentication? | Yes | CSP-owned | AWS manages equipment identification in alignment with ISO 27001 standard. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard. | | DCS-08 | Use equipment identification as a method for connection authentication. | Equipment Identification | Datacenter Security |
| DCS-09.1 | Are solely authorized personnel able to access secure areas, with all ingress and egress areas restricted, documented, and monitored by physical access control mechanisms? | Yes | CSP-owned | Physical access is strictly controlled both at the perimeter and at building ingress points and includes, but is not limited to, professional security staff utilizing video surveillance, intrusion detection systems, and other electronic means. Authorized staff must pass two-factor authentication a minimum of two times to access data center floors. Physical access points to server locations are recorded by closed circuit television camera (CCTV) as defined in the AWS Data Center Physical Security Policy. | | DCS-09 | Allow only authorized personnel access to secure areas, with all ingress and egress points restricted, documented, and monitored by physical access control mechanisms. Retain access control records on a periodic basis as deemed appropriate by the organization. | Secure Area Authorization | Datacenter Security |

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| DCS-09.2 | Are access control records retained periodically, as deemed appropriate by the organization? | Yes | CSP-owned | <p>Authentication logging aggregates sensitive logs from EC2 hosts and stores them on S3. The log integrity checker inspects logs to ensure they were uploaded to S3 unchanged by comparing them with local manifest files. Access and privileged command auditing logs record every automated and interactive login to the systems as well as every privileged command executed.</p> <p>External access to data stored in Amazon S3 is logged and the logs are retained for at least 90 days, including relevant access request information, such as the data accessor IP address, object, and operation.</p> | | DCS-09 | Allow only authorized personnel access to secure areas, with all ingress and egress points restricted, documented, and monitored by physical access control mechanisms. Retain access control records on a periodic basis as deemed appropriate by the organization. | Secure Area Authorization | Datacenter Security |
| DCS-10.1 | Are external perimeter datacenter surveillance systems and surveillance systems at all ingress and egress points implemented, maintained, and operated? | Yes | CSP-owned | Physical access is strictly controlled both at the perimeter and at building ingress points and includes, but is not limited to, professional security staff utilizing video surveillance, intrusion detection systems, and other electronic means. Authorized staff must pass two-factor authentication a minimum of two times to access data center floors. Physical access points to server locations are recorded by closed circuit television camera (CCTV) as defined in the AWS Data Center Physical Security Policy. | | DCS-10 | Implement, maintain, and operate datacenter surveillance systems at the external perimeter and at all the ingress and egress points to detect unauthorized ingress and egress attempts. | Surveillance System | Datacenter Security |
| DCS-11.1 | Are datacenter personnel trained to respond to unauthorized access or egress attempts? | Yes | CSP-owned | Physical access is strictly controlled both at the perimeter and at building ingress points and includes, but is not limited to, professional security staff utilizing video surveillance, intrusion detection systems, and other electronic means. Authorized staff must pass two-factor authentication a minimum of two times to access data center floors. Physical access points to server locations are recorded by closed circuit television camera (CCTV) as defined in the AWS Data Center Physical Security Policy. | | DCS-11 | Train datacenter personnel to respond to unauthorized ingress or egress attempts. | Unauthorized Access Response Training | Datacenter Security |

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| DCS-12.1 | Are processes, procedures, and technical measures defined, implemented, and evaluated to ensure risk-based protection of power and telecommunication cables from interception, interference, or damage threats at all facilities, offices, and rooms? | Yes | CSP-owned | AWS equipment is protected from utility service outages in alignment with ISO 27001 standard. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard. AWS SOC reports provide additional details on controls in place to minimize the effect of a malfunction or physical disaster to the computer and data center facilities. | | DCS-12 | Define, implement and evaluate processes, procedures and technical measures that ensure a risk-based protection of power and telecommunication cables from a threat of interception, interference or damage at all facilities, offices and rooms. | Cabling Security | Datacenter Security |
| DCS-13.1 | Are data center environmental control systems designed to monitor, maintain, and test that on-site temperature and humidity conditions fall within accepted industry standards effectively implemented and maintained? | Yes | CSP-owned | AWS data centers incorporate physical protection against environmental risks. AWS' physical protection against environmental risks has been validated by an independent auditor and has been certified as being in alignment with ISO 27002 best practices. Refer to ISO 27001 standard, Annex A domain 11 and link below for Data center controls overview: https://aws.amazon.com/compliance/data-center/controls/ | | DCS-13 | Implement and maintain data center environmental control systems that monitor, maintain and test for continual effectiveness the temperature and humidity conditions within accepted industry standards. | Environmental Systems | Datacenter Security |
| DCS-14.1 | Are utility services secured, monitored, maintained, and tested at planned intervals for continual effectiveness? | Yes | CSP-owned | AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard. AWS SOC reports provide additional details on controls in place to minimize the effect of a malfunction or physical disaster to the computer and data center facilities. Please refer to link below for Data center controls overview: https://aws.amazon.com/compliance/data-center/controls/ | | DCS-14 | Secure, monitor, maintain, and test utilities services for continual effectiveness at planned intervals. | Secure Utilities | Datacenter Security |
| DCS-15.1 | Is business-critical equipment segregated from locations subject to a high probability of environmental risk events? | Yes | CSP-owned | The AWS Security Operations Center performs quarterly threat and vulnerability reviews of datacenters and colocation sites. These reviews are in addition to an initial environmental and geographic assessment of a site performed prior to building or leasing. The quarterly reviews are validated by third parties during our SOC, PCI, and ISO assessments. | | DCS-15 | Keep business-critical equipment away from locations subject to high probability for environmental risk events. | Equipment Location | Datacenter Security |

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| DSP-01.1 | Are policies and procedures established, documented, approved, communicated, enforced, evaluated, and maintained for the classification, protection, and handling of data throughout its lifecycle according to all applicable laws and regulations, standards, and risk level? | Yes | CSP-owned | <p>AWS has implemented data handling and classification requirements which provide specifications around:</p> <ul style="list-style-type: none"> • Data encryption • Content in transit and during storage • Access • Retention • Physical controls • Mobile devices • Handling requirements <p>AWS services are content agnostic, in that they offer the same high level of security to customers, regardless of the type of content being stored. We are vigilant about our customers' security and have implemented sophisticated technical and physical measures against unauthorized access. AWS has no insight as to what type of content the customer chooses to store in AWS and the customer retains complete control of how they choose to classify their content, where it is stored, used and protected from disclosure.</p> | | DSP-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for the classification, protection and handling of data throughout its lifecycle, and according to all applicable laws and regulations, standards, and risk level. Review and update the policies and procedures at least annually. | Security and Privacy Policy and Procedures | Data Security and Privacy Lifecycle Management |
| DSP-01.2 | Are data security and privacy policies and procedures reviewed and updated at least annually? | Yes | CSP-owned | <p>Policies are reviewed approved by AWS leadership at least annually or as needed basis.</p> | | DSP-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for the classification, protection and handling of data throughout its lifecycle, and according to all applicable laws and regulations, standards, and risk level. Review and update the policies and procedures at least annually. | Security and Privacy Policy and Procedures | Data Security and Privacy Lifecycle Management |

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| DSP-02.1 | Are industry-accepted methods applied for secure data disposal from storage media so information is not recoverable by any forensic means? | Yes | CSP-owned | When a storage device has reached the end of its useful life, AWS procedures include a decommissioning process that is designed to prevent customer data from being exposed to unauthorized individuals. AWS uses the techniques detailed in NIST 800-88 ("Guidelines for Media Sanitization") as part of the decommissioning process. Refer to AWS: Overview of Security Processes Whitepaper for additional details - available at: http://aws.amazon.com/security/security-learning/ | | DSP-02 | Apply industry accepted methods for the secure disposal of data from storage media such that data is not recoverable by any forensic means. | Secure Disposal | Data Security and Privacy Lifecycle Management |
| DSP-03.1 | Is a data inventory created and maintained for sensitive and personal information (at a minimum)? | NA | CSC-owned | | This is a customer responsibility. AWS customers are responsible for the management of the data they place into AWS services. AWS has no insight as to what type of content the customer chooses to store in AWS and the customer retains complete control of how they choose to classify their content, where it is stored, used and protected from disclosure. | DSP-03 | Create and maintain a data inventory, at least for any sensitive data and personal data. | Data Inventory | Data Security and Privacy Lifecycle Management |
| DSP-04.1 | Is data classified according to type and sensitivity levels? | NA | CSC-owned | | This is a customer responsibility. AWS customers are responsible for the management of the data they place into AWS services. AWS has no insight as to what type of content the customer chooses to store in AWS and the customer retains complete control of how they choose to classify their content, where it is stored, used and protected from disclosure. | DSP-04 | Classify data according to its type and sensitivity level. | Data Classification | Data Security and Privacy Lifecycle Management |

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| DSP-05.1 | Is data flow documentation created to identify what data is processed and where it is stored and transmitted? | NA | CSC-owned | | This is a customer responsibility. AWS customers are responsible for the management of the data they place into AWS services. AWS has no insight as to what type of content the customer chooses to store in AWS and the customer retains complete control of how they choose to classify their content, where it is stored, used and protected from disclosure. | DSP-05 | Create data flow documentation to identify what data is processed, stored or transmitted where. Review data flow documentation at defined intervals, at least annually, and after any change. | Data Flow Documentation | Data Security and Privacy Lifecycle Management |
| DSP-05.2 | Is data flow documentation reviewed at defined intervals, at least annually, and after any change? | NA | CSC-owned | | This is a customer responsibility. AWS customers are responsible for the management of the data they place into AWS services. AWS has no insight as to what type of content the customer chooses to store in AWS and the customer retains complete control of how they choose to classify their content, where it is stored, used and protected from disclosure. | DSP-05 | Create data flow documentation to identify what data is processed, stored or transmitted where. Review data flow documentation at defined intervals, at least annually, and after any change. | Data Flow Documentation | Data Security and Privacy Lifecycle Management |
| DSP-06.1 | Is the ownership and stewardship of all relevant personal and sensitive data documented? | NA | CSC-owned | | This is a customer responsibility. AWS customers are responsible for the management of the data they place into AWS services. AWS has no insight as to what type of content the customer chooses to store in AWS and the customer retains complete control of how they choose to classify their content, where it is stored, used and protected from disclosure. | DSP-06 | Document ownership and stewardship of all relevant documented personal and sensitive data. Perform review at least annually. | Data Ownership and Stewardship | Data Security and Privacy Lifecycle Management |

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| DSP-06.2 | Is data ownership and stewardship documentation reviewed at least annually? | NA | CSC-owned | | This is a customer responsibility. AWS customers are responsible for the management of the data they place into AWS services. AWS has no insight as to what type of content the customer chooses to store in AWS and the customer retains complete control of how they choose to classify their content, where it is stored, used and protected from disclosure. | DSP-06 | Document ownership and stewardship of all relevant documented personal and sensitive data. Perform review at least annually. | Data Ownership and Stewardship | Data Security and Privacy Lifecycle Management |
| DSP-07.1 | Are systems, products, and business practices based on security principles by design and per industry best practices? | Yes | CSP-owned | | AWS maintains a systematic approach, to planning and developing new services for the AWS environment, to ensure the quality and security requirements are met with each release. The design of new services or any significant changes to current services follow secure software development practices and are controlled through a project management system with multi-disciplinary participation. Prior to launch, each of the following requirements must be reviewed: <ul style="list-style-type: none"> • Security Risk Assessment • Threat modeling • Security design reviews • Secure code reviews • Security testing • Vulnerability/penetration testing | DSP-07 | Develop systems, products, and business practices based upon a principle of security by design and industry best practices. | Data Protection by Design and Default | Data Security and Privacy Lifecycle Management |

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| DSP-08.1 | Are systems, products, and business practices based on privacy principles by design and according to industry best practices? | NA | CSC-owned | | This is a customer responsibility. AWS customers are responsible for the management of the data they place into AWS services. AWS has no insight as to what type of content the customer chooses to store in AWS and the customer retains complete control of how they choose to classify their content, where it is stored, used and protected from disclosure. | DSP-08 | Develop systems, products, and business practices based upon a principle of privacy by design and industry best practices. Ensure that systems' privacy settings are configured by default, according to all applicable laws and regulations. | Data Privacy by Design and Default | Data Security and Privacy Lifecycle Management |
| DSP-08.2 | Are systems' privacy settings configured by default and according to all applicable laws and regulations? | NA | CSC-owned | | This is a customer responsibility. AWS customers are responsible to adhere to regulatory requirements in the jurisdictions their business are active in. | DSP-08 | Develop systems, products, and business practices based upon a principle of privacy by design and industry best practices. Ensure that systems' privacy settings are configured by default, according to all applicable laws and regulations. | Data Privacy by Design and Default | Data Security and Privacy Lifecycle Management |
| DSP-09.1 | Is a data protection impact assessment (DPIA) conducted when processing personal data and evaluating the origin, nature, particularity, and severity of risks according to any applicable laws, regulations and industry best practices? | NA | CSC-owned | | This is a customer responsibility. AWS customers are responsible for the management of the data they place into AWS services. AWS has no insight as to what type of content the customer chooses to store in AWS and the customer retains complete control of how they choose to classify their content, where it is stored, used and protected from disclosure. | DSP-09 | Conduct a Data Protection Impact Assessment (DPIA) to evaluate the origin, nature, particularity and severity of the risks upon the processing of personal data, according to any applicable laws, regulations and industry best practices. | Data Protection Impact Assessment | Data Security and Privacy Lifecycle Management |

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| DSP-10.1 | Are processes, procedures, and technical measures defined, implemented, and evaluated to ensure any transfer of personal or sensitive data is protected from unauthorized access and only processed within scope (as permitted by respective laws and regulations)? | NA | CSC-owned | | This is a customer responsibility. AWS customers are responsible for the management of the data they place into AWS services. AWS has no insight as to what type of content the customer chooses to store in AWS and the customer retains complete control of how they choose to classify their content, where it is stored, used and protected from disclosure. | DSP-10 | Define, implement and evaluate processes, procedures and technical measures that ensure any transfer of personal or sensitive data is protected from unauthorized access and only processed within scope as permitted by the respective laws and regulations. | Sensitive Data Transfer | Data Security and Privacy Lifecycle Management |
| DSP-11.1 | Are processes, procedures, and technical measures defined, implemented, and evaluated to enable data subjects to request access to, modify, or delete personal data (per applicable laws and regulations)? | NA | CSC-owned | | This is a customer responsibility. AWS customers are responsible for the management of the data they place into AWS services. AWS has no insight as to what type of content the customer chooses to store in AWS and the customer retains complete control of how they choose to classify their content, where it is stored, used and protected from disclosure. | DSP-11 | Define and implement, processes, procedures and technical measures to enable data subjects to request access to, modification, or deletion of their personal data, according to any applicable laws and regulations. | Personal Data Access, Reversal, Rectification and Deletion | Data Security and Privacy Lifecycle Management |

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| DSP-12.1 | Are processes, procedures, and technical measures defined, implemented, and evaluated to ensure personal data is processed (per applicable laws and regulations and for the purposes declared to the data subject)? | Yes | Shared CSP and CSC | AWS has established a formal Data Subject Access Request (DSAR) according to General Data Protection Regulation (GDPR) For this they have to call AWS and open a Harbinger ticket by contacting a CS Team Manager, who will work with Legal to open a ticket which includes continual, independent internal and external assessments to validate the implementation and operating effectiveness of the AWS control environment. | AWS customers are responsible for the management of the data (including adhering to applicable laws and regulations) they place into AWS services. AWS has no insight as to what type of content the customer chooses to store in AWS and the customer retains complete control of how they choose to classify their content, where it is stored, used and protected from disclosure. | DSP-12 | Define, implement and evaluate processes, procedures and technical measures to ensure that personal data is processed according to any applicable laws and regulations and for the purposes declared to the data subject. | Limitation of Purpose in Personal Data Processing | Data Security and Privacy Lifecycle Management |
| DSP-13.1 | Are processes, procedures, and technical measures defined, implemented, and evaluated for the transfer and sub-processing of personal data within the service supply chain (according to any applicable laws and regulations)? | NA | | Note: AWS customers are responsible for the management of the data they place into AWS services. AWS has no insight as to what type of content the customer chooses to store in AWS and the customer retains complete control of how they choose to classify their content, where it is stored, used and protected from disclosure. AWS does not utilize third parties to provide services to customers. There are no subcontractors authorized by AWS to access any customer-owned content that you upload onto AWS. To monitor subcontractor access year-round please refer to https://aws.amazon.com/compliance/sub-processors/ . | | DSP-13 | Define, implement and evaluate processes, procedures and technical measures for the transfer and sub-processing of personal data within the service supply chain, according to any applicable laws and regulations. | Personal Data Sub-processing | Data Security and Privacy Lifecycle Management |
| DSP-14.1 | Are processes, procedures, and technical measures defined, implemented, and evaluated to disclose details to the data owner of any personal or sensitive data access by sub-processors before processing initiation? | NA | | AWS does not utilize third parties to provide services to customers. There are no subcontractors authorized by AWS to access any customer-owned content that you upload onto AWS. To monitor subcontractor access year-round please refer to https://aws.amazon.com/compliance/third-party-access/ . | | DSP-14 | Define, implement and evaluate processes, procedures and technical measures to disclose the details of any personal or sensitive data access by sub-processors to the data owner prior to initiation of that processing. | Disclosure of Data Sub-processors | Data Security and Privacy Lifecycle Management |

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| DSP-15.1 | Is authorization from data owners obtained, and the associated risk managed, before replicating or using production data in non-production environments? | NA | | Customer data is not used for testing. | | DSP-15 | Obtain authorization from data owners, and manage associated risk before replicating or using production data in non-production environments. | Limitation of Production Data Use | Data Security and Privacy Lifecycle Management |
| DSP-16.1 | Do data retention, archiving, and deletion practices follow business requirements, applicable laws, and regulations? | Yes | Shared CSP and CSC | AWS maintains a retention policy applicable to AWS internal data and system components in order to continue operations of AWS business and services. Critical AWS system components, including audit evidence and logging records, are replicated across multiple Availability Zones and backups are maintained and monitored. | AWS customers are responsible for the management of the data they place into AWS services, including retention, archiving, and deletion policies and practices. | DSP-16 | Data retention, archiving and deletion is managed in accordance with business requirements, applicable laws and regulations. | Data Retention and Deletion | Data Security and Privacy Lifecycle Management |

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| DSP-17.1 | Are processes, procedures, and technical measures defined and implemented to protect sensitive data throughout its lifecycle? | NA | CSC-owned | | <p>Customers control their customer content. With AWS, customers:</p> <ul style="list-style-type: none"> • Determine where their customer content will be stored, including the type of storage and geographic region of that storage. • Customers can replicate and back up their customer content in more than one region, and we will not move or replicate customer content outside of the customer's chosen region(s), except as legally required and as necessary to maintain the AWS services and provide them to our customers and their end users. • Choose the secured state of their customer content. We offer customers strong encryption for customer content in transit or at rest, and we provide customers with the option to manage their own encryption keys. • Manage access to their customer content and AWS services and resources through users, groups, permissions and credentials that customers control. | DSP-17 | Define and implement, processes, procedures and technical measures to protect sensitive data throughout its lifecycle. | Sensitive Data Protection | Data Security and Privacy Lifecycle Management |

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| DSP-18.1 | Does the CSP have in place, and describe to CSCs, the procedure to manage and respond to requests for disclosure of Personal Data by Law Enforcement Authorities according to applicable laws and regulations? | Yes | CSP-owned | <p>We are vigilant about our customers' privacy. AWS policy prohibits the disclosure of customer content unless we're required to do so to comply with the law, or with a valid and binding order of a governmental or regulatory body. Unless we are prohibited from doing so or there is clear indication of illegal conduct in connection with the use of Amazon products or services, Amazon notifies customers before disclosing customer content so they can seek protection from disclosure. It's also important to point out that our customers can encrypt their customer content, and we provide customers with the option to manage their own encryption keys.</p> <p>We know transparency matters to our customers, so we regularly publish a report about the types and volume of information requests we receive here: https://aws.amazon.com/compliance/amazon-information-requests/.</p> | | DSP-18 | The CSP must have in place, and describe to CSCs the procedure to manage and respond to requests for disclosure of Personal Data by Law Enforcement Authorities according to applicable laws and regulations. The CSP must give special attention to the notification procedure to interested CSCs, unless otherwise prohibited, such as a prohibition under criminal law to preserve confidentiality of a law enforcement investigation. | Disclosure Notification | Data Security and Privacy Lifecycle Management |
| DSP-18.2 | Does the CSP give special attention to the notification procedure to interested CSCs, unless otherwise prohibited, such as a prohibition under criminal law to preserve confidentiality of a law enforcement investigation? | Yes | Shared CSP and CSC | See response to Question ID DSP-18.1 | | DSP-18 | The CSP must have in place, and describe to CSCs the procedure to manage and respond to requests for disclosure of Personal Data by Law Enforcement Authorities according to applicable laws and regulations. The CSP must give special attention to the notification procedure to interested CSCs, unless otherwise prohibited, such as a prohibition under criminal law to preserve confidentiality of a law enforcement investigation. | Disclosure Notification | Data Security and Privacy Lifecycle Management |

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| DSP-19.1 | Are processes, procedures, and technical measures defined and implemented to specify and document physical data locations, including locales where data is processed or backed up? | NA | CSC-owned | | <p>This is a customer responsibility.</p> <p>Customers manage access to their customer content and AWS services and resources. We provide an advanced set of access, encryption, and logging features to help you do this effectively (such as AWS CloudTrail). We do not access or use customer content for any purpose other than as legally required and for maintaining the AWS services and providing them to our customers and their end users.</p> <p>Customers choose the region(s) in which their customer content will be stored. We will not move or replicate customer content outside of the customer's chosen region(s), except as legally required and as necessary to maintain the AWS services and provide them to our customers and their end users.</p> <p>Customers choose how their customer content is secured. We offer our customers strong encryption for customer content in transit or at rest, and we provide customers with the option to manage their own encryption keys.</p> | DSP-19 | Define and implement, processes, procedures and technical measures to specify and document the physical locations of data, including any locations in which data is processed or backed up. | Data Location | Data Security and Privacy Lifecycle Management |

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| GRC-01.1 | Are information governance program policies and procedures sponsored by organizational leadership established, documented, approved, communicated, applied, evaluated, and maintained? | Yes | CSP-owned | <p>AWS has established formal policies and procedures to provide employees a common baseline for information security standards and guidance. The AWS Information Security Management System policy establishes guidelines for protecting the confidentiality, integrity, and availability of customers' systems and content. Maintaining customer trust and confidence is of the utmost importance to AWS.</p> <p>AWS works to comply with applicable federal, state, and local laws, statutes, ordinances, and regulations concerning security, privacy and data protection of AWS services in order to minimize the risk of accidental or unauthorized access or disclosure of customer content.</p> | | GRC-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for an information governance program, which is sponsored by the leadership of the organization. Review and update the policies and procedures at least annually. | Governance Program Policy and Procedures | Governance, Risk and Compliance |
| GRC-01.2 | Are the policies and procedures reviewed and updated at least annually? | Yes | CSP-owned | <p>Policies are reviewed approved by AWS leadership at least annually or as needed basis.</p> | | GRC-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for an information governance program, which is sponsored by the leadership of the organization. Review and update the policies and procedures at least annually. | Governance Program Policy and Procedures | Governance, Risk and Compliance |

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| GRC-02.1 | Is there an established formal, documented, and leadership-sponsored enterprise risk management (ERM) program that includes policies and procedures for identification, evaluation, ownership, treatment, and acceptance of cloud security and privacy risks? | Yes | CSP-owned | <p>AWS has established an information security management program with designated roles and responsibilities that are appropriately aligned within the organization. AWS management reviews and evaluates the risks identified in the risk management program at least annually. The risk management program encompasses the following phases:</p> <p>Discovery – The discovery phase includes listing out risks (threats and vulnerabilities) that exist in the environment. This phase provides a basis for all other risk management activities.</p> <p>Research – The research phase considers the potential impact(s) of identified risks to the business and its likelihood of occurrence and includes an evaluation of internal control effectiveness.</p> <p>Evaluate – The evaluate phase includes ensuring controls, processes and other physical and virtual safeguards in place to prevent and detect identified and assessed risks.</p> <p>Resolve – The resolve phase results in risk reports provided to managers with the data they need to make effective business decisions and to comply with internal policies and applicable regulations.</p> <p>Monitor – The monitor phase includes performing monitoring activities to evaluate whether processes, initiatives, functions and/or activities are mitigating the risk as designed.</p> | | GRC-02 | Establish a formal, documented, and leadership-sponsored Enterprise Risk Management (ERM) program that includes policies and procedures for identification, evaluation, ownership, treatment, and acceptance of cloud security and privacy risks. | Risk Management Program | Governance, Risk and Compliance |
| GRC-03.1 | Are all relevant organizational policies and associated procedures reviewed at least annually, or when a substantial organizational change occurs? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | GRC-03 | Review all relevant organizational policies and associated procedures at least annually or when a substantial change occurs within the organization. | Organizational Policy Reviews | Governance, Risk and Compliance |
| GRC-04.1 | Is an approved exception process mandated by the governance program established and followed whenever a deviation from an established policy occurs? | Yes | CSP-owned | Management reviews exceptions to security policies to assess and mitigate risks. AWS Security maintains a documented procedure describing the policy exception workflow on an internal AWS website. Policy exceptions are tracked and maintained with the policy tool and exceptions are approved, rejected, or denied based on the procedures outlined within the procedure document. | | GRC-04 | Establish and follow an approved exception process as mandated by the governance program whenever a deviation from an established policy occurs. | Policy Exception Process | Governance, Risk and Compliance |

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| GRC-05.1 | Has an information security program (including programs of all relevant CCM domains) been developed and implemented? | Yes | CSP-owned | <p>AWS has established an information security management program with designated roles and responsibilities that are appropriately aligned within the organization. AWS management reviews and evaluates the risks identified in the risk management program at least annually. The risk management program encompasses the following phases:</p> <p>Discovery – The discovery phase includes listing out risks (threats and vulnerabilities) that exist in the environment. This phase provides a basis for all other risk management activities.</p> <p>Research – The research phase considers the potential impact(s) of identified risks to the business and its likelihood of occurrence and includes an evaluation of internal control effectiveness.</p> <p>Evaluate – The evaluate phase includes ensuring controls, processes and other physical and virtual safeguards in place to prevent and detect identified and assessed risks.</p> <p>Resolve – The resolve phase results in risk reports provided to managers with the data they need to make effective business decisions and to comply with internal policies and applicable regulations.</p> <p>Monitor – The monitor phase includes performing monitoring activities to evaluate whether processes, initiatives, functions and/or activities are mitigating the risk as designed.</p> | | GRC-05 | Develop and implement an Information Security Program, which includes programs for all the relevant domains of the CCM. | Information Security Program | Governance, Risk and Compliance |
| GRC-06.1 | Are roles and responsibilities for planning, implementing, operating, assessing, and improving governance programs defined and documented? | Yes | CSP-owned | See response to Question ID GRC-05.1 | | GRC-06 | Define and document roles and responsibilities for planning, implementing, operating, assessing, and improving governance programs. | Governance Responsibility Model | Governance, Risk and Compliance |

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| GRC-07.1 | Are all relevant standards, regulations, legal/contractual, and statutory requirements applicable to your organization identified and documented? | Yes | CSP-owned | <p>AWS documents, tracks, and monitors its legal, regulatory, and contractual agreements and obligations. In order to do so, AWS performs and maintains the following activities:</p> <ol style="list-style-type: none"> 1) Identifies and evaluates applicable laws and regulations for each of the jurisdictions in which AWS operates 2) Documents and implements controls to help ensure its conformity with statutory, regulatory, and contractual requirements relevant to AWS 3) Categorizes the sensitivity of information according to the AWS information security policies to help protect from loss, destruction, falsification, unauthorized access and unauthorized release 4) Informs and continually trains personnel that must be made aware of information security policies to help protect sensitive AWS information 5) Monitors for nonconformities to the information security policies with a process in place to take corrective actions and enforce appropriate disciplinary action <p>AWS maintains relationships with internal and external parties to monitor legal, regulatory, and contractual requirements. Should a new security directives be issued, AWS creates and documents plans to implement the directive within a designated timeframe.</p> <p>AWS provides customers with evidence of its compliance with applicable legal, regulatory, and contractual requirements through audit reports, attestations, certifications and other compliance enablers. Visit aws.amazon.com/artifact for information on how to review the AWS external attestation and assurance documentation.</p> | | GRC-07 | Identify and document all relevant standards, regulations, legal/contractual, and statutory requirements, which are applicable to your organization. | Information System Regulatory Mapping | Governance, Risk and Compliance |
| GRC-08.1 | Is contact established and maintained with cloud-related special interest groups and other relevant entities? | Yes | CSP-owned | <p>AWS personnel are part of special interest groups, including relevant external parties such as security groups. AWS personnel use these groups to improve their knowledge about security best practices and to stay up to date with relevant security information.</p> | | GRC-08 | Establish and maintain contact with cloud-related special interest groups and other relevant entities in line with business context. | Special Interest Groups | Governance, Risk and Compliance |

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| HRS-01.1 | Are background verification policies and procedures of all new employees (including but not limited to remote employees, contractors, and third parties) established, documented, approved, communicated, applied, evaluated, and maintained? | Yes | CSP-owned | Where permitted by law, AWS requires that employees undergo a background screening at hiring, commensurate with their position and level of access. (Control AWSCA-9.2) AWS has a process to assess whether AWS employees who have access to resources that store or process customer data via permission groups are subject to a post-hire background check as applicable with local law. AWS employees who have access to resources that store or process customer data will have a background check no less than once a year. (Control AWSCA-9.9) | | HRS-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for background verification of all new employees (including but not limited to remote employees, contractors, and third parties) according to local laws, regulations, ethics, and contractual constraints and proportional to the data classification to be accessed, the business requirements, and acceptable risk. Review and update the policies and procedures at least annually. | Background Screening Policy and Procedures | Human Resources |

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| HRS-01.2 | Are background verification policies and procedures designed according to local laws, regulations, ethics, and contractual constraints and proportional to the data classification to be accessed, business requirements, and acceptable risk? | Yes | CSP-owned | AWS conducts criminal background checks, as permitted by applicable law, as part of pre-employment screening practices for employees commensurate with the employee's position and level of access to AWS facilities. The AWS SOC reports provide additional details regarding the controls in place for background verification. | | HRS-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for background verification of all new employees (including but not limited to remote employees, contractors, and third parties) according to local laws, regulations, ethics, and contractual constraints and proportional to the data classification to be accessed, the business requirements, and acceptable risk. Review and update the policies and procedures at least annually. | Background Screening Policy and Procedures | Human Resources |

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| HRS-01.3 | Are background verification policies and procedures reviewed and updated at least annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | HRS-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for background verification of all new employees (including but not limited to remote employees, contractors, and third parties) according to local laws, regulations, ethics, and contractual constraints and proportional to the data classification to be accessed, the business requirements, and acceptable risk. Review and update the policies and procedures at least annually. | Background Screening Policy and Procedures | Human Resources |
| HRS-02.1 | Are policies and procedures for defining allowances and conditions for the acceptable use of organizationally-owned or managed assets established, documented, approved, communicated, applied, evaluated, and maintained? | Yes | CSP-owned | AWS has implemented data handling and classification requirements that provide specifications around: <ul style="list-style-type: none"> • Data encryption • Content in transit and during storage • Access • Retention • Physical controls • Mobile devices • Data handling requirements Employees are required to review and sign-off on an employment contract, which acknowledges their responsibilities to overall Company standards and information security. | | HRS-02 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for defining allowances and conditions for the acceptable use of organizationally-owned or managed assets. Review and update the policies and procedures at least annually. | Acceptable Use of Technology Policy and Procedures | Human Resources |

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| HRS-02.2 | Are the policies and procedures for defining allowances and conditions for the acceptable use of organizationally-owned or managed assets reviewed and updated at least annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | HRS-02 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for defining allowances and conditions for the acceptable use of organizationally-owned or managed assets. Review and update the policies and procedures at least annually. | Acceptable Use of Technology Policy and Procedures | Human Resources |
| HRS-03.1 | Are policies and procedures requiring unattended workspaces to conceal confidential data established, documented, approved, communicated, applied, evaluated, and maintained? | Yes | CSP-owned | AWS roles and responsibilities for maintaining safe and secure working environment are reviewed by independent external auditors during audits for our SOC, PCI DSS and ISO 27001 compliance. | | HRS-03 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures that require unattended workspaces to not have openly visible confidential data. Review and update the policies and procedures at least annually. | Clean Desk Policy and Procedures | Human Resources |
| HRS-03.2 | Are policies and procedures requiring unattended workspaces to conceal confidential data reviewed and updated at least annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | HRS-03 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures that require unattended workspaces to not have openly visible confidential data. Review and update the policies and procedures at least annually. | Clean Desk Policy and Procedures | Human Resources |

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| HRS-04.1 | Are policies and procedures to protect information accessed, processed, or stored at remote sites and locations established, documented, approved, communicated, applied, evaluated, and maintained? | Yes | Shared CSP and CSC | <p>AWS has a formal access control policy that is reviewed and updated on an annual basis (or when any major change to the system occurs that impacts the policy). The policy addresses purpose, scope, roles, responsibilities and management commitment. AWS employs the concept of least privilege, allowing only the necessary access for users to accomplish their job function.</p> <p>All access from remote devices to the AWS corporate environment is managed via VPN and MFA. The AWS production network is separated from the corporate network by multiple layers of security documented in various control documents discussed in other sections of this response.</p> | | HRS-04 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures to protect information accessed, processed or stored at remote sites and locations. Review and update the policies and procedures at least annually. | Remote and Home Working Policy and Procedures | Human Resources |
| HRS-04.2 | Are policies and procedures to protect information accessed, processed, or stored at remote sites and locations reviewed and updated at least annually? | Yes | CSP-owned | <p>Policies are reviewed approved by AWS leadership at least annually or as needed basis.</p> | | HRS-04 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures to protect information accessed, processed or stored at remote sites and locations. Review and update the policies and procedures at least annually. | Remote and Home Working Policy and Procedures | Human Resources |
| HRS-05.1 | Are return procedures of organizationally-owned assets by terminated employees established and documented? | Yes | CSP-owned | <p>Upon termination of employee or contracts, AWS assets in their possessions are retrieved on the date of termination. In case of immediate termination, the employee/contractor manager retrieves all AWS assets (e.g., Authentication tokens, keys, badges) and escorts them out of AWS facility.</p> | | HRS-05 | Establish and document procedures for the return of organization-owned assets by terminated employees. | Asset returns | Human Resources |
| HRS-06.1 | Are procedures outlining the roles and responsibilities concerning changes in employment established, documented, and communicated to all personnel? | Yes | CSP-owned | <p>AWS Human Resources team defines internal management responsibilities to be followed for termination and role change of employees and vendors. AWS SOC reports provide additional details.</p> | | HRS-06 | Establish, document, and communicate to all personnel the procedures outlining the roles and responsibilities concerning changes in employment. | Employment Termination | Human Resources |

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| HRS-07.1 | Are employees required to sign an employment agreement before gaining access to organizational information systems, resources, and assets? | Yes | CSP-owned | Personnel supporting AWS systems and devices must sign a non-disclosure agreement prior to being granted access. Additionally, upon hire, personnel are required to read and accept the Acceptable Use Policy and the Amazon Code of Business Conduct and Ethics (Code of Conduct) Policy. | | HRS-07 | Employees sign the employee agreement prior to being granted access to organizational information systems, resources and assets. | Employment Agreement Process | Human Resources |
| HRS-08.1 | Are provisions and/or terms for adherence to established information governance and security policies included within employment agreements? | Yes | CSP-owned | In alignment with ISO 27001 standard, AWS employees complete periodic role-based training that includes AWS Security training and requires an acknowledgement to complete. Compliance audits are periodically performed to validate that employees understand and follow the established policies. Refer to SOC reports for additional details. | | HRS-08 | The organization includes within the employment agreements provisions and/or terms for adherence to established information governance and security policies. | Employment Agreement Content | Human Resources |
| HRS-09.1 | Are employee roles and responsibilities relating to information assets and security documented and communicated? | Yes | CSP-owned | AWS implements formal, documented policies and procedures that provide guidance for operations and information security within the organization and the supporting AWS environments. Policies address purpose, scope, roles, responsibilities and management commitment. All policies are maintained in a centralized location that is accessible by employees. | | HRS-09 | Document and communicate roles and responsibilities of employees, as they relate to information assets and security. | Personnel Roles and Responsibilities | Human Resources |
| HRS-10.1 | Are requirements for non-disclosure/confidentiality agreements reflecting organizational data protection needs and operational details identified, documented, and reviewed at planned intervals? | Yes | CSP-owned | Amazon Legal Counsel manages and periodically revises the Amazon NDA to reflect AWS business needs. | | HRS-10 | Identify, document, and review, at planned intervals, requirements for non-disclosure/confidentiality agreements reflecting the organization's needs for the protection of data and operational details. | Non-Disclosure Agreements | Human Resources |

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| HRS-11.1 | Is a security awareness training program for all employees of the organization established, documented, approved, communicated, applied, evaluated and maintained? | Yes | CSP-owned | In alignment with ISO 27001 standard, all AWS employees complete periodic Information Security training which requires an acknowledgement to complete. Compliance audits are periodically performed to validate that employees understand and follow the established policies. AWS roles and responsibilities are reviewed by independent external auditors during audits for our SOC, PCI DSS and ISO 27001 compliance. | | HRS-11 | Establish, document, approve, communicate, apply, evaluate and maintain a security awareness training program for all employees of the organization and provide regular training updates. | Security Awareness Training | Human Resources |
| HRS-11.2 | Are regular security awareness training updates provided? | Yes | CSP-owned | See response to Question ID HRS-11.1 | | HRS-11 | Establish, document, approve, communicate, apply, evaluate and maintain a security awareness training program for all employees of the organization and provide regular training updates. | Security Awareness Training | Human Resources |
| HRS-12.1 | Are all employees granted access to sensitive organizational and personal data provided with appropriate security awareness training? | Yes | CSP-owned | In alignment with ISO 27001 standard, all AWS employees complete periodic Information Security training which requires an acknowledgement to complete. Compliance audits are periodically performed to validate that employees understand and follow the established policies. AWS roles and responsibilities are reviewed by independent external auditors during audits for our SOC, PCI DSS and ISO 27001 compliance. | | HRS-12 | Provide all employees with access to sensitive organizational and personal data with appropriate security awareness training and regular updates in organizational procedures, processes, and policies relating to their professional function relative to the organization. | Personal and Sensitive Data Awareness and Training | Human Resources |

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| HRS-12.2 | Are all employees granted access to sensitive organizational and personal data provided with regular updates in procedures, processes, and policies relating to their professional function? | Yes | CSP-owned | <p>AWS has a formal access control policy that is reviewed and updated on an annual basis (or when any major change to the system occurs that impacts the policy). The policy addresses purpose, scope, roles, responsibilities and management commitment. AWS employs the concept of least privilege, allowing only the necessary access for users to accomplish their job function.</p> <p>All access from remote devices to the AWS corporate environment is managed via VPN and MFA. The AWS production network is separated from the corporate network by multiple layers of security documented in various control documents discussed in other sections of this response.</p> <p>Customers retain the control and responsibility of their data and associated media assets. It is the responsibility of the customer to manage mobile security devices and the access to the customer's content.</p> | | HRS-12 | Provide all employees with access to sensitive organizational and personal data with appropriate security awareness training and regular updates in organizational procedures, processes, and policies relating to their professional function relative to the organization. | Personal and Sensitive Data Awareness and Training | Human Resources |
| HRS-13.1 | Are employees notified of their roles and responsibilities to maintain awareness and compliance with established policies, procedures, and applicable legal, statutory, or regulatory compliance obligations? | Yes | CSP-owned | <p>AWS has implemented various methods of internal communication at a global level to help employees understand their individual roles and responsibilities and to communicate significant events in a timely manner. These methods include orientation and training programs for newly hired employee as well as electronic mail messages and the posting of information via the Amazon intranet. Refer to ISO 27001 standard, Annex A, domain 7 and 8. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard.</p> | | HRS-13 | Make employees aware of their roles and responsibilities for maintaining awareness and compliance with established policies and procedures and applicable legal, statutory, or regulatory compliance obligations. | Compliance User Responsibility | Human Resources |
| IAM-01.1 | Are identity and access management policies and procedures established, documented, approved, communicated, implemented, applied, evaluated, and maintained? | Yes | CSP-owned | <p>In alignment with ISO 27001, AWS has a formal access control policy that is reviewed and updated on an annual basis (or when any major change to the system occurs that impacts the policy). The policy addresses purpose, scope, roles, responsibilities and management commitment. Access control procedures are systematically enforced through proprietary tools. Refer to ISO 27001 Annex A, domain 9 for additional details. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard.</p> | | IAM-01 | Establish, document, approve, communicate, implement, apply, evaluate and maintain policies and procedures for identity and access management. Review and update the policies and procedures at least annually. | Identity and Access Management Policy and Procedures | Identity & Access Management |

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| IAM-01.2 | Are identity and access management policies and procedures reviewed and updated at least annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | IAM-01 | Establish, document, approve, communicate, implement, apply, evaluate and maintain policies and procedures for identity and access management. Review and update the policies and procedures at least annually. | Identity and Access Management Policy and Procedures | Identity & Access Management |
| IAM-02.1 | Are strong password policies and procedures established, documented, approved, communicated, implemented, applied, evaluated, and maintained? | Yes | CSP-owned | AWS internal Password Policies and guidelines outlines requirements of password strength and handling for passwords used to access internal systems. AWS Identity and Access Management (IAM) enables customers to securely control access to AWS services and resources for their users. Additional information about IAM can be found on website at https://aws.amazon.com/iam/ . AWS SOC reports provide details on the specific control activities executed by AWS. | | IAM-02 | Establish, document, approve, communicate, implement, apply, evaluate and maintain strong password policies and procedures. Review and update the policies and procedures at least annually. | Strong Password Policy and Procedures | Identity & Access Management |
| IAM-02.2 | Are strong password policies and procedures reviewed and updated at least annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | IAM-02 | Establish, document, approve, communicate, implement, apply, evaluate and maintain strong password policies and procedures. Review and update the policies and procedures at least annually. | Strong Password Policy and Procedures | Identity & Access Management |
| IAM-03.1 | Is system identity information and levels of access managed, stored, and reviewed? | Yes | Shared CSP and CSC | Amazon personnel with a business need to access the management plane are required to first use multi-factor authentication, distinct from their normal corporate Amazon credentials, to gain access to purpose-built administration hosts. These administrative hosts are systems that are specifically designed, built, configured, and hardened to protect the management plane. All such access is logged and audited. When an employee no longer has a business need to access the management plane, the privileges and access to these hosts and relevant systems are revoked. | AWS customers are responsible for access management within their AWS environments. | IAM-03 | Manage, store, and review the information of system identities, and level of access. | Identity Inventory | Identity & Access Management |

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| IAM-04.1 | Is the separation of duties principle employed when implementing information system access? | Yes | Shared CSP and CSC | <p>AWS has a formal access control policy that is reviewed and updated on an annual basis (or when any major change to the system occurs that impacts the policy). The policy addresses purpose, scope, roles, responsibilities and management commitment. AWS employs the concept of least privilege, allowing only the necessary access for users to accomplish their job function.</p> <p>All access from remote devices to the AWS corporate environment is managed via VPN and MFA. The AWS production network is separated from the corporate network by multiple layers of security documented in various control documents discussed in other sections of this response.</p> | Customers retain the ability to manage segregations of duties of their AWS resources. AWS best practices for Identity & Access Management can be found here: https://docs.aws.amazon.com/IAM/ . Search for AWS best practices for Identity & Access Management. | IAM-04 | Employ the separation of duties principle when implementing information system access. | Separation of Duties | Identity & Access Management |
| IAM-05.1 | Is the least privilege principle employed when implementing information system access? | Yes | CSP-owned | See response to Question ID IAM-04.1 | | IAM-05 | Employ the least privilege principle when implementing information system access. | Least Privilege | Identity & Access Management |
| IAM-06.1 | Is a user access provisioning process defined and implemented which authorizes, records, and communicates data and assets access changes? | Yes | CSP-owned | In alignment with ISO 27001, AWS has a formal access control policy that is reviewed and updated on an annual basis (or when any major change to the system occurs that impacts the policy). The policy addresses purpose, scope, roles, responsibilities and management commitment. Access control procedures are systematically enforced through proprietary tools. Refer to ISO 27001 Annex A, domain 9 for additional details. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard. | | IAM-06 | Define and implement a user access provisioning process which authorizes, records, and communicates access changes to data and assets. | User Access Provisioning | Identity & Access Management |
| IAM-07.1 | Is a process in place to de-provision or modify the access, in a timely manner, of movers / leavers or system identity changes, to effectively adopt and communicate identity and access management policies? | Yes | CSP-owned | <p>Access privilege reviews are triggered upon job and/or role transfers initiated from HR system. IT access privileges are reviewed on a quarterly basis by appropriate personnel on a regular cadence.</p> <p>IT access from AWS systems is terminated within 24 hours of termination or deactivation. AWS SOC reports provide further details on User access revocation. In addition, the AWS Security White paper, section "AWS Access" provides additional information. Refer to ISO 27001 Annex A, domain 9 for additional details. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard.</p> | | IAM-07 | De-provision or respectively modify access of movers / leavers or system identity changes in a timely manner in order to effectively adopt and communicate identity and access management policies. | User Access Changes and Revocation | Identity & Access Management |

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| IAM-08.1 | Are reviews and revalidation of user access for least privilege and separation of duties completed with a frequency commensurate with organizational risk tolerance? | Yes | CSP-owned | <p>Access privilege reviews are triggered upon job and/or role transfers initiated from HR system. IT access privileges are reviewed on a quarterly basis by appropriate personnel on a regular cadence.</p> <p>IT access from AWS systems is terminated within 24 hours of termination or deactivation. AWS SOC reports provide further details on User access revocation. In addition, the AWS Security White paper, section "AWS Access" provides additional information. Refer to ISO 27001 Annex A, domain 9 for additional details. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard.</p> | | IAM-08 | Review and revalidate user access for least privilege and separation of duties with a frequency that is commensurate with organizational risk tolerance. | User Access Review | Identity & Access Management |
| IAM-09.1 | Are processes, procedures, and technical measures for the segregation of privileged access roles defined, implemented, and evaluated such that administrative data access, encryption, key management capabilities, and logging capabilities are distinct and separate? | Yes | CSP-owned | <p>AWS has a formal access control policy that is reviewed and updated on an annual basis (or when any major change to the system occurs that impacts the policy). The policy addresses purpose, scope, roles, responsibilities and management commitment. AWS employs the concept of least privilege, allowing only the necessary access for users to accomplish their job function.</p> <p>All access from remote devices to the AWS corporate environment is managed via VPN and MFA. The AWS production network is separated from the corporate network by multiple layers of security documented in various control documents discussed in other sections of this response.</p> <p>Customers retain the control and responsibility of their data and associated media assets. It is the responsibility of the customer to manage mobile security devices and the access to the customer's content.</p> | | IAM-09 | Define, implement and evaluate processes, procedures and technical measures for the segregation of privileged access roles such that administrative access to data, encryption and key management capabilities and logging capabilities are distinct and separated. | Segregation of Privileged Access Roles | Identity & Access Management |
| IAM-10.1 | Is an access process defined and implemented to ensure privileged access roles and rights are granted for a limited period? | Yes | CSP-owned | <p>Amazon personnel with a business need to access the management plane are required to first use multi-factor authentication, distinct from their normal corporate Amazon credentials, to gain access to purpose-built administration hosts. These administrative hosts are systems that are specifically designed, built, configured, and hardened to protect the management plane. All such access is logged and audited. When an employee no longer has a business need to access the management plane, the privileges and access to these hosts and relevant systems are revoked. Refer to SOC2 report for additional details.</p> | | IAM-10 | Define and implement an access process to ensure privileged access roles and rights are granted for a time limited period, and implement procedures to prevent the culmination of segregated privileged access. | Management of Privileged Access Roles | Identity & Access Management |

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| IAM-10.2 | Are procedures implemented to prevent the culmination of segregated privileged access? | Yes | CSP-owned | Access to AWS systems are allocated based on least privilege, approved by an authorized individual prior to access provisioning. Duties and areas of responsibility (for example, access request and approval, change management, testing and deployment, etc.) are segregated across different individuals to reduce opportunities for an unauthorized or unintentional modification or misuse of AWS systems. Group or shared accounts are not permitted within the system boundary. | | IAM-10 | Define and implement an access process to ensure privileged access roles and rights are granted for a time limited period, and implement procedures to prevent the culmination of segregated privileged access. | Management of Privileged Access Roles | Identity & Access Management |
| IAM-11.1 | Are processes and procedures for customers to participate, where applicable, in granting access for agreed, high risk as (defined by the organizational risk assessment) privileged access roles defined, implemented and evaluated? | No | | | | IAM-11 | Define, implement and evaluate processes and procedures for customers to participate, where applicable, in the granting of access for agreed, high risk (as defined by the organizational risk assessment) privileged access roles. | CSCs Approval for Agreed Privileged Access Roles | Identity & Access Management |

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| IAM-12.1 | Are processes, procedures, and technical measures to ensure the logging infrastructure is "read-only" for all with write access (including privileged access roles) defined, implemented, and evaluated? | Yes | CSP-owned | AWS has identified auditable event categories across systems and devices within the AWS system. Service teams configure the auditing features to record continuously the security-related events in accordance with requirements. The log storage system is designed to provide a highly scalable, highly available service that automatically increases capacity as the ensuing need for log storage grows. Audit records contain a set of data elements in order to support necessary analysis requirements. In addition, audit records are available for AWS Security team or other appropriate teams to perform inspection or analysis on demand, and in response to security-related or business-impacting events. Designated personnel on AWS teams receive automated alerts in the event of an audit processing failure. Audit processing failures include, for example, software/hardware errors. When alerted, on-call personnel issue a trouble ticket and track the event until it is resolved. AWS logging and monitoring processes are reviewed by independent third-party auditors for our continued compliance with SOC, PCI DSS and ISO 27001 compliance. | | IAM-12 | Define, implement and evaluate processes, procedures and technical measures to ensure the logging infrastructure is read-only for all with write access, including privileged access roles, and that the ability to disable it is controlled through a procedure that ensures the segregation of duties and break glass procedures. | Safeguard Logs Integrity | Identity & Access Management |
| IAM-12.2 | Is the ability to disable the "read-only" configuration of logging infrastructure controlled through a procedure that ensures the segregation of duties and break glass procedures? | Yes | CSP-owned | AWS has identified auditable event categories across systems and devices within the AWS system. Service teams configure the auditing features to record continuously the security-related events in accordance with requirements. The log storage system is designed to provide a highly scalable, highly available service that automatically increases capacity as the ensuing need for log storage grows. Audit records contain a set of data elements in order to support necessary analysis requirements. In addition, audit records are available for AWS Security team or other appropriate teams to perform inspection or analysis on demand, and in response to security-related or business-impacting events. Designated personnel on AWS teams receive automated alerts in the event of an audit processing failure. Audit processing failures include, for example, software/hardware errors. When alerted, on-call personnel issue a trouble ticket and track the event until it is resolved. AWS logging and monitoring processes are reviewed by independent third-party auditors for our continued compliance with SOC, PCI DSS and ISO 27001 compliance. | | IAM-12 | Define, implement and evaluate processes, procedures and technical measures to ensure the logging infrastructure is read-only for all with write access, including privileged access roles, and that the ability to disable it is controlled through a procedure that ensures the segregation of duties and break glass procedures. | Safeguard Logs Integrity | Identity & Access Management |

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| IAM-13.1 | Are processes, procedures, and technical measures that ensure users are identifiable through unique identification (or can associate individuals with user identification usage) defined, implemented, and evaluated? | Yes | CSP-owned | AWS controls access to systems through authentication that requires a unique user ID and password. AWS systems do not allow actions to be performed on the information system without identification or authentication. User access privileges are restricted based on business need and job responsibilities. AWS employs the concept of least privilege, allowing only the necessary access for users to accomplish their job function. New user accounts are created to have minimal access. User access to AWS systems (for example, network, applications, tools, etc.) requires documented approval from the authorized personnel (for example, user's manager and/or system owner) and validation of the active user in the HR system. Refer to SOC2 report for additional details. | | IAM-13 | Define, implement and evaluate processes, procedures and technical measures that ensure users are identifiable through unique IDs or which can associate individuals to the usage of user IDs. | Uniquely Identifiable Users | Identity & Access Management |
| IAM-14.1 | Are processes, procedures, and technical measures for authenticating access to systems, application, and data assets including multifactor authentication for a least-privileged user and sensitive data access defined, implemented, and evaluated? | Yes | Shared CSP and CSC | Amazon personnel with a business need to access the management plane are required to first use multi-factor authentication, distinct from their normal corporate Amazon credentials, to gain access to purpose-built administration hosts. These administrative hosts are systems that are specifically designed, built, configured, and hardened to protect the management plane. All such access is logged and audited. When an employee no longer has a business need to access the management plane, the privileges and access to these hosts and relevant systems are revoked. Refer to SOC2 report for additional details. | | IAM-14 | Define, implement and evaluate processes, procedures and technical measures for authenticating access to systems, application and data assets, including multifactor authentication for at least privileged user and sensitive data access. Adopt digital certificates or alternatives which achieve an equivalent level of security for system identities. | Strong Authentication | Identity & Access Management |
| IAM-14.2 | Are digital certificates or alternatives that achieve an equivalent security level for system identities adopted? | Yes | CSP-owned | AWS Identity, Directory, and Access Services enable you to add multi-factor authentication (MFA) to your applications. | | IAM-14 | | Strong Authentication | Identity & Access Management |

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| IAM-15.1 | Are processes, procedures, and technical measures for the secure management of passwords defined, implemented, and evaluated? | Yes | CSP-owned | AWS Identity and Access Management (IAM) enables customers to securely control access to AWS services and resources for their users. Additional information about IAM can be found on website at https://aws.amazon.com/iam/ . AWS SOC reports provide details on the specific control activities executed by AWS. | | IAM-15 | Define, implement and evaluate processes, procedures and technical measures for the secure management of passwords. | Passwords Management | Identity & Access Management |
| IAM-16.1 | Are processes, procedures, and technical measures to verify access to data and system functions authorized, defined, implemented, and evaluated? | Yes | Shared CSP and CSC | Controls in place limit access to systems and data and provide that access to systems or data is restricted and monitored. In addition, customer data and server instances are logically isolated from other customers by default. Privileged user access controls are reviewed by an independent auditor during the AWS SOC, ISO 27001 and PCI audits. | AWS Customers retain control and ownership of their data. AWS has no insight as to what type of content the customer chooses to store in AWS and the customer retains complete control of how they choose to classify their content, where it is stored, used and protected from disclosure. | IAM-16 | Define, implement and evaluate processes, procedures and technical measures to verify access to data and system functions is authorized. | Authorization Mechanisms | Identity & Access Management |
| IPY-01.1 | Are policies and procedures established, documented, approved, communicated, applied, evaluated, and maintained for communications between application services (e.g., APIs)? | Yes | CSP-owned | Details regarding AWS APIs can be found on the AWS website at: https://aws.amazon.com/documentation/ | | IPY-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for interoperability and portability including requirements for: a. Communications between application interfaces b. Information processing interoperability c. Application development portability d. Information/Data exchange, usage, portability, integrity, and persistence Review and update the policies and procedures at least annually. | Interoperability and Portability Policy and Procedures | Interoperability & Portability |

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| IPY-01.2 | Are policies and procedures established, documented, approved, communicated, applied, evaluated, and maintained for information processing interoperability? | Yes | CSP-owned | Details regarding AWS interoperability of each service can be found on the AWS website at: https://aws.amazon.com/documentation/ | | IPY-02 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for interoperability and portability including requirements for: a. Communications between application interfaces b. Information processing interoperability c. Application development portability d. Information/Data exchange, usage, portability, integrity, and persistence Review and update the policies and procedures at least annually. | Interoperability and Portability Policy and Procedures | Interoperability & Portability |
| IPY-01.3 | Are policies and procedures established, documented, approved, communicated, applied, evaluated, and maintained for application development portability? | Yes | CSP-owned | Details regarding AWS interoperability of each service can be found on the AWS website at: https://aws.amazon.com/documentation/ | | IPY-03 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for interoperability and portability including requirements for: a. Communications between application interfaces b. Information processing interoperability c. Application development portability d. Information/Data exchange, usage, portability, integrity, and persistence Review and update the policies and procedures at least annually. | Interoperability and Portability Policy and Procedures | Interoperability & Portability |

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| IPY-01.4 | Are policies and procedures established, documented, approved, communicated, applied, evaluated, and maintained for information/data exchange, usage, portability, integrity, and persistence? | Yes | CSP-owned | Details regarding AWS interoperability of each service can be found on the AWS website at: https://aws.amazon.com/documentation/ | | IPY-04 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for interoperability and portability including requirements for: a. Communications between application interfaces b. Information processing interoperability c. Application development portability d. Information/Data exchange, usage, portability, integrity, and persistence Review and update the policies and procedures at least annually. | Interoperability and Portability Policy and Procedures | Interoperability & Portability |
| IPY-01.5 | Are interoperability and portability policies and procedures reviewed and updated at least annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | IPY-05 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for interoperability and portability including requirements for: a. Communications between application interfaces b. Information processing interoperability c. Application development portability d. Information/Data exchange, usage, portability, integrity, and persistence Review and update the policies and procedures at least annually. | Interoperability and Portability Policy and Procedures | Interoperability & Portability |

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| IPY-02.1 | Are CSCs able to programmatically retrieve their data via an application interface(s) to enable interoperability and portability? | Yes | CSC-owned | | Details regarding AWS interoperability of each service can be found on the AWS website at: https://aws.amazon.com/documentation/ | IPY-02 | Provide application interface(s) to CSCs so that they programmatically retrieve their data to enable interoperability and portability. | Application Interface Availability | Interoperability & Portability |
| IPY-03.1 | Are cryptographically secure and standardized network protocols implemented for the management, import, and export of data? | Yes | CSP-owned | AWS APIs and the AWS Management Console are available via TLS protected endpoints, which provide server authentication. Customers can use TLS for all of their interactions with AWS. AWS recommends that customers use secure protocols that offer authentication and confidentiality, such as TLS or IPsec, to reduce the risk of data tampering or loss. AWS enables customers to open a secure, encrypted session to AWS servers using HTTPS (Transport Layer Security [TLS]). | | IPY-03 | Implement cryptographically secure and standardized network protocols for the management, import and export of data. | Secure Interoperability and Portability Management | Interoperability & Portability |
| IPY-04.1 | Do agreements include provisions specifying CSC data access upon contract termination, and have the following? a. Data format b. Duration data will be stored c. Scope of the data retained and made available to the CSCs d. Data deletion policy | Yes | Shared CSP and CSC | AWS customer agreements include data related provisions upon termination. Details regarding contract termination can be found in the example customer agreement, see Section 7. Term; Termination - https://aws.amazon.com/agreement/ . | | IPY-04 | Agreements must include provisions specifying CSCs access to data upon contract termination and will include: a. Data format b. Length of time the data will be stored c. Scope of the data retained and made available to the CSCs d. Data deletion policy | Data Portability Contractual Obligations | Interoperability & Portability |
| IVS-01.1 | Are infrastructure and virtualization security policies and procedures established, documented, approved, communicated, applied, evaluated, and maintained? | Yes | CSP-owned | AWS implements formal, documented policies and procedures that provide guidance for operations and information security within the organization and the supporting AWS environments. Policies address purpose, scope, roles, responsibilities and management commitment. All policies are maintained in a centralized location that is accessible by employees. | | IVS-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for infrastructure and virtualization security. Review and update the policies and procedures at least annually. | Infrastructure and Virtualization Security Policy and Procedures | Infrastructure & Virtualization Security |

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| IVS-01.2 | Are infrastructure and virtualization security policies and procedures reviewed and updated at least annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | IVS-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for infrastructure and virtualization security. Review and update the policies and procedures at least annually. | Infrastructure and Virtualization Security Policy and Procedures | Infrastructure & Virtualization Security |
| IVS-02.1 | Is resource availability, quality, and capacity planned and monitored in a way that delivers required system performance, as determined by the business? | Yes | Shared CSP and CSC | AWS maintains a capacity planning model to assess infrastructure usage and demands at least monthly, and usually more frequently (e.g., weekly). In addition, the AWS capacity planning model supports the planning of future demands to acquire and implement additional resources based upon current resources and forecasted requirements. | | IVS-02 | Plan and monitor the availability, quality, and adequate capacity of resources in order to deliver the required system performance as determined by the business. | Capacity and Resource Planning | Infrastructure & Virtualization Security |
| IVS-03.1 | Are communications between environments monitored? | Yes | Shared CSP and CSC | Monitoring and alarming are configured by Service Owners to identify and notify operational and management personnel of incidents when early warning thresholds are crossed on key operational metrics. | | IVS-03 | Monitor, encrypt and restrict communications between environments to only authenticated and authorized connections, as justified by the business. Review these configurations at least annually, and support them by a documented justification of all allowed services, protocols, ports, and compensating controls. | Network Security | Infrastructure & Virtualization Security |

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| IVS-03.2 | Are communications between environments encrypted? | NA | CSC-owned | | AWS APIs are available via TLS protected endpoints, which provide server authentication. Customers can use TLS for all of their interactions with AWS and within their multiple environment. AWS provides open encryption methodologies and enables customers to encrypt and authenticate all traffic, and to enforce the latest standards and ciphers. | IVS-04 | Monitor, encrypt and restrict communications between environments to only authenticated and authorized connections, as justified by the business. Review these configurations at least annually, and support them by a documented justification of all allowed services, protocols, ports, and compensating controls. | Network Security | Infrastructure & Virtualization Security |
| IVS-03.3 | Are communications between environments restricted to only authenticated and authorized connections, as justified by the business? | Yes | Shared CSP and CSC | AWS implements least privilege throughout its infrastructure components. AWS prohibits all ports and protocols that do not have a specific business purpose. AWS follows a rigorous approach to minimal implementation of only those features and functions that are essential to use of the device. Network scanning is performed and any unnecessary ports or protocols in use are corrected. Customers maintain information related to their data and individual architecture. | Customers retain the control and responsibility of their data and associated media assets. It is the responsibility of the customer to manage their AWS environments and associated access. | IVS-05 | Monitor, encrypt and restrict communications between environments to only authenticated and authorized connections, as justified by the business. Review these configurations at least annually, and support them by a documented justification of all allowed services, protocols, ports, and compensating controls. | Network Security | Infrastructure & Virtualization Security |

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| IVS-03.4 | Are network configurations reviewed at least annually? | Yes | Shared CSP and CSC | Regular internal and external vulnerability scans are performed on the host operating system, web application and databases in the AWS environment utilizing a variety of tools. Vulnerability scanning and remediation practices are regularly reviewed as a part of AWS continued compliance with PCI DSS and ISO 27001. | AWS customers are responsible for configuration management within their AWS environments. | IVS-06 | Monitor, encrypt and restrict communications between environments to only authenticated and authorized connections, as justified by the business. Review these configurations at least annually, and support them by a documented justification of all allowed services, protocols, ports, and compensating controls. | Network Security | Infrastructure & Virtualization Security |
| IVS-03.5 | Are network configurations supported by the documented justification of all allowed services, protocols, ports, and compensating controls? | Yes | Shared CSP and CSC | AWS implements least privilege throughout its infrastructure components. AWS prohibits all ports and protocols that do not have a specific business purpose. AWS follows a rigorous approach to minimal implementation of only those features and functions that are essential to use of the device. Network scanning is performed and any unnecessary ports or protocols in use are corrected. Customers maintain information related to their data and individual architecture. | AWS customers are responsible for network management within their AWS environments. | IVS-07 | Monitor, encrypt and restrict communications between environments to only authenticated and authorized connections, as justified by the business. Review these configurations at least annually, and support them by a documented justification of all allowed services, protocols, ports, and compensating controls. | Network Security | Infrastructure & Virtualization Security |
| IVS-04.1 | Is every host and guest OS, hypervisor, or infrastructure control plane hardened (according to their respective best practices) and supported by technical controls as part of a security baseline? | Yes | Shared CSP and CSC | Regular internal and external vulnerability scans are performed on the host operating system, web application and databases in the AWS environment utilizing a variety of tools. Vulnerability scanning and remediation practices are regularly reviewed as a part of AWS continued compliance with PCI DSS and ISO 27001. | AWS customers are responsible for server and system management within their AWS environments. | IVS-04 | Harden host and guest OS, hypervisor or infrastructure control plane according to their respective best practices, and supported by technical controls, as part of a security baseline. | OS Hardening and Base Controls | Infrastructure & Virtualization Security |

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| IVS-05.1 | Are production and non-production environments separated? | Yes | CSP-owned | The development, test and production environments emulate the production system environment and are used to properly assess and prepare for the impact of a change to the production system environment. In order to reduce the risks of unauthorized access or change to the production environment, the development, test and production environments are logically separated. | | IVS-05 | Separate production and non-production environments. | Production and Non-Production Environments | Infrastructure & Virtualization Security |
| IVS-06.1 | Are applications and infrastructures designed, developed, deployed, and configured such that CSP and CSC (tenant) user access and intra-tenant access is appropriately segmented, segregated, monitored, and restricted from other tenants? | Yes | CSP-owned | <p>Customer environments are logically segregated to prevent users and customers from accessing resources not assigned to them. Customers maintain full control over who has access to their data. Services which provide virtualized operational environments to customers (i.e., EC2) ensure that customers are segregated from one another and prevent cross-tenant privilege escalation and information disclosure via hypervisors and instance isolation.</p> <p>Different instances running on the same physical machine are isolated from each other via the hypervisor. In addition, the Amazon EC2 firewall resides within the hypervisor layer, between the physical network interface and the instance's virtual interface. All packets must pass through this layer, thus an instance's neighbors have no more access to that instance than any other host on the Internet and can be treated as if they are on separate physical hosts. The physical random-access memory (RAM) is separated using similar mechanisms.</p> | | IVS-06 | Design, develop, deploy and configure applications and infrastructures such that CSP and CSC (tenant) user access and intra-tenant access is appropriately segmented and segregated, monitored and restricted from other tenants. | Segmentation and Segregation | Infrastructure & Virtualization Security |
| IVS-07.1 | Are secure and encrypted communication channels including only up-to-date and approved protocols used when migrating servers, services, applications, or data to cloud environments? | Yes | CSC-owned | | AWS offers a wide variety of services and partner tools to help customer migrate data securely. AWS migration services such as AWS Database Migration Service and AWS Snowmobile are integrated with AWS KMS for encryption. Learn more about AWS cloud migration services at: https://aws.amazon.com/cloud-data-migration/ | IVS-07 | Use secure and encrypted communication channels when migrating servers, services, applications, or data to cloud environments. Such channels must include only up-to-date and approved protocols. | Migration to Cloud Environments | Infrastructure & Virtualization Security |

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| IVS-08.1 | Are high-risk environments identified and documented? | NA | CSC-owned | | AWS Customers retain responsibility to manage their own network segmentation in adherence with their defined requirements. Internally, AWS network segmentation is aligned with the ISO 27001 standard. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard. | IVS-08 | Identify and document high-risk environments. | Network Architecture Documentation | Infrastructure & Virtualization Security |
| IVS-09.1 | Are processes, procedures, and defense-in-depth techniques defined, implemented, and evaluated for protection, detection, and timely response to network-based attacks? | Yes | CSP-owned | AWS Security regularly scans all Internet facing service endpoint IP addresses for vulnerabilities (these scans do not include customer instances). AWS Security notifies the appropriate parties to remediate any identified vulnerabilities. In addition, external vulnerability threat assessments are performed regularly by independent security firms. Findings and recommendations resulting from these assessments are categorized and delivered to AWS leadership. In addition, the AWS control environment is subject to regular internal and external risk assessments. AWS engages with external certifying bodies and independent auditors to review and test the AWS overall control environment. AWS security controls are reviewed by independent external auditors during audits for our SOC, PCI DSS and ISO 27001 compliance. | | IVS-09 | Define, implement and evaluate processes, procedures and defense-in-depth techniques for protection, detection, and timely response to network-based attacks. | Network Defense | Infrastructure & Virtualization Security |
| LOG-01.1 | Are logging and monitoring policies and procedures established, documented, approved, communicated, applied, evaluated, and maintained? | Yes | CSP-owned | AWS implements formal, documented policies and procedures that provide guidance for operations and information security within the organization and the supporting AWS environments. Policies address purpose, scope, roles, responsibilities and management commitment. All policies are maintained in a centralized location that is accessible by employees. | | LOG-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for logging and monitoring. Review and update the policies and procedures at least annually. | Logging and Monitoring Policy and Procedures | Logging and Monitoring |

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| LOG-01.2 | Are policies and procedures reviewed and updated at least annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | LOG-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for logging and monitoring. Review and update the policies and procedures at least annually. | Logging and Monitoring Policy and Procedures | Logging and Monitoring |
| LOG-02.1 | Are processes, procedures, and technical measures defined, implemented, and evaluated to ensure audit log security and retention? | Yes | CSP-owned | In alignment with ISO 27001 standards, audit logs are appropriately restricted and monitored. AWS SOC reports provide details on the specific control activities executed by AWS. Refer to AWS: Overview of Security Processes for additional details - available at: http://aws.amazon.com/security/security-learning/ | | LOG-02 | Define, implement and evaluate processes, procedures and technical measures to ensure the security and retention of audit logs. | Audit Logs Protection | Logging and Monitoring |
| LOG-03.1 | Are security-related events identified and monitored within applications and the underlying infrastructure? | NA | CSC-owned | | This is a customer responsibility. AWS customers are responsible for the applications within their AWS environment. | LOG-03 | Identify and monitor security-related events within applications and the underlying infrastructure. Define and implement a system to generate alerts to responsible stakeholders based on such events and corresponding metrics. | Security Monitoring and Alerting | Logging and Monitoring |
| LOG-03.2 | Is a system defined and implemented to generate alerts to responsible stakeholders based on security events and their corresponding metrics? | Yes | Shared CSP and CSC | AWS Security Metrics are monitored and analyzed in accordance with ISO 27001 standard. Refer to ISO 27001 Annex A, domain 16 for further details. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard. | AWS customers are responsible for incident management within their AWS environments. | LOG-03 | Identify and monitor security-related events within applications and the underlying infrastructure. Define and implement a system to generate alerts to responsible stakeholders based on such events and corresponding metrics. | Security Monitoring and Alerting | Logging and Monitoring |

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| LOG-04.1 | Is access to audit logs restricted to authorized personnel, and are records maintained to provide unique access accountability? | Yes | CSP-owned | In alignment with ISO 27001 standards, audit logs are appropriately restricted and monitored. AWS SOC reports provide details on the specific control activities executed by AWS. Refer to AWS: Overview of Security Processes for additional details - available at: http://aws.amazon.com/security/security-learning/ | | LOG-04 | Restrict audit logs access to authorized personnel and maintain records that provide unique access accountability. | Audit Logs Access and Accountability | Logging and Monitoring |
| LOG-05.1 | Are security audit logs monitored to detect activity outside of typical or expected patterns? | Yes | CSP-owned | AWS provides near real-time alerts when the AWS monitoring tools show indications of compromise or potential compromise, based upon threshold alarming mechanisms determined by AWS service and Security teams. AWS correlates information gained from logical and physical monitoring systems to enhance security on an as-needed basis. Upon assessment and discovery of risk, Amazon disables accounts that display atypical usage matching the characteristics of bad actors. The AWS Security team extracts all log messages related to system access and provides reports to designated officials. Log analysis is performed to identify events based on defined risk management parameters. | | LOG-05 | Monitor security audit logs to detect activity outside of typical or expected patterns. Establish and follow a defined process to review and take appropriate and timely actions on detected anomalies. | Audit Logs Monitoring and Response | Logging and Monitoring |
| LOG-05.2 | Is a process established and followed to review and take appropriate and timely actions on detected anomalies? | Yes | CSP-owned | See response to Question ID LOG-005.1 | | LOG-05 | Monitor security audit logs to detect activity outside of typical or expected patterns. Establish and follow a defined process to review and take appropriate and timely actions on detected anomalies. | Audit Logs Monitoring and Response | Logging and Monitoring |
| LOG-06.1 | Is a reliable time source being used across all relevant information processing systems? | Yes | CSP-owned | In alignment with ISO 27001 standards, AWS information systems utilize internal system clocks synchronized via NTP (Network Time Protocol). AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard. | | LOG-06 | Use a reliable time source across all relevant information processing systems. | Clock Synchronization | Logging and Monitoring |

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| LOG-07.1 | Are logging requirements for information meta/data system events established, documented, and implemented? | Yes | CSP-owned | <p>AWS has identified auditable event categories across systems and devices within the AWS system. Service teams configure the auditing features to record continuously the security-related events in accordance with requirements. The log storage system is designed to provide a highly scalable, highly available service that automatically increases capacity as the ensuing need for log storage grows. Audit records contain a set of data elements in order to support necessary analysis requirements. In addition, audit records are available for AWS Security team or other appropriate teams to perform inspection or analysis on demand, and in response to security-related or business-impacting events. Designated personnel on AWS teams receive automated alerts in the event of an audit processing failure. Audit processing failures include, for example, software/hardware errors. When alerted, on-call personnel issue a trouble ticket and track the event until it is resolved.</p> <p>AWS logging and monitoring processes are reviewed by independent third-party auditors for our continued compliance with SOC, PCI DSS and ISO 27001 compliance.</p> | | LOG-07 | Establish, document and implement which information meta/data system events should be logged. Review and update the scope at least annually or whenever there is a change in the threat environment. | Logging Scope | Logging and Monitoring |
| LOG-07.2 | Is the scope reviewed and updated at least annually, or whenever there is a change in the threat environment? | Yes | CSP-owned | <p>Policies are reviewed approved by AWS leadership at least annually or as needed basis.</p> | | LOG-07 | Establish, document and implement which information meta/data system events should be logged. Review and update the scope at least annually or whenever there is a change in the threat environment. | Logging Scope | Logging and Monitoring |

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| LOG-08.1 | Are audit records generated, and do they contain relevant security information? | Yes | CSP-owned | AWS has identified auditable event categories across systems and devices within the AWS system. Service teams configure the auditing features to record continuously the security-related events in accordance with requirements. The log storage system is designed to provide a highly scalable, highly available service that automatically increases capacity as the ensuing need for log storage grows. Audit records contain a set of data elements in order to support necessary analysis requirements. In addition, audit records are available for AWS Security team or other appropriate teams to perform inspection or analysis on demand, and in response to security-related or business-impacting events. | | LOG-08 | Generate audit records containing relevant security information. | Log Records | Logging and Monitoring |
| LOG-09.1 | Does the information system protect audit records from unauthorized access, modification, and deletion? | Yes | CSP-owned | In alignment with ISO 27001 standards, audit logs are appropriately restricted and monitored. AWS SOC reports provide details on the specific control activities executed by AWS. Refer to AWS: Overview of Security Processes for additional details - available at: http://aws.amazon.com/security/security-learning/ | | LOG-09 | The information system protects audit records from unauthorized access, modification, and deletion. | Log Protection | Logging and Monitoring |

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| LOG-10.1 | Are monitoring and internal reporting capabilities established to report on cryptographic operations, encryption, and key management policies, processes, procedures, and controls? | Yes | Shared CSP and CSC | <p>AWS has identified auditable event categories across systems and devices within the AWS system. Service teams configure the auditing features to record continuously the security-related events in accordance with requirements. The log storage system is designed to provide a highly scalable, highly available service that automatically increases capacity as the ensuing need for log storage grows. Audit records contain a set of data elements in order to support necessary analysis requirements. In addition, audit records are available for AWS Security team or other appropriate teams to perform inspection or analysis on demand, and in response to security-related or business-impacting events. Designated personnel on AWS teams receive automated alerts in the event of an audit processing failure. Audit processing failures include, for example, software/hardware errors. When alerted, on-call personnel issue a trouble ticket and track the event until it is resolved.</p> <p>AWS logging and monitoring processes are reviewed by independent third-party auditors for our continued compliance with SOC, PCI DSS and ISO 27001 compliance.</p> | AWS customers are responsible for key management within their AWS environments. | LOG-10 | Establish and maintain a monitoring and internal reporting capability over the operations of cryptographic, encryption and key management policies, processes, procedures, and controls. | Encryption Monitoring and Reporting | Logging and Monitoring |
| LOG-11.1 | Are key lifecycle management events logged and monitored to enable auditing and reporting on cryptographic keys' usage? | NA | CSC-owned | | This is a customer responsibility. | LOG-11 | Log and monitor key lifecycle management events to enable auditing and reporting on usage of cryptographic keys. | Transaction/Activity Logging | Logging and Monitoring |
| LOG-12.1 | Is physical access logged and monitored using an auditable access control system? | Yes | CSP-owned | <p>Access to data center is logged. Only authorized users are allowed into data centers. Visitors follow the visitor access process and their relevant details along with business purpose is logged in the data center access log system. The access log is retained for 90 days unless longer retention is legally required.</p> | | LOG-12 | Monitor and log physical access using an auditable access control system. | Access Control Logs | Logging and Monitoring |

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| LOG-13.1 | Are processes and technical measures for reporting monitoring system anomalies and failures defined, implemented, and evaluated? | Yes | CSP-owned | In alignment with ISO 27001 standards, audit logs are appropriately restricted and monitored. AWS SOC reports provide details on the specific control activities executed by AWS. Refer to AWS: Overview of Security Processes for additional details - available at: http://aws.amazon.com/security/security-learning/ | | LOG-13 | Define, implement and evaluate processes, procedures and technical measures for the reporting of anomalies and failures of the monitoring system and provide immediate notification to the accountable party. | Failures and Anomalies Reporting | Logging and Monitoring |
| LOG-13.2 | Are accountable parties immediately notified about anomalies and failures? | Yes | CSP-owned | <p>AWS provides near real-time alerts when the AWS monitoring tools show indications of compromise or potential compromise, based upon threshold alarming mechanisms determined by AWS service and Security teams. AWS correlates information gained from logical and physical monitoring systems to enhance security on an as-needed basis. Upon assessment and discovery of risk, Amazon disables accounts that display atypical usage matching the characteristics of bad actors.</p> <p>The AWS Security team extracts all log messages related to system access and provides reports to designated officials. Log analysis is performed to identify events based on defined risk management parameters.</p> | | LOG-13 | Define, implement and evaluate processes, procedures and technical measures for the reporting of anomalies and failures of the monitoring system and provide immediate notification to the accountable party. | Failures and Anomalies Reporting | Logging and Monitoring |
| SEF-01.1 | Are policies and procedures for security incident management, e-discovery, and cloud forensics established, documented, approved, communicated, applied, evaluated, and maintained? | Yes | CSP-owned | <p>AWS' incident response program, plans and procedures have been developed in alignment with ISO 27001 standard. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard.</p> <p>In addition, the AWS: Overview of Security Processes Whitepaper provides further details - available at: http://aws.amazon.com/security/security-learning/</p> | | SEF-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for Security Incident Management, E-Discovery, and Cloud Forensics. Review and update the policies and procedures at least annually. | Security Incident Management Policy and Procedures | Security Incident Management, E-Discovery, & Cloud Forensics |

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| SEF-01.2 | Are policies and procedures reviewed and updated annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | SEF-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for Security Incident Management, E-Discovery, and Cloud Forensics. Review and update the policies and procedures at least annually. | Security Incident Management Policy and Procedures | Security Incident Management, E-Discovery, & Cloud Forensics |
| SEF-02.1 | Are policies and procedures for timely management of security incidents established, documented, approved, communicated, applied, evaluated, and maintained? | Yes | CSP-owned | See response to Question ID SEF-01.1 | | SEF-02 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for the timely management of security incidents. Review and update the policies and procedures at least annually. | Service Management Policy and Procedures | Security Incident Management, E-Discovery, & Cloud Forensics |
| SEF-02.2 | Are policies and procedures for timely management of security incidents reviewed and updated at least annually? | Yes | CSP-owned | See response to Question ID SEF-01.2 | | SEF-02 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for the timely management of security incidents. Review and update the policies and procedures at least annually. | Service Management Policy and Procedures | Security Incident Management, E-Discovery, & Cloud Forensics |

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| SEF-03.1 | Is a security incident response plan that includes relevant internal departments, impacted CSCs, and other business-critical relationships (such as supply-chain) established, documented, approved, communicated, applied, evaluated, and maintained? | Yes | CSP-owned | See response to Question ID SEF-01.1 | | SEF-03 | 'Establish, document, approve, communicate, apply, evaluate and maintain a security incident response plan, which includes but is not limited to: relevant internal departments, impacted CSCs, and other business critical relationships (such as supply-chain) that may be impacted.' | Incident Response Plans | Security Incident Management, E-Discovery, & Cloud Forensics |
| SEF-04.1 | Is the security incident response plan tested and updated for effectiveness, as necessary, at planned intervals or upon significant organizational or environmental changes? | Yes | CSP-owned | AWS incident response plans are tested on at least on an annual basis. | | SEF-04 | Test and update as necessary incident response plans at planned intervals or upon significant organizational or environmental changes for effectiveness. | Incident Response Testing | Security Incident Management, E-Discovery, & Cloud Forensics |
| SEF-05.1 | Are information security incident metrics established and monitored? | Yes | CSP-owned | AWS Security Metrics are monitored and analyzed in accordance with ISO 27001 standard. Refer to ISO 27001 Annex A, domain 16 for further details. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard. | | SEF-05 | Establish and monitor information security incident metrics. | Incident Response Metrics | Security Incident Management, E-Discovery, & Cloud Forensics |
| SEF-06.1 | Are processes, procedures, and technical measures supporting business processes to triage security-related events defined, implemented, and evaluated? | Yes | CSP-owned | AWS' incident response program, plans and procedures have been developed in alignment with ISO 27001 standard. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard. In addition, the AWS: Overview of Security Processes Whitepaper provides further details - available at: http://aws.amazon.com/security/security-learning/ | | SEF-06 | Define, implement and evaluate processes, procedures and technical measures supporting business processes to triage security-related events. | Event Triage Processes | Security Incident Management, E-Discovery, & Cloud Forensics |

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| SEF-07.1 | Are processes, procedures, and technical measures for security breach notifications defined and implemented? | Yes | CSP-owned | AWS employees are trained on how to recognize suspected security incidents and where to report them. When appropriate, incidents are reported to relevant authorities. AWS maintains the AWS security bulletin webpage, located at: https://aws.amazon.com/security/security-bulletins , to notify customers of security and privacy events affecting AWS services. Customers can subscribe to the Security Bulletin RSS Feed to keep abreast of security announcements on the Security Bulletin webpage. The customer support team maintains a Service Health Dashboard webpage, located at: http://status.aws.amazon.com/ to alert customers to any broadly impacting availability issues. | | SEF-07 | Define and implement, processes, procedures and technical measures for security breach notifications. Report security breaches and assumed security breaches including any relevant supply chain breaches, as per applicable SLAs, laws and regulations. | Security Breach Notification | Security Incident Management, E-Discovery, & Cloud Forensics |
| SEF-07.2 | Are security breaches and assumed security breaches reported (including any relevant supply chain breaches) as per applicable SLAs, laws, and regulations? | Yes | CSP-owned | AWS maintains the AWS security bulletin webpage, located at: https://aws.amazon.com/security/security-bulletins , to notify customers of security and privacy events affecting AWS services. Customers can subscribe to the Security Bulletin RSS Feed to keep abreast of security announcements on the Security Bulletin webpage. The customer support team maintains a Service Health Dashboard webpage, located at: http://status.aws.amazon.com/ to alert customers to any broadly impacting availability issues. | | SEF-07 | Define and implement, processes, procedures and technical measures for security breach notifications. Report security breaches and assumed security breaches including any relevant supply chain breaches, as per applicable SLAs, laws and regulations. | Security Breach Notification | Security Incident Management, E-Discovery, & Cloud Forensics |
| SEF-08.1 | Are points of contact maintained for applicable regulation authorities, national and local law enforcement, and other legal jurisdictional authorities? | Yes | CSP-owned | AWS maintains contacts with industry bodies, risk and compliance organizations, local authorities and regulatory bodies as required by the ISO 27001 standard. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard. | | SEF-08 | Maintain points of contact for applicable regulation authorities, national and local law enforcement, and other legal jurisdictional authorities. | Points of Contact Maintenance | Security Incident Management, E-Discovery, & Cloud Forensics |

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| STA-01.1 | Are policies and procedures implementing the shared security responsibility model (SSRM) within the organization established, documented, approved, communicated, applied, evaluated, and maintained? | Yes | CSP-owned | <p>Security and Compliance is a shared responsibility between AWS and the customer. The shared model can help relieve the customer's operational burden as AWS operates, manages, and controls the components from the host operating system and virtualization layer down to the physical security of the facilities in which the service operates.</p> <p>Refer to shared responsibility model: https://aws.amazon.com/compliance/shared-responsibility-model/</p> | | STA-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for the application of the Shared Security Responsibility Model (SSRM) within the organization. Review and update the policies and procedures at least annually. | SSRM Policy and Procedures | Supply Chain Management, Transparency, and Accountability |
| STA-01.2 | Are the policies and procedures that apply the SSRM reviewed and updated annually? | Yes | CSP-owned | <p>Security and Compliance is a shared responsibility between AWS and the customer. AWS Information Security Management System policies that are in scope for SSRM are reviewed and updated annually and as necessary. The shared model can help relieve the customer's operational burden as AWS operates, manages, and controls the components from the host operating system and virtualization layer down to the physical security of the facilities in which the service operates.</p> <p>Refer to shared responsibility model: https://aws.amazon.com/compliance/shared-responsibility-model/</p> | | STA-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for the application of the Shared Security Responsibility Model (SSRM) within the organization. Review and update the policies and procedures at least annually. | SSRM Policy and Procedures | Supply Chain Management, Transparency, and Accountability |
| STA-02.1 | Is the SSRM applied, documented, implemented, and managed throughout the supply chain for the cloud service offering? | NA | CSP-owned | <p>AWS proactively informs our customers of any subcontractors who have access to customer-owned content you upload onto AWS, including content that may contain personal data. There are no subcontractors authorized by AWS to access any customer-owned content that you upload onto AWS. To monitor subcontractor access year-round please refer to: https://aws.amazon.com/compliance/third-party-access/</p> | | STA-02 | Apply, document, implement and manage the SSRM throughout the supply chain for the cloud service offering. | SSRM Supply Chain | Supply Chain Management, Transparency, and Accountability |
| STA-03.1 | Is the CSC given SSRM guidance detailing information about SSRM applicability throughout the supply chain? | NA | CSP-owned | <p>AWS proactively informs our customers of any subcontractors who have access to customer-owned content you upload onto AWS, including content that may contain personal data. There are no subcontractors authorized by AWS to access any customer-owned content that you upload onto AWS. To monitor subcontractor access year-round please refer to: https://aws.amazon.com/compliance/third-party-access/</p> | | STA-03 | Provide SSRM Guidance to the CSC detailing information about the SSRM applicability throughout the supply chain. | SSRM Guidance | Supply Chain Management, Transparency, and Accountability |

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| STA-04.1 | Is the shared ownership and applicability of all CSA CCM controls delineated according to the SSRM for the cloud service offering? | Yes | CSP-owned | <p>Security and Compliance is a shared responsibility between AWS and the customer. This varies by cloud services used, the shared model can help relieve the customer's operational burden as AWS operates, manages, and controls the components from the host operating system and virtualization layer down to the physical security of the facilities in which the service operates.</p> <p>Refer to shared responsibility model: https://aws.amazon.com/compliance/shared-responsibility-model/</p> | | STA-04 | Delineate the shared ownership and applicability of all CSA CCM controls according to the SSRM for the cloud service offering. | SSRM Control Ownership | Supply Chain Management, Transparency, and Accountability |
| STA-05.1 | Is SSRM documentation for all cloud services the organization uses reviewed and validated? | Yes | CSP-owned | <p>Security and Compliance is a shared responsibility between AWS and the customer. The shared model can help relieve the customer's operational burden as AWS operates, manages, and controls the components from the host operating system and virtualization layer down to the physical security of the facilities in which the service operates.</p> <p>Refer to shared responsibility model: https://aws.amazon.com/compliance/shared-responsibility-model/</p> | | STA-05 | Review and validate SSRM documentation for all cloud services offerings the organization uses. | SSRM Documentation Review | Supply Chain Management, Transparency, and Accountability |
| STA-06.1 | Are the portions of the SSRM the organization is responsible for implemented, operated, audited, or assessed? | Yes | CSP-owned | AWS has established a formal, periodic audit program that includes continual, independent internal and external assessments to validate the implementation and operating effectiveness of the AWS control environment. | | STA-06 | Implement, operate, and audit or assess the portions of the SSRM which the organization is responsible for. | SSRM Control Implementation | Supply Chain Management, Transparency, and Accountability |
| STA-07.1 | Is an inventory of all supply chain relationships developed and maintained? | NA | CSP-owned | AWS performs periodic reviews of SSRM service and colocation providers to validate adherence with AWS security and operational standards. AWS maintains standard contract review and signature processes that include legal reviews with consideration of protecting AWS resources. AWS proactively informs our customers of any subcontractors who have access to customer-owned content you upload onto AWS, including content that may contain personal data. There are no subcontractors authorized by AWS to access any customer-owned content that you upload onto AWS. | | STA-07 | Develop and maintain an inventory of all supply chain relationships. | Supply Chain Inventory | Supply Chain Management, Transparency, and Accountability |

| Question | Question | CSP CAIQ Answer | SSRM Control Ownership | CSP Implementation Description (Optional/Recommended) | CSC Responsibilities (Optional/Recommended) | CCM Control ID | CCM Control Specification | CCM Control Title | CCM Domain Title |
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| STA-08.1 | Are risk factors associated with all organizations within the supply chain periodically reviewed by CSPs? | NA | CSP-owned | AWS performs periodic reviews of SSRM service and colocation providers to validate adherence with AWS security and operational standards. AWS maintains standard contract review and signature processes that include legal reviews with consideration of protecting AWS resources. AWS proactively informs our customers of any subcontractors who have access to customer-owned content you upload onto AWS, including content that may contain personal data. There are no subcontractors authorized by AWS to access any customer-owned content that you upload onto AWS. | | STA-08 | CSPs periodically review risk factors associated with all organizations within their supply chain. | Supply Chain Risk Management | Supply Chain Management, Transparency, and Accountability |
| STA-09.1 | Do service agreements between CSPs and CSCs (tenants) incorporate at least the following mutually agreed upon provisions and/or terms? <ul style="list-style-type: none"> • Scope, characteristics, and location of business relationship and services offered • Information security requirements (including SSRM) • Change management process • Logging and monitoring capability • Incident management and communication procedures • Right to audit and third-party assessment • Service termination • Interoperability and portability requirements • Data privacy | Yes | Shared CSP and CSC | AWS service agreements includes multiple provisions and terms. For additional details, refer to following sample AWS Customer Agreement online - https://aws.amazon.com/agreement/ | | STA-09 | Service agreements between CSPs and CSCs (tenants) must incorporate at least the following mutually-agreed upon provisions and/or terms: <ul style="list-style-type: none"> • Scope, characteristics and location of business relationship and services offered • Information security requirements (including SSRM) • Change management process • Logging and monitoring capability • Incident management and communication procedures • Right to audit and third party assessment • Service termination • Interoperability and portability requirements • Data privacy | Primary Service and Contractual Agreement | Supply Chain Management, Transparency, and Accountability |

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| STA-10.1 | Are supply chain agreements between CSPs and CSCs reviewed at least annually? | Yes | CSP-owned | AWS' third party agreement processes include periodic review and reporting, and are reviewed by independent auditors. | | STA-10 | Review supply chain agreements between CSPs and CSCs at least annually. | Supply Chain Agreement Review | Supply Chain Management, Transparency, and Accountability |
| STA-11.1 | Is there a process for conducting internal assessments at least annually to confirm the conformance and effectiveness of standards, policies, procedures, and SLA activities? | Yes | CSP-owned | AWS has established a formal, periodic audit program that includes continual, independent internal and external assessments to validate the implementation and operating effectiveness of the AWS control environment. | | STA-11 | Define and implement a process for conducting internal assessments to confirm conformance and effectiveness of standards, policies, procedures, and service level agreement activities at least annually. | Internal Compliance Testing | Supply Chain Management, Transparency, and Accountability |
| STA-12.1 | Are policies that require all supply chain CSPs to comply with information security, confidentiality, access control, privacy, audit, personnel policy, and service level requirements and standards implemented? | Yes | CSP-owned | AWS' third party agreement processes include periodic review and reporting, and are reviewed by independent auditors. | | STA-12 | Implement policies requiring all CSPs throughout the supply chain to comply with information security, confidentiality, access control, privacy, audit, personnel policy and service level requirements and standards. | Supply Chain Service Agreement Compliance | Supply Chain Management, Transparency, and Accountability |
| STA-13.1 | Are supply chain partner IT governance policies and procedures reviewed periodically? | NA | CSP-owned | AWS does not utilize third parties to provide services to customers, but does utilize co-location providers in limited capacity to house some AWS data centers. These controls are audited twice annually in our SOC 1/2 audits and annually in our ISO 27001/17/18 audits. There are no subcontractors authorized by AWS to access any customer-owned content that customers upload onto AWS. To monitor subcontractor access year-round please refer to: https://aws.amazon.com/compliance/third-party-access/ | | STA-13 | Periodically review the organization's supply chain partners' IT governance policies and procedures. | Supply Chain Governance Review | Supply Chain Management, Transparency, and Accountability |

| Question | Question | CSP CAIQ Answer | SSRM Control Ownership | CSP Implementation Description (Optional/Recommended) | CSC Responsibilities (Optional/Recommended) | CCM Control ID | CCM Control Specification | CCM Control Title | CCM Domain Title |
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| STA-14.1 | Is a process to conduct periodic security assessments for all supply chain organizations defined and implemented? | NA | CSP-owned | AWS does not utilize third parties to provide services to customers, but does utilize co-location provides in limited capacity to house some AWS data centers. These controls are audited twice annually in our SOC 1/2 audits and annually in our ISO 27001/17/18 audits. There are no subcontractors authorized by AWS to access any customer-owned content that customers upload onto AWS. To monitor subcontractor access year-round please refer to: https://aws.amazon.com/compliance/third-party-access/ | | STA-14 | Define and implement a process for conducting security assessments periodically for all organizations within the supply chain. | Supply Chain Data Security Assessment | Supply Chain Management, Transparency, and Accountability |
| TVM-01.1 | Are policies and procedures established, documented, approved, communicated, applied, evaluated, and maintained to identify, report, and prioritize the remediation of vulnerabilities to protect systems against vulnerability exploitation? | Yes | CSP-owned | The AWS Security team notifies and coordinates with the appropriate Service Teams when conducting security-related activities within the system boundary. Activities include, vulnerability scanning, contingency testing, and incident response exercises. AWS performs external vulnerability assessments at least quarterly and identified issues are investigated and tracked to resolution. Additionally, AWS performs unannounced penetration tests by engaging independent third-parties to probe the defenses and device configuration settings within the system. | | TVM-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures to identify, report and prioritize the remediation of vulnerabilities, in order to protect systems against vulnerability exploitation. Review and update the policies and procedures at least annually. | Threat and Vulnerability Management Policy and Procedures | Threat & Vulnerability Management |
| TVM-01.2 | Are threat and vulnerability management policies and procedures reviewed and updated at least annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | TVM-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures to identify, report and prioritize the remediation of vulnerabilities, in order to protect systems against vulnerability exploitation. Review and update the policies and procedures at least annually. | Threat and Vulnerability Management Policy and Procedures | Threat & Vulnerability Management |

| Question | Question | CSP CAIQ Answer | SSRM Control Ownership | CSP Implementation Description (Optional/Recommended) | CSC Responsibilities (Optional/Recommended) | CCM Control ID | CCM Control Specification | CCM Control Title | CCM Domain Title |
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| TVM-02.1 | Are policies and procedures to protect against malware on managed assets established, documented, approved, communicated, applied, evaluated, and maintained? | Yes | CSP-owned | AWS' program, processes and procedures to managing antivirus / malicious software is in alignment with ISO 27001 standards. Refer to AWS SOC reports provides further details. In addition, refer to ISO 27001 standard, Annex A, domain 12 for additional details. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard. | | TVM-02 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures to protect against malware on managed assets. Review and update the policies and procedures at least annually. | Malware Protection Policy and Procedures | Threat & Vulnerability Management |
| TVM-02.2 | Are asset management and malware protection policies and procedures reviewed and updated at least annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | TVM-02 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures to protect against malware on managed assets. Review and update the policies and procedures at least annually. | Malware Protection Policy and Procedures | Threat & Vulnerability Management |
| TVM-03.1 | Are processes, procedures, and technical measures defined, implemented, and evaluated to enable scheduled and emergency responses to vulnerability identifications (based on the identified risk)? | Yes | CSP-owned | See response to Question ID TVM-01.1 | | TVM-03 | Define, implement and evaluate processes, procedures and technical measures to enable both scheduled and emergency responses to vulnerability identifications, based on the identified risk. | Vulnerability Remediation Schedule | Threat & Vulnerability Management |
| TVM-04.1 | Are processes, procedures, and technical measures defined, implemented, and evaluated to update detection tools, threat signatures, and compromise indicators weekly (or more frequent) basis? | Yes | CSP-owned | AWS' program, processes and procedures to managing antivirus / malicious software is in alignment with ISO 27001 standards. Refer to AWS SOC reports provides further details. In addition, refer to ISO 27001 standard, Annex A, domain 12 for additional details. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard. | | TVM-04 | Define, implement and evaluate processes, procedures and technical measures to update detection tools, threat signatures, and indicators of compromise on a weekly, or more frequent basis. | Detection Updates | Threat & Vulnerability Management |

| Question | Question | CSP CAIQ Answer | SSRM Control Ownership | CSP Implementation Description (Optional/Recommended) | CSC Responsibilities (Optional/Recommended) | CCM Control ID | CCM Control Specification | CCM Control Title | CCM Domain Title |
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| TVM-05.1 | Are processes, procedures, and technical measures defined, implemented, and evaluated to identify updates for applications that use third-party or open-source libraries (according to the organization's vulnerability management policy)? | Yes | CSP-owned | AWS implements open source software or custom code within its services. All open source software to include binary or machine-executable code from third-parties is reviewed and approved by the Open Source Group prior to implementation, and has source code that is publicly accessible. AWS service teams are prohibited from implementing code from third parties unless it has been approved through the open source review. All code developed by AWS is available for review by the applicable service team, as well as AWS Security. By its nature, open source code is available for review by the Open Source Group prior to granting authorization for use within Amazon. | | TVM-05 | Define, implement and evaluate processes, procedures and technical measures to identify updates for applications which use third party or open source libraries according to the organization's vulnerability management policy. | External Library Vulnerabilities | Threat & Vulnerability Management |
| TVM-06.1 | Are processes, procedures, and technical measures defined, implemented, and evaluated for periodic, independent, third-party penetration testing? | Yes | CSP-owned | AWS Security regularly performs penetration testing. These engagements may include carefully selected industry experts and independent security firms. AWS does not share the results directly with customers. AWS third-party auditors review the results to verify frequency of penetration testing and remediation of findings. | | TVM-06 | Define, implement and evaluate processes, procedures and technical measures for the periodic performance of penetration testing by independent third parties. | Penetration Testing | Threat & Vulnerability Management |
| TVM-07.1 | Are processes, procedures, and technical measures defined, implemented, and evaluated for vulnerability detection on organizationally managed assets at least monthly? | No | CSP-owned | AWS Security performs regular vulnerability scans on the host operating system, web application, and databases in the AWS environment using a variety of tools. External vulnerability assessments are conducted by an AWS approved third party vendor at least quarterly. | | TVM-07 | Define, implement and evaluate processes, procedures and technical measures for the detection of vulnerabilities on organizationally managed assets at least monthly. | Vulnerability Identification | Threat & Vulnerability Management |
| TVM-08.1 | Is vulnerability remediation prioritized using a risk-based model from an industry-recognized framework? | Yes | CSP-owned | AWS Security performs regular vulnerability scans on the host operating system, web application, and databases in the AWS environment using a variety of tools. | | TVM-08 | Use a risk-based model for effective prioritization of vulnerability remediation using an industry recognized framework. | Vulnerability Prioritization | Threat & Vulnerability Management |

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| TVM-09.1 | Is a process defined and implemented to track and report vulnerability identification and remediation activities that include stakeholder notification? | Yes | CSP-owned | The AWS Security team notifies and coordinates with the appropriate Service Teams when conducting security-related activities within the system boundary. Activities include, vulnerability scanning, contingency testing, and incident response exercises. AWS performs external vulnerability assessments at least quarterly and identified issues are investigated and tracked to resolution. Additionally, AWS performs unannounced penetration tests by engaging independent third-parties to probe the defenses and device configuration settings within the system. | | TVM-09 | Define and implement a process for tracking and reporting vulnerability identification and remediation activities that includes stakeholder notification. | Vulnerability Management Reporting | Threat & Vulnerability Management |
| TVM-10.1 | Are metrics for vulnerability identification and remediation established, monitored, and reported at defined intervals? | Yes | Shared CSP and CSC | AWS tracks metrics for internal process measurements and improvements that align with our policies and standards. | AWS customers are responsible for vulnerability management within their AWS environments. | TVM-10 | Establish, monitor and report metrics for vulnerability identification and remediation at defined intervals. | Vulnerability Management Metrics | Threat & Vulnerability Management |
| UEM-01.1 | Are policies and procedures established, documented, approved, communicated, applied, evaluated, and maintained for all endpoints? | Yes | CSP-owned | AWS implements formal, documented policies and procedures that provide guidance for operations and information security within the organization and the supporting AWS environments. Policies address purpose, scope, roles, responsibilities and management commitment. All policies are maintained in a centralized location that is accessible by employees. | | UEM-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for all endpoints. Review and update the policies and procedures at least annually. | Endpoint Devices Policy and Procedures | Universal Endpoint Management |
| UEM-01.2 | Are universal endpoint management policies and procedures reviewed and updated at least annually? | Yes | CSP-owned | Policies are reviewed approved by AWS leadership at least annually or as needed basis. | | UEM-01 | Establish, document, approve, communicate, apply, evaluate and maintain policies and procedures for all endpoints. Review and update the policies and procedures at least annually. | Endpoint Devices Policy and Procedures | Universal Endpoint Management |

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| UEM-02.1 | Is there a defined, documented, applicable and evaluated list containing approved services, applications, and the sources of applications (stores) acceptable for use by endpoints when accessing or storing organization-managed data? | Yes | CSP-owned | Amazon has established baseline infrastructure standards in alignment with industry best practices. All software installations are still monitored by AWS security, and mandatory security controls and software is always required. Users cannot continue to use their laptop or desktop if required software is not installed. Their device will be quarantined from network access until the non-conformance is resolved. | | UEM-02 | Define, document, apply and evaluate a list of approved services, applications and sources of applications (stores) acceptable for use by endpoints when accessing or storing organization-managed data. | Application and Service Approval | Universal Endpoint Management |
| UEM-03.1 | Is a process defined and implemented to validate endpoint device compatibility with operating systems and applications? | Yes | CSP-owned | Amazon has established baseline infrastructure standards in alignment with industry best practices. This includes endpoint compatibility with operating systems and applications. | | UEM-03 | Define and implement a process for the validation of the endpoint device's compatibility with operating systems and applications. | Compatibility | Universal Endpoint Management |
| UEM-04.1 | Is an inventory of all endpoints used and maintained to store and access company data? | Yes | CSP-owned | Amazon has established baseline infrastructure standards in alignment with industry best practices. This includes endpoint inventory management. | | UEM-04 | Maintain an inventory of all endpoints used to store and access company data. | Endpoint Inventory | Universal Endpoint Management |
| UEM-05.1 | Are processes, procedures, and technical measures defined, implemented and evaluated, to enforce policies and controls for all endpoints permitted to access systems and/or store, transmit, or process organizational data? | NA | | AWS employees do not access, process, or change customer data in the course of providing our services. AWS has separate CORP and PROD environments which are separated from each other via physical and logical controls. Only approved users would have the ability to be granted access from CORP to PROD. That access is then managed by separate permission system, requires an approved ticket, requires MFA, is time limited, and all activities are tracked. | | UEM-05 | Define, implement and evaluate processes, procedures and technical measures to enforce policies and controls for all endpoints permitted to access systems and/or store, transmit, or process organizational data. | Endpoint Management | Universal Endpoint Management |

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| UEM-06.1 | Are all relevant interactive-use endpoints configured to require an automatic lock screen? | Yes | CSP-owned | Amazon has established baseline infrastructure standards in alignment with industry best practices. These include automatic lockout after defined period of inactivity. | | UEM-06 | Configure all relevant interactive-use endpoints to require an automatic lock screen. | Automatic Lock Screen | Universal Endpoint Management |
| UEM-07.1 | Are changes to endpoint operating systems, patch levels, and/or applications managed through the organizational change management process? | Yes | CSP-owned | Amazon has established baseline infrastructure standards in alignment with industry best practices. All software installations are still monitored by AWS security, and mandatory security controls and software is always required. Users cannot continue to use their laptop or desktop if required software is not installed. Their device will be quarantined from network access until the non-conformance is resolved. | | UEM-07 | Manage changes to endpoint operating systems, patch levels, and/or applications through the company's change management processes. | Operating Systems | Universal Endpoint Management |
| UEM-08.1 | Is information protected from unauthorized disclosure on managed endpoints with storage encryption? | NA | CSP-owned | AWS employees do not access, process, or change customer data in the course of providing our services. AWS has separate CORP and PROD environments which are separated from each other via physical and logical controls. Only approved users would have the ability to be granted access from CORP to PROD. That access is then managed by separate permission system, requires an approved ticket, requires MFA, is time limited, and all activities are tracked. Additionally, customers are provided tools to encrypt data within AWS environment to add additional layers of security. The encrypted data can only be accessed by authorized customer personnel with access to encryption keys. | | UEM-08 | Protect information from unauthorized disclosure on managed endpoint devices with storage encryption. | Storage Encryption | Universal Endpoint Management |
| UEM-09.1 | Are anti-malware detection and prevention technology services configured on managed endpoints? | Yes | CSP-owned | AWS' program, processes and procedures to managing antivirus / malicious software is in alignment with ISO 27001 standards. Refer to AWS SOC reports provides further details. In addition, refer to ISO 27001 standard, Annex A, domain 12 for additional details. AWS has been validated and certified by an independent auditor to confirm alignment with ISO 27001 certification standard. | | UEM-09 | Configure managed endpoints with anti-malware detection and prevention technology and services. | Anti-Malware Detection and Prevention | Universal Endpoint Management |
| UEM-10.1 | Are software firewalls configured on managed endpoints? | Yes | CSP-owned | Amazon assets (e.g. laptops) are configured with anti-virus software that includes e-mail filtering, software firewalls, and malware detection. | | UEM-10 | Configure managed endpoints with properly configured software firewalls. | Software Firewall | Universal Endpoint Management |

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| UEM-11.1 | Are managed endpoints configured with data loss prevention (DLP) technologies and rules per a risk assessment? | NA | | AWS employees do not access, process, or change customer data in the course of providing our services. AWS has separate CORP and PROD environments which are separated from each other via physical and logical controls. AWS customers are responsible for the management of the data they place into AWS services. AWS has no insight as to what type of content the customer chooses to store in AWS and the customer retains complete control of how they choose to classify their content, where it is stored, used and protected from disclosure. | | UEM-11 | Configure managed endpoints with Data Loss Prevention (DLP) technologies and rules in accordance with a risk assessment. | Data Loss Prevention | Universal Endpoint Management |
| UEM-12.1 | Are remote geolocation capabilities enabled for all managed mobile endpoints? | No | CSP-owned | No response is required as we have indicated no. | | UEM-12 | Enable remote geolocation capabilities for all managed mobile endpoints. | Remote Locate | Universal Endpoint Management |
| UEM-13.1 | Are processes, procedures, and technical measures defined, implemented, and evaluated to enable remote company data deletion on managed endpoint devices? | Yes | CSP-owned | AWS scope for mobile devices are iOS and Android based mobile phones and tablets. AWS maintains a formal mobile device policy and associated procedures. Specifically, AWS mobile devices are only allowed access to AWS corporate fabric resources and cannot access AWS production fabric where customer content is stored. AWS production fabric is separated from the corporate fabric by boundary protection devices that control the flow of information between fabrics. Approved firewall rule sets and access control lists between network fabrics restrict the flow of information to specific information system services. Access control lists and rule sets are reviewed and approved, and are automatically pushed to boundary protection devices on a periodic basis (at least every 24 hours) to ensure rule-sets and access control lists are up-to-date. Consequently, mobile devices are not relevant to AWS customer content access. | | UEM-13 | Define, implement and evaluate processes, procedures and technical measures to enable the deletion of company data remotely on managed endpoint devices. | Remote Wipe | Universal Endpoint Management |

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| UEM-14.1 | Are processes, procedures, and technical and/or contractual measures defined, implemented, and evaluated to maintain proper security of third-party endpoints with access to organizational assets? | NA | | AWS does not utilize third parties to provide services to customers, but does utilize co-location providers in limited capacity to house some AWS data centers. These controls are audited twice annually in our SOC 1/2 audits and annually in our ISO 27001/17/18 audits. There are no subcontractors authorized by AWS to access any customer-owned content that customers upload onto AWS. To monitor subcontractor access year-round please refer to: https://aws.amazon.com/compliance/third-party-access/ | | UEM-14 | Define, implement and evaluate processes, procedures and technical and/or contractual measures to maintain proper security of third-party endpoints with access to organizational assets. | Third-Party Endpoint Security Posture | Universal Endpoint Management |
| End of Standard | | | | | | | | | |

Further Reading

For additional information, see the following sources:

- [AWS Compliance Quick Reference Guide](#)
- [AWS Answers to Key Compliance Questions](#)
- [AWS Cloud Security Alliance \(CSA\) Overview](#)

Document Revisions

| Date | Description |
|--------------|------------------------------------------------------------------------------------------|
| April 2022 | Updated CAIQ template and updated responses to individual questions based on CAIQ v4.0.2 |
| July 2018 | 2018 validation and update |
| January 2018 | Migrated to new template. |
| January 2016 | First publication |