For Administrators

Performing, recording and evidencing controls day to day.

"Know what is yours. Supply it once."

Administration / Execution

Control operators, administrators, evidence coordinators

How many times have you supplied the same evidence to different people?

Today. Duplicate requests, unclear ownership of which control is yours, and a scramble at audit time.

What can change. Each control has a clear place and owner in the structure. One control can address several requirements, so related evidence can be organised in one place and related to each requirement it supports. Each requirement still defines what it needs. The three dimensions of a control show what is expected, how it is managed and what evidence is wanted.

Ask your team. For my control: who sets the expectation, which process do I follow, and where does my evidence go?

What it can look like day to day

Requests. A request for evidence points to a control and its owner, so you know whether it is yours and whether you have already supplied it.

Records. Evidence is kept against the control it supports and related to each requirement, instead of being rebuilt per audit.

Audit time. Evidence is already organised by control, so there is less to gather at the last minute.

Purpose. You can see what your task supports and who uses the result.

Questions worth putting to your team

- Where is the evidence for my control kept, and is it the single copy?
- Who do I ask when two requests seem to overlap?
- When a requirement changes, how will I find out and what do I need to update?

Where to start

List the evidence requests you answered in the last quarter. Mark any you supplied more than once. That list is the case for organising evidence by control.

Related guides: What Changes for You · Where the Effort Goes · Practice Golden Triangle · Control Golden Triangle · COR Triangle. Described outcomes are design intentions; results depend on implementation.

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