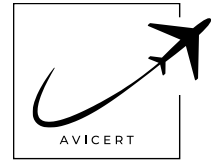


# Compliance Matrix – PART-IS.D.OR

EASA Audit Checklist · information-security · v2025-12-05



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**Reviewed against:** Easy Access Rules for Information Security, version 2025-12-05 – DR per Commission Delegated Regulation (EU) 2023/1771; AMC/GM per ED Decision 2023/013/R

**Regulation hooks:** 599    **IR:** 139 / 144    **AMC:** 163 / 169    **GM:** 250 / 286    **Generated:** 2026-05-25T18:05:02

Each question reference is given as §<cite> Q<n> – open the corresponding section of the audit checklist and locate the question by its number within that section.

## §IS.D.OR.100

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.100	§IS.D.OR.100 Q1

## §IS.D.OR.200

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.200(a)(1)	§IS.D.OR.200 Q1
<b>IR</b> IR §IS.D.OR.200(a)(10)	§IS.D.OR.200 Q10
<b>IR</b> IR §IS.D.OR.200(a)(11)	§IS.D.OR.200 Q11
<b>IR</b> IR §IS.D.OR.200(a)(12)	§IS.D.OR.200 Q12
<b>IR</b> IR §IS.D.OR.200(a)(13)	§IS.D.OR.200 Q13
<b>IR</b> IR §IS.D.OR.200(a)(2)	§IS.D.OR.200 Q2
<b>IR</b> IR §IS.D.OR.200(a)(3)	§IS.D.OR.200 Q3
<b>IR</b> IR §IS.D.OR.200(a)(4)	§IS.D.OR.200 Q4
<b>IR</b> IR §IS.D.OR.200(a)(5)	§IS.D.OR.200 Q5
<b>IR</b> IR §IS.D.OR.200(a)(6)	§IS.D.OR.200 Q6
<b>IR</b> IR §IS.D.OR.200(a)(7)	§IS.D.OR.200 Q7
<b>IR</b> IR §IS.D.OR.200(a)(8)	§IS.D.OR.200 Q8
<b>IR</b> IR §IS.D.OR.200(a)(9)	§IS.D.OR.200 Q9

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.200(b)	§IS.D.OR.200 Q14
<b>IR</b> IR §IS.D.OR.200(c)	§IS.D.OR.200 Q15
<b>IR</b> IR §IS.D.OR.200(d)	§IS.D.OR.200 Q16
<b>IR</b> IR §IS.D.OR.200(e)	§IS.D.OR.200 Q17
<b>AMC</b> AMC1 IS.D.OR.200(a)(1) §(a)	§IS.D.OR.200(a)(1) Q1
<b>AMC</b> AMC1 IS.D.OR.200(a)(1) §(b)	§IS.D.OR.200(a)(1) Q2
<b>AMC</b> AMC1 IS.D.OR.200(a)(1) §(c)	§IS.D.OR.200(a)(1) Q3
<b>AMC</b> AMC1 IS.D.OR.200(a)(1) §(d)	§IS.D.OR.200(a)(1) Q4
<b>AMC</b> AMC1 IS.D.OR.200(a)(1) §(e)	§IS.D.OR.200(a)(1) Q5
<b>AMC</b> AMC1 IS.D.OR.200(a)(1) §(f)	§IS.D.OR.200(a)(1) Q6
<b>AMC</b> AMC1 IS.D.OR.200(a)(1) §(g)	§IS.D.OR.200(a)(1) Q7
<b>AMC</b> AMC1 IS.D.OR.200(a)(1) §(h)	§IS.D.OR.200(a)(1) Q8
<b>AMC</b> AMC1 IS.D.OR.200(a)(1) §(i)	§IS.D.OR.200(a)(1) Q9
<b>AMC</b> AMC1 IS.D.OR.200(a)(1) §(j)	§IS.D.OR.200(a)(1) Q10
<b>AMC</b> AMC1 IS.D.OR.200(a)(1)#prose §1	§IS.D.OR.200(a)(1) Q11
<b>AMC</b> AMC1 IS.D.OR.200(a)(1)#prose §2	§IS.D.OR.200(a)(1) Q12
<b>AMC</b> AMC1 IS.D.OR.200(a)(1)#prose §3	§IS.D.OR.200(a)(1) Q13
<b>AMC</b> AMC1 IS.D.OR.200(a)(12)	§IS.D.OR.200(a)(12) Q1
	§IS.D.OR.200(a)(12) Q2
	§IS.D.OR.200(a)(12) Q3
<b>AMC</b> AMC1 IS.D.OR.200(a)(13)	§IS.D.OR.200(a)(13) Q1
	§IS.D.OR.200(a)(13) Q2
	§IS.D.OR.200(a)(13) Q3
<b>AMC</b> AMC1 IS.D.OR.200(c) §(a)	§IS.D.OR.200(c) Q1
	§IS.D.OR.200(c) Q2
	§IS.D.OR.200(c) Q3
<b>AMC</b> AMC1 IS.D.OR.200(c) §(b)	§IS.D.OR.200(c) Q4
	§IS.D.OR.200(c) Q5
<b>AMC</b> AMC1 IS.D.OR.200(c) §(c)	§IS.D.OR.200(c) Q6
	§IS.D.OR.200(c) Q7
<b>AMC</b> AMC1 IS.D.OR.200(c) §(d)	§IS.D.OR.200(c) Q8

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>AMC</b> AMC1 IS.D.OR.200(c) §(e)	§IS.D.OR.200(c) Q9 §IS.D.OR.200(c) Q10
<b>AMC</b> AMC1 IS.D.OR.200(c) §(f)(1)	§IS.D.OR.200(c) Q11
<b>AMC</b> AMC1 IS.D.OR.200(c) §(f)(2)	§IS.D.OR.200(c) Q12
<b>AMC</b> AMC1 IS.D.OR.200(e)	§IS.D.OR.200(e) Q1 §IS.D.OR.200(e) Q2
<b>GM</b> GM1 IS.D.OR.200 §(a)	§IS.D.OR.200 Q1
<b>GM</b> GM1 IS.D.OR.200 §(b)	§IS.D.OR.200 Q2
<b>GM</b> GM1 IS.D.OR.200 §(c)	§IS.D.OR.200 Q3
<b>GM</b> GM1 IS.D.OR.200 §(d)	§IS.D.OR.200 Q4
<b>GM</b> GM1 IS.D.OR.200 §(e)	§IS.D.OR.200 Q5
<b>GM</b> GM1 IS.D.OR.200 §(f)	§IS.D.OR.200 Q6
<b>GM</b> GM1 IS.D.OR.200 §(g)	§IS.D.OR.200 Q7
<b>GM</b> GM1 IS.D.OR.200 §(h)	§IS.D.OR.200 Q8
<b>GM</b> GM1 IS.D.OR.200 §(i)	§IS.D.OR.200 Q9
<b>GM</b> GM1 IS.D.OR.200 §(j)	§IS.D.OR.200 Q10
<b>GM</b> GM1 IS.D.OR.200 §(k)	§IS.D.OR.200 Q11
<b>GM</b> GM1 IS.D.OR.200 §(l)	§IS.D.OR.200 Q12
<b>GM</b> GM1 IS.D.OR.200 §(m)	§IS.D.OR.200 Q13
<b>GM</b> GM1 IS.D.OR.200 §(n)	§IS.D.OR.200 Q14
<b>GM</b> GM1 IS.D.OR.200#compliance §1	§IS.D.OR.200 Q15
<b>GM</b> GM1 IS.D.OR.200#compliance §2	§IS.D.OR.200 Q16
<b>GM</b> GM1 IS.D.OR.200#csf §1	§IS.D.OR.200 Q17
<b>GM</b> GM1 IS.D.OR.200#csf §2	§IS.D.OR.200 Q18
<b>GM</b> GM1 IS.D.OR.200#csf §3	§IS.D.OR.200 Q19
<b>GM</b> GM1 IS.D.OR.200#csf §4	§IS.D.OR.200 Q20
<b>GM</b> GM1 IS.D.OR.200#csf §5	§IS.D.OR.200 Q21
<b>GM</b> GM1 IS.D.OR.200#iso §1	§IS.D.OR.200 Q22

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>GM</b> GM1 IS.D.OR.200(a)(1)	§IS.D.OR.200(a)(1) Q1
	§IS.D.OR.200(a)(1) Q2
	§IS.D.OR.200(a)(1) Q3
	§IS.D.OR.200(a)(1) Q4
	§IS.D.OR.200(a)(1) Q5
	§IS.D.OR.200(a)(1) Q6
	§IS.D.OR.200(a)(1) Q7
	§IS.D.OR.200(a)(1) Q8
	§IS.D.OR.200(a)(1) Q9
	§IS.D.OR.200(a)(1) Q10
<b>GM</b> GM1 IS.D.OR.200(a)(12)	§IS.D.OR.200(a)(12) Q1
	§IS.D.OR.200(a)(12) Q2
	§IS.D.OR.200(a)(12) Q3
	§IS.D.OR.200(a)(12) Q4
<b>GM</b> GM1 IS.D.OR.200(c) §(a)	§IS.D.OR.200(c) Q1
<b>GM</b> GM1 IS.D.OR.200(c) §(b)	§IS.D.OR.200(c) Q2
<b>GM</b> GM1 IS.D.OR.200(c) §(c)	§IS.D.OR.200(c) Q3
<b>GM</b> GM1 IS.D.OR.200(c) §(d)	§IS.D.OR.200(c) Q4
<b>GM</b> GM1 IS.D.OR.200(c) §(e)	§IS.D.OR.200(c) Q5
<b>GM</b> GM1 IS.D.OR.200(c) §(f)	§IS.D.OR.200(c) Q6
<b>GM</b> GM1 IS.D.OR.200(c) §(g)	§IS.D.OR.200(c) Q7
<b>GM</b> GM1 IS.D.OR.200(c) §(h)	§IS.D.OR.200(c) Q8
<b>GM</b> GM1 IS.D.OR.200(d) §(a)	§IS.D.OR.200(d) Q1
<b>GM</b> GM1 IS.D.OR.200(d) §(b)	§IS.D.OR.200(d) Q2
<b>GM</b> GM1 IS.D.OR.200(d) §(c)	§IS.D.OR.200(d) Q3
<b>GM</b> GM1 IS.D.OR.200(d)#proportionality §1	§IS.D.OR.200(d) Q4
<b>GM</b> GM1 IS.D.OR.200(d)#proportionality §2	§IS.D.OR.200(d) Q5
<b>GM</b> GM1 IS.D.OR.200(d)#supported §1	§IS.D.OR.200(d) Q6
<b>GM</b> GM1 IS.D.OR.200(d)#supported §2	§IS.D.OR.200(d) Q7
<b>GM</b> GM1 IS.D.OR.200(d)#supported §3	§IS.D.OR.200(d) Q8
<b>GM</b> GM1 IS.D.OR.200(d)#supported §4	§IS.D.OR.200(d) Q9
<b>GM</b> GM1 IS.D.OR.200(d)#supported §5	§IS.D.OR.200(d) Q10

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>GM</b> GM1 IS.D.OR.200(d)#supported §6	§IS.D.OR.200(d) Q11
<b>GM</b> GM1 IS.D.OR.200(d)#supported §7	§IS.D.OR.200(d) Q12
<b>GM</b> GM1 IS.D.OR.200(d)#integration §1	§IS.D.OR.200(d) Q13
<b>GM</b> GM1 IS.D.OR.200(d)#integration §2	§IS.D.OR.200(d) Q14
<b>GM</b> GM1 IS.D.OR.200(d)#integration §3	§IS.D.OR.200(d) Q15
<b>GM</b> GM1 IS.D.OR.200(d)#integration §4	§IS.D.OR.200(d) Q16
<b>GM</b> GM1 IS.D.OR.200(d)#integration §5	§IS.D.OR.200(d) Q17
<b>GM</b> GM1 IS.D.OR.200(d)#integration §6	§IS.D.OR.200(d) Q18
<b>GM</b> GM1 IS.D.OR.200(d)#integration §7	§IS.D.OR.200(d) Q19
<b>GM</b> GM1 IS.D.OR.200(e)	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.200(e)#preamble §1	§IS.D.OR.200(e) Q1
<b>GM</b> GM1 IS.D.OR.200(e)#preamble §2	§IS.D.OR.200(e) Q2
<b>GM</b> GM1 IS.D.OR.200(e)#preamble §3	§IS.D.OR.200(e) Q3
<b>GM</b> GM1 IS.D.OR.200(e)#application §1	§IS.D.OR.200(e) Q4
<b>GM</b> GM1 IS.D.OR.200(e)#application §2	§IS.D.OR.200(e) Q5
<b>GM</b> GM1 IS.D.OR.200(e)#application §3	§IS.D.OR.200(e) Q6
<b>GM</b> GM1 IS.D.OR.200(e)#application §4	§IS.D.OR.200(e) Q7
<b>GM</b> GM1 IS.D.OR.200(e)#post §1	§IS.D.OR.200(e) Q8
<b>GM</b> GM1 IS.D.OR.200(e)#post §2	§IS.D.OR.200(e) Q9
<b>GM</b> GM1 IS.D.OR.200(e)#post §3	§IS.D.OR.200(e) Q10
<b>GM</b> GM1 IS.D.OR.200(e)#post §4	§IS.D.OR.200(e) Q11
<b>GM</b> GM1 IS.D.OR.200(e)#post §5	§IS.D.OR.200(e) Q12
<b>GM</b> GM1 IS.D.OR.200(e)#post §6	§IS.D.OR.200(e) Q13
<b>GM</b> GM1 IS.D.OR.200(e)#post §7	§IS.D.OR.200(e) Q14
<b>GM</b> GM1 IS.D.OR.200(e)#post §8	§IS.D.OR.200(e) Q15
<b>GM</b> GM1 IS.D.OR.200(e)#post §9	§IS.D.OR.200(e) Q16
<b>GM</b> GM1 IS.D.OR.200(e)#post §10	§IS.D.OR.200(e) Q17
<b>GM</b> GM1 IS.D.OR.200(e)#post §11	§IS.D.OR.200(e) Q18

## §IS.D.OR.205

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.205(a)(1)	§IS.D.OR.205 Q1
<b>IR</b> IR §IS.D.OR.205(a)(2)	§IS.D.OR.205 Q2
<b>IR</b> IR §IS.D.OR.205(b)	§IS.D.OR.205 Q3
<b>IR</b> IR §IS.D.OR.205(c)(1)	§IS.D.OR.205 Q4
<b>IR</b> IR §IS.D.OR.205(c)(2)	§IS.D.OR.205 Q5
<b>IR</b> IR §IS.D.OR.205(c)#prose §1	§IS.D.OR.205 Q6
<b>IR</b> IR §IS.D.OR.205(c)#prose §2	§IS.D.OR.205 Q7
<b>IR</b> IR §IS.D.OR.205(c)#prose §3	§IS.D.OR.205 Q8
<b>IR</b> IR §IS.D.OR.205(d)(1)	§IS.D.OR.205 Q9
<b>IR</b> IR §IS.D.OR.205(d)(2)	§IS.D.OR.205 Q10
<b>IR</b> IR §IS.D.OR.205(d)(3)	§IS.D.OR.205 Q11
<b>IR</b> IR §IS.D.OR.205(d)(4)	§IS.D.OR.205 Q12
<b>AMC</b> AMC1 IS.D.OR.205(a)	§IS.D.OR.205(a) Q1 §IS.D.OR.205(a) Q2
<b>AMC</b> AMC1 IS.D.OR.205(b)	§IS.D.OR.205(b) Q1
<b>AMC</b> AMC1 IS.D.OR.205(c)#prose §1	§IS.D.OR.205(c) Q1
<b>AMC</b> AMC1 IS.D.OR.205(c)#prose §2	§IS.D.OR.205(c) Q2
<b>AMC</b> AMC1 IS.D.OR.205(c)#prose §3	§IS.D.OR.205(c) Q3
<b>AMC</b> AMC1 IS.D.OR.205(c) §(a)	§IS.D.OR.205(c) Q4
<b>AMC</b> AMC1 IS.D.OR.205(c) §(b)	§IS.D.OR.205(c) Q5
<b>AMC</b> AMC1 IS.D.OR.205(c) §(c)(1)	§IS.D.OR.205(c) Q6
<b>AMC</b> AMC1 IS.D.OR.205(c) §(c)(2)	§IS.D.OR.205(c) Q7
<b>AMC</b> AMC1 IS.D.OR.205(c) §(d)(1)	§IS.D.OR.205(c) Q8
<b>AMC</b> AMC1 IS.D.OR.205(c) §(d)(2)	§IS.D.OR.205(c) Q9
<b>AMC</b> AMC1 IS.D.OR.205(c) §(d)(3)	§IS.D.OR.205(c) Q10
<b>AMC</b> AMC1 IS.D.OR.205(c) §(d)(4)	§IS.D.OR.205(c) Q11
<b>AMC</b> AMC1 IS.D.OR.205(d) §(a)	§IS.D.OR.205(d) Q1 §IS.D.OR.205(d) Q2

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>AMC</b> AMC1 IS.D.OR.205(d) §(b)	§IS.D.OR.205(d) Q3
<b>GM</b> GM1 IS.D.OR.205	§IS.D.OR.205 Q1
<b>GM</b> GM1 IS.D.OR.205#prose §1	§IS.D.OR.205 Q2
<b>GM</b> GM1 IS.D.OR.205#prose §2	§IS.D.OR.205 Q3
<b>GM</b> GM1 IS.D.OR.205(a)#prose §1	§IS.D.OR.205(a) Q1
<b>GM</b> GM1 IS.D.OR.205(a)#prose §2	§IS.D.OR.205(a) Q2
<b>GM</b> GM1 IS.D.OR.205(a) §(a)	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.205(a) §(b)	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.205(a) §(c)	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.205(a) §(d)	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.205(b)#sharing §1	§IS.D.OR.205(b) Q1
<b>GM</b> GM1 IS.D.OR.205(b) §(a)	§IS.D.OR.205(b) Q2
<b>GM</b> GM1 IS.D.OR.205(b) §(b)	§IS.D.OR.205(b) Q3
<b>GM</b> GM1 IS.D.OR.205(b) §(c)	§IS.D.OR.205(b) Q4
<b>GM</b> GM1 IS.D.OR.205(b) §(d)	§IS.D.OR.205(b) Q5
<b>GM</b> GM1 IS.D.OR.205(b) §(e)	§IS.D.OR.205(b) Q6
<b>GM</b> GM1 IS.D.OR.205(b)#cat §1	§IS.D.OR.205(b) Q7
<b>GM</b> GM1 IS.D.OR.205(b)#cat §2	§IS.D.OR.205(b) Q8
<b>GM</b> GM1 IS.D.OR.205(b)#cat §3	§IS.D.OR.205(b) Q9
<b>GM</b> GM1 IS.D.OR.205(b)#cat §4	§IS.D.OR.205(b) Q10
<b>GM</b> GM1 IS.D.OR.205(c)	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.205(c)#ra §1	§IS.D.OR.205(c) Q1
<b>GM</b> GM1 IS.D.OR.205(c)#ra §2	§IS.D.OR.205(c) Q2
<b>GM</b> GM1 IS.D.OR.205(c)#ra §3	§IS.D.OR.205(c) Q3
<b>GM</b> GM1 IS.D.OR.205(c)#ra §4	§IS.D.OR.205(c) Q4
<b>GM</b> GM1 IS.D.OR.205(c)#ra §5	§IS.D.OR.205(c) Q5
<b>GM</b> GM1 IS.D.OR.205(c)#ra §6	§IS.D.OR.205(c) Q6
<b>GM</b> GM1 IS.D.OR.205(c)#ra §7	§IS.D.OR.205(c) Q7

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>GM</b> GM1 IS.D.OR.205(c)#ra §8	§IS.D.OR.205(c) Q8
<b>GM</b> GM1 IS.D.OR.205(c)#ra §9	§IS.D.OR.205(c) Q9
<b>GM</b> GM1 IS.D.OR.205(c)#rac §1	§IS.D.OR.205(c) Q10
<b>GM</b> GM1 IS.D.OR.205(c)#rac §2	§IS.D.OR.205(c) Q11
<b>GM</b> GM1 IS.D.OR.205(c)#rac §3	§IS.D.OR.205(c) Q12
<b>GM</b> GM1 IS.D.OR.205(c)#rac §4	§IS.D.OR.205(c) Q13
<b>GM</b> GM1 IS.D.OR.205(c)#rac §5	§IS.D.OR.205(c) Q14
<b>GM</b> GM1 IS.D.OR.205(c)#rac §6	§IS.D.OR.205(c) Q15
<b>GM</b> GM1 IS.D.OR.205(c)#rac §7	§IS.D.OR.205(c) Q16
<b>GM</b> GM1 IS.D.OR.205(c)#rac §8	§IS.D.OR.205(c) Q17
<b>GM</b> GM1 IS.D.OR.205(c)#rac §9	§IS.D.OR.205(c) Q18
<b>GM</b> GM1 IS.D.OR.205(c)#rac §10	§IS.D.OR.205(c) Q19
<b>GM</b> GM1 IS.D.OR.205(c)#rac §11	§IS.D.OR.205(c) Q20
<b>GM</b> GM1 IS.D.OR.205(c)#tsi §1	§IS.D.OR.205(c) Q21
<b>GM</b> GM1 IS.D.OR.205(c)#tsi §2	§IS.D.OR.205(c) Q22
<b>GM</b> GM1 IS.D.OR.205(c)#am §1	§IS.D.OR.205(c) Q23
<b>GM</b> GM1 IS.D.OR.205(c)#ex §1	§IS.D.OR.205(c) Q24
<b>GM</b> GM1 IS.D.OR.205(d)#prose §1	§IS.D.OR.205(d) Q1
<b>GM</b> GM1 IS.D.OR.205(d)#prose §2	§IS.D.OR.205(d) Q2
<b>GM</b> GM1 IS.D.OR.205(d)#prose §3	§IS.D.OR.205(d) Q3
<b>GM</b> GM1 IS.D.OR.205(d) §(a)	§IS.D.OR.205(d) Q4
<b>GM</b> GM1 IS.D.OR.205(d) §(b)	§IS.D.OR.205(d) Q5
<b>GM</b> GM1 IS.D.OR.205(d) §(c)	§IS.D.OR.205(d) Q6
<b>GM</b> GM1 IS.D.OR.205(d) §(d)	§IS.D.OR.205(d) Q7
<b>GM</b> GM1 IS.D.OR.205(d) §(e)	§IS.D.OR.205(d) Q8
<b>GM</b> GM1 IS.D.OR.205(d) §(f)	§IS.D.OR.205(d) Q9
<b>GM</b> GM1 IS.D.OR.205(d)#post §1	§IS.D.OR.205(d) Q10
<b>GM</b> GM1 IS.D.OR.205(d)#post §2	§IS.D.OR.205(d) Q11

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>GM</b> GM1 IS.D.OR.205(d)#post §3	§IS.D.OR.205(d) Q12
<b>GM</b> GM2 IS.D.OR.205(b)	— <i>informational only</i> —
<b>GM</b> GM2 IS.D.OR.205(d) §(a)	— <i>informational only</i> —
<b>GM</b> GM2 IS.D.OR.205(d) §(b)	— <i>informational only</i> —
<b>GM</b> GM2 IS.D.OR.205(d) §(c)	— <i>informational only</i> —
<b>GM</b> GM2 IS.D.OR.205(d) §(d)	— <i>informational only</i> —
<b>GM</b> GM2 IS.D.OR.205(d)#note §1	§IS.D.OR.205(d) Q1

## §IS.D.OR.210

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.210(a)#prose §1	§IS.D.OR.210 Q1
<b>IR</b> IR §IS.D.OR.210(a)#prose §2	§IS.D.OR.210 Q2
<b>IR</b> IR §IS.D.OR.210(a)#prose §3	§IS.D.OR.210 Q3
<b>IR</b> IR §IS.D.OR.210(a)(1)	§IS.D.OR.210 Q4
<b>IR</b> IR §IS.D.OR.210(a)(2)	§IS.D.OR.210 Q5
<b>IR</b> IR §IS.D.OR.210(a)(3)	§IS.D.OR.210 Q6
<b>IR</b> IR §IS.D.OR.210(a)#prose §4	§IS.D.OR.210 Q7
<b>IR</b> IR §IS.D.OR.210(b)	§IS.D.OR.210 Q8
<b>IR</b> IR §IS.D.OR.210(b)#prose §1	§IS.D.OR.210 Q9
<b>AMC</b> AMC1 IS.D.OR.210(a) §(a)	§IS.D.OR.210(a) Q1
<b>AMC</b> AMC1 IS.D.OR.210(a) §(b)(1)	§IS.D.OR.210(a) Q2
<b>AMC</b> AMC1 IS.D.OR.210(a) §(b)(2)	§IS.D.OR.210(a) Q3
<b>AMC</b> AMC1 IS.D.OR.210(a) §(b)(3)	§IS.D.OR.210(a) Q4
<b>AMC</b> AMC1 IS.D.OR.210(a) §(c)	§IS.D.OR.210(a) Q5
<b>GM</b> GM1 IS.D.OR.210	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.210#lifecycle §1	§IS.D.OR.210 Q1
<b>GM</b> GM1 IS.D.OR.210#lifecycle §2	§IS.D.OR.210 Q2
<b>GM</b> GM1 IS.D.OR.210#lifecycle §3	§IS.D.OR.210 Q3
<b>GM</b> GM1 IS.D.OR.210#lifecycle §4	§IS.D.OR.210 Q4

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>GM</b> GM1 IS.D.OR.210#lifecycle §5	§IS.D.OR.210 Q5
<b>GM</b> GM1 IS.D.OR.210#review §1	§IS.D.OR.210 Q6
<b>GM</b> GM1 IS.D.OR.210#plan §1	§IS.D.OR.210 Q7
<b>GM</b> GM1 IS.D.OR.210#plan §2	§IS.D.OR.210 Q8
<b>GM</b> GM1 IS.D.OR.210#delay §1	§IS.D.OR.210 Q9
<b>GM</b> GM1 IS.D.OR.210#delay §2	§IS.D.OR.210 Q10
<b>GM</b> GM1 IS.D.OR.210#delay §3	§IS.D.OR.210 Q11
<b>GM</b> GM1 IS.D.OR.210#delay §4	§IS.D.OR.210 Q12
<b>GM</b> GM1 IS.D.OR.210#comm §1	§IS.D.OR.210 Q13
<b>GM</b> GM1 IS.D.OR.210#comm §2	§IS.D.OR.210 Q14
<b>GM</b> GM1 IS.D.OR.210#review §2	§IS.D.OR.210 Q15
<b>GM</b> GM1 IS.D.OR.210#review §3	§IS.D.OR.210 Q16

## §IS.D.OR.215

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.215(a)	§IS.D.OR.215 Q1
<b>IR</b> IR §IS.D.OR.215(b)(1)	§IS.D.OR.215 Q2
<b>IR</b> IR §IS.D.OR.215(b)(2)	§IS.D.OR.215 Q3 §IS.D.OR.215 Q4
<b>IR</b> IR §IS.D.OR.215(b)(3)	§IS.D.OR.215 Q5
<b>IR</b> IR §IS.D.OR.215(b)(4)	§IS.D.OR.215 Q6
<b>IR</b> IR §IS.D.OR.215(c)	§IS.D.OR.215 Q7 §IS.D.OR.215 Q8 §IS.D.OR.215 Q9
<b>IR</b> IR §IS.D.OR.215(d)	§IS.D.OR.215 Q10
<b>IR</b> IR §IS.D.OR.215(e)	§IS.D.OR.215 Q11
<b>GM</b> GM1 IS.D.OR.215(c)	— informational only —
<b>GM</b> GM1 IS.D.OR.215(d)	— informational only —
<b>AMC</b> AMC1 IS.D.OR.215(a)&(b)#source §1	§IS.D.OR.215(a)&(b) Q1

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>AMC</b> AMC1 IS.D.OR.215(a)&(b)#source §2	§IS.D.OR.215(a)&(b) Q2
<b>AMC</b> AMC1 IS.D.OR.215(a)&(b)#source §3	§IS.D.OR.215(a)&(b) Q3
<b>AMC</b> AMC1 IS.D.OR.215(a)&(b)#analysis §1	§IS.D.OR.215(a)&(b) Q4
<b>AMC</b> AMC1 IS.D.OR.215(a)&(b)#analysis §2	§IS.D.OR.215(a)&(b) Q5
<b>AMC</b> AMC1 IS.D.OR.215(a)&(b)#analysis §3	§IS.D.OR.215(a)&(b) Q6
<b>AMC</b> AMC1 IS.D.OR.215(a)&(b)#vuln §1	§IS.D.OR.215(a)&(b) Q7
<b>AMC</b> AMC1 IS.D.OR.215(a)&(b)#stake §1	§IS.D.OR.215(a)&(b) Q8
<b>GM</b> GM1 IS.D.OR.215(a)&(b)#scope §1	§IS.D.OR.215(a)&(b) Q1
<b>GM</b> GM1 IS.D.OR.215(a)&(b)#scope §2	§IS.D.OR.215(a)&(b) Q2
<b>GM</b> GM1 IS.D.OR.215(a)&(b)#scope §3	§IS.D.OR.215(a)&(b) Q3
<b>GM</b> GM2 IS.D.OR.215(a)&(b)#org §1	§IS.D.OR.215(a)&(b) Q1
<b>GM</b> GM2 IS.D.OR.215(a)&(b)#org §2	§IS.D.OR.215(a)&(b) Q2
<b>GM</b> GM3 IS.D.OR.215(a)&(b)#root §1	§IS.D.OR.215(a)&(b) Q1
<b>GM</b> GM1 IS.D.OR.215(c)#cont §1	§IS.D.OR.215(c) Q1
<b>GM</b> GM1 IS.D.OR.215(c)#cont §2	§IS.D.OR.215(c) Q2
<b>GM</b> GM1 IS.D.OR.215(c)#cont §3	§IS.D.OR.215(c) Q3
<b>GM</b> GM1 IS.D.OR.215(c)#cont §4	§IS.D.OR.215(c) Q4
<b>GM</b> GM1 IS.D.OR.215(d)#coop §1	§IS.D.OR.215(d) Q1
<b>GM</b> GM1 IS.D.OR.215(d)#coop §2	§IS.D.OR.215(d) Q2
<b>GM</b> GM1 IS.D.OR.215(d)#coop §3	§IS.D.OR.215(d) Q3
<b>GM</b> GM1 IS.D.OR.215(d)#coop §4	§IS.D.OR.215(d) Q4
<b>GM</b> GM1 IS.D.OR.215(d)#coop §5	§IS.D.OR.215(d) Q5

## §IS.D.OR.220

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.220(a)#prose §1	§IS.D.OR.220 Q1
<b>IR</b> IR §IS.D.OR.220(a)(1)	§IS.D.OR.220 Q2
<b>IR</b> IR §IS.D.OR.220(a)(2)	§IS.D.OR.220 Q3

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.220(b)#prose §1	§IS.D.OR.220 Q4
<b>IR</b> IR §IS.D.OR.220(b)(1)	§IS.D.OR.220 Q5
<b>IR</b> IR §IS.D.OR.220(b)(2)	§IS.D.OR.220 Q6
<b>IR</b> IR §IS.D.OR.220(b)(3)	§IS.D.OR.220 Q7
<b>IR</b> IR §IS.D.OR.220(c)#prose §1	§IS.D.OR.220 Q8
<b>IR</b> IR §IS.D.OR.220(c)(1)	§IS.D.OR.220 Q9
<b>IR</b> IR §IS.D.OR.220(c)(2)	§IS.D.OR.220 Q10
<b>AMC</b> AMC1 IS.D.OR.220(a)#detect §1	§IS.D.OR.220(a) Q1
<b>AMC</b> AMC1 IS.D.OR.220(a)#detect §2	§IS.D.OR.220(a) Q2
<b>AMC</b> AMC1 IS.D.OR.220(a) §(a)	§IS.D.OR.220(a) Q3
<b>AMC</b> AMC1 IS.D.OR.220(a) §(b)	§IS.D.OR.220(a) Q4
<b>AMC</b> AMC1 IS.D.OR.220(a)#strategy §1	§IS.D.OR.220(a) Q5
<b>AMC</b> AMC1 IS.D.OR.220(c)#prose §1	§IS.D.OR.220(c) Q1
<b>AMC</b> AMC1 IS.D.OR.220(c) §(a)	§IS.D.OR.220(c) Q2
<b>AMC</b> AMC1 IS.D.OR.220(c) §(b)	§IS.D.OR.220(c) Q3
<b>AMC</b> AMC1 IS.D.OR.220(c) §(c)	§IS.D.OR.220(c) Q4
<b>AMC</b> AMC1 IS.D.OR.220(c) §(d)	§IS.D.OR.220(c) Q5
<b>GM</b> GM1 IS.D.OR.220	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.220(a) §(a)	§IS.D.OR.220(a) Q2
<b>GM</b> GM1 IS.D.OR.220(a) §(b)	§IS.D.OR.220(a) Q3
<b>GM</b> GM1 IS.D.OR.220(b)	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.220(c)	— <i>informational only</i> —
<b>AMC</b> AMC1 IS.D.OR.220(b)#inc §1	§IS.D.OR.220(b) Q1
<b>AMC</b> AMC1 IS.D.OR.220(b)#inc §2	§IS.D.OR.220(b) Q2
<b>AMC</b> AMC1 IS.D.OR.220(b)#inc §3	§IS.D.OR.220(b) Q3
<b>AMC</b> AMC1 IS.D.OR.220(b)#inc §4	§IS.D.OR.220(b) Q4
<b>AMC</b> AMC1 IS.D.OR.220(b)#inc §5	§IS.D.OR.220(b) Q5
<b>AMC</b> AMC1 IS.D.OR.220(b)#inc §6	§IS.D.OR.220(b) Q6

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>AMC</b> AMC1 IS.D.OR.220(b)#inc §7	§IS.D.OR.220(b) Q7
<b>AMC</b> AMC1 IS.D.OR.220(b)#inc §8	§IS.D.OR.220(b) Q8
<b>AMC</b> AMC1 IS.D.OR.220(b)#inc §9	§IS.D.OR.220(b) Q9
<b>AMC</b> AMC1 IS.D.OR.220(b)#inc §10	§IS.D.OR.220(b) Q10
<b>AMC</b> AMC1 IS.D.OR.220(b)#vuln §1	§IS.D.OR.220(b) Q11
<b>AMC</b> AMC1 IS.D.OR.220(b)#vuln §2	§IS.D.OR.220(b) Q12
<b>AMC</b> AMC1 IS.D.OR.220(b)#vuln §3	§IS.D.OR.220(b) Q13
<b>GM</b> GM1 IS.D.OR.220(b)&(c)	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.220#prose §1	§IS.D.OR.220 Q1
<b>GM</b> GM1 IS.D.OR.220#prose §2	§IS.D.OR.220 Q2
<b>GM</b> GM1 IS.D.OR.220(a)#prose §1	§IS.D.OR.220(a) Q1
<b>GM</b> GM1 IS.D.OR.220(a)#prose §2	§IS.D.OR.220(a) Q4
<b>GM</b> GM1 IS.D.OR.220(b)#warning §1	§IS.D.OR.220(b) Q1
<b>GM</b> GM1 IS.D.OR.220(b)&(c)#recov §1	§IS.D.OR.220(b)&(c) Q1
<b>GM</b> GM1 IS.D.OR.220(b)&(c)#recov §2	§IS.D.OR.220(b)&(c) Q2

## §IS.D.OR.225

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.225(a)(1)	§IS.D.OR.225 Q1
<b>IR</b> IR §IS.D.OR.225(a)(2)	§IS.D.OR.225 Q2
<b>IR</b> IR §IS.D.OR.225(a)(3)	§IS.D.OR.225 Q3
<b>IR</b> IR §IS.D.OR.225(b)	§IS.D.OR.225 Q4
<b>AMC</b> AMC1 IS.D.OR.225	§IS.D.OR.225 Q1
<b>GM</b> GM1 IS.D.OR.225	§IS.D.OR.225 Q1

## §IS.D.OR.230

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.230(a)	§IS.D.OR.230 Q1

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.230(b)#prose §1	§IS.D.OR.230 Q2
<b>IR</b> IR §IS.D.OR.230(b)(1)	§IS.D.OR.230 Q3
<b>IR</b> IR §IS.D.OR.230(b)(2)	§IS.D.OR.230 Q4
<b>IR</b> IR §IS.D.OR.230(c)(1)	§IS.D.OR.230 Q5
<b>IR</b> IR §IS.D.OR.230(c)(2)	§IS.D.OR.230 Q6
<b>IR</b> IR §IS.D.OR.230(c)(2)#form §1	§IS.D.OR.230 Q7
<b>IR</b> IR §IS.D.OR.230(c)(3)	§IS.D.OR.230 Q8
<b>IR</b> IR §IS.D.OR.230(c)(3)#form §1	§IS.D.OR.230 Q9
<b>AMC</b> AMC1 IS.D.OR.230(c)	§IS.D.OR.230(c) Q1
<b>GM</b> GM1 IS.D.OR.230	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.230#cases §1	§IS.D.OR.230 Q1
<b>GM</b> GM1 IS.D.OR.230#cases §2	§IS.D.OR.230 Q2
<b>GM</b> GM1 IS.D.OR.230#cases §3	§IS.D.OR.230 Q3
<b>GM</b> GM1 IS.D.OR.230#cases §4	§IS.D.OR.230 Q4
<b>GM</b> GM1 IS.D.OR.230#cases §5	§IS.D.OR.230 Q5
<b>GM</b> GM1 IS.D.OR.230(c)	§IS.D.OR.230(c) Q1
<b>AMC</b> AMC1 IS.D.OR.230(a)&(b) §(a)	§IS.D.OR.230(a)&(b) Q1
<b>AMC</b> AMC1 IS.D.OR.230(a)&(b) §(b)	§IS.D.OR.230(a)&(b) Q2
<b>AMC</b> AMC1 IS.D.OR.230(a)&(b) §(c)	§IS.D.OR.230(a)&(b) Q3
<b>GM</b> GM1 IS.D.OR.230(a)&(b)	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.230(a)&(b)#rel §1	§IS.D.OR.230(a)&(b) Q1
<b>GM</b> GM1 IS.D.OR.230(a)&(b)#rel §2	§IS.D.OR.230(a)&(b) Q2
<b>GM</b> GM1 IS.D.OR.230(a)&(b)#rel §3	§IS.D.OR.230(a)&(b) Q3
<b>GM</b> GM1 IS.D.OR.230(a)&(b)#rel §4	§IS.D.OR.230(a)&(b) Q4
<b>GM</b> GM1 IS.D.OR.230(a)&(b)#followup §1	§IS.D.OR.230(a)&(b) Q5
<b>GM</b> GM1 IS.D.OR.230(a)&(b)#sig §1	§IS.D.OR.230(a)&(b) Q6
<b>GM</b> GM1 IS.D.OR.230(a)&(b)#sig §2	§IS.D.OR.230(a)&(b) Q7

## §IS.D.OR.235

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.235(a)	— <i>informational only</i> —
<b>IR</b> IR §IS.D.OR.235(a)#oblig §1	§IS.D.OR.235 Q1
<b>IR</b> IR §IS.D.OR.235(a)#oblig §2	§IS.D.OR.235 Q2
<b>IR</b> IR §IS.D.OR.235(a)#oblig §3	§IS.D.OR.235 Q3
<b>IR</b> IR §IS.D.OR.235(b)	§IS.D.OR.235 Q4
<b>AMC</b> AMC1 IS.D.OR.235(a) §(a)(1)	§IS.D.OR.235(a) Q1
<b>AMC</b> AMC1 IS.D.OR.235(a) §(a)(2)	— <i>informational only</i> —
<b>AMC</b> AMC1 IS.D.OR.235(a) §(a)(i)	§IS.D.OR.235(a) Q2
<b>AMC</b> AMC1 IS.D.OR.235(a) §(a)(ii)	§IS.D.OR.235(a) Q3
<b>AMC</b> AMC1 IS.D.OR.235(a) §(a)(iii)	§IS.D.OR.235(a) Q4
<b>AMC</b> AMC1 IS.D.OR.235(a) §(a)(iv)	§IS.D.OR.235(a) Q5
<b>AMC</b> AMC1 IS.D.OR.235(a) §(a)(v)	§IS.D.OR.235(a) Q6
<b>AMC</b> AMC1 IS.D.OR.235(a) §(a)(vi)	§IS.D.OR.235(a) Q7
<b>AMC</b> AMC1 IS.D.OR.235(a)#note §1	§IS.D.OR.235(a) Q8
<b>AMC</b> AMC1 IS.D.OR.235(a) §(b)(1)	§IS.D.OR.235(a) Q9
<b>AMC</b> AMC1 IS.D.OR.235(a) §(b)(2)	§IS.D.OR.235(a) Q10
<b>AMC</b> AMC1 IS.D.OR.235(a) §(b)(3)	§IS.D.OR.235(a) Q11
<b>AMC</b> AMC1 IS.D.OR.235(b)	— <i>informational only</i> —
<b>AMC</b> AMC1 IS.D.OR.235(b)#prose §1	§IS.D.OR.235(b) Q1
<b>AMC</b> AMC1 IS.D.OR.235(b)#prose §2	§IS.D.OR.235(b) Q2
<b>GM</b> GM1 IS.D.OR.235 §(a)	§IS.D.OR.235 Q1
<b>GM</b> GM1 IS.D.OR.235 §(b)	§IS.D.OR.235 Q2
<b>GM</b> GM1 IS.D.OR.235 §(c)	§IS.D.OR.235 Q3
<b>GM</b> GM1 IS.D.OR.235(a)#prior §1	§IS.D.OR.235(a) Q1
<b>GM</b> GM1 IS.D.OR.235(a)#risk §1	§IS.D.OR.235(a) Q2
<b>GM</b> GM1 IS.D.OR.235(a)#risk §(a)	§IS.D.OR.235(a) Q3
<b>GM</b> GM1 IS.D.OR.235(a)#risk §(b)	§IS.D.OR.235(a) Q4

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>GM</b> GM1 IS.D.OR.235(a)#risk §(c)	§IS.D.OR.235(a) Q5
<b>GM</b> GM1 IS.D.OR.235(a)#risk §(d)	§IS.D.OR.235(a) Q6
<b>GM</b> GM1 IS.D.OR.235(a)#risk §2	§IS.D.OR.235(a) Q7
<b>GM</b> GM1 IS.D.OR.235(b)	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.235(b)#prose §1	§IS.D.OR.235(b) Q1
<b>GM</b> GM1 IS.D.OR.235(b)#prose §2	§IS.D.OR.235(b) Q2
<b>GM</b> GM2 IS.D.OR.235 §(a)	§IS.D.OR.235 Q1
<b>GM</b> GM2 IS.D.OR.235 §(b)	— <i>informational only</i> —
<b>GM</b> GM2 IS.D.OR.235(a)	— <i>informational only</i> —
<b>GM</b> GM2 IS.D.OR.235(a)#prose §1	§IS.D.OR.235(a) Q1
<b>GM</b> GM2 IS.D.OR.235(a)#prose §2	§IS.D.OR.235(a) Q2
<b>GM</b> GM2 IS.D.OR.235(a)#prose §3	§IS.D.OR.235(a) Q3
<b>GM</b> GM3 IS.D.OR.235#examples §1	— <i>informational only</i> —

## §IS.D.OR.240

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.240(a)(1)	§IS.D.OR.240 Q2
<b>IR</b> IR §IS.D.OR.240(a)(2)	§IS.D.OR.240 Q3
<b>IR</b> IR §IS.D.OR.240(a)(3)	§IS.D.OR.240 Q4
<b>IR</b> IR §IS.D.OR.240(b)	§IS.D.OR.240 Q5
<b>IR</b> IR §IS.D.OR.240(c)	§IS.D.OR.240 Q8
<b>IR</b> IR §IS.D.OR.240(d)	§IS.D.OR.240 Q9
<b>IR</b> IR §IS.D.OR.240(e)	§IS.D.OR.240 Q11
<b>IR</b> IR §IS.D.OR.240(f)	§IS.D.OR.240 Q12
<b>IR</b> IR §IS.D.OR.240(g)	§IS.D.OR.240 Q13
<b>IR</b> IR §IS.D.OR.240(h)	§IS.D.OR.240 Q14
<b>IR</b> IR §IS.D.OR.240(i)	§IS.D.OR.240 Q15
<b>AMC</b> AMC1 IS.D.OR.240(a)(2)	§IS.D.OR.240(a)(2) Q1
<b>AMC</b> AMC1 IS.D.OR.240(a)(3)	§IS.D.OR.240(a)(3) Q1

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>AMC</b> AMC1 IS.D.OR.240(b)	— <i>informational only</i> —
<b>AMC</b> AMC1 IS.D.OR.240(d) §(a)	§IS.D.OR.240(d) Q1
<b>AMC</b> AMC1 IS.D.OR.240(d) §(b)	§IS.D.OR.240(d) Q2
<b>AMC</b> AMC1 IS.D.OR.240(d) §(c)	§IS.D.OR.240(d) Q3
<b>AMC</b> AMC1 IS.D.OR.240(d) §(d)	§IS.D.OR.240(d) Q4
<b>AMC</b> AMC1 IS.D.OR.240(f) §(a)	§IS.D.OR.240(f) Q1
<b>AMC</b> AMC1 IS.D.OR.240(f) §(b)	§IS.D.OR.240(f) Q2
<b>AMC</b> AMC1 IS.D.OR.240(f) §(c)	§IS.D.OR.240(f) Q3
<b>AMC</b> AMC1 IS.D.OR.240(g) §(a)(1)	§IS.D.OR.240(g) Q1
<b>AMC</b> AMC1 IS.D.OR.240(g) §(a)(2)	§IS.D.OR.240(g) Q2
<b>AMC</b> AMC1 IS.D.OR.240(g) §(b)(1)	§IS.D.OR.240(g) Q3
<b>AMC</b> AMC1 IS.D.OR.240(g) §(b)(2)	§IS.D.OR.240(g) Q4
<b>AMC</b> AMC1 IS.D.OR.240(g) §(b)(3)	§IS.D.OR.240(g) Q5
<b>AMC</b> AMC1 IS.D.OR.240(h)	— <i>informational only</i> —
<b>AMC</b> AMC1 IS.D.OR.240(i)	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.240 §(a)	§IS.D.OR.240 Q1
<b>GM</b> GM1 IS.D.OR.240 §(b)	§IS.D.OR.240 Q2
<b>GM</b> GM1 IS.D.OR.240(a)(3)	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.240(b)	§IS.D.OR.240(b) Q1
<b>GM</b> GM1 IS.D.OR.240(c)	§IS.D.OR.240(c) Q1
<b>GM</b> GM1 IS.D.OR.240(e)	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.240(f)	§IS.D.OR.240(f) Q1
<b>GM</b> GM1 IS.D.OR.240(g)	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.240(h)	§IS.D.OR.240(h) Q1
<b>GM</b> GM1 IS.D.OR.240(i) §(a)(1)(i)	§IS.D.OR.240(i) Q1
<b>GM</b> GM1 IS.D.OR.240(i) §(a)(1)(ii)	§IS.D.OR.240(i) Q2
<b>GM</b> GM1 IS.D.OR.240(i) §(a)(1)(iii)	§IS.D.OR.240(i) Q3
<b>GM</b> GM1 IS.D.OR.240(i) §(a)(2)	§IS.D.OR.240(i) Q4

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>GM</b> GM1 IS.D.OR.240(i) §(b)(1)	§IS.D.OR.240(i) Q5
<b>GM</b> GM1 IS.D.OR.240(i) §(b)(2)	§IS.D.OR.240(i) Q6
<b>GM</b> GM1 IS.D.OR.240(i) §(c)	§IS.D.OR.240(i) Q7
<b>GM</b> GM1 IS.D.OR.240(i) §(d)	§IS.D.OR.240(i) Q8
<b>GM</b> GM1 IS.D.OR.240(b)&(c)	— <i>informational only</i> —
<b>IR</b> IR §IS.D.OR.240(a)#prose §1	§IS.D.OR.240 Q1
<b>IR</b> IR §IS.D.OR.240(b)#prose §2	§IS.D.OR.240 Q6
<b>IR</b> IR §IS.D.OR.240(b)#prose §3	§IS.D.OR.240 Q7
<b>IR</b> IR §IS.D.OR.240(d)#prose §2	§IS.D.OR.240 Q10
<b>AMC</b> AMC1 IS.D.OR.240(b)#prose §1	§IS.D.OR.240(b) Q1
<b>AMC</b> AMC1 IS.D.OR.240(b)#prose §2	§IS.D.OR.240(b) Q2
<b>AMC</b> AMC1 IS.D.OR.240(b)#prose §3	§IS.D.OR.240(b) Q3
<b>AMC</b> AMC1 IS.D.OR.240(b)#prose §4	§IS.D.OR.240(b) Q4
<b>AMC</b> AMC1 IS.D.OR.240(b)#prose §5	§IS.D.OR.240(b) Q5
<b>AMC</b> AMC1 IS.D.OR.240(b)#prose §6	§IS.D.OR.240(b) Q6
<b>AMC</b> AMC1 IS.D.OR.240(b)#prose §7	§IS.D.OR.240(b) Q7
<b>AMC</b> AMC1 IS.D.OR.240(b)#prose §8	§IS.D.OR.240(b) Q8
<b>AMC</b> AMC1 IS.D.OR.240(h)#prose §1	§IS.D.OR.240(h) Q1
<b>AMC</b> AMC1 IS.D.OR.240(h)#prose §2	§IS.D.OR.240(h) Q2
<b>AMC</b> AMC1 IS.D.OR.240(i)#prose §1	§IS.D.OR.240(i) Q1
<b>AMC</b> AMC1 IS.D.OR.240(i)#prose §2	§IS.D.OR.240(i) Q2
<b>GM</b> GM1 IS.D.OR.240(a)(3)#prose §1	§IS.D.OR.240(a)(3) Q1
<b>GM</b> GM1 IS.D.OR.240(a)(3)#prose §2	§IS.D.OR.240(a)(3) Q2
<b>GM</b> GM1 IS.D.OR.240(b)&(c)#prose §1	§IS.D.OR.240(b)&(c) Q1
<b>GM</b> GM1 IS.D.OR.240(b)&(c)#prose §2	§IS.D.OR.240(b)&(c) Q2
<b>GM</b> GM1 IS.D.OR.240(e)#prose §1	§IS.D.OR.240(e) Q1
<b>GM</b> GM1 IS.D.OR.240(e)#prose §2	§IS.D.OR.240(e) Q2
<b>GM</b> GM1 IS.D.OR.240(e)#prose §3	§IS.D.OR.240(e) Q3

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>GM</b> GM1 IS.D.OR.240(e)#prose §4	§IS.D.OR.240(e) Q4
<b>GM</b> GM1 IS.D.OR.240(e)#prose §5	§IS.D.OR.240(e) Q5
<b>GM</b> GM1 IS.D.OR.240(g)#prose §1	§IS.D.OR.240(g) Q1
<b>GM</b> GM1 IS.D.OR.240(g)#prose §2	§IS.D.OR.240(g) Q2
<b>GM</b> GM1 IS.D.OR.240(g)#prose §3	§IS.D.OR.240(g) Q3
<b>GM</b> GM1 IS.D.OR.240(g)#prose §4	§IS.D.OR.240(g) Q4
<b>GM</b> GM1 IS.D.OR.240(g)#prose §5	§IS.D.OR.240(g) Q5
<b>GM</b> GM1 IS.D.OR.240(g)#prose §6	§IS.D.OR.240(g) Q6

## §IS.D.OR.245

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.245(a)(1)(i)	§IS.D.OR.245 Q3
<b>IR</b> IR §IS.D.OR.245(a)(1)(ii)	§IS.D.OR.245 Q4
<b>IR</b> IR §IS.D.OR.245(a)(1)(iii)	§IS.D.OR.245 Q5
<b>IR</b> IR §IS.D.OR.245(a)(1)(iv)	§IS.D.OR.245 Q6
<b>IR</b> IR §IS.D.OR.245(a)(1)(v)	§IS.D.OR.245 Q7
<b>IR</b> IR §IS.D.OR.245(a)(1)(vi)	§IS.D.OR.245 Q8
<b>IR</b> IR §IS.D.OR.245(a)(2)	§IS.D.OR.245 Q9
<b>IR</b> IR §IS.D.OR.245(a)(3)	§IS.D.OR.245 Q10
<b>IR</b> IR §IS.D.OR.245(a)(4)	§IS.D.OR.245 Q11
<b>IR</b> IR §IS.D.OR.245(a)(5)	§IS.D.OR.245 Q12
<b>IR</b> IR §IS.D.OR.245(b)(1)	§IS.D.OR.245 Q14
<b>IR</b> IR §IS.D.OR.245(b)(2)	§IS.D.OR.245 Q15
<b>IR</b> IR §IS.D.OR.245(c)	§IS.D.OR.245 Q17
<b>IR</b> IR §IS.D.OR.245(d)	§IS.D.OR.245 Q18
<b>GM</b> GM1 IS.D.OR.245	§IS.D.OR.245 Q1
<b>AMC</b> AMC1 IS.D.OR.245(a)(1)(vi)&(a)(5) §(a)	§IS.D.OR.245(a)(1)(vi)&(a)(5) Q1
<b>AMC</b> AMC1 IS.D.OR.245(a)(1)(vi)&(a)(5) §(b)	§IS.D.OR.245(a)(1)(vi)&(a)(5) Q2

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>AMC</b> AMC1 IS.D.OR.245(a)(1)(vi)&(a)(5) §(c)	§IS.D.OR.245(a)(1)(vi)&(a)(5) Q3
<b>GM</b> GM1 IS.D.OR.245(a)(1)(vi)&(a)(5)	§IS.D.OR.245(a)(1)(vi)&(a)(5) Q1
<b>AMC</b> AMC1 IS.D.OR.245(c)&(d) §(a)	§IS.D.OR.245(c)&(d) Q1
<b>AMC</b> AMC1 IS.D.OR.245(c)&(d) §(b)	§IS.D.OR.245(c)&(d) Q2
<b>AMC</b> AMC1 IS.D.OR.245(c)&(d) §(c)	§IS.D.OR.245(c)&(d) Q3
<b>AMC</b> AMC1 IS.D.OR.245(c)&(d) §(d)	§IS.D.OR.245(c)&(d) Q4
<b>GM</b> GM1 IS.D.OR.245(c)&(d)	— informational only —
<b>IR</b> IR §IS.D.OR.245(a)#prose §1	§IS.D.OR.245 Q1
<b>IR</b> IR §IS.D.OR.245(a)(1)#prose §1	§IS.D.OR.245 Q2
<b>IR</b> IR §IS.D.OR.245(b)#prose §1	§IS.D.OR.245 Q13
<b>IR</b> IR §IS.D.OR.245(b)(2)#prose §2	§IS.D.OR.245 Q16
<b>IR</b> IR §IS.D.OR.245(d)#prose §2	§IS.D.OR.245 Q19
<b>GM</b> GM1 IS.D.OR.245(c)&(d)#access §1	§IS.D.OR.245(c)&(d) Q1
<b>GM</b> GM1 IS.D.OR.245(c)&(d)#access §2	§IS.D.OR.245(c)&(d) Q2

## §IS.D.OR.250

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.250(a)(1)	§IS.D.OR.250 Q2
<b>IR</b> IR §IS.D.OR.250(a)(10)	§IS.D.OR.250 Q14
<b>IR</b> IR §IS.D.OR.250(a)(2)	§IS.D.OR.250 Q3
<b>IR</b> IR §IS.D.OR.250(a)(3)	§IS.D.OR.250 Q4
<b>IR</b> IR §IS.D.OR.250(a)(4)	§IS.D.OR.250 Q5
<b>IR</b> IR §IS.D.OR.250(a)(5)	§IS.D.OR.250 Q6
<b>IR</b> IR §IS.D.OR.250(a)(6)	§IS.D.OR.250 Q7
<b>IR</b> IR §IS.D.OR.250(a)(7)	§IS.D.OR.250 Q8
<b>IR</b> IR §IS.D.OR.250(a)(8)	§IS.D.OR.250 Q9
<b>IR</b> IR §IS.D.OR.250(a)(9)(i)	§IS.D.OR.250 Q11
<b>IR</b> IR §IS.D.OR.250(a)(9)(ii)	§IS.D.OR.250 Q12

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.250(a)(9)(iii)	§IS.D.OR.250 Q13
<b>IR</b> IR §IS.D.OR.250(b)	— <i>informational only</i> —
<b>IR</b> IR §IS.D.OR.250(c)	§IS.D.OR.250 Q18
<b>IR</b> IR §IS.D.OR.250(d)	§IS.D.OR.250 Q20
<b>GM</b> GM1 IS.D.OR.250(a)	— <i>informational only</i> —
<b>IR</b> IR §IS.D.OR.250(a)#prose §1	§IS.D.OR.250 Q1
<b>IR</b> IR §IS.D.OR.250(a)(9)#prose §1	§IS.D.OR.250 Q10
<b>IR</b> IR §IS.D.OR.250(b)#prose §1	§IS.D.OR.250 Q15
<b>IR</b> IR §IS.D.OR.250(b)#prose §2	§IS.D.OR.250 Q16
<b>IR</b> IR §IS.D.OR.250(b)#prose §3	§IS.D.OR.250 Q17
<b>IR</b> IR §IS.D.OR.250(c)#prose §2	§IS.D.OR.250 Q19
<b>GM</b> GM1 IS.D.OR.250(a)#prose §1	§IS.D.OR.250(a) Q1
<b>GM</b> GM1 IS.D.OR.250(a)#prose §2	§IS.D.OR.250(a) Q2
<b>GM</b> GM1 IS.D.OR.250(a)#prose §3	§IS.D.OR.250(a) Q3
<b>GM</b> GM1 IS.D.OR.250(a)#prose §4	§IS.D.OR.250(a) Q4
<b>GM</b> GM1 IS.D.OR.250(a)#prose §5	§IS.D.OR.250(a) Q5

## §IS.D.OR.255

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.255(a)	— <i>informational only</i> —
<b>IR</b> IR §IS.D.OR.255(b)(1)	§IS.D.OR.255 Q4
<b>IR</b> IR §IS.D.OR.255(b)(2)	§IS.D.OR.255 Q5
<b>IR</b> IR §IS.D.OR.255(b)(3)	§IS.D.OR.255 Q6
<b>IR</b> IR §IS.D.OR.255(b)(4)	§IS.D.OR.255 Q7
<b>AMC</b> AMC1 IS.D.OR.255	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.255	— <i>informational only</i> —
<b>GM</b> GM2 IS.D.OR.255 §(a)	— <i>informational only</i> —
<b>GM</b> GM2 IS.D.OR.255 §(b)	— <i>informational only</i> —
<b>GM</b> GM2 IS.D.OR.255 §(c)	— <i>informational only</i> —

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>GM</b> GM2 IS.D.OR.255 §(d)	— <i>informational only</i> —
<b>IR</b> IR §IS.D.OR.255(a)#prose §1	§IS.D.OR.255 Q1
<b>IR</b> IR §IS.D.OR.255(a)#prose §2	§IS.D.OR.255 Q2
<b>IR</b> IR §IS.D.OR.255(b)#prose §1	§IS.D.OR.255 Q3
<b>AMC</b> AMC1 IS.D.OR.255#prose §1	§IS.D.OR.255 Q1
<b>AMC</b> AMC1 IS.D.OR.255#prose §2	§IS.D.OR.255 Q2
<b>AMC</b> AMC1 IS.D.OR.255#info §1	§IS.D.OR.255 Q3
<b>AMC</b> AMC1 IS.D.OR.255#info §2	§IS.D.OR.255 Q4
<b>AMC</b> AMC1 IS.D.OR.255#info §3	§IS.D.OR.255 Q5
<b>AMC</b> AMC1 IS.D.OR.255#info §4	§IS.D.OR.255 Q6
<b>AMC</b> AMC1 IS.D.OR.255#info §5	§IS.D.OR.255 Q7
<b>AMC</b> AMC1 IS.D.OR.255#dev §1	§IS.D.OR.255 Q8
<b>GM</b> GM1 IS.D.OR.255#prose §1	§IS.D.OR.255 Q1
<b>GM</b> GM1 IS.D.OR.255#prose §2	§IS.D.OR.255 Q2
<b>GM</b> GM1 IS.D.OR.255#prose §3	§IS.D.OR.255 Q3
<b>GM</b> GM2 IS.D.OR.255#rel §1	§IS.D.OR.255 Q1

## §IS.D.OR.260

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>IR</b> IR §IS.D.OR.260(a)	— <i>informational only</i> —
<b>IR</b> IR §IS.D.OR.260(b)	— <i>informational only</i> —
<b>AMC</b> AMC1 IS.D.OR.260 §(a)	§IS.D.OR.260 Q3
<b>AMC</b> AMC1 IS.D.OR.260 §(b)	§IS.D.OR.260 Q4
<b>AMC</b> AMC1 IS.D.OR.260 §(c)	§IS.D.OR.260 Q5
<b>AMC</b> AMC1 IS.D.OR.260 §(d)	§IS.D.OR.260 Q6
<b>AMC</b> AMC1 IS.D.OR.260 §(e)	§IS.D.OR.260 Q7
<b>AMC</b> AMC1 IS.D.OR.260(b) §(a)	§IS.D.OR.260(b) Q2
<b>AMC</b> AMC1 IS.D.OR.260(b) §(b)	§IS.D.OR.260(b) Q3

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>AMC</b> AMC1 IS.D.OR.260(b) §(c)(1)	§IS.D.OR.260(b) Q4
<b>AMC</b> AMC1 IS.D.OR.260(b) §(c)(2)	§IS.D.OR.260(b) Q5
<b>AMC</b> AMC1 IS.D.OR.260(b) §(c)(3)	§IS.D.OR.260(b) Q6
<b>AMC</b> AMC1 IS.D.OR.260(b) §(d)	§IS.D.OR.260(b) Q7
<b>AMC</b> AMC1 IS.D.OR.260(b) §(e)	§IS.D.OR.260(b) Q8
<b>GM</b> GM1 IS.D.OR.260	— <i>informational only</i> —
<b>GM</b> GM1 IS.D.OR.260(a) §(a)(1)	§IS.D.OR.260(a) Q1
<b>GM</b> GM1 IS.D.OR.260(a) §(a)(2)	§IS.D.OR.260(a) Q2
<b>GM</b> GM1 IS.D.OR.260(a) §(a)(3)	§IS.D.OR.260(a) Q3
<b>GM</b> GM1 IS.D.OR.260(a) §(a)(4)	§IS.D.OR.260(a) Q4
<b>GM</b> GM1 IS.D.OR.260(a) §(b)	§IS.D.OR.260(a) Q5
<b>GM</b> GM1 IS.D.OR.260(b) §(a)	§IS.D.OR.260(b) Q1
<b>GM</b> GM1 IS.D.OR.260(b) §(b)	§IS.D.OR.260(b) Q2
<b>GM</b> GM1 IS.D.OR.260(b) §(c)	§IS.D.OR.260(b) Q3
<b>GM</b> GM1 IS.D.OR.260(b) §(d)	§IS.D.OR.260(b) Q4
<b>GM</b> GM1 IS.D.OR.260(b) §(e)	§IS.D.OR.260(b) Q5
<b>GM</b> GM1 IS.D.OR.260(b) §(f)	§IS.D.OR.260(b) Q6
<b>GM</b> GM1 IS.D.OR.260(b) §(g)	§IS.D.OR.260(b) Q7
<b>IR</b> IR §IS.D.OR.260(a)#prose §1	§IS.D.OR.260 Q1
<b>IR</b> IR §IS.D.OR.260(a)#prose §2	§IS.D.OR.260 Q2
<b>IR</b> IR §IS.D.OR.260(b)#prose §1	§IS.D.OR.260 Q3
<b>IR</b> IR §IS.D.OR.260(b)#prose §2	§IS.D.OR.260 Q4
<b>AMC</b> AMC1 IS.D.OR.260#aim §1	§IS.D.OR.260 Q1
<b>AMC</b> AMC1 IS.D.OR.260#aim §2	§IS.D.OR.260 Q2
<b>AMC</b> AMC1 IS.D.OR.260#mgmt §1	§IS.D.OR.260 Q8
<b>AMC</b> AMC1 IS.D.OR.260(a)#eff §1	§IS.D.OR.260(a) Q1
<b>AMC</b> AMC1 IS.D.OR.260(a)#eff §(a)(1)	§IS.D.OR.260(a) Q2
<b>AMC</b> AMC1 IS.D.OR.260(a)#eff §(a)(2)	§IS.D.OR.260(a) Q3

REGULATION HOOK	AUDIT-CHECKLIST QUESTION(S)
<b>AMC</b> AMC1 IS.D.OR.260(a)#eff §(a)(3)	§IS.D.OR.260(a) Q4
<b>AMC</b> AMC1 IS.D.OR.260(a)#eff §2	§IS.D.OR.260(a) Q5
<b>AMC</b> AMC1 IS.D.OR.260(a)#eff §3	§IS.D.OR.260(a) Q6
<b>AMC</b> AMC1 IS.D.OR.260(a)#eff §4	§IS.D.OR.260(a) Q7
<b>AMC</b> AMC1 IS.D.OR.260(a)#mat §1	§IS.D.OR.260(a) Q8
<b>AMC</b> AMC1 IS.D.OR.260(a)#mat §(b)(1)	§IS.D.OR.260(a) Q9
<b>AMC</b> AMC1 IS.D.OR.260(a)#mat §(b)(2)	§IS.D.OR.260(a) Q10
<b>AMC</b> AMC1 IS.D.OR.260(a)#mat §(b)(3)	§IS.D.OR.260(a) Q11
<b>AMC</b> AMC1 IS.D.OR.260(a)#mat §(c)(1)	§IS.D.OR.260(a) Q12
<b>AMC</b> AMC1 IS.D.OR.260(a)#mat §(c)(2)	§IS.D.OR.260(a) Q13
<b>AMC</b> AMC1 IS.D.OR.260(a)#mat §(c)(3)	§IS.D.OR.260(a) Q14
<b>AMC</b> AMC1 IS.D.OR.260(b)#prose §1	§IS.D.OR.260(b) Q1
<b>GM</b> GM1 IS.D.OR.260#prose §1	§IS.D.OR.260 Q1
<b>GM</b> GM1 IS.D.OR.260#prose §2	§IS.D.OR.260 Q2
<b>GM</b> GM1 IS.D.OR.260#prose §3	§IS.D.OR.260 Q3
<b>GM</b> GM1 IS.D.OR.260#prose §4	§IS.D.OR.260 Q4
<b>GM</b> GM1 IS.D.OR.260#prose §5	§IS.D.OR.260 Q5