Global Digital Forensics · Guide edition 2026-11-03 · evestigate.com/resources/audit-discovery-preparation/sources/

AUDIT AND DISCOVERY PREPARATION

Sources Behind the Information Gathering Library

Review the official sources and open questions behind the GDF audit, privacy, export control and legal gathering packages.

This register distinguishes legal text, guidance, technical publications and vendor documentation. Each entry shows where the text lives and the date it was reviewed. The eCFR is an authoritative but unofficial current compilation, so check its displayed as of date and any later effective changes.

DFS01 DFS final adopted second amendment to Part 500

Source role
Adopted regulatory text

Relevant locator
500.1 through 500.24; read the amendment markup with care

Review date
2026-10-18

https://www.dfs.ny.gov/industry_guidance/regulations/final_adoptions_fs/rf_fs_2amend23nycrr500_text_20231101

DFS final adopted second amendment to Part 500

DFS02 DFS Part 500 reading copy

Source role
Agency reading copy

Relevant locator
Full Part; unofficial reading copy; compare with the adopted text

Review date
2026-10-18

https://www.dfs.ny.gov/cybersecurity/23-NYCRR-Part-500

NYDFS Cybersecurity Regulation, 23 NYCRR Part 500

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DFS03 DFS cybersecurity submissions

Source role
Agency filing guidance

Relevant locator
Annual compliance notification; incident and extortion notices

Review date
2026-10-18

https://www.dfs.ny.gov/cybersecurity/submissions

DFS cybersecurity submissions

DFS04 DFS cybersecurity FAQs

Source role
Agency interpretation

Relevant locator
Exemptions, applicability and program guidance

Review date
2026-10-18

https://www.dfs.ny.gov/cybersecurity/faqs

DFS cybersecurity FAQs

DFS05 DFS risk assessment guidance September 10 2026

Source role
Agency guidance

Relevant locator
Risk identification, methodology and use; guidance under the existing regulation

Review date
2026-10-18

https://www.dfs.ny.gov/industry_guidance/industry_letters/il20260910-cyber-risk-assessment

DFS risk assessment guidance September 10 2026

DFS06 DFS regulatory activity

Source role
Agency adoption index

Relevant locator
Final adoption and notice dated November 1 2023

Review date
2026-10-18

https://www.dfs.ny.gov/industry_guidance/regulatory_activity/financial_services

DFS regulatory activity

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NY01 New York General Business Law 899-aa

Source role
State statutory text

Relevant locator
1 definitions; 2 and 3 notice; 8 agencies; 9 HIPAA notice

Review date
2026-10-18

https://www.nysenate.gov/legislation/laws/GBS/899-AA

N.Y. General Business Law 899-aa, Notification of breach of security

NY02 New York General Business Law 899-bb

Source role
State statutory text

Relevant locator
1 regulated entities and small business; 2 safeguards

Review date
2026-10-18

https://www.nysenate.gov/legislation/laws/GBS/899-BB

N.Y. General Business Law 899-bb, Data security protections

NY03 New York State Technology Law 208

Source role
State statutory text

Relevant locator
Separate state entity breach regime

Review date
2026-10-18

https://www.nysenate.gov/legislation/laws/STT/208

N.Y. State Technology Law 208, State and local breach notification

NY04 New York hospital cybersecurity rule

Source role
Agency regulatory text

Relevant locator
10 NYCRR 405.46; general hospitals only

Review date
2026-10-18

https://regs.health.ny.gov/content/section-40546-hospital-cybersecurity-requirements

New York hospital cybersecurity rule

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NY05 New York Commercial Division rules

Source role
Court rules

Relevant locator
11-a, 11-b, 11-c, 11-g and ESI Appendix A

Review date
2026-10-18

https://www.nycourts.gov/rules/rule/section-20270-rules-commercial-division-supreme-court

New York Commercial Division rules

NY06 New York Uniform Civil Rules Part 202

Source role
Court rules

Relevant locator
202.20 interrogatories; 202.20-j and Appendix A

Review date
2026-10-18

https://www.nycourts.gov/rules/part-202-uniform-civil-rules-supreme-court-and-county-court

New York Uniform Civil Rules Part 202

NY07 New York CPLR 3130

Source role
State procedural text

Relevant locator
Use of interrogatories and restrictions

Review date
2026-10-18

https://www.nysenate.gov/legislation/laws/CVP/3130

New York CPLR 3130

NY08 New York CPLR 3133

Source role
State procedural text

Relevant locator
Answers or objections; current text for counsel

Review date
2026-10-18

https://www.nysenate.gov/legislation/laws/CVP/3133

New York CPLR 3133

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CM01 CMMC program rule

Source role
Federal regulatory compilation

Relevant locator
170.14 to 170.23; latest eCFR display date controls

Review date
2026-10-18

https://www.ecfr.gov/current/title-32/subtitle-A/chapter-I/subchapter-G/part-170

CMMC program rule

CM02 Current CMMC program information

Source role
Agency program announcement

Relevant locator
Phase II suspended July 13 2026; Phase I continues; obtain operative instruments

Review date
2026-10-18

https://dodcio.defense.gov/cmmc/About/

Current CMMC program information

CM03 CMMC Phase II suspension announcement

Source role
Agency announcement

Relevant locator
July 13 2026; read with the contract and deviation text

Review date
2026-10-18

https://business.defense.gov/Engage/News/Newsfeed-Repository/Article/4542563/forging-the-arsenal-of-freedom-department-of-war-suspends-cmmc-phase-ii-require/

CMMC Phase II suspension announcement

CM04 DFARS CMMC clause

Source role
Federal acquisition clause

Relevant locator
252.204-7021; compare actual incorporated clause and deviation

Review date
2026-10-18

https://www.acquisition.gov/dfars/part-252-solicitation-provisions-and-contract-clauses#DFARS_252.204-7021

DFARS CMMC clause

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CM05 DFARS safeguarding and cyber incident reporting

Source role
Federal acquisition clause

Relevant locator
252.204-7012; cloud and incident obligations where incorporated

Review date
2026-10-18

https://www.acquisition.gov/dfars/part-252-solicitation-provisions-and-contract-clauses#DFARS_252.204-7012

DFARS 252.204-7012, Safeguarding Covered Defense Information and Cyber Incident Reporting

CM06 FAR basic safeguarding

Source role
Federal acquisition clause

Relevant locator
52.204-21; FCI and safeguards

Review date
2026-10-18

https://www.acquisition.gov/far/52.204-21

FAR basic safeguarding

CM07 Current defense acquisition class deviations

Source role
Agency implementation index

Relevant locator
2026-O0025 revision 3 and later operative instruments; contract specific confirmation

Review date
2026-10-18

https://www.acq.osd.mil/dpap/dars/dfars_far_overhaul_class_deviations.html

Current defense acquisition class deviations

CM08 CMMC Level 2 scoping guidance

Source role
Agency technical guidance

Relevant locator
Asset categories, external and cloud service providers

Review date
2026-10-18

https://dodcio.defense.gov/Portals/0/Documents/CMMC/ScopingGuideL2v2.pdf

CMMC Level 2 scoping guidance

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CM09 CMMC resources and documentation

Source role
Agency resources index

Relevant locator
Locate current assessment/scoping guides and implementation memoranda

Review date
2026-10-18

https://dodcio.defense.gov/CMMC/Resources-Documentation/

CMMC resources and documentation

CM10 Defense class deviation 2026 O0025 Revision 3

Source role
Signed agency implementation memorandum and attachments

Relevant locator
Pages 1 to 4; September 3 2026 index date; contract action, retained Revision 2 baseline and suspended Phase II transition

Review date
2026-10-18

https://www.acq.osd.mil/dpap/dars/classdev/DFARS_RFO/Part-240/2026-O0025_Rev3_TAB_A_Deviation_Memo.pdf

Defense class deviation 2026 O0025 Revision 3

NI01 NIST SP 800-171 Revision 2

Source role
Technical standard publication page

Relevant locator
110 security requirements; the earlier revision that CMMC references

Review date
2026-10-18

https://csrc.nist.gov/pubs/sp/800/171/r2/upd1/final

NIST SP 800-171 Revision 2

NI02 NIST SP 800-171 Revision 3

Source role
Technical standard publication page

Relevant locator
Published May 2024; the revision incorporated in the contract governs until the contract changes

Review date
2026-10-18

https://csrc.nist.gov/pubs/sp/800/171/r3/final

NIST SP 800-171 Revision 3

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NI03 NIST SP 800-171A Revision 3

Source role
Technical assessment guidance

Relevant locator
Examine, interview and test; pair with the correct requirement revision

Review date
2026-10-18

https://csrc.nist.gov/pubs/sp/800/171/A/r3/final

NIST SP 800-171A Revision 3

NI04 NIST SP 800-86

Source role
Technical forensic guidance

Relevant locator
Sections 3 to 6; collection, data files, operating systems, network/application sources

Review date
2026-10-18

https://nvlpubs.nist.gov/nistpubs/legacy/sp/nistspecialpublication800-86.pdf

NIST SP 800-86

NI05 NIST SP 800-115

Source role
Technical testing guidance

Relevant locator
Assessment planning, logistics, rules of engagement and reporting

Review date
2026-10-18

https://nvlpubs.nist.gov/nistpubs/Legacy/SP/nistspecialpublication800-115.pdf

NIST SP 800-115

NI06 NIST Cybersecurity Framework 2

Source role
Voluntary risk framework

Relevant locator
Govern, Identify, Protect, Detect, Respond, Recover; voluntary program framework

Review date
2026-10-18

https://nvlpubs.nist.gov/nistpubs/CSWP/NIST.CSWP.29.pdf

NIST Cybersecurity Framework 2

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EA01 EAR scope

Source role
Federal regulatory compilation

Relevant locator
734.3, 734.13 to 734.19; jurisdiction, releases and conditional encrypted transmission

Review date
2026-10-18

https://www.ecfr.gov/current/title-15/subtitle-B/chapter-VII/subchapter-C/part-734

EAR scope

EA02 EAR recordkeeping

Source role
Federal regulatory compilation

Relevant locator
762.2, 762.6; records and retention trigger

Review date
2026-10-18

https://www.ecfr.gov/current/title-15/subtitle-B/chapter-VII/subchapter-C/part-762

EAR recordkeeping

EA03 BIS export compliance programs

Source role
Agency program guidance

Relevant locator
Eight elements; export compliance program guidance

Review date
2026-10-18

https://www.bis.gov/learn-support/export-compliance-programs

BIS export compliance programs

EA04 BIS export compliance toolkit

Source role
Agency guidance index

Relevant locator
Classification, screening, technology controls and self audit modules

Review date
2026-10-18

https://www.bis.gov/learn-support/export-compliance-programs/export-compliance-toolkit

BIS export compliance toolkit

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EA05 EAR end user and end use controls

Source role
Federal regulatory compilation

Relevant locator
Transaction specific end user/end use controls

Review date
2026-10-18

https://www.ecfr.gov/current/title-15/subtitle-B/chapter-VII/subchapter-C/part-744

EAR end user and end use controls

IT01 ITAR definitions

Source role
Federal regulatory compilation

Relevant locator
120.31 to 120.33, 120.50 to 120.63; verify current text

Review date
2026-10-18

https://www.ecfr.gov/current/title-22/chapter-I/subchapter-M/part-120

ITAR definitions

IT02 ITAR encrypted technical data provision

Source role
Federal regulatory compilation

Relevant locator
120.54(a)(5), (b), (c); current eCFR display as of October 15 2026 when researched

Review date
2026-10-18

https://www.ecfr.gov/current/title-22/chapter-I/subchapter-M/part-120/subpart-C/section-120.54

ITAR encrypted technical data provision

IT03 ITAR registration and recordkeeping

Source role
Federal regulatory compilation

Relevant locator
122.1 and 122.5; registration and export authorization are separate steps

Review date
2026-10-18

https://www.ecfr.gov/current/title-22/chapter-I/subchapter-M/part-122

ITAR registration and recordkeeping

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IT04 DDTC understanding ITAR

Source role
Agency jurisdiction guidance

Relevant locator
ITAR parts 120 to 130, USML, defense services and brokering

Review date
2026-10-18

https://www.pmddtc.state.gov/ddtc_public/ddtc_landing?id=ddtc_public_portal_itar_landing

DDTC understanding ITAR

IT05 DDTC registration explanation

Source role
Agency registration guidance

Review date
2026-10-18

https://www.pmddtc.state.gov/registration/documents/DS2032v4.4.pdf

DDTC Form DS-2032, Statement of Registration

LG01 Federal Rules of Civil Procedure December 2025

Source role
Court procedural rules

Relevant locator
Rules 26, 33, 34, 37(e), 45; current court and case orders also apply

Review date
2026-10-18

https://www.uscourts.gov/sites/default/files/document/federal-rules-of-civil-procedure.pdf

Federal Rules of Civil Procedure December 2025

LG02 Federal Rules of Evidence

Source role
Court procedural rules index

Relevant locator
Rules 502, 901, 902; authentication and privilege plan for counsel

Review date
2026-10-18

https://www.uscourts.gov/forms-rules/current-rules-practice-procedure/federal-rules-evidence

Federal Rules of Evidence

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HE01 HIPAA Security Rule

Source role
Federal regulatory compilation

Relevant locator
164.308(a)(1), 164.312(b), 164.316; regulated entity applicability

Review date
2026-10-18

https://www.ecfr.gov/current/title-45/subtitle-A/subchapter-C/part-164/subpart-C

HIPAA Security Rule

HE02 HIPAA judicial proceedings provision

Source role
Federal regulatory compilation

Relevant locator
164.512(e); legal process and assurances

Review date
2026-10-18

https://www.ecfr.gov/current/title-45/subtitle-A/subchapter-C/part-164/subpart-E/section-164.512

HIPAA judicial proceedings provision

HE03 HHS court orders and subpoenas

Source role
Agency interpretation

Relevant locator
Court order distinct from other subpoenas; disclosure within the authorized scope

Review date
2026-10-18

https://www.hhs.gov/hipaa/for-individuals/court-orders-subpoenas/index.html

HHS court orders and subpoenas

HE04 HHS medical record retention FAQ

Source role
Agency interpretation

Relevant locator
Medical record retention periods come from state law and other obligations rather than the HIPAA Privacy Rule

Review date
2026-10-18

https://www.hhs.gov/hipaa/for-professionals/faq/does-hipaa-require-covered-entities-to-keep-medical-records-for-any-period/index.html

HHS medical record retention FAQ

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HE05 HHS Part 2 confidentiality

Source role
Agency interpretation

Relevant locator
2024 final rule compliance February 16 2026; legal proceedings against patient

Review date
2026-10-18

https://www.hhs.gov/hipaa/part-2/index.html

HHS Part 2 confidentiality

HE06 ONC auditable events certification guidance

Source role
Agency certification guidance

Relevant locator
170.315(d)(2); product capability, with deployment and retention confirmed at the site

Review date
2026-10-18

https://healthit.gov/test-method/auditable-events-and-tamper-resistance/

ONC auditable events certification guidance

HE07 Substance use disorder record regulation

Source role
Federal regulatory compilation

Relevant locator
Part 2; litigation and consent review by counsel

Review date
2026-10-18

https://www.ecfr.gov/current/title-42/chapter-I/subchapter-A/part-2

Substance use disorder record regulation

MS01 Microsoft eDiscovery data sources

Source role
Vendor documentation

Relevant locator
Mailbox, OneDrive, SharePoint locations; source specific inclusion

Review date
2026-10-18

https://learn.microsoft.com/en-us/purview/edisc-data-sources

Microsoft eDiscovery data sources

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MS02 Microsoft Teams content in eDiscovery

Source role
Vendor documentation

Relevant locator
Compliance records, files, channels, recordings and known exclusions

Review date
2026-10-18

https://learn.microsoft.com/en-us/purview/edisc-search-teams

Microsoft Teams content in eDiscovery

MS03 OneDrive retention and deletion

Source role
Vendor documentation

Relevant locator
Deleted users, unlicensed archives, retention/hold and recycle bin behavior

Review date
2026-10-18

https://learn.microsoft.com/en-us/onedrive/retention-and-deletion

OneDrive retention and deletion

MS04 Microsoft audit retention

Source role
Vendor documentation

Relevant locator
License dependent retention policies; inspect actual configuration

Review date
2026-10-18

https://learn.microsoft.com/en-us/purview/audit-log-retention-policies

Microsoft audit retention

MS05 SharePoint and OneDrive retention

Source role
Vendor documentation

Relevant locator
Preservation Hold library, versions and recycle bin search behavior

Review date
2026-10-18

https://learn.microsoft.com/en-us/purview/retention-policies-sharepoint

SharePoint and OneDrive retention

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MS06 Microsoft eDiscovery process reports

Source role
Vendor documentation

Relevant locator
Search/export scope, location counts, errors and completeness checks

Review date
2026-10-18

https://learn.microsoft.com/en-us/purview/edisc-process-report

Microsoft eDiscovery process reports

GO01 Google Vault overview

Source role
Vendor documentation

Relevant locator
Supported services; licenses, retention, holds; works on live Workspace data

Review date
2026-10-18

https://support.google.com/vault/answer/2462365?hl=en

Google Vault overview

GO02 Google audit lag and retention

Source role
Vendor documentation

Relevant locator
Log specific retention/lag; event coverage by log type

Review date
2026-10-18

https://support.google.com/a/answer/7061566?hl=en

Google audit lag and retention

SL01 Slack Discovery APIs

Source role
Vendor documentation

Relevant locator
Enterprise, approved applications, preserved content and export scope

Review date
2026-10-18

https://slack.com/help/articles/360002079527-a-guide-to-slacks-discovery-apis

Slack Discovery APIs

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SL02 Slack Connect data management

Source role
Vendor documentation

Relevant locator
External organization ownership, export exclusions and retention

Review date
2026-10-18

https://slack.com/help/articles/115004152843-How-data-management-features-apply-to-Slack-Connect

Slack Connect data management

AW01 AWS CloudTrail event history

Source role
Vendor documentation

Relevant locator
90 day regional management history; data events through configured trails

Review date
2026-10-18

https://docs.aws.amazon.com/awscloudtrail/latest/userguide/view-cloudtrail-events.html

AWS CloudTrail event history

DS01 Docusign history and completion certificate

Source role
Vendor documentation

Relevant locator
Envelope history and certificate.

Review date
2026-10-18

https://support.docusign.com/s/document-item?bundleId=oeq1643226594604&topicId=hha1578456343641.html&language=en_US

Docusign history and completion certificate

CL01 Clio matter export scope

Source role
Vendor documentation

Relevant locator
Matter list export plus separate subtabs for activities and transactions

Review date
2026-10-18

https://help.clio.com/hc/en-150/articles/9286116462747-Filter-Export-and-Convert-Matters

Clio matter export scope

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CL02 Clio text message exports

Source role
Vendor documentation

Relevant locator
Messaging and PDF export; confirm tenant, version and export scope

Review date
2026-10-18

https://help.clio.com/hc/en-us/articles/9125220988827-Text-Messaging-in-Clio-Manage

Clio text message exports

FT01 FTC Safeguards Rule business guidance

Source role
Agency guidance

Relevant locator
Covered financial institutions; limited exemptions; program selection only

Review date
2026-10-18

https://www.ftc.gov/business-guidance/resources/ftc-safeguards-rule-what-your-business-needs-know

FTC Safeguards Rule business guidance

FP01 FedRAMP authorization explanation

Source role
Agency program index

Relevant locator
Cloud authorization context; agency and authorization specific scope

Review date
2026-10-18

https://www.fedramp.gov/

FedRAMP authorization explanation

Bring the completed pack to a free scoping call and a senior examiner sets the scope from it. Call (800) 868-8189.

Source review date: October 18 2026.

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7. N.Y. General Business Law 899-aa, Notification of breach of security: https://www.nysenate.gov/legislation/laws/GBS/899-AA
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30. NIST Cybersecurity Framework 2: https://nvlpubs.nist.gov/nistpubs/CSWP/NIST.CSWP.29.pdf
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32. EAR recordkeeping: https://www.ecfr.gov/current/title-15/subtitle-B/chapter-VII/subchapter-C/part-762
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34. BIS export compliance toolkit: https://www.bis.gov/learn-support/export-compliance-programs/export-compliance-toolkit
35. EAR end user and end use controls: https://www.ecfr.gov/current/title-15/subtitle-B/chapter-VII/subchapter-C/part-744
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Reviewed by Joseph Caruso, Founder, CEO and CTO, CISSP. Last reviewed November 3, 2026.

Start With a Free Consultation

The initial consultation is free, and requests are handled in confidence. On the first call a senior member of our team listens to the question you need answered, identifies the records and systems involved, and recommends the next step.

Call (800) 868-8189, answered 24/7, request a consultation at evestigate.com/contact, or email info@evestigate.com.

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