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Framework / Financial Services Regulation / Other

FFIEC Information Technology Examination Handbook (IT Handbook InfoBase)

The FFIEC IT Examination Handbook is the set of booklets U.S. examiners use to assess technology risk management at financial institutions and their service providers.



What it is

The FFIEC Information Technology Examination Handbook (IT Handbook) is the set of booklets that federal and state examiners use to evaluate technology risk management at financial institutions and their technology service providers. Published online as the IT Handbook InfoBase, it currently comprises ten booklets: Audit; Business Continuity Management; Development, Acquisition, and Maintenance; Information Security; Management; Architecture, Infrastructure, and Operations; Outsourcing Technology Services; Retail Payment Systems; Supervision of Technology Service Providers; and Wholesale Payment Systems. Each booklet pairs guidance with examination procedures and a downloadable work program.

At a glance

PUBLISHER
Federal Financial Institutions Examination Council (FFIEC)

TYPE
Guidance

VERSION
InfoBase; ten current booklets, revised individually (latest InfoBase update February 27, 2026)

EFFECTIVE
February 27, 2026 (latest InfoBase update; booklets dated individually)

DOMAIN
Financial Services Regulation

FAMILY
Other

REGION
United States

INDUSTRY
Financial Services

ADOPTION MODEL
Regulatory Compliance

IMPLEMENTATION COMPLEXITY
High

Source: ithandbook.ffiec.gov/

Why it matters

- **Examination readiness** Institutions that map controls and evidence to the booklets' examination procedures answer examiner requests quickly and completely.
- **Consistent supervisory expectations** The same booklets are used by all federal banking agencies and many state regulators, so one program satisfies multiple examiners.
- **Complete coverage of IT risk** The ten booklets span governance, security, resilience, development, outsourcing, and payments rather than security alone.
- **Board and management accountability** The Management booklet sets clear expectations for board oversight, IT risk management structure, and reporting.

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How SmartSuite supports FFIEC IT Handbook

Booklet Requirements Library

Hold each booklet's sections and examination procedures as requirements linked to the policies and controls that satisfy them.

Control Owners and Review Cadence

Assign owners and schedule risk assessments, access reviews, testing, and policy approvals on the cycle examiners expect.

Examination Evidence and Audit Trail

Store evidence with links to requirements, timestamps, and approvers so examiner requests are answered from one record.

Testing, Findings, and Remediation

Track self-assessments, audit findings, examination findings, and remediation through verified closure.

Third-Party and Resilience Alignment

Connect service provider due diligence, contracts, and continuity exercises to the booklets that require them.

Board and Examiner Reporting

Report readiness by booklet, open findings, and risk posture to the board and to examiners.

Common framework mappings

CRI Profile · GLBA Safeguards Rule (16 CFR Part 314) · OCC CSWP · NYDFS 23 NYCRR 500 · NAIC MDL-668 · FINRA Cybersecurity · NIST CSF 2.0 · NIST 800-53 Rev.5 · ISO 27001:2022 · COBIT 2019 · CIS Controls v8.1 · SOC 2 · PCI DSS 4.0.1 · SOX · MAS TRM 2021 · Interagency TPRM Guidance (2023)

Official resources

FFIEC IT Examination Handbook InfoBase

The FFIEC's home for the IT Handbook, with booklet summaries, What's New, glossary, and links to laws, regulations, and guidance.

ithandbook.ffiec.gov

FFIEC IT Booklets

The list of current IT Handbook booklets with online, PDF, and work program downloads.

ithandbook.ffiec.gov/it-booklets

FFIEC Information Security Booklet

The booklet examiners use to assess an institution's information security program, with examination procedures.

ithandbook.ffiec.gov/it-booklets/information-security

FFIEC Management Booklet

The booklet covering IT governance, IT risk management, and board and management oversight, with examination procedures.

ithandbook.ffiec.gov/it-booklets/management

Frequently asked questions

What is the FFIEC IT Examination Handbook used for?

Federal and state examiners use the IT Handbook's booklets and work programs to examine how financial institutions and their technology service providers manage information technology risk. Institutions use the same booklets to set policy, self-assess, and prepare for examinations.

Is the FFIEC IT Handbook a regulation?

No. The handbook is supervisory guidance issued by the FFIEC, an interagency body that does not itself regulate institutions. Its member agencies apply the booklets in examinations, however, and shortcomings can lead to examination findings, lower ratings, or enforcement actions under the agencies' own authority.

Which booklets make up the FFIEC IT Handbook?

The InfoBase currently lists ten booklets: Audit; Business Continuity Management; Development, Acquisition, and Maintenance; Information Security; Management; Architecture, Infrastructure, and Operations; Outsourcing Technology Services; Retail Payment Systems; Supervision of Technology Service Providers; and Wholesale Payment Systems. Superseded booklets are kept in an archive.

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Who publishes the FFIEC IT Handbook?

The Federal Financial Institutions Examination Council, established by Congress in 1979. Its members are the Board of Governors of the Federal Reserve System, the FDIC, the NCUA, the OCC, and the CFPB, with state regulators represented through the State Liaison Committee.

How does the IT Handbook relate to the FFIEC Cybersecurity Assessment Tool?

The Cybersecurity Assessment Tool was a separate FFIEC resource for measuring inherent cyber risk and cybersecurity maturity. The FFIEC retired it on August 31, 2025 (OCC Bulletin 2024-25). Examiners now rely on the booklets themselves, particularly Information Security and Management, and institutions that built programs on the tool's statements map them back to those booklets or to another framework such as NIST CSF 2.0.

How should an institution prepare for an FFIEC IT examination?

Map policies, controls, and evidence to the examination procedures in each relevant booklet, run self-assessments, close prior findings, and keep risk assessments, testing results, vendor due diligence, continuity exercises, and board reporting current. Examiners typically issue a request list based on the work programs, so organized evidence shortens the examination.

How does SmartSuite support the FFIEC IT Handbook?

SmartSuite holds booklet requirements, controls, evidence, findings, and vendor records in one system with owners, due dates, and an audit trail. Compliance teams use it to track readiness by booklet, respond to examiner requests, and report to the board.

License included / downloadable: Yes The IT Handbook booklets and work programs are U.S. government publications available free from the FFIEC InfoBase; the platform links to the official booklets rather than reproducing them.

Full framework page and mappings: smartsuite.com/frameworks/ffiec-it-examination-handbook-infobase

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