Computer & Network Policies, Procedures & Forms

A: Overview of the Sample Package
Thank you for viewing this sample content from the **Computer & Network Policies, Procedures & Forms**.

The following pages contain an abridged version of the Table of Contents, with key sections shown in full detail and supporting sections listed as Tab Headings only.

Following the Table of Contents is a complete policy, procedures and form(s) set from this manual. This policy for *IT Asset Management* exemplifies the content, writing style and format of the full manual. The IT Asset Management Procedures is located in the manual under Tab 5: Asset Management.

TERMS AND DEFINITIONS

Manual: A system of approved policy statements and corresponding procedural guidelines and supporting forms that direct an organization toward its operational goals.
Policy: A stated course of action with a defined purpose and scope to guide decision-making under a given set of circumstances within the framework of corporate objectives, goals and management philosophies.
Procedure: A series of prescribed steps followed in a definite regular order which ensure adherence to the guidelines set forth in the Policy to which the Procedure applies
Activity: An action, element or decision representing a prescribed step in the Procedure process.
Task: A detailed component of an Activity specifying required behavior to complete the activity.
Form: A pre-formatted document containing instructions and place-holders for data entry to monitor progress through a particular Procedure and to ensure proper record-keeping.

What the Actual Manual Shipment Contains:
1. Three-Ring Binder with over 500 pages of printed material
2. CD-Rom with all content in MS-Word files

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Continue to next page to view sample Policy, Procedure and Form Set

TITLE: ITAM104 – IT ASSET Assessment

Policy: The Company shall assess (evaluate) its IT assets for conformance to Company requirements.

Purpose: To identify hardware and software (IT assets) on the Company IT network,
determine if those assets are appropriate for the Company's needs,
determine if these assets are properly licensed and versioned, and if they conform to Company standards.

Scope: All IT assets that make up the Company's IT system/network are subject to this procedure.

Responsibilities:

The IT Asset Manager is responsible for supervising the IT asset assessment program.

Technical Support (Tech Support) is responsible for conducting complete, detailed, and objective IT asset assessments, writing nonconformance reports, and reporting findings of IT asset assessments.

Definitions: Network scan (or scan) – Scanning an IT network (with specialized software) to confirm the presence or absence of computer hardware or software, check asset configurations, verify software versions, manage software licenses, track lease and warranty information, detect network vulnerabilities, etc. Commercial and open source software for conducting IT asset scans is readily available; see Additional Resource A for guidance.

IT Asset – Any computer hardware, software, IT-based Company information, related documentation, licenses, contracts or other agreements, etc. In this context, IT assets may be referred to as just "assets".

Nonconformance – A significant, material failure to conform to one or more requirements; also referred to as a "nonconformity". Moving a PC from one desk/user to another without the knowledge or permission of the IT Asset Manager is one example of a nonconformance.

Procedure:

1.0 IT asset assessment PLAN

1.1 IT asset assessments shall be conducted at regular intervals. Assessments should be conducted annually, at a minimum. (See Reference A.)

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• IT asset assessments should also be conducted whenever a large turnover of assets (for example, a large number of PC leases expires in a short time frame) occurs.

1.2 Prior to an assessment, the IT Asset Manager shall review ITAM104-1 – IT ASSET ASSESSMENT CHECKLIST for possible modifications. This checklist shall be used by Tech Support as a guide to conducting IT asset assessments.

2.0 IT Asset SCAN

2.1 The IT Asset Manager shall ensure that Tech Support staff has the current version of the following on hand prior to conducting a network scan:

• ITAM102-5 – IT ASSET INVENTORY DATABASE;
• ITAM102-6 – IT NETWORK MAP; and
• ITAM104-1 – IT ASSET ASSESSMENT CHECKLIST.

2.2 Tech Support shall run a scan on the Company's IT network to determine the status of all IT assets on the network and compare the results with the documents listed in 2.1, looking for information such as:

• What IT hardware is on the network and who are the registered "owners";
• Whether hardware is in use or not;
• What software is installed on each computer, whether it is the correct version, and whether it is a licensed copy; and/or
• Whether unapproved/unauthorized software has been installed on any PC.

2.3 If a nonconformance is found, Tech Support shall report it in accordance with procedure ITSD109 – IT INCIDENT HANDLING.

3.0 DOCUMENTATION AND DISTRIBUTION

3.1 Tech Support shall consolidate and summarize asset scan results on ITAM104-2
- IT ASSET SCAN SUMMARY.

3.2 Tech Support shall prepare and submit their findings – including forms ITAM104-
1 and ITAM104-2 – to the IT Asset Manager.

4.0 NONCONFORMANCE HANDLING

4.1 If a nonconformance is discovered in the course of an asset assessment, the IT
Asset Manager shall write a Corrective Action Request (CAR), in accordance with procedure ITSD109 – IT INCIDENT HANDLING.

4.2 The CAR shall be submitted to the Manager of the department where the nonconformance occurred.

4.3 The Department Manager receiving the CAR shall submit a reply in accordance with procedure ITSD109 – IT INCIDENT HANDLING.

4.4 If a corrective action was taken, the IT Asset Manager should review the situation
within three (3) months to verify that the corrective action was effective.

5.0 IT ASSET Records update

5.1 After the IT asset assessment and subsequent corrective actions, The IT Asset
Manager shall ensure timely and accurate updates to ITAM102-5 – IT ASSET INVENTORY DATABASE and ITAM102-6 – IT NETWORK MAP. (See Reference B.)

Additional Resources:

A. There are many types of scans that may be conducted on a computer network –
hardware scans, software scans, wireless and wired network scans, security scans, etc. Microsoft System Management Server (SMS) 2003 Asset Management
(http://www.microsoft.com/smserver/evaluation/capabilities/asset.mspx) is one form of asset management software. Additional asset management software providers and their products may be found by searching the Internet.

References:

A. ISO STANDARD 17799:2000 – CODE OF PRACTICE FOR INFORMATION SECURITY MANAGEMENT, CLAUSE 5 (ASSET CLASSIFICATION AND CONTROL)

ISO Standard 17799:2000 provides a comprehensive set of controls comprising best practices in information security. ISO 17799 treats information as an asset which, like other important business assets, has value to an organization and consequently needs to be suitably protected. Information security protects information from a wide range of threats in order to ensure business continuity, minimize business damage, and maximize return on investments and business opportunities.

Clause 5 of ISO 17799 is the Asset Classification and Control standard, which deals with asset accountability and information classification.

B. SARBANES-OXLEY ACT OF 2002

The Sarbanes-Oxley Act of 2002 is designed to prevent manipulation, loss, or destruction of publicly-held companies' records. Because virtually all companies keep electronic records, Section 404 of the Act implies that "an adequate internal control structure" may be IT-based.

Therefore, regular scanning of the Company's IT network, evidence of regular scanning, and keeping an up-to-date IT asset inventory are evidence of an adequate internal control structure.

Revision History:
Revision Date
Description of changes Requested
By

10/14/2005 Initial Release

ITAM104-1 – IT ASSET ASSESSMENT CHECKLIST
Assessment #: Date:
Area Evaluated:
Dept. Mgr.:
Lead Assessor:
Assessor:
IT Asset Accountability Response and Comments
1) Is every IT asset – hardware, software, and
related documentation – accounted for?
2) Is an IT asset inventory maintained?
3) Is an IT asset classification scheme in place?
4) Does the inventory identify the owner and location
of each asset?
5) Does the company have a clear set of standards
for IT assets? Are the standards up to date? How
often are they reviewed? Do they conform to
industry standards and/or legal requirements?
6) Is the IT asset inventory reviewed regularly to see
the company does not risk having obsolete IT
assets in inventory?
7) Does every hardware asset conform to company
standards? Are they clearly and properly
identified?
8) Do all software assets conform to company
standards? Are they clearly and properly
identified?
9) Does the IT asset inventory thoroughly and
accurately account for software versions and
licenses?
10) Is there an IT network diagram? Is it accurate? Is
it readily produced? When was it last reviewed?
How frequently is it reviewed?

Tech Support Area Response and Comments
1) Are workers organized and scheduled?
2) Are adequate working areas provided for tasks?
3) Are drawings and schematics organized,
inventoried and readily accessible?
4) Are work instructions sufficient?
5) Are all items (new hardware/software, items being
repaired, etc.) inventoried?
6) Is there any obvious disorganization?
   Tools randomly scattered about?
   Parts on benches disorganized?
   Components or parts for other assemblies
present?
7) Are work areas (benches) clean?
8) Are parts organized and stored efficiently? Are
stores clearly marked?
9) Are staging areas organized?
Tech Support Equipment Response and Comments
1) Are tools properly inventoried? Are records
accurate and up-to-date?
2) Are tools properly stored when not in use?
3) Are tools in good working order?
4) Are tools requiring calibration being recalibrated
on a regular basis? Are calibration records
current?
Tech Support Records Response and Comments
1) Are production records (installations, repairs, etc.)
maintained? Are they complete and up-to-date?
Are they readily accessible?
2) Are "work pending" and "work in process" records
included with the above? Are they likewise
complete and up-to-date? Are they also readily
accessible?

User Complaints Response and Comments
1) Is there a log of user complaints and concerns? Is
it complete, up to date, organized, and readily
accessible?
2) What is the level of detail in the log file? Are
complaints/concerns classified clearly and
logically?
3) Is this "complaint file" periodically reviewed for
trends?
Authorization
Comments:
Tech Support: Date:
IT Asset Manager: Date:

_____

ITAM104-2 – IT ASSET SCAN SUMMARY
(Attach results from scanning software to this sheet.)
Hardware scan results:
Software scan results:
Nonconformities (discrepancies) found:
Other comments:
Tech Support: Date:
IT Asset Mgr.: Date:

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