

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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ITAD101 – Information Technology Management

Activities

- 1.0 Business Planning
- 2.0 IT Department Objective Planning
- 3.0 IT Plan Development
- 4.0 IT Plan Implementation
- 5.0 IT Plan Review
- 6.0 IT Plan Update

Forms

- ITAD101-1 – Information Technology Plan
- ITAD101-2 – IT Plan Review Checklist

ITAD102 – IT Records Management

Activities

- 1.0 Identification of Records
- 2.0 Record Generation
- 3.0 Record Management
- 4.0 Technology Obsolescence
- 5.0 Records Audit

Forms

- ITAD102-1 – Records Classification and Retention Guide
- ITAD102-2 – Records Management Database

ITAD103 – IT Document Management

Activities

- 1.0 Planning Document Management
- 2.0 Document Management Plan
- 3.0 Document Management Plan Review
- 4.0 Document Management Plan Update

Forms

- ITAD103-1 – Document Control List
- ITAD103-2 – Document Change Request Form
- ITAD103-3 – Document Change Control Form

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ITAD104 – IT Device Naming Conventions

Activities

- 1.0 Server Naming Conventions
- 2.0 Network Host Naming Conventions
- 3.0 Mainframe Naming Conventions
- 4.0 Infrastructure Device Naming Conventions

ITAD105 – TCP/IP Implementation Standards

Activities

- 1.0 TCP/IP Address
- 2.0 Dynamic Host Configuration Protocol
- 3.0 Network Address Translation
- 4.0 Subnet Addressing Standards
- 5.0 WAN Link Addressing Conventions

ITAD106 – Network Infrastructure Standards

Activities

- 1.0 Network Infrastructure Standards Development
- 2.0 Network Infrastructure Standards Implementation
- 3.0 Network Infrastructure Standards Review

Forms

ITAD106-1 – Network Infrastructure Standards List

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Activities

- 1.0 Acceptable Use
- 2.0 Inappropriate Use
- 3.0 Internet and E-Mail Etiquette
- 4.0 Security
- 5.0 Penalties
- 6.0 Conclusion
- 7.0 User Compliance

ITAD108 – E-Mail Policy

Activities

- 1.0 E-Mail Policy Development
- 2.0 E-Mail Policy Implementation
- 3.0 E-Mail Policy Review
- 4.0 E-Mail Policy Changes

Forms

ITAD108-1 – Company E-Mail Policy Acknowledgement

ITAD109 – IT Outsourcing

Activities

- 1.0 Identifying a Candidate Function for Outsourcing
- 2.0 Selecting an IT Outsourcer
- 3.0 Outsourcer Billings
- 4.0 Arbitration
- 5.0 Outsourcer Relationship Management

Forms

- ITAD109-1 – IT Outsourcer Due Diligence Checklist
- ITAD109-2 – IT Outsourcer Record

ITAD110 – IT Department Satisfaction

Activities

- 1.0 General
- 2.0 Post-Service Follow-Up
- 3.0 User Survey
- 4.0 User Satisfaction Review

Forms

- ITAD110-1 – IT Post-Service Satisfaction Report
- ITAD110-2 – User Satisfaction Survey

Asset Management (ITAM) Tab 5

ITAM101 – IT Asset Standards

Activities

- 1.0 IT Asset Standards Development
- 2.0 IT Asset Standards Implementation
- 3.0 IT Asset Standards Assessment

Forms

- ITAM101-1 – IT Asset Standards List
- ITAM101-2 – IT Asset Configuration Worksheet
- ITAM101-3 – IT Asset Standards Exception Request

ITAM102 – IT Asset Management

Activities

- 1.0 IT Asset Planning
- 2.0 IT Asset Acquisition
- 3.0 IT Asset Inspection, Acceptance, & Distribution
- 4.0 IT Asset Disposal
- 5.0 IT Asset Verification

Forms

- ITAM102-1 – IT Asset Requisition/Disposal Form
- ITAM102-2 – IT Asset Acquisition List
- ITAM102-3 – Tech Support Receiving Log
- ITAM102-4 – Nonconforming IT Asset Form
- ITAM102-5 – IT Asset Inventory Database

ITAM102-6 – IT Network Map

ITAM103 – IT Vendor Selection

Activities

- 1.0 IT Vendor Evaluation
- 2.0 Request For Proposal
- 3.0 IT Vendor Selection
- 4.0 IT Vendor Review
- 5.0 IT Vendor Files

Forms

- ITAM103-1 – IT Vendor Notification Form
- ITAM103-2 – IT Vendor Survey
- ITAM103-3 – Approved IT Vendor Data Sheet
- ITAM103-4 – IT Vendor List
- ITAM103-5 – IT Vendor Disqualification Form

ITAM104 – IT Asset Assessment

Activities

- 1.0 IT Asset Assessment Plan
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- 3.0 Documentation and Distribution
- 4.0 Nonconformance Handling
- 5.0 IT Asset Records Update

Forms

- ITAM104-1 – IT Asset Assessment Checklist
- ITAM104-2 – IT Asset Scan Summary

ITAM105 – IT Asset Installation Satisfaction

Activities

- 1.0 IT User Satisfaction Plan
- 2.0 IT Asset Installation Follow-Up
- 3.0 User Satisfaction Data Review
- 4.0 Corrective/Preventive Action
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- ITAM105-1 – IT Asset Installation Follow-Up Report

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- 1.0 Planning System Administration
- 2.0 System Administration Plan
- 3.0 System Administration Plan Review
- 4.0 System Administration Plan Update

Forms

- ITTS101-1 – FORM NAME OPEN

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ITTS102 – IT Support Center

Activities

- 1.0 IT Support Center Overview
- 2.0 IT Support Center Plan (Operations)
- 3.0 IT Support Plan Review
- 4.0 IT Support Plan Update

Forms

- ITTS102-1 – System Trouble Report
- ITTS102-2 – System Trouble Acknowledgement Form
- ITTS102-3 – System Trouble Resolution Form
- ITTS102-4 – Tech Support Log

ITTS103 – IT Server / Network Support

Activities

- 1.0 Server / Network Support Planning
- 2.0 Server / Network Support Plan
- 3.0 Support Plan Review
- 4.0 Support Plan Update

Forms

- ITTS103-1 – Server / Network Planning Checklist
- ITTS103-2 – Server / Network Support Plan

ITTS104 – IT Troubleshooting

Activities

- 1.0 IT Troubleshooting – Planning
- 2.0 IT Troubleshooting Plan
- 3.0 IT Troubleshooting Plan Review
- 4.0 IT Troubleshooting Plan Update

Forms

- ITTS104-1 – IT Troubleshooting Plan
- ITTS104-2 – User Troubleshooting Guide

ITTS105– IT User-Staff Training Plan

Activities

- 1.0 Planning IT Training
- 2.0 The IT Training Plan
- 3.0 IT Training Plan Evaluation (Review)
- 4.0 IT Training Plan Update

Forms

- ITTS105-1 – IT Training Requirements List
- ITTS105-2 – IT Training Log

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ITSD101 – IT Threat And Risk Assessment

Activities

- 1.0 Threat and Risk Assessment – Introduction
- 2.0 Threat Assessment Preparation
- 3.0 Threat Assessment
- 4.0 Threat/Risk Management Review

Forms

ITSD101-1 – IT Threat / Risk Assessment Report

ITSD102 – IT Security Plan

Activities

- 1.0 Preparing The IT Security Plan
- 2.0 Developing The IT Security Plan
- 3.0 Implementing The IT Security Plan
- 4.0 IT Security Plan Review
- 5.0 IT Security Plan Update

Forms

ITSD102-1 – IT Security Assessment Checklist

ITSD102-2 – IT Security Plan

ITSD102-3 – IT Security Plan Implementation Schedule

ITSD103 – IT Media Storage

Activities

- 1.0 IT Storage Planning
- 2.0 IT Storage Plan
- 3.0 IT Storage Plan Review
- 4.0 Updating The IT Storage Plan

Forms

ITSD103-1 – Information Storage Plan

ITSD104 – IT Disaster Recovery

Activities

- 1.0 IT Disaster Recovery Planning
- 2.0 IT Disaster Recovery Plan
- 3.0 IT Disaster Recovery Plan Review
- 4.0 IT Disaster Recovery Plan Revision

Forms

ITSD104-1 – IT Disaster Recovery Plan

ITSD105 – Computer Malware

Activities

- 1.0 Malware Defense Planning
- 2.0 Malware Defense Plan
- 3.0 Malware Defense Plan Review
- 4.0 Malware Defense Plan Update

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ITSD106 – IT Access Control

Activities

- 1.0 Planning Access Control
- 2.0 IT Access Control Plan
- 3.0 IT Access Control Plan Review
- 4.0 IT Access Control Plan Update

Forms

- ITSD106-1 – Access Control Plan
- ITSD106-2 – User Access Control Database
- ITSD106-3 – Access Control Log
- ITSD106-4 – User Account Conventions

ITSD107 – IT Security Audits

Activities

- 1.0 IT Security Audit Planning
- 2.0 IT Security Audit Plan
- 3.0 IT Security Audit Review
- 4.0 Corrective Action

Forms

- ITSD107-1 – IT Security Audit Report
- ITSD107-2 – IT Nonconformity Report
- ITSD107-3 – IT Security Audit Plan

ITSD108 – IT Incident Handling

Activities

- 1.0 IT Incident Handling Planning
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- 3.0 IT Incident Handling Plan Review
- 4.0 IT Incident Handling Plan Update

Forms

- ITSD108-1 – IT Incident Report
- ITSD108-2 – IT Incident Response Form

Software Development (ITSW) Tab 8

ITSW101 – IT Project Definition

Activities

- 1.0 IT Project Needs Identification
- 2.0 IT Project Definition
- 3.0 IT Project Definition Review
- 4.0 IT Project Plan

Forms

- IEEE Software Engineering Standards List
- ITSW101-1 – IT Project Plan

ITSW102 – IT Project Management

Activities

- 1.0 IT Project Setup
- 2.0 IT Project Schedule
- 3.0 IT Project Cycle Management
- 4.0 IT Project Review

Forms

- ITSW102-1 – IT Project Development Database
- ITSW102-2 – IT Project Status Report
- ITSW102-3 – IT Project Team Review Checklist
- ITSW102-4 – IT Project Progress Review Checklist

ITSW103 – Systems Analysis

Activities

- 1.0 Introduction
- 2.0 System Requirements
- 3.0 Information Flows Documentation
- 4.0 Acceptance Test Plan
- 5.0 Beta Test Plan
- 6.0 Systems Analysis Review

ITSW104 – Software Design

Activities

- 1.0 Introduction
- 2.0 Software Design Specification
- 3.0 Software Design Review

Forms

- ITSW104-1 – Design Review Checklist

ITSW105 – Software Programming

Activities

- 1.0 Programming Standards
- 2.0 Programming Tasks
- 3.0 Software Development
- 4.0 Programming Reviews

Forms

- ITSW105-1 – Work Product Review Checklist

ITSW106 Software Documentation

Activities

- 1.0 Software Assessment
- 2.0 Documentation Production
- 2.0 Final Review
- 3.0 Documentation Release
- 5.0 Document Revision
- 6.0 Procedure and Work Instruction Format

Forms

- ITSW106-1 – Request for Document Change (RDC)
- ITSW106-2 – Document Change Control

ITSW107 Software Testing

- 1.0 Software Testing Overview
- 2.0 Acceptance Testing
- 3.0 Beta Testing
- 4.0 Final Release Testing

Forms

- ITSW107-1 – Project Test Script
- ITSW107-2 – Project Test Checklist
- ITSW107-3 – Project Test Problem Report

ITSW108 Design Changes During Development

Activities

- 1.0 Introduction
- 2.0 Design Change Review
- 3.0 Design Change Implementation

Forms

- ITSW108-1 – Design Change Request Form

ITSW109 Software Releases and Updates

Activities

- 1.0 Introduction
- 2.0 Version Control Standards
- 3.0 Configuration Control Standards
- 4.0 Release Control Standards
- 5.0 Software License, Warranty, and Copyright

Forms

- ITSW109-1 – Product License Agreement
- ITSW109-2 – Limited Warranty
- ITSW109-3 – Copyright Notice

ITSW110 Software Support

Activities

- 1.0 Support Overview
- 2.0 Support Services Management
- 3.0 Free Basic Support Services
- 4.0 Extended Support Services
- 5.0 User Group Support
- 6.0 Phone Support Services

ITSW111 Software Consulting Services

Activities

- 1.0 Introduction
- 2.0 Cost Estimates
- 3.0 Enhancements and Customizations
- 4.0 Software Problems
- 5.0 Consulting Services Review

Forms

- ITSW111-1 – Consulting Agreement
- ITSW111-2 – Statement of Work
- ITSW111-3 – Customer Support Log

ITSW112 Software Training

Activities

- 1.0 Introduction
- 2.0 Standard Training Courses
- 3.0 Customized Training Courses
- 4.0 Teaching Training Courses

Forms

- ITSW112-1 – Software Training Evaluation Form

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SOP # Revision: Prepared by:

Effective Date: Approved by:

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.)

- 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/smsserver/evaluation/capabilities/asset.msp>) 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?

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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?

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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:

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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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