7. ORGANIZATIONAL ASSET MANAGEMENT AUDIT			RESPONSES			NOTES AND COMMENTS
7.1 ESTABLISH RESPONSIBILITY FOR ASSETS						
1	**GOAL**	Do you protect your organization's assets?	YES	NO	N/A	
2	**GOAL**	Do you use controls to protect your assets?	YES	NO	N/A	
3	**GOAL**	Do you account for your organization's assets?	YES	NO	N/A	
4	**GOAL**	Do you nominate owners for all organizational assets?	YES	NO	N/A	
5	**GOAL**	Do you make nominated owners responsible for protecting your organization's assets?	YES	NO	N/A	
6	**GOAL**	Do you assign responsibility for the maintenance of your organization's asset controls?	YES	NO	N/A	
7	**GOAL**	Do you make your asset owners responsible for protecting your organization's assets even though owners may have delegated the responsibility for implementing controls?	YES	NO	N/A	
7.1.1 COMPILE AN INVENTORY OF ORGANIZATIONAL ASSETS						
8	**CTRL**	Have you identified all organizational assets?	YES	NO	N/A	
9	**CTRL**	Have you compiled an inventory of all important assets?	YES	NO	N/A	
10	**CTRL**	Do you maintain an inventory of all important assets?	YES	NO	N/A	
11	GUIDE	Can your asset inventory be used to help your organization recover from disasters?	YES	NO	N/A	
12	GUIDE	Does your asset inventory gather all essential information about each of your assets?	YES	NO	N/A	
13	GUIDE	Does your asset inventory document the importance of each of your assets?	YES	NO	N/A	
14	GUIDE	Does your asset inventory assign a business value to each of your assets?	YES	NO	N/A	
15	GUIDE	Does your inventory identify asset types?	YES	NO	N/A	
16	GUIDE	Does your inventory specify asset formats?	YES	NO	N/A	
17	GUIDE	Does your inventory specify asset locations?	YES	NO	N/A	

ORGANIZATION:	YOUR LOCATION:
COMPLETED BY:	DATE COMPLETED:
REVIEWED BY:	DATE REVIEWED:

7. ORGANIZATIONAL ASSET MANAGEMENT AUDIT			RESPONSES			NOTES AND COMMENTS
18	GUIDE	Does your inventory provide license information?	YES	NO	N/A	
19	GUIDE	Does your inventory provide backup information?	YES	NO	N/A	
20	GUIDE	Does your inventory identify an owner for each asset ("owners" do not actually "own" the asset)?	YES	NO	N/A	
21	GUIDE	Does your asset inventory assign a security classification to each asset?	YES	NO	N/A	
22	GUIDE	Have you identified levels of protection for your assets?	YES	NO	N/A	
23	GUIDE	Have you assigned a level of protection to each asset?	YES	NO	N/A	
24	GUIDE	Do you provide a higher level of protection for your organization's most valuable and important assets?	YES	NO	N/A	
25	GUIDE	Do you provide a higher level of protection for assets that have a higher security classification?	YES	NO	N/A	
26	NOTE	Have you compiled an inventory of all information assets?	YES	NO	N/A	
27	NOTE	Have you compiled an inventory of databases and date files?	YES	NO	N/A	
28	NOTE	Have you compiled an inventory of contracts and agreements?	YES	NO	N/A	
29	NOTE	Have you compiled an inventory of system documentation?	YES	NO	N/A	
30	NOTE	Have you compiled an inventory of research information?	YES	NO	N/A	
31	NOTE	Have you compiled an inventory of training materials?	YES	NO	N/A	
32	NOTE	Have you compiled an inventory of user manuals?	YES	NO	N/A	
33	NOTE	Have you compiled an inventory of procedures?	YES	NO	N/A	
34	NOTE	Have you compiled an inventory of audit trails?	YES	NO	N/A	
35	NOTE	Have you compiled an inventory of business continuity plans?	YES	NO	N/A	
36	NOTE	Have you compiled an inventory of fallback arrangements?	YES	NO	N/A	
37	NOTE	Have you compiled an inventory of archived information?	YES	NO	N/A	
38	NOTE	Have you compiled an inventory of software assets?	YES	NO	N/A	

ORGANIZATION:	YOUR LOCATION:
COMPLETED BY:	DATE COMPLETED:
REVIEWED BY:	DATE REVIEWED:

7. ORGANIZATIONAL ASSET MANAGEMENT AUDIT			RESPONSES			NOTES AND COMMENTS
39	NOTE	Have you compiled an inventory of application software?	YES	NO	N/A	
40	NOTE	Have you compiled an inventory of system software?	YES	NO	N/A	
41	NOTE	Have you compiled an inventory of development tools?	YES	NO	N/A	
42	NOTE	Have you compiled an inventory of software utilities?	YES	NO	N/A	
43	NOTE	Have you compiled an inventory of physical assets?	YES	NO	N/A	
44	NOTE	Have you compiled an inventory of computer equipment?	YES	NO	N/A	
45	NOTE	Have you compiled an inventory of communications equipment?	YES	NO	N/A	
46	NOTE	Have you compiled an inventory of removable media?	YES	NO	N/A	
47	NOTE	Have you compiled an inventory of services?	YES	NO	N/A	
48	NOTE	Have you compiled an inventory of computing services?	YES	NO	N/A	
49	NOTE	Have you compiled an inventory of communication services?	YES	NO	N/A	
50	NOTE	Have you compiled an inventory of general utility services?	YES	NO	N/A	
51	NOTE	Have you compiled an inventory of heating services?	YES	NO	N/A	
52	NOTE	Have you compiled an inventory of lighting services?	YES	NO	N/A	
53	NOTE	Have you compiled an inventory of power services?	YES	NO	N/A	
54	NOTE	Have you compiled an inventory of air-conditioning services?	YES	NO	N/A	
55	NOTE	Have you compiled an inventory of personnel?	YES	NO	N/A	
56	NOTE	Does your personnel inventory list qualifications?	YES	NO	N/A	
57	NOTE	Does your personnel inventory list experience?	YES	NO	N/A	
58	NOTE	Does your personnel inventory list skills?	YES	NO	N/A	
59	NOTE	Have you compiled an inventory of intangible assets?	YES	NO	N/A	
60	NOTE	Do you use your asset inventories to support health and safety programs?	YES	NO	N/A	

ORGANIZATION:	YOUR LOCATION:
COMPLETED BY:	DATE COMPLETED:
REVIEWED BY:	DATE REVIEWED:

7. ORGANIZATIONAL ASSET MANAGEMENT AUDIT			RESPONSES			NOTES AND COMMENTS
61	NOTE	Do you use your asset inventories to support your organization's insurance programs?	YES	NO	N/A	
62	NOTE	Do you use your asset inventories to support your financial management activities?	YES	NO	N/A	
63	NOTE	Do you use your asset inventories to support your risk management activities?	YES	NO	N/A	
7.1.2 SELECT OWNERS FOR YOUR INFORMATION AND ASSETS						
64	**CTRL**	Have you selected *owners* for your information assets (these "owners" do not legally "own" these assets)?	YES	NO	N/A	
65	**CTRL**	Have you selected *owners* for assets that are part of your organization's information processing facilities?	YES	NO	N/A	
66	**CTRL**	Are your asset owners formally responsible for controlling the production, development, maintenance, security, and use of the assets they officially "own"?	YES	NO	N/A	
67	GUIDE	Are your asset owners responsible for ensuring that information associated with information processing facilities is properly classified?	YES	NO	N/A	
68	GUIDE	Are your asset owners responsible for ensuring that assets associated with information processing facilities are properly classified?	YES	NO	N/A	
69	GUIDE	Are your asset owners responsible for defining access restrictions and ensuring that these restrictions are consistent with access control policies?	YES	NO	N/A	
70	GUIDE	Are your asset owners responsible for reviewing access restrictions and ensuring that these restrictions are consistent with access control policies?	YES	NO	N/A	
71	GUIDE	Are your asset owners responsible for defining access classifications and ensuring that these classifications are consistent with access control policies?	YES	NO	N/A	
72	GUIDE	Are your asset owners responsible for reviewing access classifications and ensuring that these classifications are consistent with access control policies?	YES	NO	N/A	
73	GUIDE	Have you assigned asset owners to business processes?	YES	NO	N/A	

7. ORGANIZATIONAL ASSET MANAGEMENT AUDIT			RESPONSES			NOTES AND COMMENTS
74	GUIDE	Have you assigned asset owners to defined sets of activities?	YES	NO	N/A	
75	GUIDE	Have you assigned asset owners to specific applications?	YES	NO	N/A	
76	GUIDE	Have you assigned asset owners to defined sets of data?	YES	NO	N/A	
77	NOTE	Do asset owners retain responsibility for their assets even though others use these assets in their work?	YES	NO	N/A	
78	NOTE	Do service providers assume ownership of and are responsible for all of the assets used to deliver service?	YES	NO	N/A	
7.1.3 ESTABLISH ACCEPTABLE USE RULES FOR INFORMATION AND ASSETS						
79	**CTRL**	Have you identified rules that define the acceptable use of information?	YES	NO	N/A	
80	**CTRL**	Have you documented rules that define the acceptable use of information?	YES	NO	N/A	
81	**CTRL**	Have you implemented rules that define the acceptable use of information?	YES	NO	N/A	
82	**CTRL**	Have you identified rules that define the acceptable use of assets associated with your information processing facilities?	YES	NO	N/A	
83	**CTRL**	Have you documented rules that define the acceptable use of assets associated with information processing facilities?	YES	NO	N/A	
84	**CTRL**	Have you implemented rules that define the acceptable use of assets associated with information processing facilities?	YES	NO	N/A	
85	GUIDE	Do all employees follow your acceptable use rules?	YES	NO	N/A	
86	GUIDE	Do all contractors follow your acceptable use rules?	YES	NO	N/A	
87	GUIDE	Do all third parties follow your acceptable use rules?	YES	NO	N/A	
88	GUIDE	Does everyone follow the rules that define how electronic mail should be used?	YES	NO	N/A	
89	GUIDE	Does everyone follow the rules that define how the Internet should be used?	YES	NO	N/A	
90	GUIDE	Does everyone follow the rules that define how mobile devices should be used?	YES	NO	N/A	

7. ORGANIZATIONAL ASSET MANAGEMENT AUDIT			RESPONSES			NOTES AND COMMENTS
91	GUIDE	Does everyone follow the rules that define how mobile devices should be used outside of your premises?	YES	NO	N/A	
92	GUIDE	Do your organization's managers provide specific acceptable use guidance and advice?	YES	NO	N/A	
93	GUIDE	Are all employees aware of your organization's acceptable use rules, guidelines, and limits?	YES	NO	N/A	
94	GUIDE	Are all contractors aware of your organization's acceptable use rules, guidelines, and limits?	YES	NO	N/A	
95	GUIDE	Are all third-party users aware of your organization's acceptable use rules, guidelines, and limits?	YES	NO	N/A	
96	GUIDE	Are all employees responsible for their use of your organization's information processing resources?	YES	NO	N/A	
97	GUIDE	Are all contractors responsible for their use of your organization's information processing resources?	YES	NO	N/A	
98	GUIDE	Are all third parties responsible for their use of your organization's information processing resources?	YES	NO	N/A	
7.2 USE AN INFORMATION CLASSIFICATION SYSTEM						
99	**GOAL**	Do you provide an appropriate level of protection for your organization's information?	YES	NO	N/A	
100	**GOAL**	Have you established an information classification system for your organization?	YES	NO	N/A	
101	**GOAL**	Do you use your classification system to define security levels?	YES	NO	N/A	
102	**GOAL**	Have you specified how much protection is expected at each level?	YES	NO	N/A	
103	**GOAL**	Have you assigned a security priority to each information security level?	YES	NO	N/A	
104	**GOAL**	Do you use your information classification system to specify how information should be protected at each level?	YES	NO	N/A	
105	**GOAL**	Do you use your information classification system to specify how information should be handled at each level?	YES	NO	N/A	

7. ORGANIZATIONAL ASSET MANAGEMENT AUDIT			RESPONSES			NOTES AND COMMENTS
7.2.1 DEVELOP INFORMATION CLASSIFICATION GUIDELINES						
106	**CTRL**	Have you established information classification guidelines?	YES	NO	N/A	
107	**CTRL**	Do you classify information according to how sensitive it is?	YES	NO	N/A	
108	**CTRL**	Do you classify information according to how critical it is?	YES	NO	N/A	
109	**CTRL**	Do you classify your information according to how valuable it is to your organization?	YES	NO	N/A	
110	**CTRL**	Do you classify your information according to the kinds of legal requirements that must be met?	YES	NO	N/A	
111	GUIDE	Do your information classifications allow you to meet your business need to share information?	YES	NO	N/A	
112	GUIDE	Do your information classifications allow you to meet your business need to restrict access to information?	YES	NO	N/A	
113	GUIDE	Do your protective control methods allow you to meet your business need to share information?	YES	NO	N/A	
114	GUIDE	Do your protective control methods allow you to meet your business need to restrict access to information?	YES	NO	N/A	
115	GUIDE	Do your information classification guidelines specify how information should be classified initially?	YES	NO	N/A	
116	GUIDE	Do your information classification guidelines specify how information should be reclassified over time?	YES	NO	N/A	
117	GUIDE	Are your information classification guidelines consistent with your access control policy?	YES	NO	N/A	
118	GUIDE	Do you avoid the use of complex, cumbersome, and costly multicategory information classification systems?	YES	NO	N/A	
119	GUIDE	Have you given the responsibility for classifying information to the owner of that information?	YES	NO	N/A	
120	GUIDE	Are information owners responsible for ensuring that information is classified at the right level?	YES	NO	N/A	
121	GUIDE	Have you given the responsibility for periodically reviewing classifications to information owners?	YES	NO	N/A	

ORGANIZATION:	YOUR LOCATION:
COMPLETED BY:	DATE COMPLETED:
REVIEWED BY:	DATE REVIEWED:

7. ORGANIZATIONAL ASSET MANAGEMENT AUDIT			RESPONSES			NOTES AND COMMENTS
122	GUIDE	Are information owners responsible for ensuring that information classifications are up-to-date?	YES	NO	N/A	
123	GUIDE	Have you considered the possibility that information may become more sensitive and require more protection once large quantities are accumulated (aka the *aggregation effect*)?	YES	NO	N/A	
124	NOTE	Have you considered the possibility that information may become less sensitive or critical and require less protection over time?	YES	NO	N/A	
125	NOTE	Have you figured out what level of protection a piece of information must have by examining its confidentiality requirements?	YES	NO	N/A	
126	NOTE	Have you figured out what level of protection a piece of information must have by examining its availability requirements?	YES	NO	N/A	
127	NOTE	Have you figured out what level of protection a piece of information must have by examining its integrity requirements?	YES	NO	N/A	
128	NOTE	Have you figured out what level of protection documents must have by grouping documents with similar security requirements?	YES	NO	N/A	
129	NOTE	Do your information classifications specify how information should be handled and protected?	YES	NO	N/A	
7.2.2 USE INFORMATION HANDLING AND LABELING PROCEDURES						
130	**CTRL**	Have you developed information handling procedures for each of your information security classifications?	YES	NO	N/A	
131	**CTRL**	Have you developed information labeling procedures for each of your information security classifications?	YES	NO	N/A	
132	**CTRL**	Have you implemented your information handling procedures?	YES	NO	N/A	
133	**CTRL**	Have you implemented your information labeling procedures?	YES	NO	N/A	
134	GUIDE	Do your organization's information labeling procedures cover physical information assets?	YES	NO	N/A	
135	GUIDE	Do your organization's information labeling procedures cover electronic information assets?	YES	NO	N/A	

ORGANIZATION:	YOUR LOCATION:
COMPLETED BY:	DATE COMPLETED:
REVIEWED BY:	DATE REVIEWED:

7. ORGANIZATIONAL ASSET MANAGEMENT AUDIT			RESPONSES			NOTES AND COMMENTS
136	GUIDE	Does information system output, which is classified as sensitive or critical, receive a security label that makes it clear that the output is sensitive or critical?	YES	NO	N/A	
137	GUIDE	Does your security labeling system meet your information classification guidelines?	YES	NO	N/A	
138	GUIDE	Do your information security labeling procedures tell you how to label printed reports?	YES	NO	N/A	
139	GUIDE	Do your security labeling procedures tell you how to label screen displays?	YES	NO	N/A	
140	GUIDE	Do your security labeling procedures tell you how to label recorded media (e.g., CDs, tapes, disks)?	YES	NO	N/A	
141	GUIDE	Do your security labeling procedures tell you how to label electronic messages?	YES	NO	N/A	
142	GUIDE	Do your security labeling procedures tell you how to label file transfers?	YES	NO	N/A	
143	GUIDE	Do your information handling procedures define how information should be processed at each security classification level?	YES	NO	N/A	
144	GUIDE	Do your information handling procedures define how information should be stored at each security classification level?	YES	NO	N/A	
145	GUIDE	Do your information handling procedures define how information should be transmitted at each security classification level?	YES	NO	N/A	
146	GUIDE	Do your information handling procedures define how information should be declassified at each security classification level?	YES	NO	N/A	
147	GUIDE	Do your information handling procedures define how information should be destroyed at each security classification level?	YES	NO	N/A	
148	GUIDE	Do your information handling procedures define the chain of custody for each security level?	YES	NO	N/A	

7. ORGANIZATIONAL ASSET MANAGEMENT AUDIT			RESPONSES			NOTES AND COMMENTS
149	GUIDE	Do information handling procedures define how security events should be logged for each security classification level?	YES	NO	N/A	
150	GUIDE	Have you established procedures to ensure that your security classification labels are correctly interpreted when your classified information must be shared with other organizations?	YES	NO	N/A	
151	GUIDE	Have you established procedures to ensure that other organizations' security classifications are correctly interpreted when their classified information is shared with your organization?	YES	NO	N/A	
152	GUIDE	Do you use information sharing agreements to ensure that security classifications and labels are correctly interpreted?	YES	NO	N/A	
153	NOTE	Do you use physical labeling methods to specify the security classification of physical documents?	YES	NO	N/A	
154	NOTE	Do you use electronic labeling methods to specify the security classification of electronic documents?	YES	NO	N/A	

Answer each of the above questions. Three answers are possible: YES, NO, and N/A. YES means you're in compliance, NO means you're not in compliance, while N/A means that the question is not applicable in your case. YES answers and N/A answers require no further action, while NO answers point to security practices that need to be implemented and actions that need to be taken. Also, please use the column on the right to record your notes and comments.

In the spaces below, enter the name and location of your organization, who completed this page, who reviewed it, and the dates.

ORGANIZATION:	YOUR LOCATION:
COMPLETED BY:	DATE COMPLETED:
REVIEWED BY:	DATE REVIEWED: