7.3.3 Procedures

Rate each item from 0 to 10 for both current rating and goal state. Add up the columns and divide rating into goal state for overall procedures rating.

7.3.3.1 Situation

Issue	Rate	Goal
All procedures have explicit invocation conditions.		
Preconditions are explicitly codified and documented.		
Ticketing or tickler systems lead to procedures.		

7.3.3.2 Process

Issue	Rate	Goal
Processes for situations are specific and explicit.		
Procedural actions are always logged as they occur.		
Escalation conditions are codified and logged.		
Process flow controls are used for all procedures.		
Process flows are logged and tracked.		
All processes reach closure by notifying management.		
Metrics are used to measure process effectiveness.		
Metrics are used to measure process efficiency.		
Metrics are used to evaluate process performance.		
Metrics are used for process improvement.		

7.3.3.3 Actions

Issue	Rate	Goal
All actions associated with procedures are designed to result in some set of specific outcomes.		
All actions are codified and documented.		
Audit indicates that documented actions are done.		

7.3.3.4 Logging

Issue	Rate	Goal
Logging is ubiquitous in procedures.		
Logs are used in after-action analysis for evaluation.		
Logs are used in process reporting.		
Logs are used in diagnostic design and operation.		
Logs are retained for policy-defined retention periods.		

7.3.3.5 Escalation

Issue	Rate	Goal
Escalation is always the result of a codified exception.		
Escalation goes to identified positions or individuals.		
Escalations are logged and tracked.		
Escalations are resolved at lowest levels appropriate.		
Escalation results get codified to reduce escalations.		

7.3.3.6 Flow control

Issue	Rate	Goal
Flow control mechanisms are used for all processes.		
Flow control enforces approval processes.		
Flow control assures work is done in the proper order.		
Flow controls force documentation and tracking.		
Ticketing or similar systems enforce flow control.		
Flow control includes overall process feedback.		

7.3.3.7 Closure

Issue	Rate	Goal
Closure results from processes reaching conclusions.		
Ticketing or similar systems track closures.		
All processes must be closed in identified times.		
Closure includes gathering and analyzing feedback.		

7.3.3.8 Feedback

Issue	Rate	Goal
Feedback occurs at the customer satisfaction level.		
Feedback is used to measure process efficiency.		
Feedback is used to measure process cost.		
Feedback is used to review and adapt processes.		
After-action reports are generated from feedback.		
Roll-ups of after action reports are used for tactical adaptation of individual processes.		

7.3.3.9 Roll-up

Process	Issue	Rate	Goal
TOTAL	Add the rating and goal columns.		
Rating	Divide total rating into total goal and multiply by 10		430

Comparison based on total rating / 43

Startup	Diligence	Typical	Excellent	Best
2.5	4.8	6	8	9

For the most ambitious organizations, 430 is a reasonable goal for totals, and 90% of that is top quality. Due diligence levels for total goals run around 200 and a total rating below 100 is probably inadequate for any substantial business. Most CISOs set short, medium, and long-term goals. A good long-term goal is to reach and maintain 90% of the 430 maximum value. A reasonable strategic goal for a quality organization is 300 based on setting reasonable goals in each area. It takes about 18 months of sustained effort to move from below 100 to 200, about another 18-24 months to get to 300, and a good 5-year plan is to reach 90% of 430.