

7.3.12 Documentation

Rate each item in the range of 0 to 10. Sum the items in each area and divide by the identified number to generate a total. Sum the totals/9 for overall rating.

7.3.12.1 Situations

<i>Issue</i>	<i>Rate</i>
Documents are created for specific situations.	
Recurrent situations have standardized documents.	
Documentation is in a form that will allow it to function in the conditions it was intended to cover.	
Recovery documents for information systems do not require that computers operate in order to be useful.	
Documents are located where they will be needed for use.	
Documents are updated to reflect significant changes when they occur.	
Total for this area / 6	

7.3.12.2 Requirements

<i>Issue</i>	<i>Rate</i>
Requirements documents are used to describe what is required for systems when implemented.	
All medium and high risk systems have requirements documents that are accurate and up to date.	
There is a documentation requirements standard that specifies the content of requirements documents.	
All processes have required documents and the requirements for those documents are specified in their process requirements document.	
Total for this area / 4	

7.3.12.3 Formats

<i>Issue</i>	<i>Rate</i>
Formats associated with documents are standardized as the situations leading to them recur.	
Formats for documents are standardized for common items and fields.	

<i>Issue</i>	<i>Rate</i>
Format specifications are used to create databases to store documents in digital form where appropriate.	
Standard formats are used for marking and tracking processes to assure that they are easily recognized.	
Old formats are converted for handling and storage.	
Total for this area / 5	

7.3.12.4 Copies

<i>Issue</i>	<i>Rate</i>
Adequate copies may be made of all documentation.	
Copies of documents are tracked when the document is potentially sensitive.	
Copies of sensitive documents are limited and controlled.	
Legal and contractual restrictions on copies are enforced.	
Risk management determines minimum copies for availability needs.	
Total for this area / 5	

7.3.12.5 Tracking

<i>Issue</i>	<i>Rate</i>
Limited access documents, protected health information, financial records of certain sorts, trade secrets, and classified documents are tracked throughout their life cycle.	
Tracking of all who access limited access documents is retained for a period specified through record retention policies and standards.	
Tracking procedures assure that tracking operates as intended.	
Document tracking systems are used to retain and find records.	
Document tracking systems identify retention and destruction times and handle retention issues properly in all identified cases.	
Tracking systems are used to demonstrate that proper handling is done.	
Tracking processes are regularly audited.	
Tracking is used to aid in systematic analysis and process improvement.	
Total for this area / 8	

7.3.12.6 Marking

<i>Issue</i>	<i>Rate</i>
Marking is used to facilitate inspection, identify document types, and identify control requirements.	
All enterprise documents are marked using an enterprise standard.	
Markings are required for documents with intellectual property value.	
Marking is used as the basis for document control processes.	
Marking is accurately maintained over the life cycle of documents.	
Marking is maintained for digital, paper, and other forms of documents.	
Audits of marking verify the proper operation of the marking system.	
Marking is clearly visible and used for ingress and egress inspections.	
Total for this area / 8	

7.3.12.7 Storage

<i>Issue</i>	<i>Rate</i>
Storage of mixed combinations of paper, fiche, and other physical media, and electronic documents is unified in a library system.	
The library system allows for rapid identification and retrieval of documents relevant to enterprise needs.	
Documents are stored with adequate redundancy to meet risk management requirements associated with record retention.	
Proper environmental controls are used in document storage facilities for the type of documents being stored.	
Audit verifies that storage and retrieval performance is adequate to the enterprise need.	
Total for this area / 5	

7.3.12.8 Use

<i>Issue</i>	<i>Rate</i>
Use controls cover physical and computer documents.	
Use controls include need-to-know controls.	
Use controls limit duplication.	
Use controls assure tracking and marking.	

<i>Issue</i>	<i>Rate</i>
Use controls assure document availability.	
Use controls limit corruption of documents.	
Use controls limit destruction of documents.	
Use controls dictate the treatment of drafts.	
Total for this area / 8	

7.3.12.9 Disposal

<i>Issue</i>	<i>Rate</i>
Document disposal is based on risk management for the documents.	
Marking and tracking is part of the process to assure proper disposal.	
Shredding uses cross cut shredders at the point of disposal.	
Documentation and proof of disposal of documents are tracked.	
Total for this area / 4	

7.3.12.10 Roll-up

<i>Issue</i>	<i>Rate</i>
Situations	
Requirements	
Formats	
Copies	
Tracking	
Marking	
Storage	
Use	
Disposal	
Total the totals from all areas and divide by 9	

<i>Startup</i>	<i>Diligence</i>	<i>Typical</i>	<i>Excellent</i>	<i>Best</i>
1	6	7	8	9.5