

# **Software Asset Management (SAM) Assessment Criteria**

(Assessment Criteria using the maturity model based on Software Asset Management Standard)

**Ver. 4.1**

**June 18, 2014**



**Association of SAM Assessment & Certification**

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# Introduction

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## 1. About SAMAC and the Software Asset Management (SAM) Assessment Criteria

The Association of SAM Assessment & Certification (hereinafter referred to as “SAMAC”) is a nonprofit organization established to drive the implementation of proper software asset management practices. The operations of SAMAC are listed below.

- Operations to evaluate the maturity level to which software asset management has been adopted in organizations such as corporations and public institutions (evaluation of maturity level)
- Operations such as providing training, certification criteria, and other services for organizations and consultants that provide support for establishing SAM structures, and development in areas such as the certification and the certification management
- Various operations as needed for the appropriate adoption of software asset management

SAMAC also establishes and operates software asset management standards and assessment criteria for use in evaluation of software asset management. This Software Asset Management (SAM) Assessment Criteria has been established within the framework of these standards and criteria. SAMAC succeeded activity of the Software Asset Management Consortium (SAMCon), which created SAM Standard and SAM Assessment Criteria originally, and these standards are developing conforming to ISO/IEC19770 and related JIS standard.

In ISO/IEC19770, there has been described the results related to the phased conformity assessment process of SAM which is divided into four stages (Tiers). However, this SAM Assessment Criteria has been created to utilize the evaluation of maturity model, so it does not cover the the phased conformity assessment.

## 2. Members of the working group responsible for establishment of the Software Asset Management (SAM) Assessment Criteria Ver. 4.1

Software Asset Management (SAM) Assessment Criteria Ver. 4.1 was established by the SAMAC Standards Working Group. The work of establishing the criteria was further divided into two teams: the Editorial Team and the Review Team. Members of each team are listed below.

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# I. About SAM Assessment Criteria

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## 1. Necessity of Assessment Criteria

In order to improve the software asset management of the organization, it is important to know the current level of management. For that purpose, it is necessary to establish the assessment criteria to grasp the management level of the current situation. However, there was no standard assessment criteria for software asset management until then. So it was difficult to grasp the management level of the organization by themselves. Most of the managers and administrators who are responsible continued the way of conventional management, while they had doubt.

- Is the current SAM appropriate? Is there any problem with SAM in our organization?
- Is the current management level of SAM high or low?
- How far can we manage SAM in our organization?
- How should we improve the current management level of SAM in our organization.

This Assessment Criteria will provide a standard way of thinking for the management level of SAM. Therefore, by utilizing this Criteria you can easily set a target of the management level in your organization. You can also grasp and measure the current management level of SAM in your organization. This Assessment Criteria is standard and it will become a useful indicator of benchmarking.

## 2. Concept of Maturity Model

This Assessment Criteria is using the Maturity Model. This Assessment Criteria (Maturity Model) evaluates the management level of SAM by maturity of the organization in six levels, from level 0 to level 5. The concept for each maturity level in this Assessment Criteria (Maturity Model) are described below.

### ■ Level 0: Not managed

The organization does not perform Software Asset Management. The lowest level of organizational maturity.

### ■ Level 1: Initial / ad hoc

The management is not systematic and rely on the individual.

### ■ Level 2: Repeatable

To some extent, the organizational system for SAM exists, and has been managed continuously.

### ■ Level 3: Defined

SAM policies, regulations and management system of the organization are defined properly. There is no serious defects in the content.

### ■ Level 4: Managed

The organization is monitoring that SAM is performed properly according to policies, regulations and management systems which is defined.

### ■ Level 5: Optimizing

In order to perform the proper management of SAM with responding to the environmental changes, the organization reviews their SAM in regularly and timely manner. The highest level of organizational maturity.

## 3. The Assessment of SAM based on the Maturity Model

### (1) Scope of evaluation

The scope of this Assessment Criteria (Maturity Model) is SAM performed by the entire organization. We have developed Nine Maturity Models for each requirements of management objective of SAM. The Criteria of Nine Maturity Models are described below.

### Management objectives of SAM Standard

1. Pol Policy: Establishment of Policy and Regulation
2. Sys Systems: Establishment of a Managerial System
3. Comp Competence: Establishment and Maintenance of Competence in SAM
4. Own Ownership: Confirmation and Verification of Licenses Owned
5. Imp Implement: Confirmation of Software and Related Asset Implemented
6. Cost Cost Optimization
7. Sec Security: Compliance with Security Requirements
8. OM Operations Management: SAM Operations Management Processes
9. LC Life Cycle Processes and Interfaces

## (2) Assessment method

Assessment is made by grasping the current situation of each management objectives and requirements according to the Assessment Criteria. When you are going to grasp the management level of SAM, you should perform according to the management requirements of SAM Standard. The organization will grasp the situation of each management requirements, and compare with Assessment Criteria, and evaluate which level of Maturity will correspond to the situation.

This Assessment Criteria has been developed on the assumption that to be used for SAM Maturity Assessment Certification of SAMAC. If you are going to be certified by SAMAC, the scope of assessment will be all evaluation items of this Assessment Criteria.

This Assessment Criteria is formulated for general standard organization. If you want to use this Assessment Criteria within the organization for the purpose other than described above, and if it is difficult to apply the original Standard because the system is different, you can customize this Criteria to fit for the purpose. You can also bundle assessment results of multiple management objective and requirement.

## 4. About the practitioner of Assessment

Practitioner of Assessment required two types of competency. One is the ability to understand the Software Asset Management. The other one is the ability to assess and evaluate SAM level of the organization.

First of all, with regarding to the ability of understanding SAM, the practitioner must be familiar with Software Asset Management. Since this Assessment Criteria is based on SAM, the practitioner must be familiar with both SAM practical procedure and SAM Standard. For example, he/she must be able to define the management objective and requirement that will be applied to the administrative tasks of the organization.

As for the assessment capability, the practitioner must be able to assess and evaluate the management level of the organization. The practitioner must have the ability and experience of the organizational maturity assessment or audit. Also he/she must understand the concept of Assessment Criteria and Maturity Model.

A practitioner of the assessment may be internal or external person of the organization. It depends on the the purpose and content of the evaluation.

It should be noted that if you are going to perform SAM Maturity Assessment certified by SAMAC, the practitioner of this assessment shall be the consulting firm which has the SAMAC consulting practitioner certification.



## 5. Scene and purpose to use Assessment Criteria

The organization can use the Assessment Criteria for various purposes. For example, to grasp the management level of SAM of their organization. Or in order to show the organization's management level to the external third parties. This Criteria is also useful to set the target management level of SAM. The best practice of using Assessment Criteria are described below.

- To get the SAM Maturity Assessment Certification by SAMAC.
- To grasp the management level of SAM of your organization.
- To know the points to be improved for SAM of the current situation
- To understand the current situation and set the immediate target management level to start SAM project.
- To check the improvement status for SAM.
- To show the organization's management level to the external third party.

## 6. Establishment and Revision History

### ■ Software Asset Management Consortium

Date	Revision
November 18, 2003	Software Asset Management (SAM) Assessment Criteria Ver. 1.0 established
February 22, 2008	Software Asset Management (SAM) Assessment Criteria Ver. 2.0 established

### ■ SAMAC

Date	Revision
August 1, 2011	Software Asset Management (SAM) Assessment Criteria Ver. 3.0 established
August 1, 2011	Software Asset Management (SAM) Assessment Criteria Ver. 3.01 established
October 1, 2013	Software Asset Management (SAM) Assessment Criteria Ver. 4.0 established
June 18, 2014	Software Asset Management (SAM) Assessment Criteria Ver. 4.1 established

## 1. Pol Establishment of Policy and Regulation

### [Management objective]

To establish SAM policies, regulations, etc., that are suitable for the organization.

**Pol 1** SAM policies, regulations, and procedures of the organization are identified and disseminated.

Maturity Model for the management objective
<p>Level 5 Optimizing: SAM policies, regulations, and procedures including the scope of the organization and the assets to be managed are regularly reviewed.</p>
<p>Level 4 Managed: Compliance with the requirement of this SAM policies, regulations, and procedures is regularly verified and reviewed.</p>
<p>Level 3 Defined: SAM policies, regulations, and procedures are approved as the management standard of the entire organization and disseminated throughout the organization. All documents meets the requirements of the standard and there is no major defect.</p>
<p>Level 2 Repeatable: SAM policies, regulations, and procedures are documented, but not became the management standard of the entire organization. The implementation detail may be different by the department or personnel. The contents of the documents does not meet the requirements of the standard.</p>
<p>Level 1 Initial / ad hoc: SAM policies, regulations, and procedures are partially documented, but not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.</p>
<p>Level 0 Not managed: SAM policies, regulations, and procedures are not established.</p>

**Pol 2** Risks related to SAM are assessed.

Maturity Model for the management objective
<p>Level 5 Optimizing: Risk assessment procedures related to SAM are established and regularly reviewed.</p>
<p>Level 4 Managed: Risk assessment procedures related to SAM are implemented, and contents of implementation are monitored.</p>
<p>Level 3 Defined: Risk assessment procedures related to SAM are documented, approved by management, implemented throughout the organization, analyzed and evaluated.</p>
<p>Level 2 Repeatable: Risk assessment procedures related to SAM are implemented, but not became the management standard of the entire organization. The implementation detail may be different by the department or personnel.</p>
<p>Level 1 Initial / ad hoc: Risk assessment procedures related to SAM are partially implemented, but the result of the assessment is not approved by the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.</p>
<p>Level 0 Not managed: Risk assessment procedures related to SAM are not implemented.</p>

**Pol 3** SAM is subjected to monitoring and auditing.

<b>Maturity Model for the management objective</b>
Level 5 Optimizing: System to improve SAM monitoring and auditing is established and implemented.
Level 4 Managed: Annual plan of SAM monitoring and auditing is established, approved, and the result is regularly reviewed (at least annually).
Level 3 Defined: System and procedure of SAM monitoring and auditing is approved, disseminated throughout the organization, meets the requirements of the standard and there is no major defect.
Level 2 Repeatable: System and procedure of SAM monitoring and auditing are documented, but the documents does not meet the requirements of the standard.
Level 1 Initial / ad hoc: System of SAM monitoring and auditing is present, but the system is not approved by the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.
Level 0 Not managed: Monitoring and auditing of SAM is not implemented.

**Pol 4** SAM policies, regulations, and procedures are reviewed.

<b>Maturity Model for the management objective</b>
Level 5 Optimizing: Review procedure of SAM policies, regulations, and procedures are regularly reviewed.
Level 4 Managed: Review procedure of SAM policies, regulations, and procedures is implemented, and contents of implementation are monitored.
Level 3 Defined: Review procedure of SAM policies, regulations, and procedures are documented, approved and disseminated throughout the organization.
Level 2 Repeatable: Review procedure of SAM policies, regulations, and procedures is documented, but not controlled throughout the organization. The implementation detail may be different by the department or personnel.
Level 1 Initial / ad hoc: Review procedure of SAM policies, regulations, and procedures is partially implemented, but the result of review is not approved by the organization. The review activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.
Level 0 Not managed: Review procedure of SAM policies, regulations, and procedures is not implemented.

**Pol 5** SAM documents and records are managed.

Maturity Model for the management objective
Level 5 Optimizing: Management procedure of SAM documents and records are regularly reviewed.
Level 4 Managed: Management procedure of SAM documents and records are implemented, and contents of implementation are monitored.
Level 3 Defined: Management procedure of SAM documents and records is documented, approved, and disseminated throughout the organization.
Level 2 Repeatable: Management procedure of SAM documents and records is documented, but not controlled throughout the organization. The implementation detail may be different by the department or personnel.
Level 1 Initial / ad hoc: Management procedure of SAM documents and records is partially implemented, but the result of control is not approved by the organization. The review activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.
Level 0 Not managed: Management procedure of SAM documents and records is not implemented.

## 2. **Sys** Establishment of a Managerial System

### [Management objective]

Managerial, educational, and auditing systems are established and maintained.

**Sys 1** The managerial system and responsibilities for SAM are established.

Maturity Model for the management objective
<p>Level 5 Optimizing: Procedure to review the managerial system and responsibilities for SAM is established and implemented.</p>
<p>Level 4 Managed: Procedure to change, update, correct the managerial system and responsibilities for SAM is established and implemented.</p>
<p>Level 3 Defined: The managerial system and responsibilities for SAM are approved and disseminated throughout the organization. All documents meets the requirements of the standard and there is no major defect.</p>
<p>Level 2 Repeatable: The managerial system and responsibilities for SAM are documented, but not controlled throughout the organization. The implementation detail may be different by the department or personnel. The contents of the documents does not meet the requirement of the standard.</p>
<p>Level 1 Initial / ad hoc: The managerial system and responsibilities for SAM are partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.</p>
<p>Level 0 Not managed: The managerial system and responsibilities for SAM are not established.</p>

**Sys 2** Systems are subjected to review.

Maturity Model for the management objective
<p>Level 5 Optimizing: Review procedures related to SAM systems are established and regularly reviewed.</p>
<p>Level 4 Managed: Review procedures related to SAM systems are implemented, and contents of implementation are monitored.</p>
<p>Level 3 Defined: Review procedures related to SAM systems are documented, approved and disseminated throughout the organization.</p>
<p>Level 2 Repeatable: Review procedures related to SAM systems are documented, but not controlled throughout the organization. The implementation detail may be different by the department or personnel.</p>
<p>Level 1 Initial / ad hoc: Review procedures related to SAM systems are partially implemented, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.</p>
<p>Level 0 Not managed: Review procedures related to SAM systems are not implemented.</p>

### 3. Comp Establishment and Maintenance of Competence in SAM

#### [Management objective]

Systems are in place for establishment and maintenance of SAM competence.

**Comp 1** SAM abilities for managers and personnel subject to management are defined and training is implemented as necessary.

Maturity Model for the management objective
Level 5 Optimizing: System to improve SAM training for managers and personnel is established and implemented.
Level 4 Managed: SAM training for managers and personnel are executed by the established contents, and the result is regularly reviewed (at least annually).
Level 3 Defined: System and contents related to SAM training for managers and personnel are approved, disseminated throughout the organization, meet the requirements of the standard and there is no major defect.
Level 2 Repeatable: System and contents related to SAM training for managers and personnel are documented, but not controlled throughout the organization. The implementation detail may be different by the department or personnel. The contents of the documents does not meet the requirement of the standard.
Level 1 Initial / ad hoc: System related to SAM training for managers and personnel is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously
Level 0 Not managed: System related to SAM training for managers and personnel is not established.

**Comp 2** Abilities for SAM auditing personnel are defined and training implemented as necessary.

Maturity Model for the management objective
Level 5 Optimizing: System to improve SAM training for auditing personnel is established and implemented.
Level 4 Managed: SAM training for auditing personnel is executed by the established contents, and the result is regularly reviewed (at least annually).
Level 3 Defined: System and contents related to SAM training for auditing personnel are approved, disseminated throughout the organization, meet the requirements of the standard and there is no major defect.
Level 2 Repeatable: System and contents related to SAM training for auditing personnel are documented, but not controlled throughout the organization. The implementation detail may be different by the department or personnel. The contents of the documents does not meet the requirement of the standard.
Level 1 Initial / ad hoc: System related to SAM training for auditing personnel is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously
Level 0 Not managed: System related to SAM training for managers and personnel is not established.

#### 4. Own Confirmation and Verification of Licenses Owned

**[Management objective]**

It is verified that software used is licensed , and the types and quantities of owned licenses are ascertained.

**Own 1** It is verified that software used is licensed , and the types and quantities of owned licenses are ascertained.

Maturity Model for the management objective
Level 5 Optimizing: Procedure for recording license information is revised and improved as necessary.
Level 4 Managed: Information on changes to licenses is recorded in a timely manner, and the validity of the contents is checked. Discovered problems are properly corrected.
Level 3 Defined: Procedure for recording license information is approved, disseminated throughout the organization, meets the requirements of the standard and there is no major defect.
Level 2 Repeatable: Procedure for recording license information is documented, but does not meet the requirement of the standard.
Level 1 Initial / ad hoc: Procedure for recording license information is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.
Level 0 Not managed: Procedure for recording license information is not established.

**Own 2** Materials necessary for licenses are stored appropriately.

Maturity Model for the management objective
Level 5 Optimizing: Procedure to store the materials necessary for the licenses is revised and improved as necessary.
Level 4 Managed: Procedure to store the materials necessary for the licenses is established, and the validity of the contents is checked. Disc overed problems are properly corrected.
Level 3 Defined: Procedure to store the materials necessary for the licenses is approved, disseminated throughout the organization, meets the requirements of the standard and there is no major defect.
Level 2 Repeatable: Procedure to store the materials necessary for the licenses is documented, but does not meet the requirement of the standard.
Level 1 Initial / ad hoc: Procedure to store the materials necessary for the licenses is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.
Level 0 Not managed: Procedure to store the materials necessary for the licenses is not established.

**Own 3** The state of management of owned licenses is verified.

<b>Maturity Model for the management objective</b>
Level 5 Optimizing: Procedure for verifying the management state of owned licenses is revised and improved as necessary.
Level 4 Managed: Procedure for verifying the management state of owned licenses is established, and the validity of the contents is checked. Discovered differences or problems related to accuracy, completeness, timeliness, and validity are properly corrected.
Level 3 Defined: Procedure for verifying the management state of owned licenses is approved, disseminated throughout the organization, meets the requirements of the standard and there is no major defect.
Level 2 Repeatable: Procedure for verifying the management state of owned licenses is documented, but does not meet the requirement of the standard.
Level 1 Initial / ad hoc: Procedure for verifying the management state of owned licenses is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.
Level 0 Not managed: Procedure for verifying the management state of owned licenses is not established.



## 5. Own Confirmation of Software and Related Asset Implemented

### [Management objective]

The physical and logical inventory management of hardware and software are properly implemented.

**Imp 1** The procedure for recording information for changes of hardware and software is properly implemented.

Maturity Model for the management objective
Level 5 Optimizing: Procedure for recording information for changes of hardware and software is revised and improved as necessary.
Level 4 Managed: Procedure for recording information for changes of hardware and software is established. Discovered problems are properly corrected.
Level 3 Defined: Procedure for recording information for changes of hardware and software is approved, disseminated throughout the organization, meets the requirements of the standard and there is no major defect.
Level 2 Repeatable: Procedure for recording information for changes of hardware and software is documented, but does not meet the requirement of the standard.
Level 1 Initial / ad hoc: Procedure for recording information for changes of hardware and software is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously
Level 0 Not managed: Procedure for recording information for changes of hardware and software is not established.

**Imp 2** The states of management of placed hardware and installed software is verified.

Maturity Model for the management objective
Level 5 Optimizing: Procedure for verifying the management state of hardware and software is revised and improved as necessary.
Level 4 Managed: Procedure for verifying the management state of hardware and software is established, and validity of the contents is checked. Discovered differences or problems related to accuracy, completeness, timeliness, and validity are properly corrected.
Level 3 Defined: Procedure for verifying the management state of hardware and software is approved, disseminated throughout the organization, meets the requirements of the standard and there is no major defect.
Level 2 Repeatable: Procedure for verifying the management state of hardware and software is documented, but does not meet the requirement of the standard.
Level 1 Initial / ad hoc: Procedure for verifying the management state of hardware and software is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously
Level 0 Not managed: Procedure for verifying the management state of hardware and software is not established.

## 6. Cost Cost Optimization

### [Management objective]

Cost related to SAM are subject to optimization.

**Cost 1** Consideration is given to optimization of the costs of assets subject to SAM.

Maturity Model for the management objective
Level 5 Optimizing: Procedure for optimizing costs of assets subject to SAM is revised and improved as necessary.
Level 4 Managed: Procedure for optimizing costs of assets subject to SAM is established, and validity of the contents is checked. Discovered differences are properly corrected.
Level 3 Defined: Procedure for optimizing costs of assets subject to SAM is approved, meets the requirements of the standard and there is no major defect.
Level 2 Repeatable: Procedure for optimizing costs of assets subject to SAM is documented, but does not meet the requirement of the standard.
Level 1 Initial / ad hoc: Procedure for optimizing costs of assets subject to SAM is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously
Level 0 Not managed: Procedure for optimizing costs of assets subject to SAM is not established.

## 7. Sec Compliance with Security Requirements

### [Management objective]

The organization's security requirements related to assets subjected to SAM, including security requirements related to SAM policies, are complied with.

**Sec 1** Security requirements related to assets subject to SAM are complied with.

Maturity Model for the management objective
Level 5 Optimizing: Procedure for complying the security requirements related to assets subject to SAM is revised and improved as necessary.
Level 4 Managed: Procedure for complying the security requirements related to assets subject to SAM is established, and validity of the contents is checked. Discovered differences are properly corrected.
Level 3 Defined: Procedure for complying the security requirements related to assets subject to SAM is approved, meets the requirements of the standard and there is no major defect.
Level 2 Repeatable: Procedure for complying the security requirements related to assets subject to SAM is documented, but does not meet the requirement of the standard.
Level 1 Initial / ad hoc: Procedure for complying the security requirements related to assets subject to SAM is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously
Level 0 Not managed: Procedure for complying the security requirements related to assets subject to SAM is not established.

## 8. **OM** SAM Operations Management Processes

### [Management objective]

Various processes and interfaces are adopted for effective and efficient implementation of SAM management functions.

**OM 1** Procedures are established and implemented concerning SAM-related relationships and contract management.

Maturity Model for the management objective
Level 5 Optimizing: Procedures for SAM-related relationship and contract management are revised and improved as necessary.
Level 4 Managed: Procedures for SAM-related relationship and contract management are established, and the validity of the contents is checked. Discovered problems are properly corrected.
Level 3 Defined: Procedures for SAM-related relationship and contract management are approved, meets the requirements of the standard and there is no major defect.
Level 2 Repeatable: Procedures for SAM-related relationship and contract management are documented, but does not meet the requirement of the standard.
Level 1 Initial / ad hoc: Procedures for SAM-related relationship and contract management are partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.
Level 0 Not managed: Procedures for SAM-related relationship and contract management are not established.

**OM 2** Systems are in place to make it possible to obtain financial information related to assets subjected to SAM as needed.

Maturity Model for the management objective
Level 5 Optimizing: Procedure for financial management related to SAM is revised and improved as necessary.
Level 4 Managed: Procedure for financial management related to SAM is established, and the validity of the contents is checked. Discovered problems are properly corrected.
Level 3 Defined: Procedure for financial management related to SAM is approved, meets the requirements of the standard and there is no major defect.
Level 2 Repeatable: Procedure for financial management related to SAM is documented, but does not meet the requirement of the standard.
Level 1 Initial / ad hoc: Procedure for financial management related to SAM is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.
Level 0 Not managed: Procedure for financial management related to SAM is not established.

**OM 3** Service levels related to SAM are defined, recorded, and managed.

Maturity Model for the management objective
Level 5 Optimizing: Procedure for service level management related to SAM is revised and improved as necessary.
Level 4 Managed: Procedure for service level management related to SAM is established, and the validity of the contents is checked. Discovered problems are properly corrected.
Level 3 Defined: Procedure for service level management related to SAM is approved, meets the requirements of the standard and there is no major defect.
Level 2 Repeatable: Procedure for service level management related to SAM is documented, but does not meet the requirement of the standard.
Level 1 Initial / ad hoc: Procedure for service level management related to SAM is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.
Level 0 Not managed: Procedure for service level management related to SAM is not established.

## 9. LC Life Cycle Processes and Interfaces

### [Management objective]

Various processes and interfaces are adopted to carry out effective and efficient life-cycle management of assets subject to SAM.

**LC 1** Procedures are established and implemented to ascertain, manage, and record all changes related to SAM.

Maturity Model for the management objective
Level 5 Optimizing: Procedure for change management related to SAM is revised and improved as necessary.
Level 4 Managed: Procedure for change management related to SAM is established, and the validity of the contents is checked. Discovered problems are properly corrected.
Level 3 Defined: Procedure for change management related to SAM is approved, meets the requirements of the standard and there is no major defect.
Level 2 Repeatable: Procedure for change management related to SAM is documented, but does not meet the requirement of the standard.
Level 1 Initial / ad hoc: Procedure for change management related to SAM is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.
Level 0 Not managed: Procedure for change management related to SAM is not established.

**LC 2** Procedures are established and implemented for management of all information obtained related to SAM.

Maturity Model for the management objective
Level 5 Optimizing: Procedure for management of all information obtained related to SAM is revised and improved as necessary.
Level 4 Managed: Procedure for management of all information obtained related to SAM is established, and the validity of the contents is checked. Discovered problems are properly corrected.
Level 3 Defined: Procedure for management of all information obtained related to SAM is approved, meets the requirements of the standard and there is no major defect.
Level 2 Repeatable: Procedure for management of all information obtained related to SAM is documented, but does not meet the requirement of the standard.
Level 1 Initial / ad hoc: Procedure for management of all information obtained related to SAM is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.
Level 0 Not managed: Procedure for management of all information obtained related to SAM is not established.

**LC 3** Procedures are established and implemented for software development.

<b>Maturity Model for the management objective</b>
<p>Level 5 Optimizing:                      Procedure for software development is revised and improved as necessary.</p>
<p>Level 4 Managed:                      Procedure for software development is established, and the validity of the contents is checked. Discovered problems are properly corrected.</p>
<p>Level 3 Defined:                      Procedure for software development is approved, meets the requirements of the standard and there is no major defect.</p>
<p>Level 2 Repeatable:                      Procedure for software development is documented, but does not meet the requirement of the standard.</p>
<p>Level 1 Initial / ad hoc:                      Procedure for software development is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.</p>
<p>Level 0 Not managed:                      Procedure for software development is not established.</p>

**LC 4** Procedures are established and implemented for release of assets subject to SAM.

<b>Maturity Model for the management objective</b>
<p>Level 5 Optimizing:                      Procedure for release of assets subject to SAM is revised and improved as necessary.</p>
<p>Level 4 Managed:                      Procedure for release of assets subject to SAM is established, and the validity of the contents is checked. Discovered problems are properly corrected.</p>
<p>Level 3 Defined:                      Procedure for release of assets subject to SAM is approved, meets the requirements of the standard and there is no major defect.</p>
<p>Level 2 Repeatable:                      Procedure for release of assets subject to SAM is documented, but does not meet the requirement of the standard.</p>
<p>Level 1 Initial / ad hoc:                      Procedure for release of assets subject to SAM is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.</p>
<p>Level 0 Not managed:                      Procedure for release of assets subject to SAM is not established.</p>

**LC 5** Procedures are established and implemented for deployment of assets subject to SAM.

<b>Maturity Model for the management objective</b>
<p>Level 5 Optimizing:                      Procedure for deployment of assets subject to SAM is revised and improved as necessary.</p>
<p>Level 4 Managed:                      Procedure for deployment of assets subject to SAM is established, and the validity of the contents is checked. Discovered problems are properly corrected.</p>
<p>Level 3 Defined:                      Procedure for deployment of assets subject to SAM is approved, meets the requirements of the standard and there is no major defect.</p>
<p>Level 2 Repeatable:                      Procedure for deployment of assets subject to SAM is documented, but does not meet the requirement of the standard.</p>
<p>Level 1 Initial / ad hoc:                      Procedure for deployment of assets subject to SAM is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.</p>
<p>Level 0 Not managed:                      Procedure for deployment of assets subject to SAM is not established.</p>

**LC 6** Procedures are established and implemented for management of all SAM-related incidents.

<b>Maturity Model for the management objective</b>
<p>Level 5 Optimizing:                      Procedure for management of all SAM-related incidents is revised and improved as necessary.</p>
<p>Level 4 Managed:                      Procedure for management of all SAM-related incidents is established, and the validity of the contents is checked. Discovered problems are properly corrected.</p>
<p>Level 3 Defined:                      Procedure for management of all SAM-related incidents is approved, meets the requirements of the standard and there is no major defect.</p>
<p>Level 2 Repeatable:                      Procedure for management of all SAM-related incidents is documented, but does not meet the requirement of the standard.</p>
<p>Level 1 Initial / ad hoc:                      Procedure for management of all SAM-related incidents is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.</p>
<p>Level 0 Not managed:                      Procedure for management of all SAM-related incidents is not established.</p>



**LC 7** Procedures are established and implemented for all SAM-related problem management.

<b>Maturity Model for the management objective</b>
<p>Level 5 Optimizing:                      Procedure for all SAM-related problem management is revised and improved as necessary.</p>
<p>Level 4 Managed:                      Procedure for all SAM-related problem management is established, and the validity of the contents is checked. Discovered problems are properly corrected.</p>
<p>Level 3 Defined:                      Procedure for all SAM-related problem management is approved, meets the requirements of the standard and there is no major defect.</p>
<p>Level 2 Repeatable:                      Procedure for all SAM-related problem management is documented, but does not meet the requirement of the standard.</p>
<p>Level 1 Initial / ad hoc:                      Procedure for all SAM-related problem management is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.</p>
<p>Level 0 Not managed:                      Procedure for all SAM-related problem management is not established.</p>

**LC 8** Procedures are established and implemented for retirement or return of assets subject to SAM.

<b>Maturity Model for the management objective</b>
<p>Level 5 Optimizing:                      Procedure for retirement or return of assets subject to SAM is revised and improved as necessary.</p>
<p>Level 4 Managed:                      Procedure for retirement or return of assets subject to SAM is established, and the validity of the contents is checked. Discovered problems are properly corrected.</p>
<p>Level 3 Defined:                      Procedure for retirement or return of assets subject to SAM is approved, meets the requirements of the standard and there is no major defect.</p>
<p>Level 2 Repeatable:                      Procedure for retirement or return of assets subject to SAM is documented, but does not meet the requirement of the standard.</p>
<p>Level 1 Initial / ad hoc:                      Procedure for retirement or return of assets subject to SAM is partially established, but it is not approved as the management standard of the organization. The activities depend on the voluntary action of the department or personnel. It is less likely to be carried out continuously.</p>
<p>Level 0 Not managed:                      Procedure for retirement or return of assets subject to SAM is not established.</p>