IT Asset Management Standard

Ver.1.0

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SAMAC

association of Standardization for IT Asset Management Assessment & Certification

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Introduction

1. About SAMAC and the Software Asset Management (SAM) Standard

The operations of SAMAC, a nonprofit organization established to promote the adoption of proper software asset management practices, are listed below.

- Operations to evaluate the degree to which IT asset management has been adopted in organizations such as corporations and public institutions (evaluation of maturity)
- Operations such as providing training, certification standards, and other services for businesses and consultants that provide support for building structures for IT asset management, and development in areas such as certification and certification management
- Various operations as needed for the proper promotion of adoption of software asset management

SAMAC also establishes and operates IT asset management standards and evaluation criteria for use in evaluation of IT asset management. This ITAM Standard has been established in the activities related to these standards. It is intended to serve both as a successor to the management standard of the Software Asset Management Consortium (SAMCon), a nonprofit organization that worked to promote the adoption of software asset management in Japan prior to SAMAC, and as a standard conforming to ISO/IEC19770 and related JIS standards.

2. Members of the working group responsible for establishment of the ITAM Standard Ver. 1.0

The ITAM Standard Ver. 1.0 was established by the SAMAC Standards Working Group. The Members of each team are listed below.

- SAMAC Standards Working Group

Working Group Leader	Jinichi Tamura (Minori Audit Corporation)
Mamber	Jintaro Shinoda (Cross Beat Co., Ltd.)
	Atsushi Shimada (Deloitte Tohmatsu Cyber LLC)
	Hisakazu Tanaka (Uchida Yoko Co., Ltd.)

Contents

I. About IT Asset Management (ITAM) Standard

1. Background

The development of the management standards in SAMAC can be divided into three main periods. In the beginning, it was the period of the SAM Standard by the Software Asset Management Consortium (SAMCon), the predecessor of SAMAC. Here, consistency with the ISO/IEC 19770-1:2007.

Next was the period during which SAMAC continued to revise the SAM standards. Finally, it is time for SAMAC to develop IT asset management standards in response to the major changes in the IT environment and the revision of ISO/IEC 19770-1, to which SAMAC has been contributing its efforts.

(1) Development of the SAM Standard by SAMCon

The Software Asset Management Consortium (SAMCon) was launched on May 20, 2002 for the purpose of organizing various issues and confusions surrounding software asset management in Japanese society and promoting software asset management to enhance a healthy IT environment in an organization. Many organizations do not necessarily have proper software asset management in place, although the environments surrounding organizations such as corporations have experienced significant changes, such as an increase in penetration rates of PCs, increasing use of network, and openness. One of the reasons for this is the lack of well-established management methods for software assets. Therefore, SAMCon has put an effort into establishment of SAM Standard to provide a management guideline for organizations interested in SAM implementation ("Software Asset Management Standard Ver1.0" on October 31, 2002). After that, Software Asset Management Evaluation Standard was established to confirm the management level and set goals in terms of SAM ("Software Asset Management Evaluation Standard Ver1.0" on November 19, 2013).

Furthermore, revisions were made to reflect the contents of "ISO/IEC 19770-1," the international standard for SAM, which was established and published jointly by the International Organization for Standardization (ISO) and International Electrotechnical Commission (IEC) in May 2006. ("SAM Standard Ver2.0" on November 27, 2007 and "SAM Evaluation Standard Ver2.0" on April 17, 2008).

(2) Development of the SAM Standard by SAMAC

In 2010, SAMCon was positively dissolved and SAMAC took over the establishment of SAM-related standards, on which SAMCon had been working. With consideration to the use of standard by SAM evaluation businesses, changes in environment surrounding SAM, and the latest developments, SAMAC established a new SAM Standard and SAM Evaluation Standard based on existing SAMCon's standards. Since SAMAC succeeded SAMCon's SAM Standard, which had a certain level of market penetration, SAMAC's new standard was named Ver3.0 to avoid confusion. Detailed revisions, Ver3.01 and Ver3.1, were made to Ver3.

Due to the revision and publication of "ISO/IEC19770-1" in June 2012, SAMAC reviewed its standards from the overall perspective, such as consistency with the revised ISO/IEC 19770-1, operation status with

Ver3, and current situations of the various environments surrounding SAM, and came up with a revision Ver4.1

(3) Establishment of the ITAM Standard

SAMAC has focused on software assets that were known to be difficult to manage, and has made efforts to promote the appropriate management of software assets in the IT environment by establishing and publishing the SAM Standards.

However, in recent years, with the development of IT, the type of IT use has changed significantly, such as the growing cloud services and the increasing of cyber-attacks, making the IT asset management more complex and difficult.

In order to respond to these changes, SAMAC has decided to develop not only software asset management, but also IT asset management. As part of this contribution, SAMAC has been instrumental in developing the "ISO/IEC 19770-1:2017 IT Asset Management - Part 1: IT Asset Management Systems - Requirements" (JIS X0164:2019) in ISO/IEC SC7WG21, in which SAMAC has been a member of LIESON since 2015.

SAMAC has been working on this ITAM Standard for making them effective in practice and consistent with international standards, and has now released them.

2. Necessity and Objectives of ITAM

With the progress of IT development, IT assets has become indispensable to the operations of organizations and businesses. Lack of proper management may impact a corporation significantly. In other words, there are a lot of inherent risk factors in terms of IT assets in an organization.

In particular, the following are the conceivable risks.

- Accountability cannot be fulfilled.
- Assets may become unavailable if they are not maintained properly.
- Legal issues, such as being sued for copyright infringement, may surface and result in damages such as compensation.
- Legal issues due to the lack of internal management system may surface and result in penalties.
- Public trust may be lost due to the occurrence of legal issues.
- Extra costs may be generated by inefficiencies or by purchasing licenses, devices and IDs of cloud, etc. in excess.
- Appropriate service in terms of the IT use cannot be provided and maintained.
- Security issues may be generated due to the use of inappropriate versions and settings of software, un-authorized service and devices, etc.
- Competitive advantage may be lost or reduced due to inability to use IT assets effectively.

Given the growing importance of risk management in recent years, it is necessary for an organization to implement ITAM from a variety of perspectives in order to respond to various risk

3. Management Standard System

    This management standard is composed of the following 15 management areas. The following areas are classified based on the management objectives necessary for ITAM. Each domain is associated with an objective.

（1）   Fw Framework: Establishment and maintenance of a framework of ITAM

（2）   Policy Policy: Establishment of Policies and Rules of ITAM

（3）   Plan Plan: Establishment of Plans of ITAM

（4）   Sys System: Establishment of Organizational structure of ITAM

（5）   Comp Competency: Establishment and Maintenance of Competencies in ITAM

（6）   Doc Document: Management of documents related to ITAM

（7）   Opr Operation: Operational Management of ITAM

（8）   CM Core Management: Core Management Process of IT assets

（9）   LM License Management: License management process of IT assets

（10）   IS Information Security: Information Security management process of IT assets

（11）   Oth Other Management: Other Management processes of IT assets

（12）   OS Outsourcing: Outsourcing and Services related to IT assets

（13）   MR Mixed Responsibility: Mixed Responsibility for IT assets

（14）   Mon Monitoring: Monitoring for Management system operation status of ITAM

（15）   Imp Improvement: Continuous Improvement of the ITAM

4. Structure of this standards

The management standards are basically composed of the requirements and implementation guide, each of which consists of the following items.

【Requirements】
- Management Objectives
- Management Requirements
- Control Items

【Implementation guide】
- Implementation guidelines
- Illustrative controls
- Supplementary explanation

(1) Management objectives

Management objectives are the basic elements of implementing ITAM, indicating the tasks that must be completed in order to implement ITAM. In other words, these management objectives must be implemented in order to carry out proper ITAM.

(2) Management requirements

Management requirements are the items needed in order to achieve the management objectives. A management objective can be said to have been achieved only once all of these management requirements are satisfied. The domain to which each management requirement belongs can be checked in the tables below, which are organized by policy (FW 1, FW 2, etc.) and system (SYS 1, SYS 2, etc.).

(3) Control Items

Management items indicate the specific content of management for satisfying each management requirement.

(4) Implementation guidelines

This guideline shows the concept, policy, etc. for the application of this Management Standard and describes the requirements for the application of the relevant standard issues. These are the matters that must be met in the application of this Management Standard.

(5) Illustrative controls

The illustrative controls are examples of specific controls to meet each management requirement/control item. There show the best practices that should be implemented in general to satisfy the management requirements. Since there are various conceivable methods by which management requirements can be satisfied, each organization should choose which methods are appropriate in its own case. This Management Standard describes the content that should be implemented in a standard organization as

typically conceived.

In addition, this Management Standard is structured to describe the details of the Core Management Process and the License Management Process as the specific examples of illustrative controls in order to introduce them as the specific processes in the ITAM.

(6) Supplementary explanations

Supplementary explanations are provided to assist in the understanding or effective applying of this Management Standard in addition to the above.

(7) Others
① Corresponding clause in ISO/IEC19770-1

This Management Standard has been developed to be consistent with ISO/IEC19770-1:2017. For this reason, this Management Standard shows the corresponding clauses of the international standard ISO/IEC19770-1:2012 in order to make clear the relationship between this Management Standard and the international standard, to assist in implementing software asset management in conformance with ISO/IEC19770-1:2012.

5. Concepts of the Use of Management Standards

(1) Risk-control balance

While this Management Standard provides a framework in the form of guidelines as to what kind of ITAM should be employed, each organization needs to decide for itself on its practical content and levels of ITAM, in accordance with its own circumstances. While it is conceivable that decisions on practical content and levels could be based on a variety of factors such as the size of the organization, the complexity of its IT assets use, and organizational policies, basically the organization must implement the most appropriate ITAM based on consideration of the balance between its own risks and controls.

(2) Corresponding to the objectives of the organization

The need for and purpose of ITAM will also different from organization by organization. Hence, when using this Management Standard, it is necessary to modify and apply the standard to suit the objectives of each organization.

(3) Consideration of application of control items and individual illustrative controls

This standard is divided into two main parts: the "Principle Text" which is a requirement for IT asset management and the Implementation guidelines, etc. which provides information for applying this Management Standard. Specific illustrative controls must be implemented according to the situation of each organization and the objectives of IT asset management. In developing individual control measures, each organization should make decision by referring to illustrative controls. In addition, although the control items describe detailed management requirements, it may be assumed that some control items are not applicable to some organizations and that more should be added.

In-light of the above points, when deciding on practical control items each organization, at a minimum, needs to consider points such as the following.

■ Consideration of the applying control items to the organization
  - Whether the management items of this Management Standard are suitable to the organization.
  - Whether the management items of this Management Standard are practicable and reasonable.
  - Whether there are other methods that may be substituted, and whether such substitute methods would satisfy the management requirements.
■ Consideration of individual illustrative controls
■ Consideration of the applying illustrative controls to the organization
  - Whether the examples of control measures presented in this standard are feasible and reasonable for the control items.
  - Whether other alternatives are available and whether the control requirements are met by such alternatives.

(4) Importance of development of a management structure

There are various purposes for implementing ITAM, and how to manage them effectively and efficiently is an important factor in establishing appropriate ITAM. Thus, process-oriented management is required instead of the results-oriented management of understanding the actual situation.

The quality of the management system itself as a system for preventing problems and self-purification if they do arise, is a major factor behind the success of any type of management. Accordingly, in ITAM it is essential to establish a management structure that effectively allocates the functions of deterrence, prevention, discover, and correction as the basic functions of management.

(5) Scope of ITAM

The subject of IT assets management in this standard are consisted the following,

【IT Assets】
- Digital asset
  - Software asset
    - Executable software
    - Non-executable software (fonts, etc.)
  - Digital information content assets (documents, videos, freestanding dictionaries, etc.)
- IT Hardware
  - Physical media (digital assets included in backup media)
  - Physical IT equipment (servers, end-user devices, etc.)
- Licensing of IT assets (license certificates, etc.)
- Contracts for IT assets (contracts, etc.)
- IT asset services (SaaS, hardware maintenance, training, etc.)
- System assets for IT asset management
  - ITAM Systems and Tools
  - Metadata for IT asset management (information on IT assets, information on people and organizations)
- Non-IT assets (people and organizations that require the use and management of IT assets)

6. Establishment and Revision History

■ Software Asset Management Consortium (NPO)

Software Asset Management Consortium

Date	Revision
October 30, 2002	Software Asset Management (SAM) Standard Ver. 1.0 established
November 27, 2007	Software Asset Management (SAM) Standard Ver. 2.0 established

■ SAMAC

The Software Asset Management Standard

Date	Revision
August 1, 2011	Software Asset Management (SAM) Standard Ver. 3.0 established
September 2, 2011	Software Asset Management (SAM) Standard Ver. 3.01 established
October 1, 2011	Software Asset Management (SAM) Standard Ver. 3.1 established
October 1, 2013	Software Asset Management (SAM) Standard Ver. 4.0 established
June 18, 2014	Software Asset Management (SAM) Standard Ver. 4.1 established
令和 X 年 X 月 X 日 廃止予定	

The IT Asset Management Standard

Date	Revision
July X, 2020	IT Asset Management (ITAM) Standard Ver.1.0 established

II. IT ASSET MANAGEMENT (ITAM) STANDARD

1．Fw　Establishment and maintenance of a framework of ITAM

【Management Objective】

> The organization shall understand the situation and stakeholders' requirements, determine the scope and goals for IT asset management, and establish and maintain an IT assetmanagement system.

Implementation guidelines

Based on an understanding of the situation of the organization and the requirements and expectations of its stakeholders, the organization is required to set the scope and goals for IT asset management, and establish a management system to realize them. These are the basic elements for implementing IT asset management and are essential for establishing and maintaining IT asset management.

management requirement			
Fw1	The organization shall understand the organization structure and its situation and identify external and internal issues related to IT asset management.		
Fw1-(1)	**Control Item**	**JISX0164-1**	
		Item number	**Item**
(1)	The organization shall identify external and internal issues that affect the achievement of the intended results of the IT asset management system in relation to the objectives of the organization. The organization understands the external following situations when identifies the external issues. －Domestic and international social, cultural, political, legal, regulatory, financial, technological, economic and environmental factors. －Key drivers and trends influencing the organization's objectives －Relationships with external stakeholders that take into account of their perceptions and values. －Contractual relationships and commitments －Complexity of the business network and dependencies The organization understands internal following situations when identifies the internal issues. －The vision, mission and values of the organization －Governance, organizational structure, roles and accountability of the organization －Strategy, Objectives and Policies －Organizational Culture. －Standards, guidelines and models adopted by the organization. －Organizational capabilities as resources and knowledge 　(e.g., capital, time, personnel, intellectual property, processes, systems, technology) －Data, information systems and information flow －Relationships with internal stakeholders that take into account their perceptions and values. －Contractual relationships and commitments －Interdependence and interrelatedness	4.1	Understanding the organization and its context
＜Implementation guidelines＞			
	Here, it is required to identify the external and internal issues that affect the achievement of the intended results when building an IT asset management system. Since the IT asset management system is built in relation to the purpose of the organization, theissues to be identified are also related to the purpose of the organization. External and internal matters to be identified when identifying issues are listed on the left. It is also advisable to identify what you need to know as an organization.		

Fw1-(2)	Control Item		JISX0164-1	
			Item number	Item
(2)	Goals of IT asset management are established in line with the objectives of the organization.		4.1	Understanding the organization and its context

<Implementation guidelines>

When building an IT asset management system, it is necessary to set the goal of IT asset management, which is considered to be one of the elements necessary to achieve the objectives of the organization. Therefore, the goals should be consistent with the organization's objectives. See Plan 2 for more details.

management requirement

Fw2	Stakeholders' requirements and expectations regarding IT asset management are understood.

Fw2-(1)	Control Item		JISX0164-1	
			Item number	Item
(1)	In order to understand the requirements and expectations of stakeholders, the following items related to IT asset management have been determined. 　a.Relevant stakeholders 　　※Stakeholders include those responsible for Information security management system, Service management system, processes, and software licensors. 　b.Stakeholder requirements and expectations 　　※Requirements from the software licensors of the software include the license terms and conditions. 　c.Financial and non-financial records and internal and external reporting required by stakeholders 　d.Decision-making criteria		4.2	Understanding the needs and expectations of stakeholders

<Implementation guidelines>

IT asset management needs to be built on the requirements and expectations of the relevant stakeholders.

Therefore, it is necessary to make the following clear.

①What stakeholders does the organization have in relation to IT asset management?

②What are its requirements and expectations?

③Which requirements and expectations should the organization response to?

Therefore, it is necessary to consider the concept and criteria (decision-making criteria) on how to understand the relevant stakeholders, what the scope should be, and how to determine the corresponding requirements, etc.

<Supplementary explanation>

In IT asset management, a stakeholder is any person or organization that influences the decision-making or activities related to IT asset management.

【External】

・Customers and business partners (including manufacturers, vendors, suppliers, licensors, subcontractors, group companies, etc.)

・Supervisory authorities, government and administrative bodies

・Industry groups and local communities

【Internal】

・Top Management

・Related internal organizations and meetings, etc. (shareholders, board of exectives, general manager's committee, IT asset management committee, information system meeting, information security committee)

・Related departments (System Department, General Affairs Department, Human Resources Department, Legal Department, Purchasing Department, Accounting and Finance Department, Internal Audit Department, etc.)

・Personnel (executives, employees, etc., managers of IT asset management, users of IT assets)

management requirement			
Fw3	The organization shall define the scope of IT asset management.		

Fw3-(1)	**Control Item**	**JISX0164-1**	
		Item number	**Item**

	The scope is consistent with IT asset management plans and policies and takes into account of the following items related to IT asset management.		
(1)	a.Internal and external issues b.Stakeholder requirements c.Consideration of impact with other management systems (if other management systems are in place) Note: The requirements of this standard should be applied across IT assets as defined by the organization. In addition, the scope should be made available as documented information.	4.3	Determining the scope of the IT asset management system

＜Implementation guidelines＞

When establishing an IT asset management system, it is necessary to clarify the scope of its application, and the organization should take into account of the control items.

Specifically, based on the status of IT asset management in the organization, the following items should be considered;

・IT assets to be managed (type, etc.)

・The organizations and locations to be managed (department, base, region (country), etc.)

　※Consider the scope of various contracts related to IT assets, such as license agreements and maintenance agreements.

・Personnel to be managed (executives and employees, contract employees, contractors, etc.)

＜Supplementary explanation＞

The organization's IT assets are varied and may be managed in different places, forms, and ways. Therefore, when establishing an IT asset management system, it is necessary to define the scope in order to clarify which IT asset management is targeted (which part of IT asset management the organization is implementing or should implement). This standard addresses the requirements for an organization's IT asset management system to be implemented within the scope set forth in this document.

IT asset management system includes the PDCA framework as the IT asset management and management system of the scope that an organization manages as a management system. In this sense, the IT asset management system can be considered as a part (subset) of the IT asset management that an organization is implementing or should be implementing.

Fw3-(2)	Control Item		JISX0164-1	
			Item number	Item
(2)	The portfolio (type, number, composition, etc.) of IT assets within the scope is clearly defined.		4.3	Determining the scope of the IT asset management system

Organizations need to have a clear IT asset portfolio that is subject to an IT asset management system. In other words, it is necessary to know what kind of IT assets to be managed and what condition they are in.

An IT asset management system can also include multiple IT asset portfolios. Where multiple asset portfolios and management systems are employed, it is desirable that asset management activities are coordinated between the portfolios and management systems.

A portfolio is a concept that includes a container or its contents, and a portfolio of IT assets is an IT asset within the scope of an IT asset management system.

Portfolios are usually established and assigned for the purposes of the organization. For example, it is defined as follows.
・Hardware: As defined by device type (e.g., server, PC, mobile device, etc.)
・Software: As defined by the publisher or platform (e.g., PC, server, virtual environment, etc.)

An example of adopting a multiple IT asset portfolio or IT asset management system would be the following
①Example of adopting multiple portfolios

In the case that the management department (head office, plant management department, sales office management department), manufacturing department (multiple plants), and sales department (multiple sales offices) are using the business system for their respective operations, and the portfolio of IT assets is defined and managed for each management, manufacturing, and sales role.
②Example of adopting multiple management systems

This is a case where the entire corporate group builds an IT asset management system, but a group organization with a large scale and different business fields builds and operates an IT asset management system under the management system of the entire group, and the group as a whole is eventually integrated as a management system for the whole group, but in a organization that operates individual IT asset management systems under the management system, the IT asset portfolio is also grasped and managed individually, and the management process is customized under the overall policy according to the business content.

management requirement			
Fw4	The organization shall establish management system for IT asset management and mechanism for continuous improvement.		

Fw4-(1)	**Control Item**	**JISX0164-1**	
		Item number	**Item**
(1)	PDCA (Plan-Do-Check-Act) cycles for IT asset management systems are established and implemented.	4.4	IT asset management system

<Implementation guidelines>

As a mechanism to continuously improve IT asset management, it is necessary to introduce and operate the PDCA cycle.

Fw4-(2)	**Control Item**	**JISX0164-1**	
		Item number	**Item**
(2)	Strategic IT asset management plan has been established to support the achievement of IT asset management system objectives. Note: Strategic IT asset management plan should include documentation of the role of the IT asset management system in helping to achieve the objectives of the IT asset management system.	4.4	IT asset management system

<Implementation guidelines>

A strategic IT asset management plan is documented information that specifies how an organization's goals will be translated into the following
- ・Goals of the IT asset management system
- ・Approach to developing an IT asset management plan
- ・The role of the IT asset management system to support the achievement of IT asset management goals (policies and systems).

A strategic IT asset management plan may be part of an organization's plan, or it may be a complementary plan.

<Illustrative controls>

- ・The organization has established a business and investment plan that includes items related to IT asset management.
- ・The organization has established a mid- to long-term IT action plan (e.g., IT strategy) that includes items related to IT asset management.

management requirement			
Fw5	The organization shall determine information requirements to support the achievement of the objectives of the IT asset management system.		
Fw5-(1)	**Control Item**	**JISX0164-1**	
		Item number	**Item**
(1)	The following requirements for information to support the achievement of the objectives of the organization's IT asset management system has been determined. a.In determining the requirements, the following considerations are taken into account. ・The importance of the identified risks ・Characteristics of the target IT assets ・Roles and responsibilities for IT asset management systems ・The measured value of the IT assets needed to determine the expected state of achievement in relation to the organization's overall objectives ・IT asset management system processes, procedures and activities ・Exchange of information with stakeholders ・The influence of the quality, availability and management of information on organizational decision-making b.The following information requirements has been determined. ・Information Attributes ・Quality of information ・Method and timing of information collection, analysis and evaluation c.Defines, implements, and maintains a process for information. d.Ensures consistency of terminology related to the IT asset management system. e.Consistency and traceability between stakeholder requirements and the financial, technical and other relevant data necessary to meet the organization's objectives, legal and regulatory requirements.	7.5	Information requirements

＜Implementation guidelines＞

Determine the requirements for the following information, taking into account the objectives of the IT asset management system of the organization and the IT assets it owns.

＜Illustrative controls＞

・The identified information is managed in a list, etc
・It establishes requirements for the creation and maintenance of information
・In addition to the above, the organization is also making efforts to improve the quality of its information
  e.g., In the case of regulations
・Approval (quality)
・Application, confirmation, waiting for approval, approved, etc. (Attributes)

＜Supplementary explanation＞

The information includes information on IT assets (inventory information, etc.) and information on non-IT assets (people, organizations, regulations, etc.).

management requirement			
Fw6	The top management shall demonstrate their leadership and commitment to the IT asset management system.		

＜Implementation guidelines＞

The top management is required to recognize and implement each item of the IT asset management system listed in "Framework5 (1)" as the responsibilities of the top management.

Fw6-(1)	Control Item	JISX0164-1	
		Item number	**Item**
(1)	The top management is responsible for the implementation of the following, 　a.IT asset management policies, plans, and goals are approved and disseminated to coverage 　b.The requirements of the IT asset management system are incorporated into the organization's business processes 　c.Ensure that resources are available to operate the IT asset management system 　d.Make the IT asset management system system known to the scope 　e.Build the IT asset management system to ensure that the intended outcomes are achieved 　f.Direct and support personnel to ensure the effective functioning of the IT asset management system 　g.Facilitate cross-functional cooperation 　h.Promote continuous improvement 　i.Support the role of the management layer to enable other relevant management layers to provide leadership 　j.Align the risk management approach in IT asset management with the organization's risk management approach.	5.1	Leadership and commitment

＜Implementation guidelines＞

Each of the IT asset management system items listed in the above column must be implemented.

＜Illustrative controls＞

Regarding the IT asset management system listed in the left-hand column, top management has prepared a document such as a declaration to the effect that it recognizes that each item should be implemented as its own responsibilities, and has implemented it.

2．Policy　Establishment of Policies and Rules of ITAM

【Management Objective】

> The organization shall establish appropriate policies and regulations for IT asset management for the organization.

Implementation guidelines

The organization are required to establish appropriate IT asset management policies and regulations based on the scope of the IT asset management system and the goals of IT asset management, which should be difined based on the organization's situation, stakeholder requirements and expectations.

management requirement	
Policy1	The organization shall develop, disseminate, and review its IT asset management policies.

＜Implementation guidelines＞
The policies and regulations for IT asset management that has been established should be well known and reviewed. The review shall carried out in the process of the IT asset management system.

Policy 1-(1)	Control Item	JISX0164-1	
		Item number	Item
(1)	The organization has established policies and rules related to IT asset management. a.The organization has defined the types of assets covered by IT asset management in the organization and the required control items b.The policies and regulations developed by the organization include the following, ・Alignment with the organization's objectives ・A framework for objectives setting (e.g., risk assessment, consideration of stakeholder needs, etc.) ・Top management's commitment to meet the requirements of the management standards ・Top management's commitment to continuous improvement ※Commitment means a declaration, approval, etc.	5.2	Policy

＜Implementation guidelines＞
Based on the objectives of IT asset management, the result of risk assessment, IT asset management plan, etc., it is necessary to establish the policy of IT asset management to be realized as an organization, and to establish the rules, procedures, and procedures to support the sure implementation of the concerned IT asset management. Policies, rules, etc. shall include the items listed in the control items.

Policy 1-(2)	Control Item	JISX0164-1	
		Item number	Item
(2)	Policies and rules related to IT asset management should satisfy the following items, a.Aligned with the organization's plan, other management systems and other relevant policies b.Consideration is given to the charactristics and size of the operational structure and IT assets c.The responsibilities of individuals and organizations regarding the management of IT assets are clear d.The usage of IT assets is appropriate (e.g., legal compliance, contractual compliance, enforceable) e.Includes compliance requirements, including copyright and data protection, and compliance with contractual provisions for IT assets f.IT asset management policies and regulations are communicated to new personnel of the organization when they begin their duties, and to existing personnel at least annually, so that they are always available to personnel and stakeholders within the scope ※There is a system in place to ensure that all personnel are informed of the latest policies, regulations, and procedures, such as being notified of any changes g.Management has approved the policies and regulations regarding IT asset management h.The organization defines penalties for violations of IT asset management policies and regulations i.Policies and procedures are periodically reviewed and reviewed j.The organization defines the responsibilities of corporate governance in IT asset management k.Provides for procedures for exceptions, as necessary.	5.2	Policy

3．Plan　Establishment of Plans of ITAM

【Management Objective】

The organization shall analyze and evaluate risks related to the IT asset management system, establish a risk response plan, define operational processes to achieve the goals of IT asset management, and establish an IT asset management plan.

Implementation guidelines

The IT asset management system in this standard is assumed to be constructed in accordance with the framework of risk management (※1).

Therefore, in order to achieve the goal of IT asset management, it is necessary to analyze and evaluate risks, create a risk response plan, and establish an operation plan for the IT asset management system (IT asset management plan) as a part of the risk management process.

※1 The framework for risk management is based on "JIS Q 31000:2019 Risk Management - Guidelines".

management requirement			
Plan1	The organization shall develop and implement risk assessment procedures for its IT asset management system.		
Plan 1-(1)	**Control Item**	**JISX0164-1**	
		Item number	Item
(1)	In developing the IT asset management plan, the organization considers the internal and external issues specified in the framework, the requirements and expectations of stakeholders, and determines the risks and opportunities that need to be addressed for the following, ・the organization plans to ensure that the IT asset management system achieves its intended outcomes. ・the impact on the above risks has been considered and reduced as necessary. ・the organization is also making continuous improvements to its IT asset management system (at least annually).	6.1.1	General
＜Implementation guidelines＞			
In determining the risks and opportunities that need to be addressed, the organization shall ensure to take into account of the control items. In general, the control items in risk assessment and risk response procedures will be considered.			

Plan 1-(2)	Control Item	JISX0164-1	
		Item number	Item

(2)	The following procedures for risk assessment of IT assets have been established,
	
	 a.establish risk criteria for IT assets, including as follows,
	
	   1)acceptance criteria for risk
	
	   2)criteria for conducting risk assessments of IT assets
	
	 b.the risk assessment procedures and results are reasonable and comparable.
	
	 c.identify the risks of IT assets as follows,
	
	   1)the following risks for all relevant IT assets are identified,
	
	     ・risks associated with the lack of confidentiality, integrity and availability of IT assets with in the scope of the IT asset management system
	
	     ・risks of business continuity
	
	     ・legal and regulatory compliance risks
	
	     ・risks associated with contract compliance, including risks of license compliance
	
	   2)the owner of the risk has been identified.
	
	     ※Risks related to information contained in IT assets can be assessed in accordance with the risk assessment requirements of JIS Q 27001. The Guidance on the handling of information security risk assessments is available from ISO/IEC 27005.
	
	 d.the risks of IT assets are analyzed as follows,
	
	   1)impact of the identified risks
	
	   2)frequency of occurrence of the identified risks
	
	   3)determining the level of risks
	
	 e.Assess the risks associated with IT assets as follows,
	
	   1)compared to the risk criteria
	
	   2)prioritizing the risks.
		6.1.2	IT asset risk treatment

＜Implementation guidelines＞

The risk assessment procedure is usually carried out by the following steps.

・Identification of risks

・Risk Analysis

・Evaluate of risks

In developing the procedures, it is necessary to consider the control items.

Plan 1-(3)	Control Item	JISX0164-1	
		Item number	Item
(3)	The organization has established the risk assessment procedures of IT assets.	6.1.2	IT asset risk treatment

<Implementation guidelines>

In order to ensure that the procedures developed in item (2) above can be implemented, the organization should establish the necessary procedures.

Plan 1-(4)	Control Item	JISX0164-1	
		Item number	Item
(4)	The organization has established and implemented risk response procedures for IT assets, including as follows, 　a.appropriate reduction plans have been selected, taking into account of the results of the assessment 　b.all controls required to responce the risks have been determined 　c.the organization has a risk response plan for IT assets 　d.the risk response plan and accepted risks have been approved by the IT asset owner.	6.1.3	IT asset risk treatment

<Implementation guidelines>

The organization shall establish procedures to response the risks based on the results of the risk assessment. Such procedures shall take into consideration the control items.

Plan 1-(5)	Control Item	JISX0164-1	
		Item number	Item
(5)	The organization has established procedures for responcing risks related to IT assets.	6.1.3	IT asset risk treatment

<Implementation guidelines>

The organization should establish the reqired procedures to ensure that the procedures developed in (4) above can be implemented.

management requirement	
Plan2	The organization has developed objectives for IT asset management and plan to achieve them.

Plan 2-(1)	Control Item		JISX0164-1	
			Item number	Item
(1)	The organization has established appropriate operational processes depending on the level of control required for IT asset management.		6.2.1	IT asset management operation process specification

＜Implementation guidelines＞

The operational process of IT asset management needs to be built either as a functional process or a lifecycle process.

　※For a list of operational processes for IT asset management, refer to JIS X 0164-1. This list is not exhaustive, and

　　this standard adopts a "functional process" but may require additional operational processes. In general, the following

　　process considered.

1)Functional processes.

　Processes based on the organization's functions, processes that apply across the lifecycle.

　　・Change Management

　　・Core Management

　　・License Management

　　・Security Management

　　・Relationship and contract management

　　・Financial Management

　　・Service Level Management

2)Life cycle process

　Processes that reflect each phase of the IT asset lifecycle.

　　・Specifications

　　・Procurement

　　・Development

　　・Release

　　・Deployment

　　・Operation

　　・Disposal

Among the above processes, change management, core management, license management, and security management are

positioned as essential processes.

　※For details of each process, please refer to Annex A of JIS X 0164-1:2019.

　※This standard is based on a functional process, but can also be built on a life cycle process.

Plan 2-(2)	Control Item		JISX0164-1	
			Item number	Item
(2)	The organization has determined the objectives of each IT asset management process. 　※Refer to Annex A of JISX 0164-1:2019 for details of each process.		6.2.2	IT asset management objectives for operation processes

Plan 2-(3)	Control Item		JISX0164-1	
			Item number	Item
(3)	The organization has documented whether the requirements of this standard are appricable to the organization.		6.2.2	IT asset management objectives for operation processes

＜Implementation guidelines＞

The management requirements and control items of this standard describe the items that an organization implementing an

IT asset management system should meet in principle. The organization should clarify and document the reasons for such

items when not appricable to the organization.

Plan 2-(4)	Control Item	JISX0164-1	
		Item number	Item
(4)	The organization has set objectives for IT asset management in its management functions (e.g., business units and departments, administrative functions (legal and financial)) and hierarchy (organizational level).	6.2.3	Overall IT asset management objectives

＜Implementation guidelines＞

IT asset management objectives should set depending on the scope of IT asset management and the situation of the IT asset management system, unit of risk assessment etc.

Plan 2-(5)	Control Item	JISX0164-1	
		Item number	Item
(5)	IT asset management objectives are established by considering stakeholders' requirements, and financial, technical, legal, regulatory and organizational requirements.	6.2.3	Overall IT asset management objectives

＜Supplementary explanation＞

Stakeholders' requirements could include as follows,

・Enhanced security

・Strengthen license compliance

・Cost reduction.

Plan 2-(6)	Control Item	JISX0164-1	
		Item number	Item
(6)	The objectives of IT asset management correspond with the followings, ・Align with the objectives of the organization. ・Consistent with the IT asset management policy. ・It must be established and updated in accordance with the decision-making criteria for IT asset management. ・The objectives should be aligned with IT asset management strategies. ・It is possible to confirm the status of achievement of the objectives. ・The target values should include specific figures for data accuracy. ・The applicable requirements have been taken into account. ・Consider the possibility of technological and business changes as appropriate. ・The status of achievement of the objectives shall be grasped and taken the measures as nessesary. ・The objectives are communicated to the relevant stakeholders. ・Adequate review and updating of the objectives.	6.2.3	Overall IT asset management objectives

Plan 2-(7)	Control Item	JISX0164-1	
		Item number	Item
(7)	The organization has documented the objectives for IT asset management.	6.2.3	Overall IT asset management objectives

The organization should set and document its IT asset management the objectives.

＜Illustrative controls＞

－Understanding and maintaining IT assets

・In the event of a device failure, a replacement device must be sent to you within X hours.

・The otganization shall review unnecessary maintenance contracts and keep maintenance costs below X yen per year.

・Assets whose location cannot be confirmed by inventory should be kept to X% or less.

・The percentage of devices with no inventory collected for more than X months should be kept below X%.

－Optimization of total IT-related costs

・The usage ratio of new software, excluding new versions, editions and revisions, must be within X%.

・Manage the expiration date of licenses with expiration dates and renew them before the expiration date if necessary.

・The number of excess licenses must be within X%.

・Unused IDs must be within X% of the total number of IDs.

・The ratio of the number of unused PCs should be X or less.

－Compliance with laws and regulations related to IT assets

・Of the software that needs to be assigned a license, the number of unassigned licenses should be limited to X number of cases.

・In the event of a license shortage, you must respond within X days.

－Support for understanding the status of IT security measures

・The percentage of devices with no inventory collected for more than X months should be kept below X%.

・If the use of prohibited software is detected, it must be deleted within X hours.

・The application rate of the required security patches must be at least X%.

Plan 2-(8)	Control Item	JISX0164-1	
		Item number	Item
(8)	The organization has developed a plan to achieve its IT asset management objectives, which is consistent with the organization's other planning activities, including finance, human resources, and other support functions.	6.2.4	Planning to achieve IT asset management objectives

＜Implementation guidelines＞

The process of IT asset management should be incorporated as a business activity of the organization and the planning should be consistent with other planning activities.

Plan 2-(9)	Control Item	JISX0164-1	
		Item number	Item
(9)	The following items are included in the IT asset management plan. a.The organization is addressing the risks and opportunities considered and taking into account of future changes. b.The organization has established a method for doing the following with respect to risks and opportunities. ・Integration into and implementation of IT asset management processes. ・How to evaluate the effectiveness of the initiatives	6.1.1	General

＜Implementation guidelines＞

IT asset management plans should be taken into account of the items listed in the control items.

Plan 2-(10)	Control Item	JISX0164-1	
		Item number	Item
(10)	The plan to achieve the objectives of IT asset management is consistent with the IT asset management policy and the strategic IT asset management plan.	6.2.4	Planning to achieve IT asset management objectives

Plan 2-(11)	Control Item		JISX0164-1	
			Item number	Item
(11)	The IT asset management plan is formulated in consideration of the requirements from outside the management system.		6.2.4	Planning to achieve IT asset management objectives

<Supplementary explanation>

Consider requirements from external stakeholders such as authorities, publishers and business partners.

Plan 2-(12)	Control Item		JISX0164-1	
			Item number	Item
(12)	In developing its IT asset management plan, the organization has determined and documented the following, a.Methods and criteria for decision-making and prioritization of activities and resources b.The processes and methods employed to manage IT assets over their lifecycle c.What activities are necessary to achieve the objectives d.Resources needed to achieve the objectives e.Responsible party f.Deadline for achievement g.How to evaluate the results of the implementation h.Duration of the plan i.Financial and non-financial impact of the plan j.Confirmation period of the implementation of the plan k.Addressing the risks and opportunities associated with the management of IT assets (including changes in risks and opportunities) by taking into account the, ・Identify risks and opportunities ・Risk and opportunity assessment ・Determine the importance of IT assets in achieving objectives ・Appropriate response to, and monitoring of, risks and opportunities.		6.2.4	Planning to achieve IT asset management objectives

<Implementation guidelines>

The organization should confirm the status of achievement of the plan at least annually.

4．Sys　Establishment of Organizational structure of ITAM

【Management Objective】

> The organization shall establish the organizational structure to implement an IT asset management system.

Implementation guidelines

This management objective includes the establishment of the organizational structure necessary for management implementation (a system to establish and maintain an IT asset management system, including a management system, education system, and audit system). The specific system for conducting audits and the roles and responsibilities within it, will be addressed in the "Monitoring" (see "Monitoring" 2).

management requirement	
Sys1	The organization has defined roles, assigned responsibilities and authorities, and communicated them in relation to the IT asset management system.

Sys1-(1)	**Control Item**	JISX0164-1	
		Item number	Item
(1)	Top management has assigned the following responsibilities and authorities. a.Establish a strategic IT asset management plan (including strategy and objectives) that aligns with the organization's objectives. b.Support the implementation of strategic IT asset management plans. c.Compliance with the requirements. d.Ensuring suitability, adequacy, and effectiveness. e.Establish an IT asset management plan. f.Reporting the operating status of the IT asset management system to top management.	5.3	Organizational roles, responsibilities and authorities

＜Implementation guidelines＞

Top management is required to define the following roles related to the IT asset management system and to assign their responsibilities and authorities.

IT asset department manager may be assigned according to the management system of the organization (e.g., distributed management). In this case, it is necessary to clarify the roles and responsibilities of the IT asset manager of the department. This includes the roles and responsibilities of the department regarding the governance of the organization as a whole. In addition, it should be noted that all departments of the organization are controlled by the IT asset exective or the IT asset department manager without conflicts or overlapping.

＜Illustrative controls＞

The rolls of IT asset department manager should include as follows,
- ・obtain resources to execute the IT asset management plan
- ・achieve the IT asset management plan
- ・adopt and implement of necessary policies, processes and procedures
- ・record with accuracy and maintain related to IT assets
- ・manage IT assets throughout their life cycle and ensure technical approval
- ・relationship management with stakeholders
- ・identify and implement of improvement points of IT Asset Management.

Sys1-(2)	**Control Item**	JISX0164-1	
		Item number	Item
(2)	The organization ensures that the roles, responsibilities, and authority of (1) related to the IT asset management system are well known within the organization.	5.3	Organizational roles, responsibilities and authorities

5．Comp　Establishment and Maintenance of Competencies in ITAM

【Management Objective】

> The organization shall develop a mechanism to establish and maintain competency related to the IT asset management system.

Implementation guidelines

It defines the resources required to achieve the objectives set out in the IT asset management system such as personnel, budgets, tools, the capabilities of personnel, the method and frequency of internal and external communication and ensures the quality of information provided for decision-making.

Supplementary explanation

The IT asset management system competencies include not only individual capabilities required to achieve the objectives of the IT asset management system, but also resources (personnel, budgets, tools, etc.) required as organizational capabilities.

management requirement			
Comp1	The organization shall determine and provide the necessary resources for the IT asset management system.		
Comp 1-(1)	**Control Item**	**JISX0164-1**	
		Item number	Item
(1)	The organization provides the resources necessary to achieve the objectives of the IT asset management system and to implement the plan.	7.1	Resources
＜Implementation guidelines＞			
The organization shall consider the resources (personnel, budget, tools, etc.) that the organization needs to operate the PDCA cycle of the IT asset management system and make them available.			
＜Supplementary explanation＞			
・Tools include software and hardware such as inventory collection systems, workflow systems, ledger management systems, spreadsheets and databases that manage IT asset information to be managed. ・If the organization judges that PDCA can be performed without using the tool, it is possible to meet the requirements even if the tool is not introduced.			

management requirement			
Comp2	The organization shall define the capabilities of personnel involved in the IT asset management system.		
Comp 2-(1)	**Control Item**	**JISX0164-1**	
		Item number	Item
(1)	The organization has defined the following, ・Competencies required for personnel involved in IT asset management systems ・Method and timing of education and training 　※This includes not only periodically, but also at any time, such as when a person is transferred or newly appointed. ・Method of assesment and record of education and training ・Method of annualy reviewing the capabilities required for personnel.	7.2	Competence
＜Implementation guidelines＞			
The organization defines the capabilities required for each role (IT asset managers, users, etc.) of personnel involved in the IT asset management system, and provides the education and training necessary to acquire these capabilities. In addition, the results of education and training should be evaluated, recorded and made available for review.			
＜Supplementary explanation＞			
Ability includes knowledge, skills and experience. ex; knowledge of operating IT asset management, knowledge of licensing, knowledge and skills in auditing, etc.			

Comp3	The organization's personnel understand the policies and roles of the IT asset management system.		

Comp 3-(1)	Control Item	JISX0164-1	
		Item number	Item
(1)	Personnel involved in the IT asset management system have an understanding of the following, ・IT asset management system policies ・Roles and responsibilities related to IT asset management systems ・Risks associated with IT assets.	7.3	Awareness

＜Implementation guidelines＞

Ensure that perspnnel involved IT asset management system understand IT asset management policies, their roles and responsibilities, and the risks and opportunities associated with them.

Comp4	The organization shall determine the necessary internal and external communications related to the IT asset management system.		

Comp 4-(1)	Control Item	JISX0164-1	
		Item number	Item
(1)	The organization shall determine the following internal and external matters related to the IT asset management system. ・Content of communication ・Timing of communication ・Target persons for communication ・Method of communication	7.4	Communication

＜Implementation guidelines＞

Identify the internal and external stakeholders involved in the IT asset management system and determine the content, timing, target persons, and method of communication to these stakeholders.

＜Illustrative controls＞

①Internal and external parties related to IT asset management are clarified.

②The organization's contact point for contacting related parties and the contact point for related parties and the method of contact are determined.

③The frequency and method of communication to internal and external parties, such as management reviews and meetings, are clearly defined.

＜Supplementary explanation＞

For information on internal and external stakeholders, refer to the stakeholder description in "Framework 2 (1)".

６．Doc　Management of documents related to ITAM

【Management Objective】

> The organization shall identify, develop, update, and manage the IT asset management system documents.

management requirement			
Doc1	The organization has identified the IT asset management system documents.		

Doc1-(1)	**Control Item**	JISX0164-1	
		Item number	**Item**
(1)	The documents to be managed by the IT asset management system include the following. ・Documents required by this standard (rules, operation records, etc.) ・Documents prepared in accordance with legal and regulatory requirements related to the organization's IT asset management system ・Documents related to matters determined in accordance with Management Objective "Framework 5 Management Requirements (1)" ※The contents of information documented in IT asset management system may differ from another organization for the following reasons, 　－The size of the organization, its business, processes, types of products and services 　－The complexity of the processes and its associated 　－Individual competence 　－Complexity of the IT asset 　－Information required for compliance, e.g., what is required by the terms of the license	7.6.1	General

＜Implementation guidelines＞

The documents to be managed by the IT asset management system has been identified as documents that include the above requirements.

＜Supplementary explanation＞

The documents to be formulated in the IT asset management system vary depending on the objectives of the IT asset management system in the organization, the IT assets owned, the structure of the organization, and other rules and procedures. Therefore, when using templates, etc., it is necessary to modify them to suit the organization.

management requirement	
Doc2	The organization shall document ownership and responsibilities for its IT assets.

Doc2-(1)	Control Item	JISX0164-1	
		Item number	Item
(1)	The organization has documented ownership and responsibilities for all IT assets. ※1 Documentation of ownership and responsibilities can be at any level that the organization deems appropriate. In cases where software or data is installed or stored on an end-user's device or server (e.g., BYOD), where ownership and responsibilities are mixed, more detailed documented information is needed. ※2 Certain types of ownership and liability of IT assets may bring rise to different types of liability. For example, if a cloud service provider is using a Processor license held by a client organization for IaaS, adding cores to a cloud server provided by the cloud service provider could result in a significant license violation.	7.6.2	Traceability of ownership and responsibility

＜Implementation guidelines＞

This needs to be documented to ensure traceability of ownership and responsibilities for all IT assets under management. (mixed liability needs to be taken into account).

＜Illustrative controls＞

①IT assets owned by the organization are clarified.

②The ownership and management responsibilities of IT assets are documented.

③If there is an asset that is provided and used from external, the ownership and responsibilities is documented by taking into account the requirements of "12. Outsourcing and services" and "13. Mixed responsibilities" in the case of an asset with a mixture of organizational and individual mixed responsibilities.

management requirement	
Doc3	The organization shall document all approvals for IT asset management.

Doc3-(1)	Control Item	JISX0164-1	
		Item number	Item
(1)	All approvals are documented. The information to be documented shall include who approved, when, and why. ※Approval can be taken at any level of detail or comprehensive as deemed appropriate by the organization. ※Approved items should be documented in the form of information that includes details of how and when they were executed (e.g., the installation of the approved software) by whom.	7.6.3	Audit trails of authorizations and execution of authorizations

＜Implementation guidelines＞

The requirements to the above should be considered and documented so that all approvals related to IT asset management can be verified.

＜Supplementary explanation＞

・For example, the level of approval is defined by the organization as appropriate, such as mutual approval, senior approval, approval for a specific group as a whole, or approval in conjunction with different processes such as other security or operational processes. It is also possible to set up conditional approvals with a fixed expiration date for the approval.

・When approving IT asset management, it should be recorded the details of the execution so that they could be verified.

management requirement	
Doc4	The organization shall appropriately establish, update, and manage the information to be documented.

Doc4-(1) Control Item		JISX0164-1	
		Item number	Item
(1)	The following items has been implemented in developing and updating the documentation. ・Appropriate identification and description (e.g., title, date, author, reference number). ・Appropriate format (e.g., language, software version, diagrams) and media (e.g., paper, electronic media) ・Review and approval of appropriateness and validity	7.6.4	Creating and updating

＜Implementation guidelines＞

The organization establish and update documents that addresses the above requirements so that IT asset management personnel can identify documents related to asset management.

It is recommended that the results of the review and approval of conformity and validity are recorded and available for review.

management requirement	
Doc5	The organization shall ensure the confidentiality, availability and integrity of documented information.

Doc5-(1) Control Item		JISX0164-1	
		Item number	Item
(1)	In managing the documented information required by the organization's IT asset management system, the following items are implemented. 　a.Ensuring the availability of documented information 　　※Available and ready for use when and where needed. 　b.Protection of documented information 　　※For example, protection against loss of confidentiality, inappropriate use and loss of integrity.	7.6.5	Control of documented information

Doc5-(2) Control Item		JISX0164-1	
		Item number	Item
(2)	The organization takes the following into consideration when managing documented information, if applicable. ・Distribution, access, search and use ・Storage and preservation (including preservation of legibility) ・Change management (e.g. version management) ・Retention and disposal	7.6.5	Control of documented information

＜Implementation guidelines＞

If any of the matters listed on the above side of this document are applicable, the method of control for these matters shall be established.

＜Supplementary explanation＞

・In the case of electronic data, it is possible to create a file in a widely-used format.

・Access means decisions regarding permission to read documented information only, and decisions regarding permission and authorization to read and change documented information.

Doc5-(3)	Control Item	JISX0164-1	
		Item number	Item
(3)	The organization identifies and manages, as necessary, externally documented information determined by the organization to be necessary for the planning and operation of IT asset management.	7.6.5	Control of documented information

<Implementation guidelines>

The organization shall identify and manage externally documented information required for IT asset management planning and operation, in addition to the documents created in Document 1 and 2.

<Illustrative controls>

①Identify externally documented information referenced by the organization in the planning and operation of IT asset management, and determine the need for management.

②Clarify the source and method of obtaining the information to be managed.

③Acquire and manage the latest version of the information to be managed.

<Supplementary explanation>

Externally documented information includes as follows,

・Various standards such as IT asset management standards, IT asset management evaluation standards, JISX 0164-1, etc.

・Documents created by software publishers

・Documents from administrative agencies.

7．Opr　Operational Management of ITAM

【Management Objective】

The organization shall develop, implement, and manage a specific operation plan based on the IT asset management plan.

management requirement			
Opr1	The organization shall determines, implements, and manages the necessary processes to implement the IT asset management plan.		
Opr1-(1)	**Control Item**		**JISX0164-1**
		Item number	Item
(1)	The organization plans, implements, and controls the processes necessary to meet the requirements and to implement the risk response plan determined in "Plan 1", the IT asset management plan determined in "Plan 2", and the corrective and predictive actions determined in "Improvement 1" and "Improvement 2", based on as follows, －Set standards for the processes that will be required －Implementation of process controls in accordance with the above criteria －Retain the information necessary to support that the process has been carried out as planned －Addressing and monitoring risks through the processes set out in "Plan 1".	8.1	Operational planning and control

＜Implementation guidelines＞

To plan, implement, and manage the processes necessary to implement IT asset management plans, etc.

＜Supplementary explanation＞

IT asset management plan, etc., include as follows,
- ・Risk response plan determined in "Plan 1"
- ・The IT asset management plan decided in "Plan 2" corrective action
- ・Predictive measures.

＜Illustrative controls＞

- ・Identify the necessary processes based on the adopted management structure and plan
- ・The required criteria (requirements) for the identified process are set
- ・Establish the procedures necessary to meet the standards
- ・Confirmation that the identified processes are properly implemented in accordance with the standards
- ・Documented and maintained evidence of the procedures carried out
- ・Implement and monitor the procedures established in "Plan 1"

management requirement	
Opr2	The organization shall develop and implement procedures to identify, manage, and record planned changes related to the IT asset management system.

Opr2-(1)	**Control Item**	**JISX0164-1**	
		Item number	**Item**
(1)	The risks associated with planned changes that may affect the achievement of IT asset management objectives, even if the changes are permanent or temporary, are assessed before they are implemented.	8.2	Management of change

＜Implementation guidelines＞

The risks associated with changes that may affect the achievement of IT asset management objectives are assessed prior to implementation.

＜Illustrative controls＞

・The risks associated with the planned changes are identified

・Develop and assess measures to reduce the risks identified

・Document the results of risk identification and assessment of mitigation measures

＜Supplementary explanation＞

Changes that may affect the achievement of IT asset management goals include as follows,

・Changes in the scope and management structure

・Changes to license terms and service contracts, etc.

Opr2-(2)	**Control Item**	**JISX0164-1**	
		Item number	**Item**
(2)	The organization shall ensure that such risks are managed in accordance with "Plan 1".	8.2	Management of change

＜Implementation guidelines＞

Changes are managed in accordance with the risk assessment procedures developed in "Plan 1".

Opr2-(3)	**Control Item**	**JISX0164-1**	
		Item number	**Item**
(3)	The organization shall manage the planned changes, review the unintended consequences of the changes, and take steps to mitigate the adverse effects, if necessary.	8.2	Management of change

＜Implementation guidelines＞

Actions has been taken to manage the results of the implementation of the planned changes and to mitigate any adverse effects if they deviate from the original plan.

８．CM　Core Management Process of IT assets

【Management Objective】

The organization shall record and document data related to IT assets throughout their lifecycle.

management requirement

CM1	The organization shall accurately record the necessary data related to IT assets throughout the life cycle.			
CM1-(1)	**Control Item**		JISX0164-1	
			Item number	Item
(1)	The organization ensures that the required data related to all core IT assets within its scope is accurately recorded along the lifecycle and that there is documented information related to all IT assets, regardless whether approved or not. ※1 Core IT assets include software assets, IT hardware, and IT asset services. Digital information content assets (e.g., licensed audio and video records; word processors and PDF documents are also considered core IT assets if they are included in the scope. In a situation of mixed etc.)responsibilities (e.g., cloud computing or BYOD), it is appropriate to include assets for which other organizations or individuals are responsible for managing the associated risks, for example, license violations. ※2 This process includes data validation. ※3 This process provides information on IT assets to support the effectiveness and efficiency of other business processes. ※4 For detail information on core IT Asset management, please refer to the Appendix "Example of Core IT Asset Management and License Management measures".		8.3	Core data management

＜Implementation guidelines＞

In this standard, the scope of IT assets is defined as hardware (i.e., the device on which the software runs), software used by the organization (i.e., the application or operating system that runs on or controls the device), and the license required to use the software.
　・Management of information on changes in IT assets (excluding licenses)
　・Verify the management status of IT assets (excluding licenses).
It is necessary to add to the scope of IT assets as defined by the organization as appropriate.
The illustrative controls do not include matters related to digital information content assets. If included in the scope, it is necessary to establish controls for these assets.

＜Supplementary explanation＞

Hardware may include virtual environments and clustered environments that make up the virtual environment. Also, the use of licenses based on criteria other than installation may include, for example, the number of IDs for cloud services. If such an environment already exists, these assets should be included in the scope of IT assets.
In addition, since these assets (including services) include BYOD, etc., it is also necessary to manage the owners of these assets, and to understand and control their mixed responsibilities.
It should be noted that the illustrative controls do not include digital information content assets. If these assets are included in the scope, it is necessary to establish controls for it.

中核マネジメント管理策例

CIM①-1	Management of information on changes in IT assets（excluding licenses） Illustrative controls

①	1）**The organization has a system for recording information on changes in IDs required to use hardware, software, cloud services, etc.**
	 With regard to the hardware on which the software runs and the installed software, the types of assets to be managed, the required management items and management objectives are identified, and the necessary information is identified and recorded.
	   a.Hardware is identified not only physical environment, but also virtual instance.
	   b.The resources in the physical environment in which the virtual instance runs are identified and managed.
	    ※In the case of decentralized management by divisions and sites, etc., the records of each division and site are integrated to enable overall reconciliation.

②	Identify all software installed on the hardware and all cloud services used in the scope.
③	All hardware within the scope, including spare hardware and hardware scheduled for disposal or return to lessor that is not being deployed or used, is identified.
④	The usage states of IDs of cloud services, etc. are identified.

⑤	The software and cloud services implemented are identified as authorized for use.
	   a.The installed software and the owned license shall be linked according to the terms and confditions of the license.
	   b.The hardware to which the license is linked shall be identified if necessary.
	    (e.g., pre-installation and other itemsthat need to be linked individually)
	   c.Clarify the purpose of using the cloud service.
	   d.IDs shall be linked to a cloud service
	    (i.e., it must know which cloud services are available for that ID).
	   e.IDs shall only be available to authorized users.
	    (The user of the ID must be identifiable.)

⑥	Regarding the use of licenses and cloud services based on metrics other than the installation of software, the relevant information according to the content is known. (e.g., number of concurrent users on the server for concurrent licenses, number of hardware CPUs for processor licenses, user names for user-specific licensing methods, number of logins with the same ID, number of uses on multiple devices by the same user, etc.)
⑦	Changes of software, ID, and hardware has recorded in a timely mannar. ※Installation/uninstallation/upgrade/downgrade/user/computer name (hardware identifier), etc.
⑧	The process for the changing of hardware and software IDs is defined.

⑨	Procedures for the deployment of hardware and software that includes the following
	   a.ITAM Manager shall approve the creation of copies for distribution, including installation images.
	   b.Establishes procedures when deployment fails.
	   c.In the deployment of hardware and software, security requirements are considered and the results of the deployment are recorded and reviewed.

⑩	The availability of hardware, software, cloud services, etc., is maintained as needed.

CIM①-2	**Verification of the management status of IT assets（excluding licenses）** **Illustrative controls**
①	2）**Verify the state of management of IDs for the use of hardware, software, and cloud services used by the organization.** Verification of accuracy and completeness a.The organization conducts and records verification at least quaterly that the software used by the organization has been authorized for use by the organization. b.At least semi-annually verification of the hardware used by the organization, including the location of the installation, to verify its consistency with the hardware management ledger. c.The organization conducts and records at least quarterly verification that the cloud services used by the organization are authorized for use by the organization. d.Regularly reviewing claims for incorrect claims or overpayments.
②	Verification of timeliness a.Recording of all software, cloud services, and hardware changes within the scope of IT asset management in a timely manner. ※Installation / Uninstallation / Upgrade / Downgrade / User / Computer name (or hardware identifier), etc.
③	Verification of validity a.Changes in hardware, software, IDs, etc. and their records has been approved by the person in charge. b.A system is in place to check that hardware and software ID changes are factual and appropriate. c.Carring out and documented corrective actions related to differences or problems found in accuracy, completeness, and timeliness. d.When installing the software, it is confirmed within the terms and conditions of the license. e.The usage of cloud services is confirmed within the terms and conditions of the license.

9．LM　License management process of IT assets

【Management Objective】

> The organization shall accurately record and verify the requirements of the terms and conditions of the software license and the status of utilization.

management requirement			
LM1	The organization accurately records, and annually verifies the license requirements for all IT assets within the scope.		

LM1-(1)	**Control Item**	**JISX0164-1**	
		Item number	**Item**
(1)	The organization ensures that the data and information required by the license agreements, such as usage related to or in violation of rights, are accurately recorded along the lifecycle for all IT assets within the scope, and are verified for usage and rights that are contrary to the requirements and rights. ※1 All software assets, such as images, fonts, with license terms are covered. ※2 For information on license management, please refer to the appendix "Examples of core IT Asset management and license management measures".	8.4	License management

＜Implementation guidelines＞

Implement controls for the requirements of the control items listed on the above in order to accurately record, regularly evaluate, and verify the licensing requirements for all of the organization's IT assets.

＜Illustrative controls＞

The following are examples of license terms and conditions that are necessary for using software and services.
・Management of information on changes in the usage rights of IT assets.
・Verification of the status of storage of IT assets such as usage rights.
・Verification of the management status of IT asset usage rights, etc.

The scope of the license should include, for example, the terms and conditions of use of the ID in the cloud service, the scope of installation, the number of instances, and so on, as determined by the organization as appropriate.
The illustrative controls do not include matters related to digital information content assets. If included in the scope, it is necessary to establish controls for these assets.

＜Supplementary explanation＞

This section only describes the right to use the software, but in practice it may include, for example, the number of IDs for cloud services. Where such an environment already exists, it is necessary to include these rights in the scope.
In addition, these assets may include BYOL, etc. In such cases, it is necessary to understand and manage the owner of the assets and the organization's mixed responsibilities.

LM1 ①-1	Management of information on changes in usage rights for IT assets such as software licenses Illustrative controls
①	**1) The organization has a mechanism to record information about changes of the licensing and other usage rights, IDs, and other items required by the contract of IT assets used by the organization.** With regard to licenses, IDs and others owned, the types of assets to be managed and required by the control items are identified, and the necessary information is identified and recorded. 　a. Developed, approved, and issued policies and procedures, including inventory lists and the management and maintenance (including access control) of IT assets (physically and electronically) to be managed. 　b. Items to be managed. 　　・Licenses, including underlying and effective full license. 　　・Proof of license and cloud service usage. 　　・Contracts (including terms and conditions) for both paper and electronic versions of software assets and cloud services. 　　・Licensing, cloud services and other types of contracts. 　　・IDs, etc. (including the period of use and the number of devices that can be used with one ID) 　c. Physical and electronic assets to be managed 　　・Contracts for software assets and cloud services (both paper and electronic) 　　・Proof of license and cloud service usage 　d. Management is conducted taking into account the possibility of downgrading and installing to other hardware, number of concurrent uses, number of processors, etc., license terms and conditions, scope of use of cloud services, etc. 　e. Having an inventory or other clearly defined analysis or metric mechanism in place to measure the use of licenses and IDs based on criteria other than software installation. 　f. If a license or ID owned outside the organization is used, all necessary information is known, including the name of its owner.
②	When a license is procured or a cloud service is contracted, the following details are considered, 　a. Physical and electronic contents of contracts and media 　b. Terms and conditions of the license agreement 　c. SLA
③	Identifies information about changes in licenses and cloud service agreements. 　a. The changes include the following, 　　・Changes in the number of licenses and IDs due to new installation, disposal, return, etc. 　　・Changes in contract information and ID users due to changes in users, departments, etc. 　　・Changes in the number of licenses, IDs, media to be managed, etc. due to the revision of license conditions 　　・Changes to rates for subscriptions 　　・Changes to available versions and editions
④	Appropriate store of physical and electronic components related to licenses and cloud services (including management and maintenance at locations)
⑤	The upgrade license is linked to the license upgraded.
⑥	The organization manages licenses and cloud services in consideration of license terms and conditions, such as the availability of downgrades, the availability of conversion to other hardware, the number of concurrent uses, the number of processors, and the number of devices with available IDs., etc.
⑦	The organization has records of the product name, quantity, ID name, number of IDs, etc. of the distributed images set on the installation media, server, etc. owned by the organization.

LM1 ①-1	Management of information on changes in usage rights for IT assets such as software licenses Illustrative controls

⑧	Records of use of media, installation image, and ID are documented.
	   a.Procedures for the lending and returning of media are established.
	   b.There are records of the lending and returning of media.
	   c.There are logs of ID usage.

⑨	Identification of all components such as license agreements, media, and cloud service agreements used to prove that the organization owns an authorized license.

LM1 ①-2	Verification of the storage status of software licenses and other IT assets such as usage rights Illustrative controls
①	2)**The state of storing materials of usage rights, etc. is verified.** The organization stores materials for proving that the organization owns appropriate usage rights, such as license agreements, terms and conditions and license keys (hereinafter referred to as "certification materials") under the control of the responsible person.
②	The certification materials are available at any time.

③	It is verified that certificates, etc. are properly stored.
	   a.The number of licenses and IDs owned is confirmed against the license agreement at least annually.
	   b.There is a mechanism in place to ensure that any discrepancies found as a result of reconciliation work are rectified.
	   c.Appropriately stores and maintains supplementary evidence, such as purchase records, delivery notes, user registrations, etc., to demonstrate that a license or ID has been formally obtained.
	   ※Supplementary evidence may not be allowed as the proof that a use has been formally licensed. In addition, these pieces of evidence should be able to objectively confirm what the applicable license or cloud service is.

LM1 ①-3	Verification of the management status of software license materials and other IT assets such as usage rights Illustrative controls

①	**3)The controlled status of licenses owned by the organization is verified.**
	Accuracy and completeness
	  a.For all licenses and IDs owned by the organization, the verification on the inventory list and the verification of certification materials in the license agreement are verified
	  b.The integrity of the contract documents and license ledger (including cloud services, etc.) is verified at least annually for all license agreements/cloud service agreements held by the organization.
	  c.At least quarterly, the inventory of software installed in the organization is checked against valid licenses, and using services are checked against using IDs and users. Corrective measures are appropriately implemented in the event of a problem.
	  d.The oeganization is able to figure out which licenses and cloud services to declare and pay for after implementation.
	  e.Inventory of installation media and installation images (copies for build and distribution) is periodically conducted at least semi-annually to verify the consistency with the management ledger of the required parts of the license.
	  f.If the business is decentralized, the business's records are reconciled to the overall records.
	  g.Regularly reviewing claims for incorrect claims or overpayments.

②	Timeliness.
	  a.Information on changes in licenses, cloud services, and IDs is recorded in a timely manner.
	  b.Software that cannot be redeployed, such as software licenses integrated with the hardware at the time of purchase due to conditions of use, etc., are disposed of at the same time as the hardware is disposed of.
	  c.Licenses and IDs with expiration dates has recorded expiration dates and are not using expired software or cloud services.
	  d.Licenses that can be ordered after the software is installed are ordered in a timely manner and records are documented.

③	Validity
	  a.Changes in licenses, cloud service contracts, and IDs and their records has been approved by the responsible person.
	  b.A system is in place to ensure that licenses, cloud service agreements, and identity transfers are accurate and relevant.
	  c.Records of transfers of licenses, cloud service contracts, and IDs are performed under approved access rights, and the history is checked.
	  d.All procedures, approvals, and documentation of transfer records, physical verification and reconciliation methods and records, including disposal/return of licenses, cloud service contracts, and IDs, are in place.
	  e.Procedures has been developed for the reproduction and disposal of media, application for and approval of the creation and removal of the installation image, etc.
	  f.Implemented and documented corrective actions related to differences or issues found in accuracy, completeness, and timeliness.
	  g.There is a mechanism for controlling access rights and restricting them based on access rights.
	  h.The appropriateness of access rights to IT assets under control, such as rights of use, is reviewed periodically.

１０．IS　Information Security management process of IT assets

【Management Objective】

The organization shall comply with the security requirements for the assets covered by the
IT asset management.

management requirement			
IS1	The organization shall periodically verify compliance with security requirements for IT assets covered by IT asset management.		

IS1-(1)	Control Item	JISX0164-1	
		Item number	Item
(1)	The organization shall effectively manage security in all IT asset management activities, support security requirements related to IT asset management for all IT assets within its scope, and periodically verify compliance. ※Security includes access and integrity controls. Security requirements apply not only to software, but also to all IT assets, including hardware and information on IT assets.	8.5	Security management

＜**Implementation guidelines**＞
Based on the current status of the organization's Information Security Management System (ISMS) controls should be introduced for the requirements of the above control items.

＜**Illustrative controls**＞
①The security requirements of the organization regarding the assets related to IT asset management are understood. ②There is a system to check the status of compliance with the security requirements of the organization regarding the assets related to IT asset management. ③Policies on access controls for IT assets subject to IT asset management has been established. ④Physical and logical access controls are specified and recorded. ⑤At least annually reviews are conducted and recorded for the finding security exceptions. 　※This review includes verifing the controlls of access permissions to the certification materials, the user's or user group's specified permissions to install and use the software.

＜**Supplementary explanation**＞
When IT asset management is introduced in an organization that has introduced information Security Management Systems such as ISMS, it is desirable to be consistent with the each Management System. It should be noted that the target, scope, and requirements of information security management and IT asset management measures are not necessarily the same.

１１．Oth　Other Management processes of IT assets

【Management Objective】

The organization shall implement additional processes for effective and efficient execution of IT asset management.

management requirement	
Oth1	The organization shall ensure the achievement of IT asset management objectives for additional processes defined by the organization, as determined in "Plan 2(1)".

＜Implementation guidelines＞

Based on the current state of the organization's IT asset management process, the organization shall implement controls for all of the above control requirements.

In this standard, the following processes are defined as additional processes in accordance with the functional management process, but they may also be defined by the lifecycle management process based on the organization's situation and the relevance of other management systems operating in the organization,

・Relationship and contract management processes

・Financial management process

・Service Level Management Process

・Other risk management processes

・Other additional processes.

※Please refer to Annex A of JISX 0164-1:2019 for details of each process in the life cycle.

Oth1-(1)	Control Item	JISX0164-1	
		Item number	Item
(1)	－Relationship and contract management processes Manage external and internal relationships with other organizations, provide IT asset management services in an integrated manner, and manage all contracts related to IT assets and IT asset services with in the scope. ※This process includes verification of compliance with the contract terms and conditions (including any high-level for license compliance).	8.6	Other processes

＜Implementation guidelines＞

The organization shall understand and manage all internal and external contracts related to the organization's IT assets and IT asset services.

＜Illustrative controls＞

①The following items are provided for the management of contracts with service providers internal and external of the organization.

・The person responsible for managing the service provider and the person's responsibilities.

・Develop procurement specifications for IT assets or related services that take into account the requirements of this standard.

・At least a semi-annual review of the service provider's performance and issues.

②Policies and procedures for managing relationships with customers (to whom services are provided) are established.

・Responsibilities for the provision of IT asset management target assets and related services

・At least an annual review of current and future software requirements from customers

・At least an annual review of performance, customer satisfaction, and verification results (documents and records) on issues

※Customers include those who provide services within the organization.

③Policies and procedures for contract management has been established.

・Ensure that contract details are recorded in an ongoing contract management system

・Copies of signed contract documents are securely stored with copies stored in the contract management system.

・In addition to the above, the otganization is also required to review the verification results (documents and records) when the contract expires.

Oth1-（2）	Control Item	JISX0164-1	
		Item number	Item
(2)	－Financial management process The organization has a system in place to ensure that financial information on the IT assets, such as financial cost and value, can be obtained as necessary (including cost effectiveness).	8.6	Other processes

It is incorporated into the IT asset management process so that financial information on IT assets, such as the financial cost and value, can be reviewed and provided in a timely manner.

①The financial classifications for the management of assets related to IT asset management are linked to and documented the classification of assets under IT asset management.

※Assets procurement costs related to IT asset management can be classified for each IT asset in IT asset management.

②A budget for procurement and management of assets related to IT asset management has been prepared.

③The status of execution of the budget for the assets to be managed by IT assets is monitored.

④The asset value (including acquisition cost and depreciated cost) of IT assets related to IT asset management can be obtained as documented information as necessary.

⑤Formal reviews of the budget, including the execution of the budget and measures as required, are conducted and documented at least quarterly.

Oth1-（3）	Control Item	JISX0164-1	
		Item number	Item
(3)	－Service level management process The organization defines, records, and manages the service levels associated with IT assets. ※This process includes the verification of support information.	8.6	Other processes

Service levels associated with IT assets are defined, recorded, and managed.

①The service level for services performed within the scope of IT asset management is agreed and approved.

・The services for the acquisition and transfer of IT assets related to IT asset management has been defined and agreed upon, taking into account service level targets and workloads.

・It defines and agrees on the obligations and responsibilities of customers and users regarding IT asset management.

②Service levels and actual workloads to achieve service levels are analyzed and agreed upon a regular (at least quarterly) basis.

③The analysis of service levels and actual workloads to achieve service levels is reviewed periodically (at least quarterly) by the relevant parties for review as necessary, and the measures to be taken are established and documented.

Oth1-（4）	Control Item	JISX0164-1	
		Item number	Item
(4)	－Other risk management processes. The organization has processes in place to manage identified risks that are not covered by other functional process areas. ※This process includes verification of the effectiveness of risk management.	8.6	Other processes

If there are any identified risks that are not covered by the functional processes listed in Plan 2(1), processes has been put in place to manage those risks.

Oth1-(5)	Control Item		JISX0164-1	
			Item number	Item
(5)	The organization shall ensure the operation of any other processes determined based on the IT asset management objectives in the operational process and any additional processes defined by the organization.		8.6	Other processes

<Implementation guidelines>

If any additional processes are established to those listed as functional or lifecycle processes in "Plan 2(1)", ensure that these processes are operated.

<Supplementary explanation>

This is a mechanism for adding additional processes.

１２．OS　Outsourcing and Services related to IT assets

【Management Objective】

The organization shall manage outsourced processes and activities that affect IT asset management.

management requirement

OS1	When the organization outsources activities that affect IT asset management, it assesses and manages risks.

OS1-(1)	Control Item	JISX0164-1	
		Item number	Item
(1)	The organization assesses the risks associated with outsourcing activities that affect the achievement of its IT asset management objectives. The organization manages the processes and activities that it has outsourced. ※Outsourcing includes services provided externally. Examples of externally provided services : Software as a Service (SaaS), Platform as a Service (PaaS), Infrastructure as a Service (IaaS) and various types of maintenance and training.	8.7	Outsourcing and services

＜Implementation guidelines＞

The organization needs to conduct a risk assessment and evaluate the risks before deciding to outsource the IT asset management tasks. In addition, outsourced tasks are nessesary to be identified and controlled.

＜Illustrative controls＞

・Identified the processes and activities outsourced.
・Conduct risk assessments of outsourced processes and activities.
・Monitor the operating status of external contractors on a periodically basis (at least annually).

OS1-(2)	Control Item	JISX0164-1	
		Item number	Item
(2)	When the organization uses an IT infrastructure with responsibilities (mixed internal and external responsibilities) for IT assets or data and information shared by both the internal organization and external IT service providers, the organization has assessed the associated risks. The organization ensures that processes and IT infrastructure, involving mixed responsibilities, are managed. ※An example involving mixed responsibilities is when different parties own the end-user's device in use (mobile operator organization vs. third party), the server in use (cloud computing organization vs. third party), the licensed software (organization or third party), and the data (organization, individual, or third party) that is being stored and processed.	8.7	Outsourcing and services

＜Implementation guidelines＞

The Organization shall identify the IT infrastructure (infrastructure with IT assets or data) shared by the internal organization and external IT service providers in IT asset management, conduct risk assessments, and make decisions based on the assessment of risks.
It will be necessary to clarify the responsibilities that result from sharing and to manage the processes and assets that are shared internal and external to the organization.

＜Illustrative controls＞

・The organization identifies IT assets and data to be shared among internal and external IT service providers.
・The organization conducts risk assessments for IT assets and data that are shared among internal and external IT service providers.
・The organization manages the processes and IT infrastructure, with mixed responsibilities.

<table>
<tr><td rowspan="2">OS1-(3)</td><td rowspan="2">Control Item</td><td colspan="2">JISX0164-1</td></tr>
<tr><td>Item number</td><td>Item</td></tr>
<tr><td>(3)</td><td>The organization is deciding whether to manage the processes and IT infrastructure with mixed responsibilities and integrate them into the organization's IT asset management taking into account the following,

a.Processes and activities to be outsourced (including the scope and boundaries of the processes and activities to be outsourced and the interface between them and the processes and activities of the organization itself)

b.The impact associated with the mixed responsibilities (including the risks involved and how the mixed responsibilities are effectively carried out, along with accountability)

c.Responsibilities and authority within the organization to manage outsourced processes and activities

d.The processes and scope for sharing knowledge and information between the organization and contracted service providers.</td><td>8.7</td><td>Outsourcing and services</td></tr>
</table>

＜Implementation guidelines＞

For outsourcing with mixed responsibilities, the associated processes and IT infrastructure need to be identified and integrated into the organization's IT asset management.

＜Illustrative controls＞

・Identifies processes and activities for outsourcing with mixed responsibilities.
・We have established roles and responsibilities for managing outsourcing with mixed responsibilities.
・Establishes a process and scope for sharing knowledge and information about the mixed responsibilities of outsourcing between the organization and service providers.

＜Supplementary explanation＞

For example, an outsourced entity with mixed responsibilities who provides an IaaS, PaaS, or SaaS.

<table>
<tr><td rowspan="2">OS1-(4)</td><td rowspan="2">Control Item</td><td colspan="2">JISX0164-1</td></tr>
<tr><td>Item number</td><td>Item</td></tr>
<tr><td>(4)</td><td>When outsourcing any kind of IT asset management tasks, the organization ensures that the following items are performed,

－The outsourced resources meet the requirements of "Compi 2" and "Compi 3" and "Document management"

－The performance of the outsourced work is monitored according to" Monitor 1".</td><td>8.7</td><td>Outsourcing and services</td></tr>
</table>

＜Implementation guidelines＞

When outsourcing, roles and responsibilities should be defined and the competency to realize those responsibilities should be defined.
In addition, the organization should monitor the operationg status to confirm, evaluate and review whether roles and responsibilities are fulfilled.

＜Illustrative controls＞

・Defines the roles and responsibilities of outsourced contractors.
・Defines the capabilities of the outsourced contractors.
・Periodically reviewing that outsourced contractors are performing in accordance with defined roles and responsibilities and maintaining defined competencies.

１３．MR Mixed Responsibility for IT assets

【Management Objective】

The organization shall manage the mixed responsibilities between the organization and its personnel.

management requirement	
MR1	Where mixed responsibilities exist between the organization and personnel with respect to IT assets, the associated risks are assessed and managed.

＜Implementation guidelines＞

The organization identifies whether there are mixed responsibilities for IT assets, and if there are mixed responsibilities, it conducts a risk assessment of these responsibilities and manages them based on the results of the assessment.

＜Illustrative controls＞

○The organization has confirmed the existence of mixed responsibilities for IT assets.
○Risk assessment of mixed responsibilities is conducted.
○Manage mixed responsibilities based on the results of the risk assessment.

＜supplementary explanation＞

The mixed responsibilities for IT assets may arise when using cloud services, BYOD, etc.

MR1-(1)	Control Item	JISX0164-1	
		Item number	Item
(1)	When IT assets, such as BYOD, have multiple ownership rights between the organization and its personnel, and information is held on those assets, the organization assesses the associated risks and ensures that these situations are managed. ※This includes the use of an organization's IT assets for personal purposes in situations where personal data or information is held on the organization's resources.	8.8	Mixed responsibilities between the organization and its personnel

＜Implementation guidelines＞

If there is information to be controlled on IT assets that are proprietary to the organization and its personnel, it need to ensure that a risk assessment is performed for the associated risks.

＜Illustrative controls＞

・The organization identifies assets with mixed responsibilities and identifies the ownership and location of the information contained in those assets.
・Identify and assess the risks associated with assets with mixed responsibilities.
・Where risks exist, management measures are established and implemented.

＜Supplementary explanation＞

BYOD is an example of multiple ownership rights between the organization and its personnel, and information is held in those IT assets.
This is the case of using personal devices (PC, smartphone, etc.) for the organization's business.

MR1-(2)	Control Item		JISX0164-1	
			Item number	Item
(2)	When the organization uses IT assets for IT assets or data or information in a situation where there is mixed responsibilities between the organization and its personnel, the organization has ensured that processes and IT assets involving mixed responsibilities are managed (the organization has assessed the associated risks). ※Examples that include mixed responsibilities are devices (e.g., BYOD), licensed software (e.g., BYOL), and data or information held and processed by different parties (e.g., organizations or personnel.		8.8	Mixed responsibilities between the organization and its personnel

<Implementation guidelines>

In the IT assets used by personnel, there are mixed roles and responsibilities for the organization and personnel. Identify the IT assets used by personnel and the processes used to ensure that risk assessments are performed.

<Illustrative controls>

・Identify IT assets with mixed responsibilities and know their ownership and location.
・Identify and assess the risks associated with assets with mixed responsibilities
・Where risks exist, management measures are established and implemented.

<Supplementary explanation>

BYOL is an example of multiple ownership rights between an organization and its personnel, and where information is held in those assets.
This is the case where a personal license is used on an organization's device.

MR1-(3)	Control Item		JISX0164-1	
			Item number	Item
(3)	Determine and document the risk management of IT assets with mixed responsibilities and ownership and how processes and IT assets will be managed and integrated into the organization's IT asset management. The items to be documented include the following, a.The processes and activities affected by the mixed responsibilities (including the scope and boundaries of the affected processes and activities) b.The meaning of the mixed responsibilities involved (including the risks involved and how the mixed responsibilities is effectively performed with accountability) c.Responsibilities and authority within the organization to manage the conditions, including mixed responsibilities d.The process and scope for sharing knowledge and information between the organization and its personnel in situations involving mixed responsibilities.		8.8	Mixed responsibilities between the organization and its personnel

<Implementation guidelines>

For IT assets and processes identified as having mixed responsibilities, IT asset management procedures should be developed and documented, including the measures resulting from the risk assessments performed.

<Illustrative controls>

・Identifies processes and activities that are affected by mixed responsibilities.
・Identifies the potential impact of the mixed responsibilitiesnd establishes how to effectively fulfill the responsibilities to address the risks associated with it.
・Roles and responsibilities for managing mixed responsibilities are defined.
・Establishes a process and scope for sharing knowledge and information about mixed responsibilities between the organization and personnel.

<Supplementary explanation>

Knowledge and information about mixed responsibilities refers to the identification of IT assets with different ownership rights, the use of IT assets with mixed responsibilities, and the extent of their use.

MR1-(4)	Control Item		JISX0164-1	
			Item number	Item
(4)	When mixed responsibilities are included, the organization is ensuring that, －The resources of the mixed responsibilities are consistent with the requirements of "Compi 2" 　and "Compi 3" and "Document manegement" －Monitor the performance of the activities of the mixed responsibilities according to "Monitor 1".		8.8	Mixed responsibilities between the organization and its personnel

＜Implementation guidelines＞

　Roles and responsibilities related to mixed responsibilities are defined and the competency to fulfill those responsibilities is defined.

＜Illustrative controls＞

　・Defines roles and responsibilities related to mixed responsibilities.

　・Defines the required competencies to manage mixed responsibilities.

　・Periodic reviews are conducted to ensure that mixed responsibilities are managed in accordance with defined roles and responsibilities and that the defined competencies are retained.

１４．Mon　Monitoring for Management system operation status of ITAM

【Management Objective】

The organization shall monitor, measure, analyze, and evaluate the operating status of IT asset management to ensure that the requirements of this standard are addressed.

management requirement	
Mon1	The organization shall monitor, measure, analyze, and evaluate the operating status of IT asset management.

Mon1-(1) Control Item		JISX0164-1	
		Item number	Item
(1)	The following matters has been determined. 　a.Subjects that need to be monitored and measured. 　b.Methods of monitoring, measurement, analysis and evaluation. 　c.Schedule of monitoring and measurement. 　d.Schedule of the analysis and evaluation of the monitoring and measurement results.	9.1	Monitoring, measurement, analysis and evaluation

＜Implementation guidelines＞

Based on the monitoring, measurement, analysis, and evaluation of the operating status of IT asset management implemented in the organization, the target, the method of analysis and evaluation, the schedule of measurement, and the schedule of analysis and evaluation has been determined.

＜Supplementary explanation＞

・Examples of things to monitor and measure include license compliance state, patching status, and status of applying changes.
・Decide who will conduct monitoring, measurement, analysis, and evaluation by what method (e.g., using tool's functions, by manual).
・The schedules for monitoring and measurement should be set based on the method of monitoring and measurement, taking into consideration the effectiveness of the monitoring and measurement, such as daily, weekly, and monthly. In addition, events such as inventory and management reviews should be set in consideration of the IT asset management plan.
・The schedules for analysis and evaluation of monitoring and measurement results should also be set in consideration of effectiveness and IT asset management plans. It should be done at least annually before the management review.

Mon1-(2) Control Item		JISX0164-1	
		Item number	Item
(2)	The organization maintains appropriate documented information as evidence of its monitoring, measurement, analysis, and evaluation results.	9.1	Monitoring, measurement, analysis and evaluation

＜Implementation guidelines＞

Develop and maintain documentation that confirms these results as evidence of monitoring, measurement, analysis, and evaluation.

＜Supplementary explanation＞

Documents in which the results can be confirmed could include the following,
・Report of audit results
・Analysis results of the number of software licenses in excess and deficiency
・Inventory results
・Results of applying patches
・Results of applying changes.

Mon1-(3)	Control Item		JISX0164-1	
			Item number	Item
(3)	The following items are evaluated and reported. ・Performance of IT assets. ・Performance of IT asset management. ・The effectiveness of IT asset management system.		9.1	Monitoring, measurement, analysis and evaluation

＜Implementation guidelines＞

Evaluate and report on the above requirements.

＜Supplementary explanation＞

The examples of evaluation factors are the following,
- － IT asset performance
    - ・Usage and frequency of IT assets, failure rate, software usage, license usage, classification of hardware specifications used, and percentage of reserve hardware
- － IT asset management performance
    - ・Frequency of incidents, number of incidents, situation, comparison with budget, cost reduction, effectiveness of education
- － The effectiveness of IT asset management systems
    - ・The achievement of IT asset management system objectives, audit results, and improvements, including IT asset performance and IT asset management performance.

Mon1-(4)	Control Item		JISX0164-1	
			Item number	Item
(4)	The organization assesses and reports on the effectiveness of its processes to manage risks and opportunities.		9.1	Monitoring, measurement, analysis and evaluation

＜Implementation guidelines＞

Evaluate the effectiveness of IT asset management based on the risk management process and report to management.

＜Supplementary explanation＞

Risk management is to manage risks and opportunities. An opportunity is a positive risk, something that can be gained by taking a risk.Data to evaluate the effectiveness of the processes include the following,
- ・Violation of license compliance
- ・Security-related incident and response results
- ・Results of cost reduction.

Mon1-(5)	Control Item		JISX0164-1	
			Item number	Item
(5)	The organization ensures that the needs and expectations of its stakeholders are addressed through monitoring and measurement.		9.1	Monitoring, measurement, analysis and evaluation

＜Implementation guidelines＞

Monitor and measure necessary to ensure that the needs and expectations of stakeholders in IT asset management are addressed.

＜Supplementary explanation＞

It is necessary to define and implement monitoring and measurement to confirm whether the needs and expectations of stakeholders identified when setting the IT asset management objectives are addressed, and to confirm the results.
If other management systems are implemented similar activities, the method of monitoring and measurement should be consistent with what is implemented in other management systems.

management requirement	
Mon2	The organization shall periodically conduct internal audits of the operating conditions of IT asset management.

Mon2-(1)	Control Item	JISX0164-1	
		Item number	Item
(1)	The organization conducts periodical internal audits of its IT asset management system in order to understand the status of the following, a.It is in compliance with the following, ・The requirements specified by the organization itself regarding the IT asset management system ・The requirements of this standard. b.The IT asset management system is effectively implemented and maintained.	9.2.1	The organization shall conduct internal audits at planned intervals to provide information to assist in the determination on whether the IT asset management system

＜Implementation guidelines＞

In order to understand how effectively the IT asset management system is implemented and how it complies with the requirements specified by the organization and the requirements of this standard, an internal audit is conducted that includes the following,
- ・Evaluate the achievement of software asset management objectives and software asset management plans
- ・Status of compliance with this standard
- ・Software asset management plan
- ・Results against SLA-specified metrics related to software asset management
- ・Ensuring that the organization's approved software asset management policies are effectively communicated and implemented throughout the organization
- ・A summary of the exceptions and necessary actions found as a result of the above
- ・Identify opportunities for improvement in service delivery related to software related assets
- ・Consideration of the need for a review of the ongoing adequacy, completeness, and accuracy of policies, processes, and procedures
- ・Check that the software is deployed in the most cost-effective manner.

Mon2-(2)	Control Item	JISX0164-1	
		Item number	Item
(2)	The following items are being implemented. a.Establish, operate and maintain an audit system (including frequency, methods, roles and responsibilities, planning and reporting) ※The importance of the relevant processes and the results of previous audits should be taken into account. b.Clarify the audit criteria and scope of the audit to be conducted. c.To ensure the objectivity and fairness of the audit, auditors shall be appointed to conduct the audit. d.Report the results of the audit to the relevant management. e.Preparing and retaining audit working paper as evidence of the execution of the audit and the results of the audit.	9.2.2	The organization shall

＜Implementation guidelines＞

Conduct an internal audit that addresses the following requirements,
- ・Established an audit system and maintained its operation
- ・In addition to the above, the organization has established a system to ensure that the organization's auditing criteria and scope are clarified
- ・The auditors who can ensure objectivity and fairness are appointed.
- ・The results of audits are reported to the management.
- ・Preparing an audit working paper.

management requirement	
Mon3	The organization shall conduct periodical Management review of the operational status of IT asset management.

Mon3-(1) Control Item		JISX0164-1	
		Item number	Item
(1)	The organization's chief executive officer periodically review the IT asset management system to ensure that the organization's IT asset management system continues to be appropriate, reasonable, and effective.	9.3	Management review

＜Implementation guidelines＞

Conduct regular Management review of the IT asset management system, taking into account the reviews conducted by other management systems.

＜Supplementary explanation＞

In order to confirm the effectiveness of the IT asset management system and ensure opportunities for correction and improvement, it should be conducted Management review bi-annually.

Mon3-(2) Control Item		JISX0164-1	
		Item number	Item
(2)	Management review are conducted in consideration of the following, a.The status of actions taken as results of the previous Management review. b.Changes in external and internal issues related to the IT asset management system. c.Information about IT asset management performance, including the status of: ・Non-conformity and corrective action ・Results of monitoring and measurement ・Audit results. d.IT asset management roles. e.Opportunities for continuous improvement. f.Changes in matters relating to risks and opportunities.	9.3	Management review

＜Implementation guidelines＞

In order to ensure that the objectives planned for IT asset management are achieved, Management review that takes into account the above requirements are conducted and the results are recorded.

Mon3-(3) Control Item		JISX0164-1	
		Item number	Item
(3)	The output of Management review includes an opportunity for continuous improvement and a decision on whether the IT asset management system needs to be changed (see OM 2).	9.3	Management review

＜Implementation guidelines＞

The output of the management review includes decisions on changes to the IT asset management system and opportunities for continuous improvement.

＜Supplementary explanation＞

The results of the review should be documented so that the review can be confirmed even if continuous improvement or changes to the management system were not required.

Mon3-(4) Control Item		JISX0164-1	
		Item number	Item
(4)	The results of management reviews are documented and maintained.	9.3	Management review

１５．Imp Continuous Improvement of the ITAM

【Management Objective】

The organization shall manage any exceptions or incidents in IT assets, IT asset management, or IT asset management systems and take the necessary action.

management requirement

Imp1	The organization shall manage and remediate any exceptions or incidents that occur.

Imp1-(1)	Control Item	JISX0164-1	
		Item number	Item
(1)	When an exceptions or incidents occur in an IT asset, IT asset management or IT asset management system, the following is done. 　　a.Addresses exceptions or incidents and does the following, 　　　・Take action to manage and correct any exceptions or incidents 　　　・Addressing the consequences of exceptions or incidents. 　　b. The need to remove the causes of the exceptions or incidents are considered by the following 　　　to ensure that the exceptions or incidents does not recur or occur elsewhere, 　　　・Review of exceptions or incidents 　　　・Clarification of exceptions or causes of incidents 　　　・Identify any similar exceptions or incidents and the likelihood that they occur. 　　c.The necessary procedures are in place. 　　d.Reviewed the effectiveness of all corrective actions taken. 　　e.Changes to the IT asset management system are being made, if necessary（see Operation２）.	10.1	Nonconformity and corrective action

＜Implementation guidelines＞

Standards and management methods are defined for what constitutes exceptions or incidents in IT assets, IT asset management, and IT asset management systems.

＜Illustrative controls＞

・In order to manage exceptions or incidents, a ledger is prepared and details are managed. The details to manage includes the date of receipt, receipt number, priority, resolution, expected resolution date, resolution date, etc.
・These records are reviewed on a periodicaly.
Note: It is also effective to provide a classification of exceptions or incidents to analyze their occurrence.

Imp1-(2)	Control Item	JISX0164-1	
		Item number	Item
(2)	Corrective action is appropriate to the types of the exceptions or the impact of the incidents detected.	10.1	Nonconformity and corrective action

＜Implementation guidelines＞

Take corrective action depending on the types of the exceptions or the impact of the incidents detected. In doing so, it is advisable to take appropriate measures according to the type and the impact (level of impact). It is effective to predetermine the criteria for the level of impact.

＜Supplementary explanation＞

Consideration of the impact criteria includes the following,
・The amount of burden or loss associated with exceptions or incident response
・Frequency of exceptions or incidents
・The business impact of exceptions or incidents
・The range of the exception or incident's impact on the organization.

Imp1-(3)	Control Item		JISX0164-1	
			Item number	Item
(3)	The following items are documented and maintained. －The nature of the exceptions or incidents and the actions taken in response to them. －Corrective Action Results.		10.1	Nonconformity and corrective action

＜Implementation guidelines＞

Document the matters described in the above requirements and ensure that similar exceptions and incidents are ready for quick response when implemented.

＜Illustrative controls＞

See Improvement 1 (1), "Examples of controls".

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management requirement

Imp2	The organization proactively identifies and assesses potential failures that could impact the performance of IT assets.

Imp2-(1)	Control Item		JISX0164-1	
			Item number	Item
(1)	The organization has established a process to identify potential failures in the performance of its IT assets and consider whether to take predictive action in advance.		10.2	Preventive action

＜Implementation guidelines＞

Introduce controls for the requirements of the above control items, taking into account past failures and examples from other organizations.

＜Supplementary explanation＞

Some of the factors contributing to potential failures include the following,

・Newly installed equipment, OS, and software
・Introduction of cloud services and changes in service content
・Introduction of new technologies (e.g. containers, RPA, etc.)
・Consolidation or restructuring of the organization.

Imp2-(2)	Control Item		JISX0164-1	
			Item number	Item
(1)	If potential failures are identified, the requirements of "Improvement 1" shall be applied.		10.2	Preventive action

＜Implementation guidelines＞

If potential failures are identified, the requirements of "Improvement 1" are applied as a precautionary measure.

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management requirement

Imp3	The organization shall periodically review and improve its IT asset management system.

Imp3-(1)	Control Item		JISX0164-1	
			Item number	Item
(1)	The appropriateness, validity, and effectiveness of IT asset management and IT asset management systems are continuously improved.		10.3	Continual improvement

＜Implementation guidelines＞

Considering changes in the internal and external environment, reviewing periodically to continuously improve IT asset management and IT asset management system.

＜Illustrative controls＞

Management review is conducted.