Chad Ballay

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Week 5 Written Assignment

In my audit universe there are several stipulations that I will have:

* No previous audits have been done or those that have been done are of little value due to age and quality.
* I am able to use externally created artifacts and best practices so as to accomplish the audit quicker and cheaper.
* This is an internally motivated audit. There already is a realization that things aren’t suboptimal so the focus is on making things better rather than on strict separation of roles.
* The people issues are being reviewed by HR/Legal and those are out of focus at this point.
* A suboptimal CMDB already is existence or if there isn’t one then my team has the ability to create an enterprise ready one from some template.

**Planning**

Dalton, Walton, & Carlton Inc do not appear to have a mature IT lifecycle in place. The example document communicates a haphazard approach to acquisition, management, accounting, and end of life disposal. I’ll plan to use the NIST SP 800-53 rev 4 as the framework for alignment. (NIST, n.d.) The target date will be 6 months so as it can be reviewed and presented before the annual board meeting to guide project and budget allocations. The existing case study document will be treated as the initial survey.

**Fieldwork and Documentation**

Gathering of the data will take the bulk of the time. There are 4 regional locations with the largest being in Kansas City at the main office. Much of the research will be tracking, identifying, and data entry into the CMDB in parallel with the research as to how the asset came into the system. This will be done so as existing lifecycles can be captured to highlight gaps. (Align, n.d.)

**Issue Discovery and Validation**

Assets whose providence cannot be identified will be captured here. (Kempter, n.d.) I plan to use the CMDB to help create a reverse image of the things that we do know versus the things we do not know. This way the known unknowns will establish a population of asset classes that are currently not captured. (UCSF IT Service Management, n.d.) These categories that are underserved by the existing processes will be the target for additional scrutiny.

**Solution Development**

The identified untracked/unhandled categories of assets will be varied. The plan is to align these assets to best practices identified in other publically available NIST audit examples. This is to help ensure alignment to the standard and reduce cost/duration of the audit. Asset tags, process changes to adopt CMDB data entry, explicit asset ownership, these are some general solutions that are needed.

**Report Drafting and Issuance**

The report creation will focus on the target audience of the board of directors and future resource allocations for implementation. The generated workproduct of the initial creation and populating of the CMDB will be used at this point to highlight the value of the assets that are missing. This is pushing the boundray between implementation and audit but without the CMDB much of the research around identifying where the emptiness is in the ecosystem would have been impossible.

**Issue Tracking**

An established cycle of working through each location and performing an inventory would be the best course for establishing progress and adherence. Asset discovery during these audits should trigger a lifecycle review of how the asset was acquired and what controls were not followed or what additional controls need to be created to prevent future similar assets from not being captured.

# Works Cited

Align. (n.d.). *The Criticality of Configuration Management Database (CMDB) Accuracy*. Retrieved from Align: https://www.align.com/blog/criticality-of-configuration-management-database-accuracy

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NIST. (n.d.). *Security and Privacy Controls for Federal Information Systems and Organizations*. Retrieved from COMPUTER SECURITY RESOURCE CENTER: https://csrc.nist.gov/publications/detail/sp/800-53/rev-4/final

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