

IT Asset Management (ITAM) Assessment Criteria

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

Ver.1.0

Sep. 1st, 2020



The Association of Standardization for IT Asset Management Assessment & Clarification

Disclaimer and Usage Restrictions of "IT Asset Management (ITAM) Assessment Criteria."

Disclaimer and Restrictions on Use of the IT Asset Management Evaluation Criteria

The original version of this document is the Japanese version. This document is a translated version of that Japanese version.

Disclaimer

The Association of ITAM Assessment & Certification does not guarantee the following contents and accepts no liability, whether directly or indirectly, from a user or his organization, for the consequences arising from the use of "ITAM Assessment Criteria".

- (1) Any results of using "ITAM Assessment Criteria" does not guarantee non-infringement of copyright, moral rights of the author, neighboring rights, etc., of the software being used, nor does it guarantee adherence to the copyright related laws or licensing agreements.
- (2) Any results of using "ITAM Assessment Criteria" does not guarantee adherence to tax laws and related laws.
- (3) The name, contents, and implementations of "ITAM Assessment Criteria" do not guarantee non-infringement of third-party's copyright, trademark rights, patent rights, utility model rights, and other intellectual property rights, nor do they guarantee adherence to the Unfair Competition Prevention Act and other related laws.

Usage Restrictions

"ITAM Assessment Criteria" can be used free of charge except as stated below.

- (1) "ITAM Assessment Criteria" and any portion of its copy are distributed, issued, provided, or sent to outside of the organization.
- (2) "ITAM Assessment Criteria" and any portion of its copy are duplicated for distribution, issuance, provision, or sending to outside of the organization.
- (3) "ITAM Assessment Criteria" and all or any portion of its copy are distributed, issued, provided, or sent for a fee.
- (4) "ITAM Assessment Criteria" and all or any portion of its copy are translated into a foreign language.
- (5) "ITAM Assessment Criteria" and all or any portion of its copy are adapted or altered.
- (6) "ITAM Assessment Criteria" and all or any portion of its copy are published or distributed, issued, provided, or sent as an attachment or appendix to a publication.

IT Asset Management Standards Ver. 1.0
Supplemental Volume

- (7) "ITAM Assessment Criteria" and all or any portion of its copy are publicly transmitted or uploaded to outside of the organization.
- (8) "ITAM Assessment Criteria" and all or any portion of its copy are publicly transmitted or uploaded inside the organization.

Introduction

1. About SAMAC and the ITAM Assessment Criteria

SAMAC is a nonprofit organization established to drive the implementation of proper IT asset management practices. The operations of SAMAC are listed below.

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

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

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

ITAM Assessment Criteria Ver. 1.0 was established by the SAMAC Standards Working Group.

SAMAC Standards Working Group

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

Contents

1.	F w	ESTABLISHMENT AND MAINTENANCE OF A FRAMEWORK OF ITAM.....	10
2.	Policy	ESTABLISHMENT OF POLICIES AND RULES OF ITAM	16
3.	Plan	ESTABLISHMENT OF PLANS OF ITAM	17
4.	S y s	ESTABLISHMENT OF ORGANIZATIONAL STRUCTURE OF ITAM	19
5.	Comp	ESTABLISHMENT AND MAINTENANCE OF COMPETENCIES IN ITAM	20
6.	D o c	MANAGEMENT OF DOCUMENTS RELATED TO ITAM	24
7.	O p r	OPERATIONAL MANAGEMENT OF ITAM	29
8.	C M	CORE MANAGEMENT PROCESS OF IT ASSETS.....	31
9.	L M	LICENSE MANAGEMENT PROCESS OF IT ASSETS.....	34
10.	I S	INFORMATION SECURITY MANAGEMENT PROCESS OF IT ASSETS.....	38
11.	O t h	OTHER MANAGEMENT PROCESSES OF IT ASSETS	39
12.	O S	OUTSOURCING AND SERVICES RELATED TO IT ASSETS.....	40
13.	M R	MIXED RESPONSIBILITY FOR IT ASSETS	41
14.	M o n	MONITORING FOR MANAGEMENT SYSTEM OPERATION STATUS OF ITAM	42
15.	I m p	CONTINUOUS IMPROVEMENT OF THE ITAM	45

I. About ITAM Assessment Criteria

1. Necessity of Assessment Criteria

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

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

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

2. Concept of Maturity Model

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

➤ **Level 0: Not managed**

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

➤ **Level 1: Initial / ad hoc**

The management is not systematic and rely on the individual.

➤ **Level 2: Repeatable**

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

➤ **Level 3: Defined**

ITAM policies, regulations and management system of the organization is defined properly. There is no serious defect in the content.

➤ **Level 4: Managed**

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

➤ **Level 5: Optimizing**

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

3. The Assessment of ITAM based on the Maturity Model

(1) Scope of evaluation

The scope of this Assessment Criteria (Maturity Model) is ITAM performed by the entire organization. We have developed Maturity Models for each requirement of 15 management objectives of ITAM. The Criteria of Nine Maturity Models are described below.

IT Asset Management Standard Management Objectives

- | | | | |
|-----|-------------|------------------------------|---|
| 1. | F w | (Framework)..... | Establishment and maintenance of a framework of ITAM |
| 2. | P o l i c y | | Establishment of Policies and Rules of ITAM |
| 3. | P l a n | | Establishment of Plans of ITAM |
| 4. | S y s | (System) | Establishment of Organizational structure of ITAM |
| 5. | C o m p | (Competency) | Establishment and Maintenance of Competencies in ITAM |
| 6. | D o c | (Document) | Management of documents related to ITAM |
| 7. | O p r | (Operation)..... | Operational Management of ITAM |
| 8. | C M | (Core Management)..... | Core Management Process of IT assets |
| 9. | L M | (License Management) | License management process of IT assets |
| 10. | I S | (Information Security) | Information Security management process of IT assets |
| 11. | O t h | (Other Management) | Other Management processes of IT assets |
| 12. | O S | (Outsourcing)..... | Outsourcing and Services related to IT assets |
| 13. | M R | (Mixed Responsibility)..... | Mixed Responsibility for IT assets |
| 14. | M o n | (Monitoring) | Monitoring for Management system operation status of ITAM |
| 15. | I m p | (Improvement)..... | Continuous Improvement of the ITAM |

(2) Assessment method

Assessment is made by grasping the current situation of each management objectives and requirements according to the Assessment Criteria. When you are going to grasp the management level of ITAM, you should

perform according to the management requirements of ITAM Standard. The organization will grasp the situation of each management requirements, and compare with Assessment Criteria, and evaluate which level of Maturity will correspond to the situation.

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

This Assessment Criteria is formulated for general organization. If you want to use this Assessment Criteria within the organization for the purpose other than described above, and if it is difficult to apply the original Standard because the system is different, it is possible for the practitioner to customize and use the evaluation criteria. It may also be comprehensively evaluated on assessment results of multiple management objective and requirement.

4. About the practitioner of Assessment

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

First, with regarding to the ability of understanding ITAM, the practitioner is required to be familiar with IT Asset Management. Since this Assessment Criteria is based on ITAM Standard, the practitioner is necessary to understand both ITAM practice and ITAM Standard. For example, he/she may define the management objectives and requirements that will be applied to the administrative tasks of the organization.

As for the assessment capability, the practitioner needs to be able to assess and evaluate ITAM maturity level of the organization. The practitioner is required to have the ability and experience of the organizational maturity assessment or audit. He/she is necessary to also understand the concept of Assessment Criteria and Maturity Model.

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

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

5. Scene and purpose to use Assessment Criteria

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

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

6. Establishment and Revision History

【Software Asset Management Assessment Criteria】

Software Asset Management Consortium

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

SAMAC

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

【IT Asset Management Assessment Criteria】

SAMAC

September 1, 2020	IT Asset Management (ITAM) Assessment Criteria Ver. 1.0 issued
-------------------	--

Plan 2 The organization has developed objectives for IT asset management and plan to achieve them.

Maturity Model for Management Objectives	
Level 5 Optimized	Objectives for IT asset management and plans for achieving them are reviewed and optimized on periodically (at least annually)
Level 4 Managed	Procedures for developing IT asset management objectives and plans for achieving them are verified on periodically (at least annually) and corrected as necessary.
Level 3 Defined	Procedures for developing IT asset management objectives and plans for achieving them are approved by the organization and meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures for developing IT asset management objectives and plans to achieve them are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures for developing goals and plans to achieve them exist for IT asset management, they are not approved by the organization. They rely on the voluntary actions of personnel and management. It is unlikely to be operated on an ongoing basis.
Level 0 Not managed	No procedures are in place to establish objectives for IT asset management and a plan for achieving them.

4. Sys Establishment of Organizational structure of ITAM

【Management Objective】

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

Sys 1 **The organization has defined roles, assigned responsibilities and authorities, and communicated them in relation to the IT asset management system.**

Maturity Model for Management Objectives	
Level 5 Optimized	Roles, responsibilities, and authorities for IT asset management are reviewed and optimized on periodically (at least annually).
Level 4 Managed	Procedures for defining roles and assigning responsibilities and authority for IT asset management are verified on periodically (at least annually) and corrected as necessary.
Level 3 Defined	Procedures for defining roles and assigning responsibilities and authority for IT asset management have been approved by the organization and meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures for defining roles and assigning responsibilities and authority for IT asset management are documented, but not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures for defining roles and assigning responsibilities and authority for IT asset management exist, they are not approved by the organization. They rely on the voluntary actions of personnel and management. It is unlikely to be operated on an ongoing basis.
Level 0 Not managed	No Procedures for defining roles and assigning responsibilities and authority for IT asset management exists.

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.

Comp 1 The organization shall determine and provide the necessary resources for the IT asset management system.

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures for determining the resources required for the IT asset management system are reviewed and optimized on periodically (at least annually).
Level 4 Managed	Procedures for determining the resources required for the IT asset management system are verified on periodically (at least annually) and corrected as necessary.
Level 3 Defined	Procedures for determining the resources required for the IT asset management system are approved by the organization, resources are provided and meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures for determining the resources required for the IT asset management system are documented and resources are provided, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures for determining the resources required for the IT asset management system exist and resources are provided, but they do not approve by the organization. They rely on the voluntary actions of personnel and management. It is unlikely to be operated on an ongoing basis.
Level 0 Not managed	The resources required for the IT asset management system have not been exists.

Comp 2 The organization shall define the capabilities of personnel involved in the IT asset management system.

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures for defining the competencies of personnel involved in the IT asset management system are reviewed and optimized on periodically (at least annually).
Level 4 Managed	Procedures for defining the competencies of personnel involved in IT asset management systems are verified periodically (at least annually) and corrected as necessary.
Level 3 Defined	Procedures for defining the competency of personnel involved in the IT asset management system are approved by the organization and meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures for defining the competencies of personnel involved in the IT asset management system are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures are in place to define the competencies of personnel in the IT asset management system, but they are not approved by the organization. They rely on the voluntary actions of personnel and management. It is unlikely to be operated on an ongoing basis.
Level 0 Not managed	No procedures for defining the competence of personnel involved in the IT asset management system exists.

Comp 3 The organization's personnel understand the policies and roles of the IT asset management system.

Maturity Model for Management Objectives

Level 5 Optimized

Procedures for understanding the policies and roles of the IT asset management system are reviewed and optimized on periodically (at least annually).

Level 4 Managed

Procedures for understanding the policies and roles of the IT asset management system are verified on periodically (at least annually) to ensure that all personnel understand the policies and roles of the IT asset management system and corrected as necessary.

Level 3 Defined

Procedures for understanding the policies and roles of the IT asset management system are approved by the organization, understood by all personnel in the scope of the IT asset management system and meet the requirements of the standard. There are no material deficiencies.

Level 2 Repeatable

Procedures for understanding the policies and roles of the IT asset management system are documented, but they do not meet the requirements of the standard.

Level 1 Initial/ ad hoc

Procedures for understanding the policies and roles of the IT asset management system exist, but they are not approved by the organization. They rely on the voluntary actions of personnel and management. It is unlikely to be operated on an ongoing basis.

Level 0 Not managed

No procedures for understanding the policies and roles of the IT asset management system exists.

Comp 4 The organization shall determine the necessary internal and external communications related to the IT asset management system.

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures for determining the required internal and external communications related to the IT asset management system are reviewed and optimized on periodically (at least annually).
Level 4 Managed	Procedures for determining required internal and external communications related to IT asset management systems are verified periodically (at least annually) and corrected as necessary.
Level 3 Defined	Procedures for determining the required internal and external communications related to the IT asset management system are approved by the organization and meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures for determining internal and external communications related to the IT asset management system are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures exist for determining internal and external communications related to IT asset management but they are not approved by the organization. They rely on the voluntary actions of personnel and management. It is unlikely to be operated on an ongoing basis.
Level 0 Not managed	No Procedures for determining internal and external communications related to the IT asset management system exists.

6. Doc Management of documents related to ITAM

【Management Objective】

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

Doc 1 **The organization has identified the IT asset management system documents.**

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures to identify documents to be managed in an IT asset management system are reviewed and optimized periodically (at least annually).
Level 4 Managed	Procedures to identify documents to be managed in the IT asset management system are verified on periodically (at least annually) and corrected as necessary.
Level 3 Defined	Procedures to identify documents to be managed in an IT asset management system are approved by the organization and meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures to identify documents to be managed in the IT asset management system are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures exist to identify documents to be managed in the IT asset management system, but they are not approved by the organization. They rely on the voluntary actions of personnel and management. It is unlikely to be operated on an ongoing basis.
Level 0 Not managed	IT asset management system documentation have not been identified.

Doc 2 The organization shall document ownership and responsibilities for its IT assets.

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures for documenting ownership and responsibility for IT assets are reviewed and optimized periodically (at least annually).
Level 4 Managed	Procedures for documenting ownership and responsibility for IT assets are verified periodically (at least annually) and corrected as necessary.
Level 3 Defined	Procedures for documenting ownership and responsibility for IT assets are approved by the organization and meet the requirements of the standard. There are no significant deficiencies.
Level 2 Repeatable	Procedures for documenting ownership and responsibility for IT assets, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures for documenting ownership and responsibility for IT assets exist, but they are not organizationally approved. They rely on the voluntary actions of personnel and management. It is unlikely to be operated on an ongoing basis.
Level 0 Not managed	No document for ownership and responsibility of IT assets exists.

Doc 3 The organization shall document all approvals for IT asset management.

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures for documenting all approvals for IT asset management are reviewed and optimized periodically (at least annually).
Level 4 Managed	Procedures for documenting all approvals for IT asset management are verified periodically (at least annually) and corrected as necessary.
Level 3 Defined	Procedures for documenting all approvals for IT asset management have been approved by the organization and meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures for documenting approvals for IT asset management exist, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures for documenting all approvals for IT asset management exist, but they are not organizationally approved. They rely on the voluntary actions of personnel and management. It is unlikely to be operated on an ongoing basis.
Level 0 Not managed	No documented approvals for IT asset management exists.

Doc 4 The organization shall appropriately establish, update, and manage the information to be documented.

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures for properly formulating, updating, and managing information to be documented are reviewed and optimized periodically (at least annually).
Level 4 Managed	Procedures for properly formulating, updating, and maintaining information to be documented are verified periodically (at least annually) and corrected as necessary.
Level 3 Defined	Procedures to properly develop, update, and manage the information to be documented are approved by the organization and meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures for properly developing, updating, and maintaining the information to be documented are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures for developing, updating, and maintaining information to be documented exist, but they are not organizationally approved. They rely on the voluntary actions of personnel and management. It is unlikely to be operated on an ongoing basis.
Level 0 Not managed	No information to be documented is identified.

Doc 5 The organization shall ensure the confidentiality, availability and integrity of documented information.

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures to ensure the confidentiality, availability, and integrity of documented information are reviewed and optimized periodically (at least annually).
Level 4 Managed	Procedures to ensure the confidentiality, availability and integrity of documented information are verified periodically and corrected as necessary.
Level 3 Defined	Procedures to ensure the confidentiality, availability, and integrity of documented information have been approved by the organization and meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures to ensure the confidentiality, availability, and integrity of documented information are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures to ensure the confidentiality, availability, and integrity of documented information exist, but they are not organizationally approved. They rely on the voluntary actions of personnel and management. It is unlikely to be operated on an ongoing basis.
Level 0 Not managed	No efforts to ensure the confidentiality, availability, and integrity of documented information exists.

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.

Opr 1 **The organization shall determines, implements, and manages the necessary processes to implement the IT asset management plan.**

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures for determining, implementing, and controlling the processes required to implement the IT asset management plan are reviewed and optimized periodically (at least annually).
Level 4 Managed	Procedures for determining, implementing, and controlling the processes required to implement the IT asset management plan are verified on periodically and corrected as necessary.
Level 3 Defined	Procedures for determining, implementing, and controlling the processes required to implement the IT asset management plan are approved, meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures to determine, implement, and control the necessary processes to implement the IT asset management plan are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures to determine, implement, and control the necessary processes to implement the IT asset management plan exist, but they are not approved by the organization and rely on the voluntary actions of personnel and management. It is unlikely to be implemented on an ongoing basis.
Level 0 Not managed	No processes required to implement the IT asset management plan exists.

Opr 2 The organization shall develop and implement procedures to identify, manage, and record planned changes related to the IT asset management system.

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures for identifying, controlling, and documenting planned changes to IT asset management systems are reviewed and optimized periodically.
Level 4 Managed	Procedures for identifying, controlling, and documenting planned changes related to IT asset management systems are verified periodically and corrected as necessary.
Level 3 Defined	Procedures for identifying, controlling, and recording planned changes related to the IT asset management system are approved and meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures for identifying, controlling, and recording planned changes related to the IT asset management system are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures to identifying, control, and record planned changes related to the IT asset management system exist, but they are not approved by the organization and rely on the voluntary actions of personnel and management. It is unlikely to be implemented on an ongoing basis.
Level 0 Not managed	It is not identified planned changes related to the IT asset management system.

8. **CM** Core Management Process of IT assets

【Management Objective】

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

CM 1 The organization shall accurately record the necessary data related to IT assets throughout the life cycle.

Maturity Model for Management Objectives	
Level 5 Optimized	The procedures involved in recording the required data on IT assets (except licenses) over their lifecycle are reviewed and optimized periodically.
Level 4 Managed	Procedures for recording required data on IT assets (except licenses) over their lifecycle are verified periodically and corrected as necessary.
Level 3 Defined	Procedures for recording required data on IT assets (except licenses) over their lifecycle are documented in accordance with the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures for recording the required data on IT assets (except licenses) over their lifecycle are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures for recording the required data on IT assets (except licenses) over their lifecycle exist, but they are not approved by the organization and rely on the voluntary actions of personnel and management. It is unlikely to be implemented on an ongoing basis.
Level 0 Not managed	It is not identified the data needed to record the lifecycle of IT assets (except licenses and cloud services, etc.).

See the next page for illustrative controls of the evaluation for Core Management objectives.

< **Assessment criteria based on illustrative controls of Core Management** >

CM 1-1 Management of information on changes in IT assets (with exception licenses)

The organization has a system for recording information on changes in IDs required to use hardware, software, cloud services, etc.

Maturity Model for Illustrative Controls	
Level 5 Optimized	The types of IT assets to be managed, control items and management objectives are identified, and procedures for recording changes in information are reviewed and optimized periodically.
Level 4 Managed	The types of IT assets to be managed, control items and management objectives are identified, and procedures for recording changes in information are reviewed periodically and corrected as necessary.
Level 3 Defined	The types of IT assets to be managed, control items and management objectives are identified, and procedures for recording changes in information are documented to meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	The types of IT assets to be managed, control items and management objectives are identified, and procedures for recording changes in information are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	The types of IT assets to be managed, control items and management objectives are identified, and procedures for record changes in information are exist, but they are not approved by the organization and rely on the voluntary actions of personnel and management. It is unlikely to be implemented on an ongoing basis.
Level 0 Not managed	Necessary information is not identified, such as types of assets to be managed, control items, and management objectives.

CM 1-2 Verify the management of IT assets (with exception licenses)

Verify the state of management of IDs for the use of hardware, software, and cloud services used by the organization.

Maturity Model for Illustrative Controls	
Level 5 Optimized	Procedures for verifying and documenting management of hardware, software, cloud services, etc. are reviewed and optimized periodically.
Level 4 Managed	Procedures for verifying and documenting the status of management of hardware, software, cloud services, etc. are verified periodically and corrected as necessary.
Level 3 Defined	Procedures for verifying and documenting the status of management of hardware, software, cloud services, etc. should meet the requirements of the standard and be documented. There are no material deficiencies.
Level 2 Repeatable	Procedures for verifying and documenting the status of management of hardware, software, cloud services, etc. are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures exist for verifying the status of management of hardware, software, cloud services, etc., but they are not approved by the organization and rely on the voluntary actions of personnel and management. It is unlikely to be implemented on an ongoing basis.
Level 0 Not managed	It is not verified status of management of hardware, software, cloud services, etc.

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.

LM 1 **The organization accurately records, and annually verifies the license requirements for all IT assets within the scope.**

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures involved in recording required data on software licenses, cloud services, etc. over the lifecycle are reviewed and optimized periodically.
Level 4 Managed	Procedures for recording required data on software licenses, cloud services, etc. over the lifecycle are verified periodically and corrected as necessary.
Level 3 Defined	Procedures for recording the required data for software licenses, cloud services, etc. over the lifecycle are documented to meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures for recording required data related to software licenses, cloud services, etc. over the lifecycle are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures for recording required data related to software licenses, cloud services, etc. over the lifecycle exist, but they are not approved by the organization and rely on the voluntary actions of personnel and management. It is unlikely to be implemented on an ongoing basis.
Level 0 Not managed	It is not identified the data needed to record of software licenses, cloud services, etc.

See the next page for illustrative controls of the evaluation for License Management objectives.

< **Assessment criteria based on illustrative controls of License Management** >

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

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.

Maturity Model for Illustrative Controls	
Level 5 Optimized	Types, content, control items, and management objectives of the contracts and rights to be managed are identified, and procedures for recording changes in information are reviewed and optimized periodically.
Level 4 Managed	Types, content, control items, and management objectives of the contracts and rights to be managed are identified, and procedures for recording changes in information are verified periodically and corrected as necessary.
Level 3 Defined	Types, contents, control items, and management objectives of the contracts and rights to be managed are identified and procedures for recording changes in information are documented to meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Types, contents, control items, and management objectives of the contracts and rights to be controlled are identified, and procedures for recording changes in information are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Types, contents, control items, and management objectives of the contracts and rights to be controlled are identified, and procedures for recording changes in information exist, but they are not approved by the organization and rely on the voluntary actions of personnel and management. It is unlikely to be implemented on an ongoing basis.
Level 0 Not managed	It is not identified necessary information about license and other usage rights of IT assets used by the organization (hereinafter referred to as "usage rights, etc."), IDs, etc., such as the type and content of contracts and rights to be managed, items to be managed, and purpose of management.

LM 1-2 Verification of the storage status of software license materials and other IT assets such as usage rights

The state of storing materials of usage rights, etc. is verified.

Maturity Model for Illustrative Controls	
Level 5 Optimized	Procedures for verifying that parts and materials are specified, identified, and stored are reviewed and optimized periodically.
Level 4 Managed	Procedures for verifying that materials etc. are specified, identified, and stored are in place, verified periodically and corrected as necessary.
Level 3 Defined	Procedures for verifying that materials etc. are specified, identified, and stored to meet the requirements of the standard and are documented. There are no material deficiencies.
Level 2 Repeatable	Procedures for verifying that materials etc. are specified, identified, and stored are documented but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Verify that materials are specified, identified, and stored, but they are not approved by the organization and rely on the voluntary actions of personnel and management. It is unlikely to be implemented on an ongoing basis.
Level 0 Not managed	It is not identified contract, certificate, key ID, etc. (hereinafter referred to as "certification materials") to prove that the organization retains the appropriate rights to use the software, cloud services, etc., for use by the organization.

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

The controlled status of licenses owned by the organization is verified.

Maturity Model for Illustrative Controls	
Level 5 Optimized	Procedures for verifying the management of software, cloud services, etc. are reviewed and optimized periodically.
Level 4 Managed	Procedures for verifying the status of management of software, cloud services, etc., are performed, verified periodically and corrected as necessary.
Level 3 Defined	Procedures for verifying the state of management of software, cloud services, etc. meet the requirements of the standard and are documented. There are no material deficiencies.
Level 2 Repeatable	Procedures for verifying the state of control of software, cloud services, etc. are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures for verifying the status of controls, software, and cloud services, etc. exist, but they are not approved by the organization and rely on the voluntary actions of personnel and management. It is unlikely to be implemented on an ongoing basis.
Level 0 Not managed	No procedures are established and performed to verify the status of controls for software, cloud services, etc.

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.

IS 1 The organization shall periodically verify compliance with security requirements for IT assets covered by IT asset management.

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures for verifying compliance with the requirements for the assets of the IT asset management are reviewed and optimized periodically.
Level 4 Managed	Procedures for verifying compliance with the requirements for the asset of IT asset management are verified periodically and corrected as necessary.
Level 3 Defined	Procedures for verifying compliance with the requirements for the asset of IT asset management are documented and approved, and meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures for verifying compliance with the requirements for the assets of IT asset management are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures for verifying compliance with the requirements for the assets of IT asset management exist, but they are not approved by the organization and rely on the voluntary actions of personnel and management. It is unlikely to be implemented on an ongoing basis.
Level 0 Not managed	It is not verified that the organization complies with requirements for the assets of IT asset management.

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.

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

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures for achieving IT asset management objective for additional processes defined by the organization are reviewed and optimized periodically.
Level 4 Managed	Procedures for achieving IT asset management objectives for additional processes defined by the organization are verified periodically and corrected as necessary.
Level 3 Defined	Procedures for achieving IT asset management objectives for additional processes defined by the organization are documented and approved, meet the requirements of the standard. There are no significant deficiencies.
Level 2 Repeatable	Procedures for achieving IT asset management objectives for additional processes defined by the organization are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures for achieving IT asset management goals for additional processes defined by the organization exist, but they are not approved by the organization and rely on voluntary actions by personnel and management. It is unlikely to be implemented on an ongoing basis.
Level 0 Not managed	No procedures for achieving IT asset management objectives for additional processes defined by the organization.

12. OS Outsourcing and Services related to IT assets

【Management Objective】

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

OS 1 When the organization outsources activities that affect IT asset management, it assesses and manages risks.

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures for risk assessment of outsourcing activities affect IT asset management are reviewed and optimized periodically.
Level 4 Managed	Procedures for risk assessment of outsourcing activities affect IT asset management are verified periodically and corrected as necessary.
Level 3 Defined	Procedures for risk assessment of outsourcing activities affect IT asset management are documented and approved, meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures for risk assessment of outsourcing activities affect IT asset management are documented but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures for risk assessment of outsourcing activities affecting IT asset management exist, but they are not approved by the organization and rely on the voluntary actions of personnel and management. It is unlikely to be implemented on an ongoing basis.
Level 0 Not managed	No risk assessment of outsourcing activities affects IT asset management is conducted.

13. **MR** Mixed Responsibility for IT assets

【Management Objective】

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

MR 1 Where mixed responsibilities exist between the organization and personnel with respect to IT assets, the associated risks are assessed and managed.

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures for assessing the associated risks to the combined responsibilities of the organization and personnel for IT asset management are reviewed and optimized periodically.
Level 4 Managed	Procedures for assessing the associated risks to the combined responsibilities of the organization and personnel for IT asset management are verified periodically and corrected as necessary.
Level 3 Defined	Procedures for assessing the associated risks to the combined responsibilities of the organization and personnel for IT asset management are documented and approved, meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures for assessing the associated risks to the combined responsibilities of the organization and personnel for IT asset management are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures for assessing the associated risks to the combined responsibilities of the organization and personnel for IT asset management exist, but they are not approved by the organization and rely on the voluntary actions of personnel and management. It is unlikely to be implemented on an ongoing basis.
Level 0 Not managed	No assessment of the associated risks to the combined responsibilities of the organization and personnel for managing IT assets is conducted.

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.

Mon 1 The organization shall monitor, measure, analyze, and evaluate the operating status of IT asset management.

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures for monitoring, measuring, analyzing, and evaluating the operational status of IT asset management are reviewed and optimized periodically.
Level 4 Managed	Procedures for monitoring, measuring, analyzing, and evaluating the operational status of IT asset management are reviewed periodically and corrected as necessary.
Level 3 Defined	Procedures for monitoring, measuring, analyzing, and evaluating the operational status of IT asset management are documented and approved, meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures for monitoring, measuring, analyzing, and evaluating the operational status of IT asset management are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures for monitoring, measuring, analyzing, and evaluating the operational status of IT asset management exist, but they are not approved by the organization and rely on the voluntary actions of personnel and management. It is unlikely to be implemented on an ongoing basis.
Level 0 Not managed	No monitoring of IT asset management operations is performed.

Mon 2 The organization shall periodically conduct internal audits of the operating conditions of IT asset management.

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures for conducting periodic internal audits of IT asset management operations are reviewed and optimized periodically.
Level 4 Managed	Procedures for conducting periodic internal audits of IT asset management operations are verified periodically and corrected as necessary.
Level 3 Defined	Procedures for conducting periodic internal audits of IT asset management operations are documented and approved, meet the requirements of the standard. There are no material deficiencies.
Level 2 Repeatable	Procedures for conducting internal audits of IT asset management operations are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures for conducting internal audits of IT asset management operations exist, but they are not approved by the organization and rely on the voluntary actions of personnel and management. It is unlikely to be implemented on an ongoing basis.
Level 0 Not managed	No internal audit of IT asset management operations is conducted.

Mon 3 The organization shall conduct periodical Management review of the operational status of IT asset management.

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures for management review of IT asset management operations are reviewed and optimized periodically.
Level 4 Managed	Procedures for management review of IT asset management operations are verified periodically and corrected as necessary.
Level 3 Defined	Procedures for management review of IT asset management operations are documented and approved, meet the requirements of the standard. there are no material deficiencies.
Level 2 Repeatable	Procedures for management review of IT asset management operations are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures for management review of IT asset management operations exist, but they are not approved by the organization and rely on the voluntary actions of personnel and management. It is unlikely to be implemented on an ongoing basis.
Level 0 Not managed	No management review of IT asset management operations is performed.

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.

Imp 1 The organization shall manage and remediate any exceptions or incidents that occur.

Maturity Model for Management Objectives	
Level 5 Optimized	Procedures for managing and correcting exceptions or incidents occurring are reviewed periodically.
Level 4 Managed	Procedures for managing and correcting exceptions or incidents occurring are verified periodically and corrected as necessary.
Level 3 Defined	Procedures for managing and correcting exceptions or incidents occurring are documented and approved, and meet the requirements of the standard. There is no material deficiency.
Level 2 Repeatable	Procedures for managing and correcting exceptions or incidents occurring are documented, but they do not meet the requirements of the standard.
Level 1 Initial/ ad hoc	Procedures for managing and correcting exceptions or incidents occurring exist, but they are not approved by the organization and rely on the voluntary actions of personnel and management. They are unlikely to be implemented on an ongoing basis.
Level 0 Not managed	No management of exceptions or incidents exists.

Imp 2 The organization proactively identifies and assesses potential failures that could impact the performance of IT assets.

Maturity Model for Management Objectives	
レベル 5 最適化されている段階	Procedures for predicting and assessing potential failures affecting the performance of IT assets are reviewed and optimized periodically.
レベル 4 管理されている段階	Procedures for predicting and assessing potential failures affecting the performance of IT assets are verified periodically and corrected as necessary.
レベル 3 定義されている段階	Procedures for predicting and assessing potential failures affecting the performance of IT assets are approved, meet the requirements of the standard. There are no material deficiencies.
レベル 2 反復可能な段階	Procedures for predicting and assessing potential failures affecting the performance of IT assets are documented, but they do not meet the requirements of the standard.
レベル 1 初期/場当たりのな段階	Procedures for predicting and assessing potential failures affecting the performance of IT assets exist, but they are not approved by the organization and rely on the voluntary actions of personnel and management. It is unlikely to be implemented on an ongoing basis.
レベル 0 管理が存在しない段階	It is not identified potential failures affecting the performance of IT assets.

Imp 3 The organization shall periodically review and improve its IT asset management system.

Maturity Model for Management Objectives	
レベル 5 最適化されている段階	Procedures for improving IT asset management system are reviewed and optimized periodically.
レベル 4 管理されている段階	Procedures for improving the IT asset management system are verified periodically and corrected as necessary.
レベル 3 定義されている段階	Procedures for improving the IT asset management system are approved, meet the requirements of the standard. There are no material deficiencies.
レベル 2 反復可能な段階	Procedures for improving the IT asset management system are documented, but they do not meet the requirements of the standard.
レベル 1 初期/場当たりのな段階	Procedures for improving the IT asset management system exist, but they are not approved by the organization and rely on the voluntary actions of personnel and management. It is unlikely to be implemented on an ongoing basis.
レベル 0 管理が存在しない段階	It is not reviewed the IT asset management system.