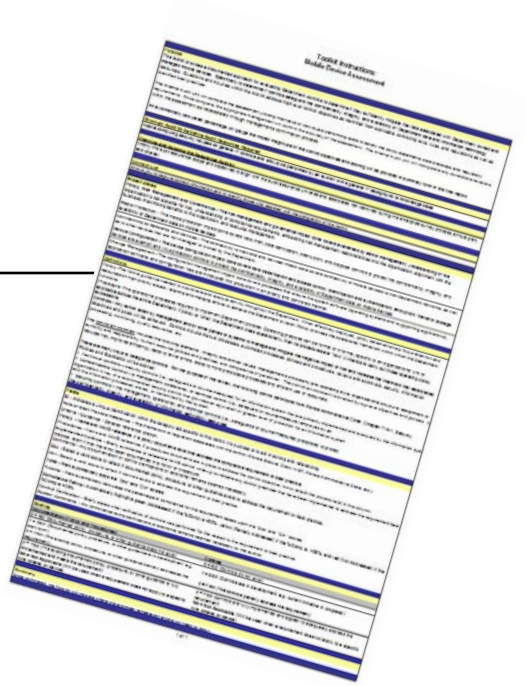
Mobile Device Assessment Toolkit

Utilization and Scalability

Scoring	
Documentation (Policy and Procedures)	**Controls**
0 = NO (Documented policy, procedure, or other guidance does not exist)	**0 = NO** (Controls do not exist)
1 = DEV (Documented policy, procedure, or other guidance is in development 'e.g. draft form')	**1 = DEV** (Controls are in development 'e.g. current initiative in progress')
2 = PAR (The existing policy, procedure, or other guidance partially addresses the requirement)	**2 = PAR** (The controls partially address the requirement)
3 = YES (The existing documented policy, procedure, or other guidance is fully implemented and meets the requirement)	**3 = YES** (Controls are fully implemented and appear to adequately address the requirement)
NA = Not Applicable (Will be used when a requirement does not apply to a specific rule, criteria, or device)	**NA = Not Applicable** (Will be used when a requirement does not apply to a specific rule, criteria, or device)

Introduction Worksheet



- The introduction worksheet defines the following:
  - Purpose
  - Minimum Audit Skills/Define Audit Resources Required
  - Planning and Scoping the Assurance Activity
  - Contact List
  - Impact Zones
  - Toolkit Definitions
  - Toolkit Fields
  - Predefined Scoring Methodology
  - Summary Report

Toolkit Purpose

- The purpose of toolkit is to provide a documented approach for evaluating agency controls to determine if they sufficiently mitigate the risks associated with state owned and managed mobile devices. Specifically, the toolkit will provide a framework of control objectives organized by impact zone (i.e. high level subjects) to determine if agency controls safeguard the confidentiality, integrity, and availability of data and information technology resources.

- The auditor will complete the assessment utilizing interviews of individuals performing tasks to satisfy the policy statements, best practices, and regulatory requirements. Once complete, the appropriate management will confirm the accuracy of the assessment. The auditor will incorporate corrections/revisions within the assessment as necessitated through managements confirmation process.

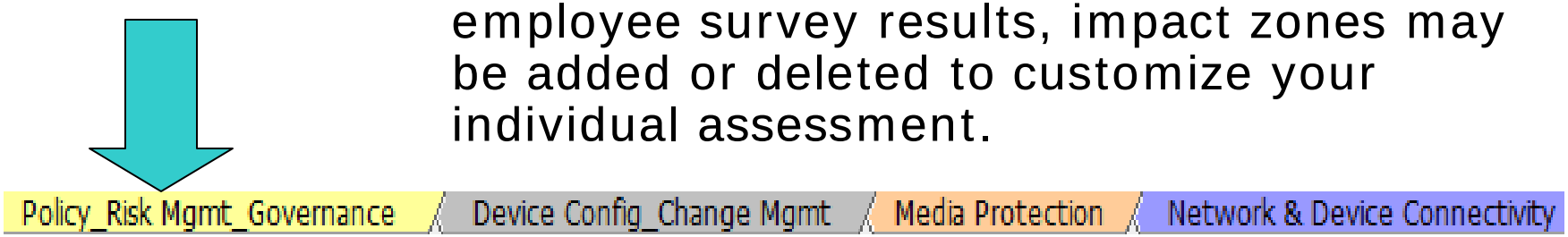
- An automatically calculated percentage will gauge the impact magnitude of the control objectives and scoring will be provided in summary form in the final report.

Toolkit Scalability

- The toolkit is a MS Excel file that allows the flexibility to scale the impact zones and control objectives to align with your individual Agency engagement scope and objectives.
- The toolkit has been tested and is compatible with both MS Excel 2003 and 2007.

Scalability - Impact Zones

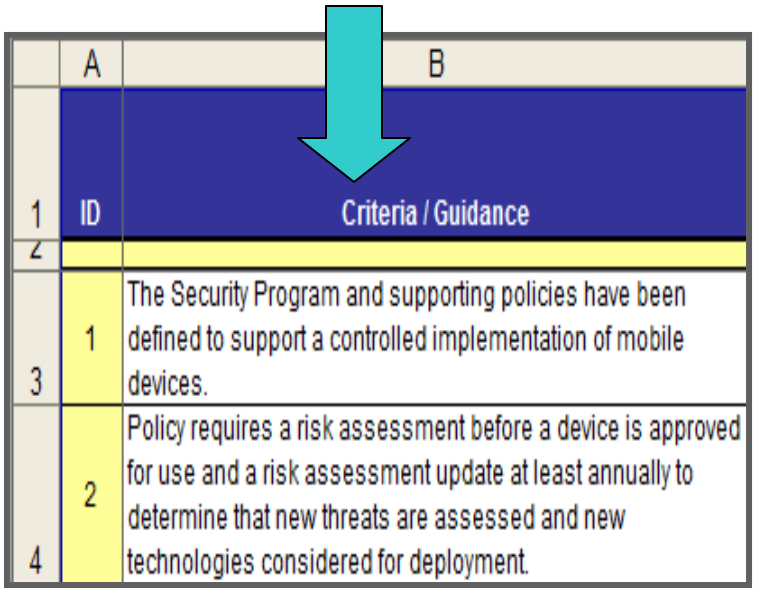
- There are four impact zones within the toolkit. They are:
  - Policy, Risk Management, and Governance;
  - Device Configuration and Change Management;
  - Media Protection; and
  - Network and Device Connectivity
    - Based upon your Agency's CIO and employee survey results, impact zones may be added or deleted to customize your individual assessment.



Please Note: *It is simpler to delete impact zones. Individual auditor MS Excel skill sets should be considered before a determination to "add" an impact zone is made.*

Scalability - Control Objectives

- The pre-defined control objectives are located in the "Criteria/Guidance" column within each impact zone.
  - Based upon your Agency's CIO and employee survey results, control objectives may be added or deleted to customize your individual assessment.

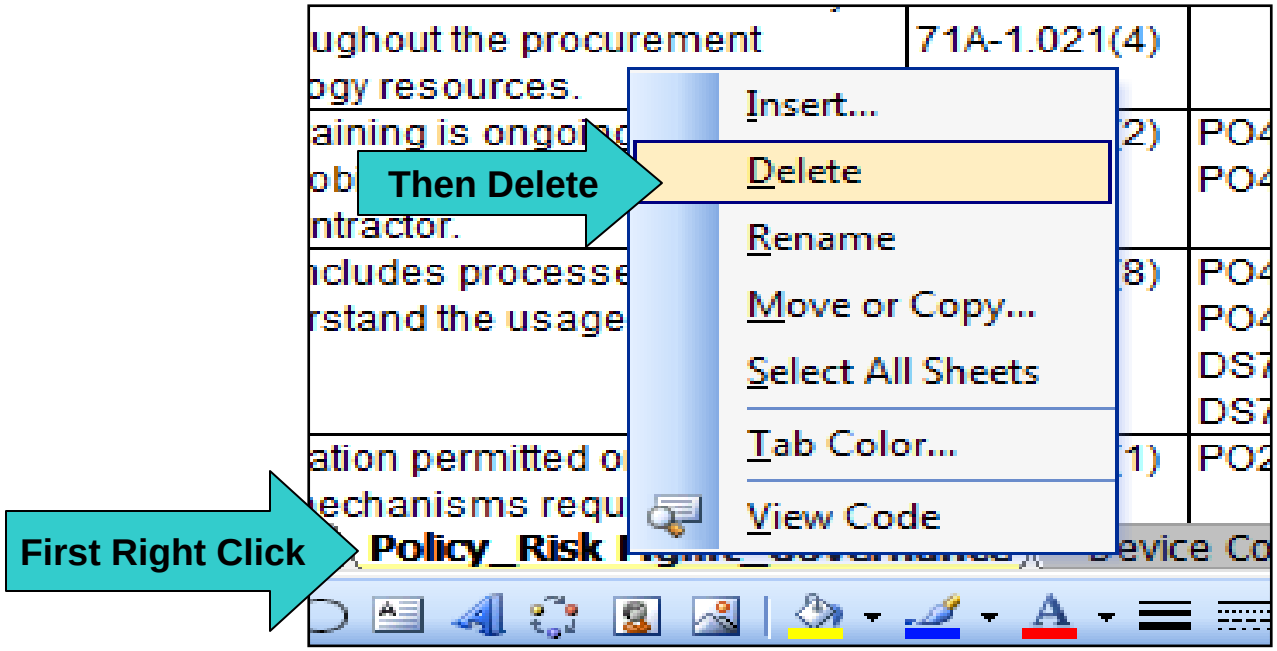


	A	B
1	ID	Criteria / Guidance
2		
3	1	The Security Program and supporting policies have been defined to support a controlled implementation of mobile devices.
4	2	Policy requires a risk assessment before a device is approved for use and a risk assessment update at least annually to determine that new threats are assessed and new technologies considered for deployment.

Note: *It is simpler to delete control objectives. Individual auditor MS Excel skill sets should be considered before a determination to "add" a control objective is made.*

Scalability - Deleting Impact Zones

- To delete an impact zone, first you must right click on the corresponding working sheet and select delete.

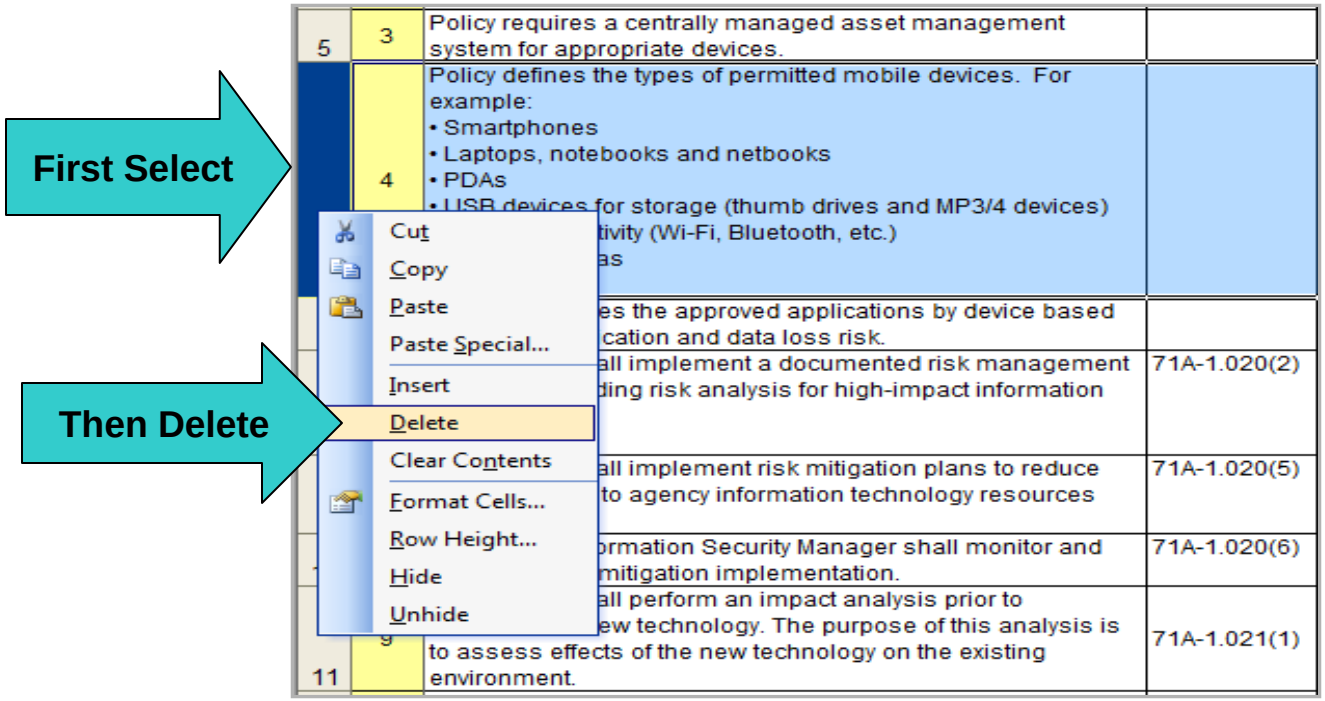


Scalability - Summary Adjustment Post Impact Zone Deletion

- Next, you will need to delete the corresponding impact zone and it's criteria/guidance from the "Summary" worksheet.
- Lastly, you will need to correct the "Total Mobile Device Compliance" computation at the bottom of the summary page.
- The points below describe the formulas found on the "Summary" worksheet:
  - **Documentation** = Sum of all documentation cells located at the bottom of each impact zone.
  - **Documentation %COMP** = Sum of all %COMP cells located at the bottom of each impact zone / total number of impact zones assessed
  - **Documentation Compliance Rating:** No update needed if an impact zone is deleted
  - **Implemented Controls** = Sum of all implemented controls cells located at the bottom of each impact zone
  - **Implemented Controls %COMP** = Sum of all %COMP cells located at the bottom of each impact zone / total number of impact zones assessed
  - **Control Compliance Rating:** No update needed if an impact zone is deleted
  - **Total Score** = Sum of all total score cells located at the bottom of each impact zone
  - **Total %COMP** = Sum of all total %COMP cells located at the bottom of each impact zone / total number of impact zones assessed
    - **Note:** If any of the Compliance Rating cells are accidentally modified, just copy and paste one of the other compliance rating cells to correct.

Scalability – Deleting Control Objectives

- Select the corresponding row then right click and select delete.



Scalability - Summary Adjustment Post Control Objective Deletion

- Next, you will need to delete the corresponding control objective from the "Summary" worksheet.
- Lastly, you will need to correct the "Total Mobile Device Compliance" computation at the bottom of the of the impact zone **and** in the "Total Mobile Device Compliance" portion of the summary page.
- The points below describe the formulas found on the "Summary" worksheet:
  - **Documentation** = Sum of all documentation cells located at the bottom of each impact zone.
  - **Documentation %COMP** = Sum of all %COMP cells located at the bottom of each impact zone / total number of impact zones assessed
  - **Documentation Compliance Rating:** No update needed if a control objective is deleted
  - **Implemented Controls** = Sum of all implemented controls cells located at the bottom of each impact zone
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  - **Total Score** = Sum of all total score cells located at the bottom of each impact zone
  - **Total %COMP** = Sum of all total %COMP cells located at the bottom of each impact zone / total number of impact zones assessed

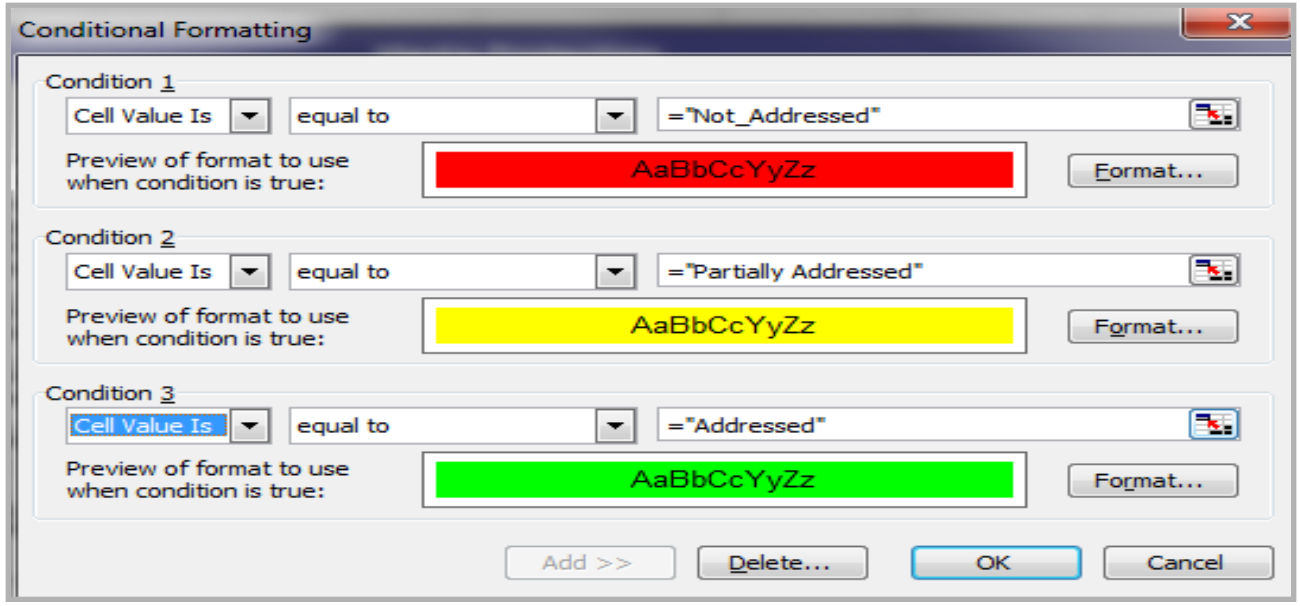
    - **Note:** If any of the Compliance Rating cells are accidentally modified, just copy and paste one of the other compliance rating cells to correct.

Scalability - Adding Impact Zones and Control Objectives

- Impact zones and control objectives may be added to the toolkit.
  - Refer to the two “Summary Worksheet” slides to ensure the records added are reflected consistently in the summary report.

Troubleshooting Post Modification: Compliance Rating Cells

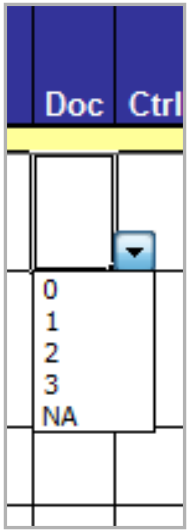
- Conditional formatting has been applied to all compliance rating cells to reflect red, yellow, or green based upon the %Comp.
  - Reference the screenshot below to troubleshoot.



Utilization – Policy and Procedure

- Complete each impact zone by referencing applicable policy and procedures for each criteria/guidance.
  - These two columns constitute the documentation (Doc) score assigned by the auditor.

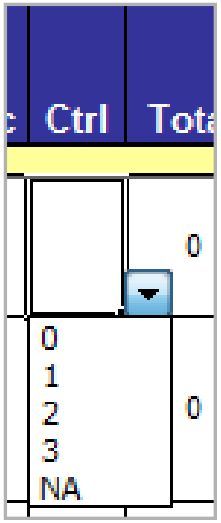
	ID	71A F.A.C. Reference	COBIT 4.1 Reference	Policy (IIAMS Ref., hyperlink, etc.)	Procedure (IIAMS Ref., hyperlink, etc.)
1					
2					
3	1	71A-1.003(1)	DS5.2		
4	2		PO4.8		
5	3		DS9.1		
			PO3.4		



Utilization – Implemented Controls

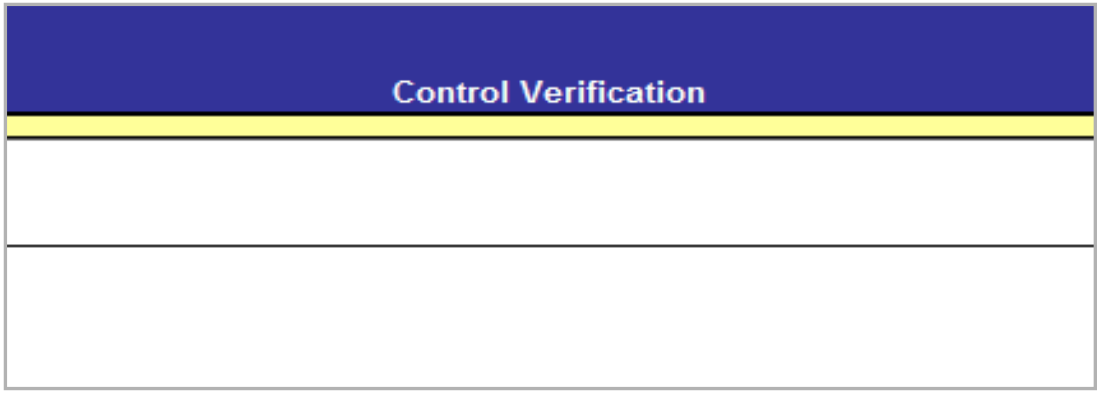
- Next, summarize or reference the implemented controls for each criteria/guidance.
  - These two columns constitute the control (Ctrl) score assigned by the auditor.

Implemented Controls (Summarize and/or IIAMS Ref. or hyperlink)



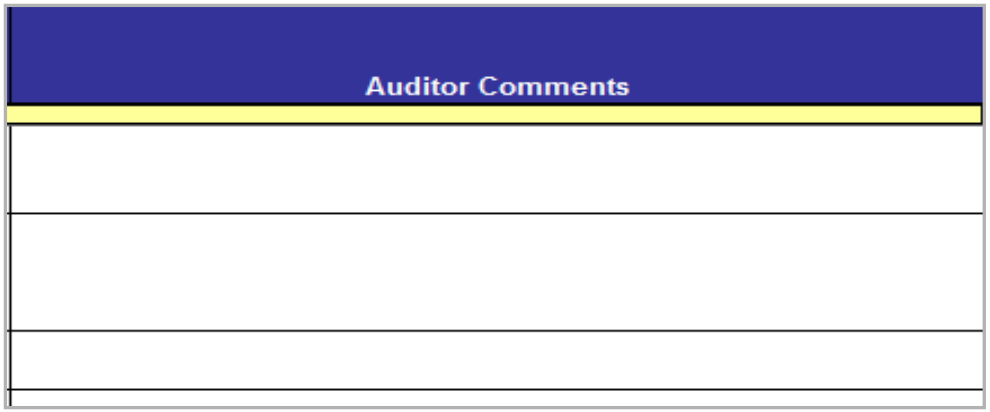
Utilization – Control Verification

- Verify the implemented controls to the extent agreed upon in your engagement scope and objectives.
  - Summarize or reference the steps taken for verification.



Utilization – Auditor Comments

- The auditor comments field is provided to further explain any compliance rating clarifications or additional remarks deemed necessary by the auditor.



Assessment Completion

- Once all the impact zone fields have been completed and scored the summary report will indicate the areas the strongest remediation efforts will need to occur.