



***New Trends Managing
Policies and Procedures...***

Presented by: Alex Zappani

Objective

- Obtain information on New Trends Developing and Managing Policies and Procedures as well as New Tools to Accomplish it.
 - Objective:
 - What is a policy?
 - Describe objectives of Corporate Policies
 - Minimum requirements to Develop Policies
 - New Trends and Tools
 - Awareness Methods
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Index

- The Problems...
 - Security Policy Definition
 - Security Policy Components
 - What I Need to Consider to Develop and Implement Policies
 - Creation - Ideas
 - Implementation & Awareness - Ideas
 - Check-List: How to start?
 - Shopping List for Policies
 - New Trends and Tools: DynamicPolicy™
 - How to Measure the ROI?
 - DynamicPolicy: Product Demo
-

The Problems

- Communication problems between the employees and management expectations.
 - The lack of understanding and compliance of the corporate policies and procedures by the employees.
 - The amount of resources needed to develop and maintain updated the complete set of corporate policies and procedures.
 - The amount of policies, standards and procedures that employees need to comply with increase each day as new Government and Corporate regulations are created.
 - Limited tools to effectively manage corporate policies and to track employee acceptance.
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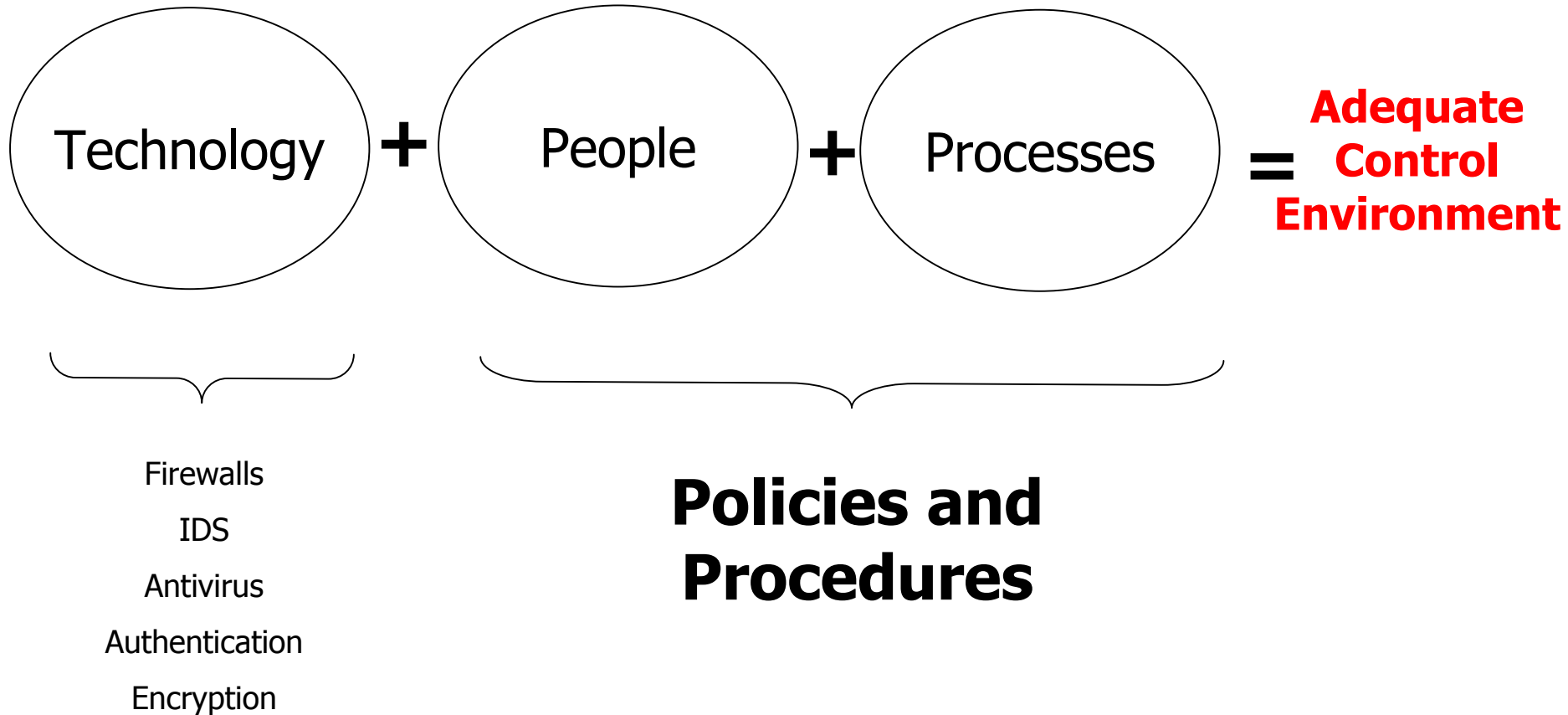
The Problems

Surveys show people are not aware of current policies:

- **only 9% of employees indicated that they understood what policies were intended to accomplish.**
- **66% of responding companies do not keep policies up to date on a regular basis.**

Source:Information Week Global security survey: 2001

The Problems



Think About...

“Tools are Just Tools”

**“There are management solutions to technical problems,
but there are no technical solutions to management
problems”**

Source: Peter Stephenson is the director of technology services for QinetiQ Trusted Information Management, Inc.

What is a Policy?

- Policies are a set of rules and practices that regulate how an Organization manages, protects and distributes information resources
 - Policies are the documents where management defines business expectation for employees
 - Policies define roles and responsibilities within the Organization
 - Policies define a "framework" for the Organization
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Differences with Procedures and Standards

- Policies: High-level management statements that provide broad direction and show long term goals. General Audience.
 - Procedures: Are specific tasks (step-by-step) that execute to reach a desired result.
 - Standards: Are processes or rules that support the policies. They can be for general or specific audiences. In general, they have a limited duration.
 - Guidelines: Non-binding suggestions for compliance with Standards.
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Anatomy of a Policy

- Objective: Describes why you have that policy in the Company
 - Scope: Defines the components, environments and people that will affect in the company
 - Body / Statements: Describes the management's expectations that employees must follow. Monitor for compliance.
 - Reponsibles: The individual responsible to implement the Policy
 - Other aspects to include are date (revised date, revision history), who to contact with questions or comments, disciplinary actions or consequences, exceptions, etc.
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Why Implement Policies?

- Without Policies, there is no “framework” to found a solid security environment
 - Define employee behavior: What to do, who and how to do it, when to do it
 - Define standards, procedures and tools that will be necessary for the Organization
 - Create the Security Vision for the Organization
 - Potential savings and helps to prevent frauds and liabilities
 - Image
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Decision Criteria to Develop Policies

- Risk Assessment
 - Legal / Regulatory Compliance
 - Contractual requirements
 - Industry Standards
 - Funding and Support from Management
 - Culture of the Organization
 - Centralized vs. Decentralized Management and Locations
 - Results of Audit Reports
 - Cost of Reputation
 - Financial Loss
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Policy Creation Cycle

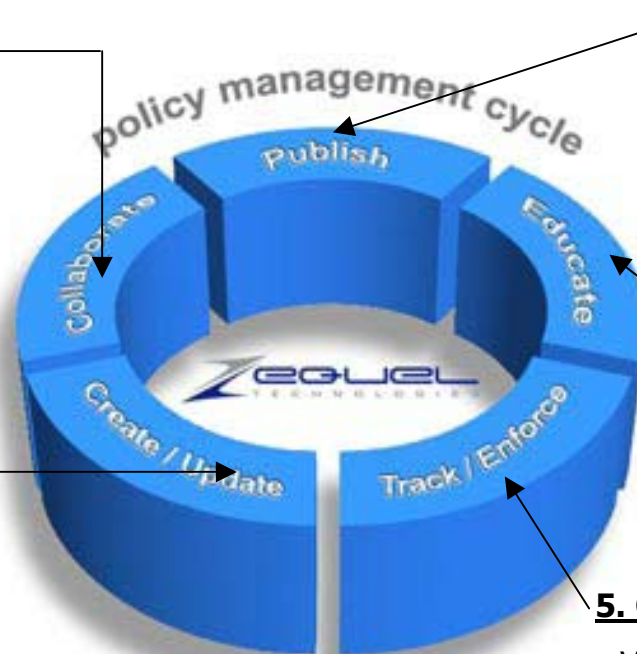
Creation

2. Collaboration:

- Create workgroups
- Send new policies for comments
- Obtain approval of final versions

1. Creation:

- Create Tables of Content
- Obtain material, sample content
- Start with sample content
- Create the policies and procedures



3. Publication:

- Distribute new policies
- Decide method of distribution

4. Education:

- Create awareness
- Measure understanding
- Reinforce awareness

5. Compliance:

- Verify compliance
- Measure understanding
- Identify weak areas or new policies to be develop

Implementation & Awareness

Creation - Ideas

Usually there are 3 methods to Create policies and procedures:

- Do it yourself Method (in house)
- Hire a consultant (outsource)
- Obtain a tool or template

Also, you should consider:

- Review, Collaborate and Approve
 - Maintain and Update
-

Information Security Standards

→ ISO 17799 (International Standard Organization)

Professional Auditing and Security standards groups:

→ COBIT by Information Systems Audit and Control Association (ISACA).

→ American Institute of CPA (AICPA)

→ Institute of Internal Auditors (IIA)

→ International Information Systems Security Certification Consortium (ISC2)

→ CASPER (Commonly Accepted Security Practices and Regulations)

ISO 17799 - Chapters

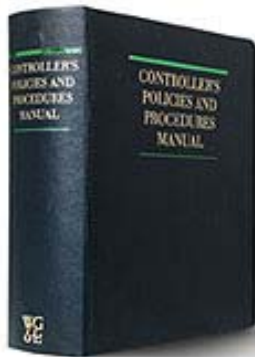
- Information Security Policy
 - Information Security Responsibilities
 - Data Classification
 - Personnel Security
 - Physical Security
 - Operations and Telecommunications Security
 - Access Control Security
 - Development and Maintenance of Applications
 - Backups and Disaster Recovery
 - Compliance
-

Implementation & Awareness - Ideas

- In person, by written or by Intranet.
- Department Meetings.
- Publish news in your Intranet.
- Company newsletter.
- Create e-mail box / hot-line for comments and suggestions.
- Send e-mail with awareness messages.
- Post posters in strategic locations within your office building.
- Give prizes to your employees (pens, mouse pads, cups, etc.).
- On-line Quizzes.
- Create "event" days.
- DynamicPolicy.

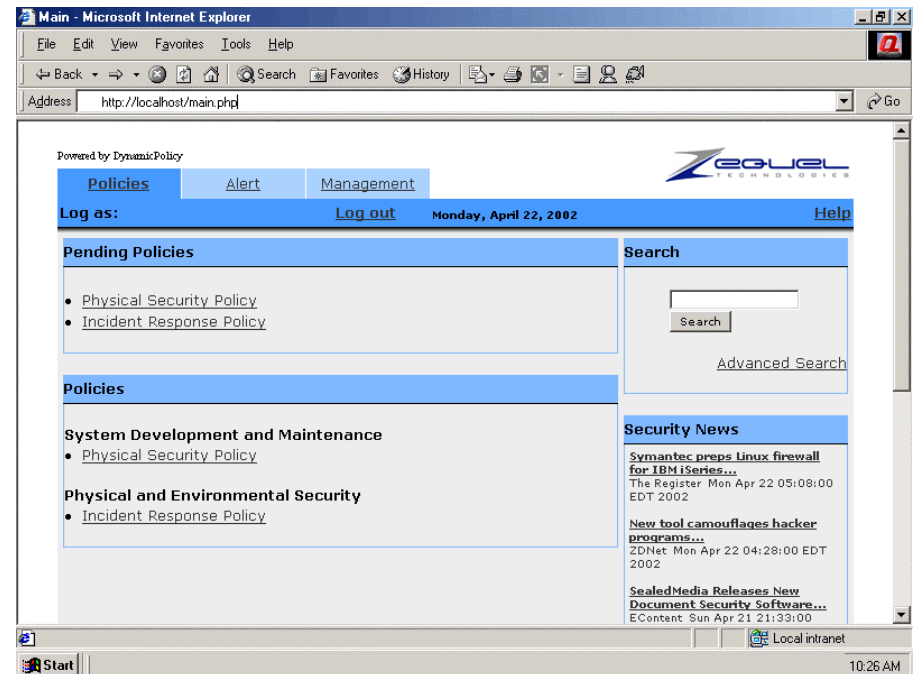
New Trends and Tools: DynamicPolicy™

DynamicPolicy™ is a Web-based application that enables companies to automate the complete cycle of creation, collaboration, publication, education and enforcement of the internal corporate policies and procedures.



Vs.

Traditional method to deliver policies and procedures



New method to deliver policies and procedures. Through DynamicPolicy™

New Trends and Tools: DynamicPolicy™

Screen Shots

The image displays three screenshots of the DynamicPolicy web application interface, showing the login process and the main policy management dashboard.

Top Left Screenshot: Login Page
The browser window is titled "Login - Microsoft Internet Explorer". The address bar shows "www.zequel.com/demo/login". The page header includes "Powered by DynamicPolicy" and the Zequel Technologies logo. Navigation tabs for "Policies", "Alert", and "Management" are visible. The user is logged in as "azappani". A "Log out" link and the date "Saturday, April 6, 2002" are present. The main content area contains a "Login" form with fields for "User Name:" and "Password:", and a "Login" button. The footer reads "Dynamic Policy - Zequel Technologies, Inc. - www.zequel.com - Copyright 2002".

Top Right Screenshot: Remote Access Policy Page
The browser window is titled "Remote Access Policy - Microsoft Internet Explorer". The address bar shows "www.zequel.com/demo/policy". The page header is identical to the login page. The main content area displays the "Remote Access Policy" details. It includes a table with the following information:

International Bank XYZ	Information Security Policies, Procedures and Standards
Personnel Security and Management	
Remote Access Policy	Reference: Effective Date: 2002-03-15 Edition: 0001

Below the table, the "Objective" is stated as "Ensure information security when using mobile computing and telecommuting equipment." The "Scope" is defined as "This policy applies to all network, computer, and data communication systems owned by and/or administered by the company. Every company user that remotely accesses company's information systems, whether directly or indirectly, is responsible to use the information systems properly and comply with all provisions of this policy." The "Policy" section is titled "Remote Communication" and states "Appropriate protection should be given to the direct exchanges between mobile computing devices and".

Bottom Screenshot: Main Dashboard
The browser window is titled "Main - Microsoft Internet Explorer". The address bar shows "www.zequel.com/demo/main". The page header is identical to the previous screenshots. The main content area displays a "Pending Policies" list:

- Network Management Policy
- Remote Access Policy
- Back up Administration Policy
- Data ownership Policy
- Software Acquisition and Installation Policy
- Personal Web Usage

Below this, there are sections for "Policies", "Personnel Security and Management", "Physical and Environmental Security", and "Communications and Operations Management", each with a list of related policies. The footer reads "Dynamic Policy - Zequel Technologies, Inc. - www.zequel.com - Copyright 2002".

New Trends and Tools: DynamicPolicy™

- Personalized Views.
- Permissions by user.
- Workflow Tool to creation, revision, approval, publication and enforcement.
- Acceptance and quiz module.
- 2-way communication channel between management and employees.
- Notifications via e-mail.
- Search Engine.
- Links between policies and procedures. Allow Document Attachments.
- Fast, integrated and reliable installation.
- Compliance reports by policy, groups, users, etc.
- Content on Information Security, ISO 17799, GLB, HIPAA, etc.

Check List – How to start?

- Define Responsible Policy development and maintenance
- Create work teams that will collaborate in the process
- List all policies to be developed
- Assign policies to business owners / responsible
- Develop policies
 - Buy content, outsource the development, internal resources
- Start collaboration process with work teams and management. Review.
- Obtain Management approval
- Publish policies among employees
- Educate employees in the new policies
- Measure understanding and compliance by employees
- Maintain and Update periodically policies
- Reinforce awareness among employees

Information Protection Shopping List

- Information Security
- Information Classification
- Information Owners
- Roles and Responsibilities
- Need to know
- Personnel changes and terminations
- Personal Use
- User Awareness
- Physical Security
- Intrusion Detection
- Incident Response
- Malicious Code
- Internet Usage
- E-Mail
- Use of Laptop and PDA
- Remote Access
- Password Management
- Unauthorized Access
- Cryptography
- Network Management
- Digital Signature
- Modem Usage
- Firewalls and VPN
- Operating Systems and Databases
- Cell phone and faxes
- Phone and telecommunications
- Computer Usage
- Spamming
- Telecommuting
- Development and Maintenance of applications
- Change Control
- Software implementation
- Configuration Management
- Backups Policy
- Business Continuity Planning
- Risk Management
- Copyright Compliance
- Compliance
- Internal and External Audits

How to measure ROI?

→ Average hourly salary per employee	\$	21
→ Annual work hours (40 hours/week x 52 weeks)		2,080
→ Average hours lost per employee per year		10
→ Annual cost per employee	\$	210
→ Average Company (500 employees). Cost	\$	105,000

Wait, there are more...

Intangible Losses

- Potential legal liabilities
 - Risks of Fraud or Theft
 - Loss of confidential information
 - Loss of Corporate Image
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Thank you!



DynamicPolicy Overview and Demo

The Solution: DynamicPolicy™

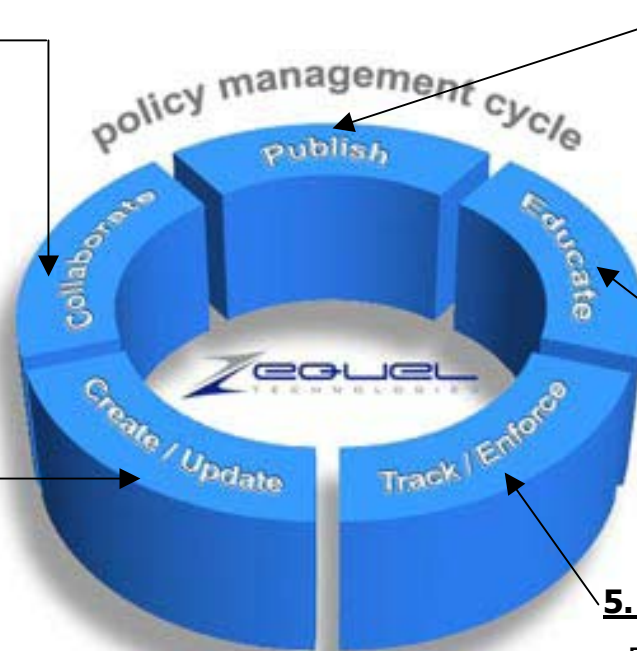
DynamicPolicy™ is a Web-based application that enables companies to automate the complete cycle of creation, collaboration, publication, education and enforcement of the internal corporate policies and procedures.

2. Collaboration:

- Option to edit and review policies
- Add comments and make revisions
- Create workgroups

1. Creation:

- Create Tables of Content
- Help with Wizards and Templates
- Start with sample content



3. Publication:

- Publish new policies
- Assign new policies to be understood
- Option to publish news

4. Education:

- Acceptance Module
- Create "on-line" quizzes
- Send alerts to increase awareness

5. Compliance:

- Reports to view compliance
- Overall compliance report
- Notify regarding new policies

Thank you!



Questions and Answers

Thank you!



Thanks!!!

Thank you!

To obtain more information, please visit www.zequel.com or contact us directly.

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