

Evidential weight and legal admissibility of electronic information

**Compliance Workbook for
use with BS 10008**

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Fourth edition 2008

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Background

This publication was originally prepared under the authority of, and through the sponsorship of, the British Standards Institution Document Management Applications Committee IDT/1/3, as a compliance workbook in three parts to be used in conjunction with BIP 0008:2004, Parts 1–3.

This fourth edition has been revised as a compliance workbook for use with BS 10008:2008, *Evidential weight and legal admissibility of electronic information — Specification*. It replaces the first edition (DISC PD 0009:1996), the second edition (PD 0009:1999) and the third edition (BIP 0009-1:2004, BIP 0009-2:2006 and BIP 0009-3:2006), which are withdrawn.

Users of this workbook should note that, when completed, this workbook should be stored for as long as the information to which it relates, is stored.

Control Sheet

Organization:

System name:

Date workbook completed:

Workbook serial number:

I hereby certify that all necessary controls have been complied with:

Signed:

Print name:

Job title:

Date signed:

The additional controls in Annex A have been complied with as follows:

5.1.2	Importing	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
5.1.3	Document scanning	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
5.1.4	Data extraction	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
5.3	Compound documents	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
5.5.3	Migration	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
5.6.1	General (Information transfer)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
5.6.2	Transmission	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
5.7	Indexing and other metadata	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
5.8	Output	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
5.9	Identity	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
5.11	Security and protection	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
5.13	External service provision	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

General

Scope

This publication is intended to assist in the evaluation of an information management system for compliance with BS 10008:2008. It is designed to enable a historical audit trail of compliance to be achieved and, as such, when completed the workbook should be stored on the information management system under the same conditions as other information stored on the system.

Guidance to the implementation of BS 10008:2008 is given in BIP 0008:2008, parts 1 to 3. Whilst access to BIP 0008 is not required during completion of this workbook, familiarity with it is assumed. Reference should be made to BIP 0008 where the applicability and/or meaning of a question needs amplification.

Introduction

When completed, this workbook is the organization's statement of the extent to which its information management system conforms to BS 10008.

BS 10008 contains more than 350 controls. Some of these are requirements, and will normally be complied with by all organizations following BS 10008. Some of these controls may not be relevant to an organization.

When users wish to claim adherence to BS 10008, questions identified in this workbook by text in bold boxes are considered requirements in so far as they apply to the specific application concerned. All questions in Annex A refer to recommendations that should be followed where practical. The questions in Annex A are all based on the content of BIP 0008, Parts 1–3 and the corresponding subclause numbers in BS 10008 are given for reference.

Copies of this workbook are printed with a serial number. This ensures that the integrity of the compliance audit trail is maintained. Prior to the completion of the Control Sheet, each page of the workbook should be checked for consistency of serial number.

In Sections 4–7 of this workbook, requirements are identified by enclosure in a box as shown here.

In Annex A of this workbook, recommendations are identified by enclosure in a box as shown here.

In some sections, sub-lists are used. Where a question is identified as a requirement and a specific item in the sub-list is identified as a recommendation, a recommendation box is shown within the requirement box.

How to complete the workbook

Each of the following sections contains a number of questions, the answers to which show whether or not the organization is complying with the requirements of BS 10008.

Some sections need not be answered if they are not relevant to the information management system being assessed. In these cases, a question at the start of a section is asked to determine whether there is a need to answer the detailed questions within the rest of the section. Conditional questions are indented.

Some questions will not be relevant to specific applications. This should be indicated by the presence of a tick in the Not Applicable (N/A) box next to the relevant question, and the basis of the 'not relevant' decision should be documented and referenced in the workbook.

Sometimes it may be necessary to refer to BS 10008 itself, and also to BIP 0008 for additional explanations. In order to assist this, section numbering (1 to 4) in this workbook corresponds to that in BS 10008.

NOTE: Clause numbering in this workbook corresponds to the relevant controls given in BS 10008, and as a result some clause numbering is omitted where a control in BS 10008 is not referenced.

The policy used for the compilation of these questions is that all relevant questions will have an affirmative response for the organization to comply with BS 10008. Where a question on a control is not relevant, a previous question will have been completed that clearly removes the need to answer.

The designated area at the bottom of this page and on every page hereafter should be signed and dated by the individual completing that page. When all the detail pages are completed, the Control Sheet should be completed and it is recommended that the completed workbook should be stored on the information management system under the same conditions as other information stored on the system.

Where a reference is required, this should include a document title and a location within that document. Where a reference to the policy document, procedures manual or system description manual is required, the relevant page number or paragraph reference should be given.

Sections need not be completed in the sequence found or by the same person. However, each page should be signed and dated, to show that the questions on that page have been answered correctly.

Have all pages of this workbook been completed and are all pages showing the same workbook serial number?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Have all pages of this workbook been signed and dated?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Have references to other documentation (including reasons if not applicable, denoted by N/A) been completed for every question requiring a reference?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

Is the completed workbook stored on the information management system?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

Conformance statement audit trail

For an organization using this workbook to establish a system in conformance with BS 10008 for the first time, it will be essential to show an unbroken audit trail of conformance for the system in future years.

Is this the first year of conformance with BS 10008? Reference _____	Yes <input type="checkbox"/> No <input type="checkbox"/>
---	--

If no, complete the following information:

Serial number of previous workbook	
Date previous workbook completed	
Previous Control Sheet signed by	
Start date of continuous compliance	

Code of practice compliance

Organizations may have used the previous editions of this workbook to establish a system in conformance with BIP 0008. Where this is the case, it is advisable to show an unbroken audit trail of compliance with the code of practice prior to achieving compliance with BS 10008.

Has conformance with BIP 0008 been previously claimed? Reference _____	Yes <input type="checkbox"/> No <input type="checkbox"/>
---	--

If yes, complete the following information:

Serial number of previous workbook	
Date previous workbook completed	
Previous Control Sheet signed by	
Start date of continuous BIP 0008 conformance	

Other related information management systems

The system covered by this workbook may be related to other information management systems in use in the same organization covered by separate conformance statements to BS 10008.

Are there other related information management systems in the organization conforming to BS 10008? Yes No

Reference _____

If yes, complete the following information:

Reference to these systems and their conformance statement

Reference _____

Nonconformity

If the system does not fully conform to BS 10008, the organization should record information associated with the nonconformity (it may be, for instance, that some information 'types' conform yet others are not required to).

Are there nonconformity explanations/reasons for this information management system in the organization? Yes No

Reference _____

If yes, complete the following information:

Has a document been produced which details all such nonconformity statements? Yes No

Reference _____

References

Reference is made in this workbook to the following publications:

BSI standards publications

BIP 0008-1:2008, *Evidential weight and legal admissibility of information stored electronically – Code of practice for the implementation of BS 10008*

BIP 0008-2:2008, *Evidential weight and legal admissibility of information transferred electronically – Code of practice for the implementation of BS 10008*

BIP 0008-3:2008, *Evidential weight and legal admissibility of linking electronic identity to documents – Code of practice for the implementation of BS 10008*

BS 10008:2008, *Evidential weight and legal admissibility of electronic information — Specification*

BS ISO/IEC 27001, *Information technology — Security techniques — Information security management systems — Requirements*

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4

Planning the information management system

4.1 Information management policy

4.1.1 General

Is there clear policy direction for the management of electronic information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is there support for, and commitment to, the management of electronic information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Has an information management policy been issued?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is the information management policy maintained?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does the policy include policy for the:			
storage of information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
transfer of information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is the policy linked to, or combined with, the information security policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is the policy published?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is the policy communicated to all appropriate workers?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does the policy have a custodian?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is the custodian responsible for the policy's maintenance and review?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

4.1.2 Electronic storage policy statement

This section to be completed where information is stored electronically

Does the storage policy state commitment to the use of electronic systems for the storage of information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does the storage policy state the approach for the use of electronic systems for the storage of information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does the policy statement include:			
the scope of the policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
any applicable security classifications?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the implementation of Standards and industry-related publications?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
any necessary consultations?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the definition and allocation of roles and responsibilities?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the use of the appropriate storage technology?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the use of the appropriate file formats?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the management of the linking of electronic identity to documents?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the retention and disposal of information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the auditing of the system?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

4.1.3 Electronic transfer policy statement

This section to be completed where information is transferred electronically

Does the transfer policy state commitment to the use of electronic systems for the transfer of information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does the transfer policy document state the approach for the use of electronic systems for the transfer of information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does the policy statement include:			
the scope of the policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the definition and allocation of roles and responsibilities?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the transfer of specific types of information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the use of data compression?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the use of systems for the transfer of information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the receiving of information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the management of the linking of electronic identity to information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the use of encryption?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the auditing of the system?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

4.1.4 Review and evaluation

Is the policy reviewed at regular intervals?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is the policy reviewed when any significant changes occur?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

4.1.5 Legal and regulatory environment

Are consultations undertaken to identify any nonconformity with relevant legal and/or regulatory requirements?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are the outcomes of these consultations logged?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are the actions taken to resolve any nonconformity logged?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

4.2 Information security policy

4.2.1 General

Does the system operate within the information security policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does the security policy include:			
the storage of information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the transfer of information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

4.2.2 Storage security policy statement

This section to be completed where information is stored electronically

Does the information security policy include:			
the scope of the policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the security objectives?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the security requirements for different classification categories?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the definition and allocation of roles and responsibilities?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the segregation of roles?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
access rights and the sharing of information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
procedures for dealing with security breaches?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the need for conformity with any information security standards adopted, such as BS ISO/IEC 27001?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the review and updating of the policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

4.2.3 Transfer security policy statement

This section to be completed where information is transferred electronically

Does the information security policy include:			
the scope of the policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the security objectives?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the security requirements for different classification categories?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the definition and allocation of roles and responsibilities?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the segregation of roles?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
procedures for dealing with security breaches?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the management and application of electronic identity linked to information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the need for conformity with any information security standards adopted, such as BS ISO/IEC 27001?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the review and updating of the policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

4.2.4 Risk assessment

Is the security policy based on an information security risk assessment?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does the risk assessment cover all identified risks?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

4.3 Roles and responsibilities of workers

Are the roles and responsibilities of workers:			
defined?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Has senior management:			
appointed an accountable person?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
appointed person(s) who implement and maintain the information management system?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is the individual or team with responsibility for managing the system:			
following a systematic and organized approach to monitoring known conformity issues and recommending appropriate action?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
business focused and aware of the current state of the business and its priorities?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
able to communicate at all levels?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
aware of the risks involved, should the authenticity, integrity and/or availability of the information be compromised?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

4.4 Reporting and communications

Has a communication plan been established?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does the communication plan identify:			
mechanisms for disseminating decisions?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
mechanisms for collecting feedback?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
mechanisms for the regular updating of risk information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
procedures for dealing with challenges to the information being used as evidence?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
key individuals responsible for managing such communications?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

4.5 Documentation and records

4.5.1 General

Is there documentation covering the following:		
the information management and information security policies?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
risk assessment?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
roles and responsibilities?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
reporting and communications?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
the system procedures?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
the key technology components?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
audit trails?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
internal audit reporting?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
management review?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
maintenance and monitoring?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
preventive and corrective actions?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
continual improvement?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
Reference _____		
Are records that provide evidence of the effective operation of the information management system:		
established?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
maintained?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
controlled?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
Reference _____		
Are there procedures that identify documentation controls?		
Reference _____		
Are responsibilities for overseeing the management of documentation:		
clearly assigned?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
agreed?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
Reference _____		

4.5.2 Procedures manual

Is there a procedures manual?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
Reference _____		
Where a quality management system is in operation, does the manual conform to the requirements of that system?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
Is the manual:		
owned?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
reviewed on a regular basis?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
updated to describe implemented processes?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
Reference _____		

Are superseded versions of the manual retained in accordance with the organization's retention policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

4.5.3 System description

Is there a description of the key technology components?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where a quality management system is in operation, does this description conform to the requirements of that system?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is this documentation:			
owned?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
reviewed on a regular basis?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
reviewed after a significant change to the technology?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
updated to describe the implemented technology?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are superseded versions of the system description documentation retained in accordance with the organization's retention policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

4.5.4 Audit trails

4.5.4.1 General

Are there audit trails that contain information which enables:			
the sequence of activities to be determined?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the details of activities to be determined?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do audit trails show activities related to:			
the information management system?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the stored information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the transferred information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are audit trails included in the retention schedule?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

Is audit trail information retained for at least as long as the information to which it relates?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

4.5.4.2 Date and time

Where the date and/or time of an event is relevant, is appropriate timing data stored?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is the accuracy of the timing data demonstrable?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is the relationship of the timing data with any external time systems demonstrable?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

4.5.4.3 Access

Is access to audit trail information controlled?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is access on a read-only basis?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is there a procedure for reviewing the information contained in audit trails?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are accesses to the audit trail recorded as an entry in the audit trail?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

4.5.5 Workflow

Where workflow capabilities are used, do audit trails give details of the following:			
any additions or changes to the workflow process?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the progress of any work item through the workflow?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5

Implementing and operating the information management system

5.1 Information capture

5.1.1 General

Are there procedures for the capture of information created:		Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
outside the system?		Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
within the system?		Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	Reference _____			
Where digital objects contain data that might change periodically, is the frequency and timing of capture specified?		Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	Reference _____			
Are capture procedures such as to ensure that necessary information is in fact captured?		Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	Reference _____			

5.1.2 Importing

Are there information importing procedures?		Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	Reference _____			
Do these procedures ensure that:				
digital objects are captured without change, or in association with a file format change?		Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
there is a log of imported digital objects?		Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
all associated metadata are imported?		Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	Reference _____			

5.1.3 Document scanning

Are there procedures for the scanning of documents?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do these procedures ensure that any potential information loss due to the scanning processes is within acceptable limits?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures to check for missing images?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures to check for images that do not meet specified quality standards?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there rescanning procedures?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where rescanning is not possible, or would result in a new image of equal or poorer quality, is the original image identified as best achievable quality?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is the relevant quality issue indicated on the image?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where batching techniques are used in scanning, are numbers allocated to each batch?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is associated scanning information:			
created?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
retained?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where documents in paper form are photocopied and the photocopies scanned, are the images identified as being from photocopies?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.1.4 Data extraction

Where data are extracted from image files, are the original images:			
retained?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
linked with the captured data?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.1.5 Metadata capture

Are there procedures for the capture of all appropriate metadata?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are these procedures either part of, or linked to, the information capture procedure?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.2 Self-modifying files

Is executable code or other similar mechanisms avoided wherever possible?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.3 Compound documents

Is the content and linkage of all elements of the compound document stored in line with the retention policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.4 Version control

Are there version control procedures?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do these procedures ensure that the latest version of the stored information is accessed, unless a previous version is specifically requested?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.5 Information storage

5.5.1 General

Are there procedures which demonstrate that: stored information has not been changed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
or only authorized changes have been made to stored information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is information not required for litigation or other reasons retained for no longer than its retention period?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do compression methods not affect the authenticity and integrity of the stored information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.5.2 Storage technology

Is storage technology chosen in accordance with the policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is storage technology installed in accordance with the manufacturer's recommendations?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is storage technology operated in accordance with the manufacturer's recommendations?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where removable storage media is used, is it handled in accordance with the manufacturer's recommendations?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where removable storage media is used, is it stored in accordance with the manufacturer's recommendations?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures which test storage media?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.5.3 Migration

This section to be completed where information has been migrated to new storage media

Are there procedures which ensure that:		
all appropriate digital objects have been migrated to the new storage technology?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
the file format of the migrated digital objects has not changed?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
Reference _____		
Are there procedures which ensure that:		
the digital objects themselves have not been changed?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
or		
the changes are known, audited and meet the corporate body's requirements?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
Reference _____		

5.5.4 Storage file formats

Is information stored in an appropriate file format?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
Reference _____		
Is information maintained in an appropriate file format?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
Reference _____		

5.5.5 Conversion

This section to be completed where information has been converted

Are there procedures which ensure that access to information is retained after conversion?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
Reference _____		
Are there procedures which demonstrate that all appropriate digital objects have been converted to the new software systems?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
Reference _____		
Are there procedures which demonstrate that the digital objects retain authenticity and integrity?	Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
Reference _____		

5.6 Information transfer

This section to be completed where information is transferred electronically

5.6.1 General

Are there procedures covering the:			
preparation of an electronic file and all appropriate metadata for transfer?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
management and elimination, where possible, of malicious software?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
use of file compression and decompression techniques?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
use of file encryption and decryption techniques?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
management of cryptographic keys?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
application and verification of identity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
use of digital signatures and other file integrity demonstration systems?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
conversion to alternative file format prior to transmission?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
selection of the appropriate transfer system?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
initiation of the transfer?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
receipt of the transfer?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
conversion to an alternate format on receipt?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
use of 'confirmation of receipt' messages?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.6.2 Transmission

Is the transfer such that the integrity of the information is not compromised?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are all appropriate metadata transmitted in association with the transferred information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are details of transfer processes retained for as long as the information to which they relate?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.6.3 Message transmission systems

This section to be completed where message transmission systems are used

Are there procedures covering the:					
titling and addressing of messages?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
standards for drafting?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
use of spellcheckers and other message checking tools?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
use of passwords, digital signatures and other content management tools?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
use of 'copy-to' and 'blind copy-to'?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
detection and elimination of malicious software?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
inclusion of attachments and embedded links?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
use for legal purposes?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
avoidance of breach of copyright?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
accuracy in content and addressing where electronic business is conducted?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
management and response to messages?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
Reference _____					

5.7 Indexing and other metadata

Where indexes are used, is stored information indexed in a manner that facilitates future retrieval?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
Reference _____					
Is indexing automated?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
Reference _____					
Are indexing metadata retained for at least as long as the information to which they relate?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
Reference _____					
Are there procedures for correcting indexing errors?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
Reference _____					
Where indexing errors have been corrected, is there:					
an audit trail of the changes made?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
an audit trail of who made the changes?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>		
Reference _____					

5.8 Output

Are there procedures for the output of stored information in a human-readable or human-interpretable form?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for certifying that the output is authentic?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.9 Identity

This section to be completed where identity management is used

Are there procedures which authenticate identity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do these procedures ensure that the authenticated identity is bound to the electronic information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do these procedures ensure the retention of:			
the proof of identity processes?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the results of the proof of identity processes?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.10 Disposal

Are there information disposal procedures?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are these procedures in accordance with the information security policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is information disposed of at the end of its retention period?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is information disposed of in accordance with the disposal policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is information retained in audit trails or other appropriate processes, as specified in the retention and disposal policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.11 Information security procedures

5.11.1 General

Are there procedures which ensure that the system is operated in accordance with the information security policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.11.2 Access rights

Are there procedures for the controlled access to information, such that only workers with the appropriate permissions can:			
access information (e.g. without the allocation of enter/amend/delete rights when read-only access is required)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
enter new information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
amend information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
delete information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is access required by support and/or maintenance workers:			
approved?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
controlled?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
audited?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are all accesses to information audited?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.11.3 Encryption

This section to be completed where encryption is used

Are cryptographic keys and algorithms managed in accordance with the information security policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is the ability to decrypt information maintained for as long as the encrypted information is retained?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.11.4 Digital signatures

This section to be completed where digital signatures are used

Is access to digital certificates, signature keys and algorithms controlled in accordance with the information security policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where digital signatures are retained, is the ability to validate digital signatures maintained for as long as the digitally signed information is retained?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.11.5 Back-up and recovery

Are there procedures that protect electronic information from loss or corruption?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are back-up and restore/recovery procedures tested at regular intervals?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are details of all recovery operations retained for as long as the information to which they relate?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.11.6 Business continuity planning

Are there procedures to be implemented in the event of a disaster?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do these procedures include covering disasters related to:			
the interruption of services?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
natural causes?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
human intervention?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are plans tested?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are the results of the tests documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are plans modified and retested where appropriate?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

Are there reports on recovery processes?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do these reports detail any compromise to the information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.12 System maintenance

Are all hardware and software components maintained in accordance with the manufacturer's recommendations?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is a record of system maintenance retained in accordance with the retention policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.13 External service provision

This section to be completed where external service provision is used

5.13.1 Procedures

Are actions to be taken by the service provider specified?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.13.2 Compliance

Where a service provider claims compliance with BS 10008:2008, is proof of compliance required?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.13.3 Security in transfer

Are the security requirements for information whilst in transit specified?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.13.4 Overseas

Where overseas service provision is used, are all applicable UK legislative requirements that are to be met, specified?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

5.14 Information management testing

Is the system tested in order to ensure that business requirements are met?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are these tests:			
consistent with the scope?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
approved as part of a programme to ensure they are carried out at planned intervals?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
approved as part of a programme to ensure they are carried out where significant changes occur?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
when taken together validating the whole system?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
planned to minimize the risk of an incident occurring as a direct result of the test?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
defined in relation to their aims and objectives?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
linked to a post-test review?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

6

Monitoring and reviewing the information management system

6.1 Internal audit

6.1.1 Audit requirements

Are audits conducted at planned intervals?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do audits determine whether the system:			
is effective in meeting the information management policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
is operating in accordance with policy and procedure?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
has been implemented and maintained in accordance with technology requirements?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are audit results based on corporate requirements?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

6.1.2 Audit planning

Is the audit programme:			
planned?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
established?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
maintained?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

6.1.3 Audit procedures

Are there audit procedures that address:			
responsibilities?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
competencies?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
requirements for planning audits?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
requirements for conducting audits?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
requirements for reporting audit results?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
requirements for retaining associated records?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the determination of audit criteria, scope, frequency and methods?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	Reference _____		

6.1.4 Selection of auditors

Does the selection of auditors ensure objectivity and the impartiality of the audit process?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	Reference _____		
Does the conduct of audits ensure objectivity and the impartiality of the audit process?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	Reference _____		

6.2 Management reviews

Is a management review carried out at regular, scheduled intervals?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	Reference _____		
Is a management review carried out when major changes take place?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	Reference _____		
Are management reviews based on:			
feedback from users?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the results of audits?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
records of procedural reviews?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
records of technology modifications?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	Reference _____		
Do the results of the management reviews provide detailed information about changes to the system?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	Reference _____		

7

Maintaining and improving the information management system

7.1 Maintenance and monitoring

Are processes monitored for compliance with procedures? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are processes reviewed for compliance with procedures? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are there monitoring procedures for use when changes to the system occur? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are there review procedures for use when changes to the system occur? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Do maintenance procedures ensure correct and appropriate system functioning? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Do administrative support procedures ensure correct and appropriate system functioning? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are support activities planned? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are support activities performed on a regular, scheduled basis? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Do maintenance activities include:			
the checking of audit trail and log files?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the modification of procedures to reflect changes and additions?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the reviewing of compliance with procedures? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

7.2 Preventive and corrective actions

7.2.1 General

Is the system improved through the application of preventive and corrective actions?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are proposed changes assessed to ensure that policy requirements are met?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where major changes are implemented, is an audit completed as soon as possible after implementation?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where changes that might affect the integrity of the stored information take place, is the change procedure audited?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are changes arising from preventive and corrective actions:			
documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
retained in accordance with the retention schedule?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

7.2.2 Preventive actions

Is action taken to guard against potential nonconformities?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for:			
identifying potential nonconformities and their causes?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
determining and implementing preventive action needed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
recording results of, and reviewing, action taken?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
identifying changed risks?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
ensuring that all those who need to know are informed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

7.2.3 Corrective actions

Are there procedures for the:			
reviewing of each item of nonconformity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
risk assessment of each item of nonconformity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
elimination of the cause of the nonconformity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
reduction of the level of nonconformity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
determination that a reduction in the level of nonconformity is not warranted?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
detailed documentation of any determination that a reduction in the level of nonconformity is not warranted?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are risk assessments related to nonconformities conducted at regular intervals?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

7.3 Continual improvement

Is there evidence that continual improvement of the system effectiveness is sought?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

Annex A

Questions relating to BIP 0008, Parts 1, 2 and 3

Please complete all questions under the applicable BS 10008 subject headings.

BS 10008, 5.1.2 Importing

BIP 0008-1, 2.2.5.1

Where importing data files, is there a procedure for their authentication prior to import?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where authenticity cannot be established, is all appropriate information stored?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.2.5.2

Are procedures for importing data files documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where format conversion occurs during importation, are format details documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where format conversion does not occur, are details of the originating software documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does this documentation include access methods?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Have conversion processes been reviewed for potential loss or addition of data?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Have the results of these reviews been documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.2.5.3

Where dynamic data files are captured, is the frequency and timing of capture appropriate?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BS 10008, 5.1.3 Document scanning

BIP 0008-1, 2.2.3.1

Are all relevant document image capture procedures documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.2.3.2

Are there procedures for the pre-scanning, examination and preparation of documents?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures to review the physical state and information attributes of documents?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures to deal with physical attachments to source documents?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures to deal with source documents that have been physically amended?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures to ensure that all pages of multi-page documents are kept together and in order?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.2.3.3

Are scanner settings appropriate to the type of document being scanned?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.2.3.4

Are document scanning procedures documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures to be used with documents that contain different characteristics?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures to ensure that all documents are scanned?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures to ensure that all pages in a multi-page document are scanned?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
If simplex scanners are used to scan double-sided documents, are there procedures to ensure that both sides are scanned?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does the scanning of large documents ensure that all significant information is captured?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Can each scanned image be uniquely identified?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.2.3.5

Has scanner resolution been set appropriately?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where OCR techniques are used, has scanner resolution been set appropriately?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.2.3.6

Has scanner resolution been set appropriately for text-only documents?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.2.3.7

Is a sample set of typical documents for benchmarking system performance available? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Is the sample set representative of typical documents? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Does the set include poor quality originals? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are the quality control criteria realistic? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are the quality control criteria defined and documented? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
If a printer is used in quality control procedures, is its resolution equal to or greater than the scanner resolution? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are quality control printer characteristics for resolution, grey scale and colour reproduction appropriate? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Has the accuracy of grey scale and colour reproduction been evaluated? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Where important, are there procedures for checking dimensional accuracy? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are quality control results checked by operators not involved with scanning? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are the quality control procedures batch related? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are test targets used for monitoring scanner performance? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are scanner performance checks performed regularly? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Is the frequency of scanner performance checking appropriate? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are the results of quality control checks stored in a log? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Where quality control consists of sampling scanned images, is the frequency documented and appropriate? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

BIP 0008-1, 2.2.3.8

Are there procedures for rescanning?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do the procedures ensure that the original image is replaced?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do the procedures ensure that batch numbering and audit trails are not compromised?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.2.3.9

Has the use of batch control for document scanning been considered?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there batch size guidelines?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where batch control is not used, are there alternative methods for document control?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.2.3.10

Are there procedures for use when source documents are photocopied?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are photocopies examined to ensure there is no significant loss of information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there additional quality control procedures for photocopies?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are photo-reductions examined to ensure that no significant loss of information occurs?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are multiple images examined to ensure that no significant information is lost between adjoining images?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is there a record that a scanned image is from a photocopy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.2.3.11

Are there procedures for the scanning of paper fax documents?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there processes for the importation of electronic faxes?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is a record maintained of which documents are received by fax?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.2.4.1

Are there processes which note available image processing or enhancement techniques?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are settings used for image processing and/or enhancement techniques documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where use of these techniques can be varied for specific documents, is their use documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.2.4.3

Are speckle removal processes reviewed to ensure integrity is not compromised?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.2.4.6

If form files are held separately from data files, are they controlled as if they are part of the data file?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

Are all relevant versions of forms stored?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is a record kept that forms removal has been implemented, and the identity of the template used, on a particular document?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BS 10008, 5.1.4 Data extraction

BIP 0008-1, 2.2.6.1

Are the required accuracy levels for the capture of external data documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures to check that these accuracy levels are met?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for the manual checking of these accuracy levels?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.2.6.2

When optical recognition is used, are scanner quality requirements appropriate?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
When optical recognition is used, are original images stored as appropriate?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BS 10008, 5.3 Compound documents

BIP 0008-3, 2.10

Are there procedures for the application of the identity associated with copyright, authentication, authorization to a whole document or specific parts thereof?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BS 10008, 5.5.3 Migration

BIP 0008-3, 2.12

Are verification algorithms and records available for all document types? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are there procedures for the planning of future migration? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Does the generic plan detail the requirements of the testing process to be carried out? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Does the plan detail the manner in which specific migration plans and test results are to be retained? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
When migration is undertaken, is the transfer audited along with demonstration that results met expectations? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are the results of migration retained in accordance with BIP 0008-1? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

BS 10008, 5.6.1 General

BIP 0008-2, 2.2

Are skeletons or templates able to be reconstructed? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Where standardized documents are modified, is the original held in compliance with BIP 0008-1? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are such documents managed using a version control system? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are all versions stored in accordance with the retention policy? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

BIP 0008-2, 2.6

Are there procedures for the preparation of files for archiving? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Do these procedures include those carried out at a third party archive service provider? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Do these procedures include the identification of files to be transferred? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are there procedures for preparing for transfer? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Do these procedures include naming conventions? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Do naming conventions enable unambiguous subsequent retrieval? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Do the procedures for file transfers to the archive include:			
version control?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
antivirus controls?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
approved file formats?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
retention periods?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
destruction requirements?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
encryption and/or compression?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
digital signatures or other authentication processes? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

BIP 0008-2, 2.7.1

Are there procedures for the preparation of electronic documents for transfer? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Do these procedures differentiate between different transfer techniques? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Do these procedures ensure the correct transfer technique is used for each information 'type'? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Has the use of software that complies with industry standards been considered? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

BIP 0008-2, 2.7.2

Is there a process for use in recording when electronic transfer is initiated? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Is each transferred document allocated an unambiguous sender identifier? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Is a time and date stamp: added to the document at the time of transfer? transferred with the document? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Where the 'actual' time of a transfer event is important, has the use of 'trusted time' been considered? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Where a break in communication occurs, is the reconnected time and date: recorded? communicated? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

BIP 0008-2, 2.7.3

Are there procedures for reducing the possibility of computer viruses and other malicious software being included within information to be transferred? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
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BIP 0008-2, 2.7.4

Are file compression techniques used only in accordance with the policy document? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Is authenticity protected whilst using file compression techniques? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are lossless compression techniques used where information loss is unacceptable? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Is information that specifies compression type available to the recipient? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

Are techniques that are prone to data loss reviewed for acceptability?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are lossy compression attributes documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-2, 2.7.5

Does the policy document detail required levels of confidentiality?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are file encryption techniques in accordance with legal requirements?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are file encryption techniques such that information is not lost during the encryption/decryption processes?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are encryption algorithms available to the recipient?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are encryption decryption keys available to the recipient?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are keys stored securely?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are keys available only to those authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for the management and allocation of keys?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do these procedures include:			
key revocation?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
key recovery?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
key escrow?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures to manage staff changes?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is local legislation complied with where necessary?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-2, 2.7.6

Are there procedures to add sender identity to electronic transfers?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-2, 2.7.7

Are sequence numbers included within file names where multiple files are transferred?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-2, 2.7.8

Are there processes for ensuring the integrity of the transferred information during the 'send' operation?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are checksums applied to the electronic document?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are transfers with mismatched checksum retransmitted?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there processes detailing the actions to be taken in the event of key compromise?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there rigorous security processes to manage keys?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are roles and responsibilities for key management defined?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is there segregation of roles in key management?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where secret keys are involved, are the keys encrypted or transferred outside the normal transfer system?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do lossy transfer systems report if 'data loss' exceeds predefined thresholds?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-2, 2.7.9

Are data format details added to the transferred information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are data format details available to the recipient?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are only data formats that have been agreed by the recipient to be acceptable used?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-2, 2.8

Are there processes which identify the senders and recipients of transferred documents?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do headers and/or confirmation of receipt fields contain sender information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is the identity of the sending organization always included?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is network information provided by the electronic transfer system retained?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-2, 2.9

Are there processes for sender and recipient authentication?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-2, 2.10

Is each transferred document allocated an unambiguous identifier by the sending system?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is this identifier transferred with the document?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

Are identifiers specific to the sending organization?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are risks inherent in an identifier not being unique considered?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are identifiers allocated such that electronic transfer timings can be used in support?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are the following always included within a transfer:			
sender?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
recipient?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
subject of the transfer?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there processes whereby additional metadata are added?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-2, 2.12.1

Are there procedures for the receipt of transfers for all information 'types'?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where multiple techniques are employed, are there procedures which ensure that the appropriate technique is used?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-2, 2.12.2

Are malicious software protection systems installed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are malicious software protection systems kept up to date?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for reducing the possibility of computer viruses and other malicious software being included within information received?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures to be followed whenever malicious software is detected or suspected?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-2, 2.12.3

Are there procedures for the decompression of received information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do these procedures ensure that integrity of the received information is not compromised?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-2, 2.12.4

Are there procedures for the decryption of received information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do these procedures ensure that integrity of the transferred information is not compromised?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-2, 2.12.5

Are there procedures for verifying sender identity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-2, 2.12.6

Are there procedures for the checking of the integrity of a received file?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is consideration given to re-transfer of the file back to the sender for integrity verification?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are forwarding systems such that integrity is not compromised?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for dealing with integrity check errors?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-2, 2.12.7

Is an electronic confirmation of receipt sent whenever it is a requirement?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Has the format of the confirmation been agreed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-2, 2.12.8

Does the recipient ensure that a received file can be accessed in an appropriate form?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for handling received information that is unacceptable?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for handling received information that cannot be rendered?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is confirmation of receipt only sent after confirmation that the information is acceptable?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is confirmation of receipt only sent after confirmation that the information can be rendered?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures to ensure that the final recipient can render the electronic document?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BS 10008, 5.6.2 Transmission

BIP 0008-2, 2.11.1

Are there procedures which determine which transfer system to use for all information 'types'?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are lossy methods used only where deemed acceptable?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are lossy methods used only where quality targets can be met?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for manual initiation of a transfer whenever required?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-2, 2.11.2

Are there processes whereby a sent or received data file is written to storage?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there processes whereby confirmation of sending and receipt are written to storage?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are the controls described in BIP 0008-1 implemented for this storage?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there automated indexing processes?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do these processes ensure that sufficient indexing information is available to enable effective subsequent retrieval?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BS 10008, 5.7 Indexing and other metadata

BIP 0008-1, 2.8.1

Are there procedures for indexing (manual or automatic)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.8.2

Do staff involved in manual indexing receive specialist training to maximize accuracy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are training requirements documented for staff involved in manual indexing?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Have processes to improve manual indexing accuracy been considered?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.8.3

Are there procedures to check (and amend if required) indexing data that are created automatically?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.8.4

Are index data retention periods aligned with those of the related information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for rebuilding index files?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.8.5

Are there procedures to enable the amendment and/or correction of index data?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are the contents of an index entry, prior to and after a change, retained?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where an index entry relates to deleted or expunged information, is this status stored?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for the deletion or expungement of index information in compliance with legal or regulatory requirements?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.8.6

Are accuracy levels for indexing agreed and documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures to check indexing accuracy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BS 10008, 5.8 Output

BIP 0008-1, 2.9.1

Are there procedures for the creation of authenticated copy documents? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Do these procedures include the use of an authorized signature or other authentication process? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Where the layout of authenticated output varies from the original, are such characteristics documented? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

BIP 0008-1, 2.9.2

Are there procedures for the authentication of copies of data files? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
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BS 10008, 5.9 Identity

BIP 0008-3, 2.3.1

Are there procedures for the issue of keys and/or certificates? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are there procedures to authenticate the original identity during registration? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are there procedures to demonstrate which processes have been applied to a specific electronic document? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are 'reference' certificates securely stored, under the controls of BIP 0008-1? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are electronic signatures checks performed under the controls of the Code? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are there procedures for the controlled attachment or embedding of identity and/or signature attributes? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

Are there procedures for the secure transfer and storage of the keys and certificates? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Is proof of identity managed in accordance with the information security policy? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are records of key and certificate issues retained in accordance with BIP 0008-1? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

BIP 0008-3, 2.3.2

Are there procedures to ensure that a recipient is capable of an appropriate interpretation? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are there procedures for users upon receipt of keys and certificates? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are there procedures for circumstances in which keys and certificates are not to be used or accepted as valid until a formal acceptance procedure has been completed? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

BIP 0008-3, 2.3.3

Are there procedures for the management of encryption and signature keys and/or codes? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Do these procedures include:			
key issuance?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
key retention?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
key recovery?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
key updating?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
key verification?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
key revocation?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
key certification?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for the segregation and distinction between keys used for encryption and signing? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are there procedures for the identification and reaction to key compromise? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

BIP 0008-3, 2.3.4

Are there procedures for the revoking of keys and certificates? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Where pre-set expiry periods are used, are there procedures to be followed at the expiry date? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Do these procedures include methods for determining the life span of a particular key? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Do these procedures ensure that expired keys or certificates are replaced? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are there procedures for the retention of time expired keys and certificates? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Do these procedures cover documents signed with keys and certificates after they have been revoked? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Is there a means to identify, unambiguously, the time at which a key was revoked? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

BIP 0008-3, 2.3.5

Are there procedures for the confirmation of the authenticity of a key and/or certificate? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Do the procedures dictate when such checks should be made? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are there procedures for recording responses from a check? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

BIP 0008-3, 2.3.6

Are there procedures for the secure storage and retention of keys and/or certificates? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are there procedures which ensure confidentiality of private keys? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

Where the issuer limits their liability, are the implications of such limits acceptable?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there key escrow or key recovery procedures for dealing with local legal differences?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.3.7

Are there procedures for the management of key compromise or suspected compromise?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do these procedures include details of who should be notified?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do these procedures include details of how the notification should be registered?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.3.8

Are there procedures for key recovery?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are recovered keys treated in the same manner as any other key?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.4.1

Has an assessment been made of any requirement to demonstrate copyright ownership in relation to particular documents?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are employees' terms of employment used to detail copyright ownership?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for the verification of assignment of copyright?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

Are there procedures which review the impact and risk of inadvertent or malicious copyright infringement?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures on how inadvertent or malicious copyright infringement risk can be minimized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.4.2

Are there procedures which ensure that copyright protection is implemented in accordance with the requirements of the policy document?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do these procedures include:			
copyright statements linked/added to documents?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
dated copyright notices?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
unambiguously specified copyright ownership?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
secure retention of the original document, or an authenticated copy, under the controls of BIP 0008-1?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
copyright ownership bound to the copyrighted document?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there (where appropriate) procedures to:			
lodge the original document, or an authenticated copy, with a third party?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
register the copyright with a suitable third party?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
add digital copyright protection technology to the original document (or authenticated copy)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
have the copyright notice independently verified?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Has the copyright holder assessed the level of risk being accepted in relation to potential copyright compromise?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures which ensure that copyright protection is applied?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for external checking copyright?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for informing the document user of third party involvement or copyright protection system usage?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.4.3

Are the copyright protection processes documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does the documentation include how copyright protection is applied to different types of documents?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are the following attributes included:			
copyright ownership?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
copyright date?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
watermarking?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
registration of the copyright?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
secure archive of the copyright material?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
copyright licence terms?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
copyright marking?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
copyright statement addition?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
bonding statements, marks, ownership, dates, etc.?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.4.4

Are processes for the checking and confirmation of copyright ownership documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are tools used to check the copyright issues documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.4.5

Is the creation or publication date of copyright material recorded?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures which specify the authority level necessary to approve a status change?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures which detail the notification that should accompany a change of copyright status?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.5

Are there procedures for the granting and issuing of authority levels for documents?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there guidelines for the level of authority required for the issuing of specific types of documents?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are these procedures made clear to users of the document?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.6

Are there procedures for the application of an electronic identity, signature and/or copyright to electronic documents?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do these procedures include the recording of the identity of the person applying such an identity, signature and/or copyright?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures which ensure that an electronic identity, signature and/or copyright is not inadvertently applied?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures which ensure that all relevant document attributes are applied?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.7

Are techniques for applying and checking authorization documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are tools for checking the identity of the identity verification user documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does the originating organization ensure that the other is capable of interpreting the authorization?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.8

Has consideration been given to the requirements for biometric identification of individuals?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is the biometric technology documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does this documentation include processes used to check actual identity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does this documentation cover the possibility and probability of erroneous matches and the procedures to be followed in this event?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.9

Are encryption techniques available to originator and receiver?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are encryption systems documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does this documentation include necessary references to:			
algorithms?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
key generation?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
key recovery?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
key management?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
certification processes?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there key escrow procedures and/or key recovery procedures?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are access rights to the encryption keys documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BS 10008, 5.11 Information security procedures

BIP 0008-1, 2.11.1

Are there procedures for implementing security arrangements, which are in accordance with the information security policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

Is the environment for the system and the media in accordance with suppliers' recommendations?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is the central part of the system installed in an area which meets security requirements?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.11.2

Has an access control system been implemented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are access levels documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is access to the system only authorized to individuals when they have proved their competence?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.11.3

Are encryption keys stored securely and available only to authorized personnel?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for encryption key allocation and certificate management?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Has the use of third party key management facilities been considered?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Have legal requirements for the use of file encryption been complied with?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.11.4

Are there secure processes for the generation of digital keys?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there secure processes for the issue of digital keys?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.11.5

Where other authentication techniques are used, are procedures documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.11.6

Where digital signatures are used on e-mail systems, are procedures documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.11.7

Is protection against malicious software installed and up to date?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.11.8

Are there procedures for the back-up and verification of data files and associated information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is there an audit log of all back-ups, which includes details of back-up problems?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is back-up media stored off-site?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are the structures of back-up data the same as the original data, or is the structure of the back-up data documented?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are restore activities detailed in the audit trail, including details of any recovery problems?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures to check that data file integrity is not compromised as a result of a restore activity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

Are there procedures to ensure that data file integrity is not compromised after recovery from a system failure?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is back-up media tested at regular intervals to ensure readability?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BS 10008, 5.13 External service provision

BIP 0008-1, 2.13.1

When considering outsourcing, is compliance with the Code included in requirements?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Has a contract been agreed with the service provider?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where the contract does not require the service provider to comply with all the recommendations of the Code, are the inspection procedures consistently making no assumptions regarding the service levels from the supplier?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where work is undertaken off-site, are there procedures for transferring documents and/or media between service provider and client?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where the service provider complies with the Code, is a copy of their compliance documentation available for reference?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is there an approved change control procedure, for use when the service provision changes?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.13.2

Where the service provider complies with the Code, is this fact (including the scope of compliance) included in the contract?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Has it been verified that the service provider can perform to the required quality levels?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Has a sample of input material been processed and has the output been accepted?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

Has the sample of input material been stored? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Has the availability of audit trail information been checked? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Has the accuracy of index data been checked? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Is the location where the work is being done acceptable? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Does the location where the work is being done meet security requirements? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Has the risk of damage to information due to the service providers' procedures been assessed? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are fire detection and prevention systems acceptable? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Is the trustworthiness of the staff used by the service providers acceptable? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are documents accessible during the time they are with the service provider? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

BIP 0008-1, 2.13.3

Are there procedures for the use of control documents stating identity and number of items in a package? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Is packaging effective to avoid damage in transit? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are there discrepancy reporting procedures? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Where third party transport organizations are used, do they meet quality and reliability requirements? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Are there procedures to ensure that the date and time of handover and/or receipt of packages is noted? Reference _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

BIP 0008-1, 2.13.4

Does the contract specify the legal jurisdiction under which contract disputes are handled?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.13.5

Have the relevant regulatory issues with overseas outsourcing been dealt with?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.13.6

Have appropriate data storage control procedures been implemented, bearing in mind the location of the service provider?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Has the availability and effectiveness of a migration plan been ascertained?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there appropriate disaster recovery procedures, bearing in mind the location of the service provider?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.13.7

Where the service provider also does work for competing organizations, are effective procedures in place to ensure that data confidentiality and integrity is not compromised?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-1, 2.13.8

Where trusted storage facilities are used, is there a procedure for ensuring that authentic data files are sent for storage?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where trusted storage facilities are used, is there a means of verifying the contents of stored data files?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where trusted storage facilities are used, has their compliance with the Code been established?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.11

Are the following maintained under a version control system:			
hardware?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
software?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
procedural documentation?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there records of changes made?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.15.2

Where the trusted third party complies with the Code, is there a procedure for verification of compliance?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Have the following been reviewed and included within the contract as appropriate:			
that acceptable verifications can be produced?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
that test verifications can be produced?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
that access to audit trails can be provided?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
that the proposed location of the work is acceptable?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
that the proposed location of the work meets appropriate security criteria?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
that the proposed procedures and processes involve no greater security risk than their own procedures?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
that the trustworthiness of the intended operational staff can be assured?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.15.3

Where electronic verification services are used, are there secure procedures in accordance with the requirements of BIP 0008-2?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.15.4

Are there procedures for determining the requirement for a verification of a certificate?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is the timing of verification specified for each document type?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.15.5

Are there procedures for the verification of a digital certificate or a copyright protection certificate?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do these procedures include action to be taken in the event of a challenge to the authenticity of a certificate, or other verification?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does the procedure detail the information required and authority necessary to submit a request for certificate verification?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are verification requests made securely?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Does every agreement include procedures for the submission of, and the responding to, verification requests?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do the agreements include procedures for ensuring that requests are valid?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Do the agreements include procedures for ensuring that requests have been initiated by an authorized individual?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

Does the requested information include:			
the identity of the certificate?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the identify of the requestor?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the authority of the requestor?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the date and time of verification request?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
any other details of the request?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the third party access codes?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
the required response priority/timeframe?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is all information produced by such a request treated by the organization as a part of the document being verified?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Is all information produced by such a request retained in accordance with the requirements of BIP 0008-1?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are all electronic requests transferred in accordance with the requirements of BIP 0008-2?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.15.6

Do all agreements specify the authorized individuals who may issue a verification request?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures to include the identity of the authorized individual within the verification request?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures which ensure that only authorized individuals can request verifications?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.15.7

Are acceptable constraints agreed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures which ensure that any constraint for requests is identified and actioned as appropriate?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.15.8

Has the use of trusted time been considered?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for the demonstration of the integrity and authenticity of a time stamp?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for the demonstration of the binding of a time stamp to a particular piece of information?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.15.9

Are all response details available and included in agreements?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for handling verification request responses?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for the handling of responses not in the appropriate format or content?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for the authentication of responses?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Can responses be unambiguously linked to the document to which they refer?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are electronic responses transferred under the controls of BIP 0008-2?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are the responses stored in accordance with the policy document, under the controls of BIP 0008-1?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.15.10

Are response constraints acceptable to both parties?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are response constraints included as part of the agreement?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

Are there procedures to handle any constraints?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where a verification request refers to a key or certificate which is already the subject of a notice of compromise, is a notification sent from the third party regarding the doubts over validity of the request?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where a compromise was reported after the verification request was sent, is a notification sent by the third party with information about the suspected compromise and the potential invalidity of the previous response?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Have time limits for responses been accepted?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.15.11

Does the agreement include references to procedures to be followed in the event of a dispute?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Are there procedures for when a third party is unable to provide satisfactory evidence?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			

BIP 0008-3, 2.15.12

Where information related to verification services is stored by a third party, are secure procedures implemented, in compliance with BIP 0008-1?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			
Where information related to verification substantiation is stored by the organization, are secure procedures implemented, in compliance with BIP 0008-1?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Reference _____			