Initial Assertion of Compliance (Sample)

The actual assertion document will be issued via DocuSign, by ETS, to the Asset Custodian for any system that will be "Self-Managed" as defined in the Policy for System Asset Administration. The following is a sample of what the initial assertion may look like. In essence it is a collection of system information, recognition of certain specific compliance requirements, and then assertions that the required information has been read, understood, and will be followed.

The annual assertion of compliance will have similar content, augmented by the specific content of that year's ISCR.

Asset Identification

Asset Custodian: _____________________________(Name.#)
Designated Administrator: ________________________(Name.#)
Data Classification: ____________________________ (IDP: S1 to S4)
Data Custodian: ________________________________(Name.#)

Hostname: _________________________________
Asset Tag: _________________________________
Serial Number: _______________________________
Location: _________________________________(Building and Room # / Mobile / Off-site)

Manufacturer: _______________________________
Model or Part Number: _______________________
Purchase Date: ______________________________
Warranty/Support Contract Vendor: ____________________
Warranty/Support Contract Expiration Date: ____________________

Operating System: ___________________________
Operating System Version: ______________________

Network Services Provided by Asset: ________________________________

Compliance Details

Whole Disk Encrypted: ___________________________ (Mechanism)
Remote System Logging: (Splunk or Compensating Control)
Data Loss Prevention: (Symantec or Compensating Control)
Vulnerability Management: (Tenable or Compensating Control)
Enhanced Endpoint Protection Services: (CrowdStrike or Compensating Control)
General ISCR Compliance:

Registered Compensating Controls and Exceptions: ______________________________________

Assertion

- I have read and understand the College of Engineering Policy for System Asset Administration.
- I will meet or exceed the requirements set forth in OSU and College of Engineering policies including but not limited to:
  - OSU – Information Security Policy (ISP)
  - OSU – Information Security Control Requirements (ISCR)
  - OSU – Institutional Data Policy (IDP)
- The information assets associated with this system asset are not subject to export control or a Technology Control Plan.
- By signing this assertion, I acknowledge that I am assuming responsibility for ensuring compliance with the system asset.

Asset Custodian Name: _______________________
Asset Custodian Signature: _____________________
Date of Assertion: ___________________________