For High-Impact Information Systems

FAMILY: MAINTENANCE   **CLASS:** OPERATIONAL

MA-1 SYSTEM MAINTENANCE POLICY AND PROCEDURES - The organization develops, disseminates, and periodically reviews/updates: (i) a formal, documented, information system maintenance policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and (ii) formal, documented procedures to facilitate the implementation of the information system maintenance policy and associated system maintenance controls.

MA-1.1 - Examine information system maintenance policy and procedures; other relevant documents or records, **and**

Interview organizational personnel with information system maintenance responsibilities to determine if the following requirements are met:

	Requirement	S	N	Document(s) Examined, Person(s) Interviewed, and Findings	Initials & Date
(i)	The organization develops and documents information system maintenance policy and procedures.				
(ii)	The organization disseminates information system maintenance policy and procedures to appropriate elements within the organization.				
(iii)	Responsible parties within the organization periodically review information system maintenance policy and procedures.				
(iv)	The organization updates information system maintenance policy and procedures when organizational review indicates updates are required.				

MA-1.2 - Examine information system maintenance policy and procedures; other relevant documents or records, **and**

Interview organizational personnel with information system maintenance responsibilities to determine if the following requirements are met:

	Requirement	S	N	Document(s) Examined, Person(s) Interviewed, and Findings	Initials & Date
(i)	The information system maintenance policy addresses purpose, scope, roles and responsibilities, management commitment,				

	Requirement	S	N	Document(s) Examined, Person(s) Interviewed, and Findings	Initials & Date
	coordination among organizational entities, and compliance.				
(ii)	The information system maintenance policy is consistent with the organization's mission and functions and with applicable laws, directives, policies, regulations, standards, and guidance.				
(iii)	The information system maintenance procedures address all areas identified in the system maintenance policy and address achieving policy-compliant implementations of all associated security controls.				

MA-2 CONTROLLED MAINTENANCE - The organization schedules, performs, documents, and reviews records of routine preventative and regular maintenance (including repairs) on the components of the information system in accordance with manufacturer or vendor specifications and/or organizational requirements.

MA-2.1 - Examine information system maintenance policy; procedures addressing controlled maintenance for the information system; maintenance records; manufacturer/vendor maintenance specifications; other relevant documents or records, **and**

Interview organizational personnel with information system maintenance responsibilities to determine if the following requirements are met:

	Requirement	S	N	Document(s) Examined, Person(s) Interviewed, and Findings	Initials & Date
(i)	Determine if the organization schedules, performs, documents, and reviews records of routine preventative and regular maintenance (including repairs) on the components of the information system in accordance with manufacturer or vendor specifications and/or organizational requirements.				

MA-2(1).1 - Examine information system maintenance policy; procedures addressing controlled maintenance for the information system; maintenance records; other relevant documents or records to determine if the following requirements are met:

	Requirement	S	N	Document(s) Examined, Person(s) Interviewed, and Findings	Initials & Date
(i)	Determine if the organization maintains maintenance records for the information system that include: (i) the date and time of				

Requirement	S	N	Document(s) Examined, Person(s) Interviewed, and Findings	Initials & Date
maintenance; (ii) name of the individual performing the maintenance; (iii) name of escort, if necessary; (iv) a description of the maintenance performed; and (v) a list of equipment removed or replaced (including identification numbers, if applicable).				

MA-3 MAINTENANCE TOOLS - The organization approves, controls, and monitors the use of information system maintenance tools and maintains the tools on an ongoing basis.

MA-3.1 - Examine information system maintenance policy; information system maintenance tools and associated documentation; procedures addressing information system maintenance tools; maintenance records; other relevant documents or records to determine if the following requirements are met:

	Requirement	S	N	Document(s) Examined, Person(s) Interviewed, and Findings	Initials & Date
(i)	The organization approves, controls, and monitors the use of information system maintenance tools.				
(ii)	The organization maintains maintenance tools on an ongoing basis.				

MA-4 REMOTE MAINTENANCE - The organization authorizes, monitors, and controls any remotely executed maintenance and diagnostic activities, if employed.

MA-4.1 - Examine information system maintenance policy; procedures addressing remote maintenance for the information system; information system design documentation; information system configuration settings and associated documentation; maintenance records; other relevant documents or records, **and**

Interview organizational personnel with information system maintenance responsibilities to determine if the following requirements are met:

	Requirement	S	N	Document(s) Examined, Person(s) Interviewed, and Findings	Initials & Date
(i)	Determine if the organization authorizes, monitors, and controls remotely executed maintenance and diagnostic activities, if employed.				

MA-4(1).1 – Examine information system maintenance policy; procedures addressing remote maintenance for the information system; maintenance records; audit records; other relevant documents or records, **and**

Interview organizational personnel with information system maintenance responsibilities to determine if the following requirements are met:

	Requirement	S	N	Document(s) Examined, Person(s) Interviewed, and Findings	Initials & Date
(i)	The organization audits all remote maintenance and diagnostic sessions.				
(ii)	Designated organizational personnel review the maintenance records of remote sessions.				

MA-4(2).1 - Examine information system maintenance policy; procedures addressing remote maintenance for the information system; information system security plan; maintenance records; audit records; other relevant documents or records to determine if the following requirements are met:

	Requirement	S	N	Document(s) Examined, Person(s) Interviewed, and Findings	Initials & Date
(i)	Determine if the organization addresses the installation and use of remote maintenance and diagnostic links in the security plan for the information system.				

MA-5 MAINTENANCE PERSONNEL - The organization allows only authorized personnel to perform maintenance on the information system.

MA-5.1 - Examine information system maintenance policy; procedures addressing maintenance personnel; service provider contracts and/or service level agreements; list of authorized personnel; maintenance records; other relevant documents or records, **and**

Interview organizational personnel with information system maintenance responsibilities to determine if the following requirements are met:

	Requirement	S	N	Document(s) Examined, Person(s) Interviewed, and Findings	Initials & Date
(i)	Determine if the organization allows only authorized personnel				

Requirement	S	N	Document(s) Examined, Person(s) Interviewed, and Findings	Initials & Date
perform maintenance on the information system.				

MA-6 TIMELY MAINTENANCE - The organization obtains maintenance support and spare parts for [Assignment: organization-defined list of key information system components] within [Assignment: organization-defined time period] of failure.

MA-6.1 - Examine information system maintenance policy; procedures addressing timely maintenance for the information system; service provider contracts and/or service level agreements; inventory and availability of spare parts; information system security plan (for organization-defined list of key information system components and organization-defined time period within which support and spare parts must be obtained after a failure); other relevant documents or records, **and**

Interview organizational personnel with information system maintenance responsibilities to determine if the following requirements are met:

	Requirement	S	N	Document(s) Examined, Person(s) Interviewed, and Findings	Initials & Date
(i)	The organization defines key information system components.				
(ii)	The organization defines the time period within which support and spare parts must be obtained after a failure.				
(iii)	The organization obtains maintenance support and spare parts for the organization-defined list of key information system components within the organization-defined time period of failure.				