#	QUESTION	YES	NO	N/A	STANDARD	COMMENT

5.16 Maintenance (MA)[1]

#	QUESTION	YES	NO	N/A	STANDARD	COMMENT
1.	Has the Tribe or TGRA developed, documented, and disseminated to organizational personnel with system maintenance responsibilities an agency-level maintenance policy that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance; and is consistent with applicable laws, executive orders, directives, regulations, policies, standards, and guidelines?	____	____	____	MA-1, a.1(a)(b), 2	
	Does the Tribe or TGRA have procedures to facilitate the implementation of the maintenance policy and the associated maintenance controls?	____	____	____	MA-1, a.2	
2.	Based on inquiry and record examination, has the Tribe or TGRA designated an individual with security responsibilities to manage the development, documentation, and dissemination of the maintenance policy and procedures?	____	____	____	MA-1, b	
	Does the Tribe or TGRA review and update the current maintenance policy annually and following any security incidents involving unauthorized access to Criminal Justice Information (CJI)/ Criminal History Record Information (CHRI) or systems used to process, store, or transmit CJI / CHRI?	____	____	____	MA-1, c.1	
	Does the Tribe or TGRA review and update the current maintenance procedures annually and following any security incidents involving unauthorized access to CJI / CHRI or systems used to process, store, or transmit CJI / CHRI?	____	____	____	MA-1, c.1.2	

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[1] These requirements are sanctionable for audit beginning October 1, 2024.

#	QUESTION	YES	NO	N/A	STANDARD	COMMENT
3.	Has the Tribe or TGRA scheduled, documented, and reviewed records of maintenance, repair, and replacement on system components in accordance with manufacturer or vendor specifications and/or organizational requirements?	____	____	____	MA-2, a	
	Has the Tribe or TGRA approved and monitored all maintenance activities, whether performed on site or remotely and whether the system or system components are serviced on site or removed to another location?	____	____	____	MA-2, b	
	Has the Tribe or TGRA required that organizational personnel with information security and privacy responsibilities explicitly approve the removal of the system or system components from organizational facilities for off-site maintenance, repair, or replacement?	____	____	____	MA-2, c	
	Does the Tribe or TGRA sanitize equipment to remove information from associated media prior to removal from organizational facilities for off-site maintenance, repair, replacement, or destruction?	____	____	____	MA-2, d	
	Does the Tribe or TGRA check all potentially impacted controls to verify that the controls are still functioning properly following maintenance, repair, or replacement actions?	____	____	____	MA-2, e	
	Based on records examination, is the following information in the Tribe's or TGRA's maintenance records:					
	• Component name?	____	____	____	MA-2, f.1	
	• Component serial number?	____	____	____	MA-2, f.2	
	• Date/time of maintenance?	____	____	____	MA-2, f.3	
	• Maintenance performed?	____	____	____	MA-2, f.4	
	• Name(s) of entity performing maintenance including escort if required?	____	____	____	MA-2, f.5	
4.	Based on inquiry and record examination, has the Tribe or TGRA approved, controlled, and monitored the use of system maintenance tools?					
	And has the Tribe or TGRA reviewed previously approved system maintenance tools prior to each use?	____	____	____	MA-3 a, b	

#	QUESTION	YES	NO	N/A	STANDARD	COMMENT
5.	Based on inquiry and record examination, has the Tribe or TGRA inspected the maintenance tools used by maintenance personnel for improper or unauthorized modifications?	___	___	___	MA-3 (1)	
6.	Based on inquiry and record examination, does the Tribe or TGRA check media containing diagnostic and test programs for malicious code before the media are used in the system?	___	___	___	MA-3 (2)	
7.	Based on inquiry and record examination, does the Tribe or TGRA prevent the removal of maintenance equipment containing organizational information by:					
	• Verifying that there is no organizational information contained on the equipment?	___	___	___	MA-3 (3), a	
	• Sanitizing or destroying the equipment?	___	___	___	MA-3 (3), b	
	• Retaining the equipment within the facility?	___	___	___	MA-3 (3), c	
	• Obtaining an exemption from organizational personnel with system maintenance responsibilities explicitly authorizing removal of the equipment from the facility?	___	___	___	MA-3 (3), d	
8.	Based on inquiry and record examination, does the Tribe or TGRA:					
	• Approve and monitor nonlocal maintenance and diagnostic activities?	___	___	___	MA-4, a	
	• Allow the use of nonlocal maintenance and diagnostic tools only as consistent with organizational policy and documented in the security plan for the system?	___	___	___	MA-4, b	
	• Employ strong authentication in the establishment of nonlocal maintenance and diagnostic sessions?	___	___	___	MA-4, c	
	• Maintain records for nonlocal maintenance and diagnostic activities?	___	___	___	MA-4, d	
	• Terminate session and network connections when nonlocal maintenance is completed?	___	___	___	MA-4, e	

#	QUESTION	YES	NO	N/A	STANDARD	COMMENT
9.	Based on inquiry and record examination, has the Tribe or TGRA:					
	• Established a process for maintenance personnel authorization and maintained a list of authorized maintenance organizations or personnel?	____	____	____	MA 5, a	
	• Verified that non-escorted personnel performing maintenance on the system possess the required access authorizations?	____	____	____	MA 5, b	
	• Designated organizational personnel with required access authorizations and technical competence to supervise the maintenance activities of personnel who do not possess the required access authorization?	____	____	____	MA 5, c	
10.	Based on inquiry and record examination, has the Tribe or TGRA obtained maintenance support and/or spare parts for critical system components that process, store, and transmit CJI / CHRI within agency-defined recovery time and recovery point objectives of failure?	____	____	____	MA-6	