| **assessment case** | | |
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| ASSESSMENT – Base Control, Part 1 of 1 | | |
| Assessment Information from Special Publication 800-53A Rev. 1 (June 2010) | | |
| **CM-9** | CONFIGURATION MANAGEMENT PLAN | |
| **CM-9.1**  **CM-9.1.1**  **CM-9.1.1a**  **CM-9.1.1b**  **CM-9.1.1c** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization develops, documents, and implements a configuration management plan for the information system that:*   * *addresses roles, responsibilities, and configuration management processes and procedures;* * *defines the configuration items for the information system and when in the system development life cycle the configuration items are placed under configuration management; and* * *establishes the means for identifying configuration items throughout the system development life cycle and a process for managing the configuration of the configuration items.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Configuration management policy; configuration management plan; procedures addressing configuration management planning; security plan; other relevant documents or records]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: None  successor controls: CM-2, CM-3, CM-4, CM-5, CM-6, CM-7, CM-8 |
| **Action Step** | | **Potential Assessor Evidence Gathering Actions**  **\*\*See “**[**Assessment Case Overview**](http://csrc.nist.gov/groups/SMA/fisma/assessment-cases-overview.html)**” for selecting, tailoring and executing action steps\*\*** |
|  | | *\*\*Assessment Case Assessor Note:* More convincing evidence (i.e., greater assurance) of correct implementation and operating as intended can be obtained through the assessment case actions by:   1. **Replacing bracketed values in action gathering statements to apply greater rigor in the assessment** (e.g, . replacing [“*reviewing*”] with “*studying*” or “*analyzing*”; replacing [“*observing*”] with “*inspecting*” or “*analyzing*”; replacing [“*basic*”] with “*focused*” or “*comprehensive*”); 2. **Replacing bracketed values in action gathering statements to apply greater sample coverage in the assessment** (e.g, . replacing [“*basic”*] sample with “*focused*” or “*sufficiently large”* sample); 3. **Defining additional action steps to the list of action steps suggested herein that exercise additional test methods** (i.e., Examine, Interview or Test) on additional assessment objects. |
| **CM-9.1.1.1** | | **Examine** information system documentation; [*reviewing*] for a configuration management plan for the information system. |
| **CM-9.1.1.2**  **CM-9.1.1.2.a CM-9.1.1.2.b**  **CM-9.1.1.2.c** | | **Examine** configuration management plan; [*reviewing*] for evidence that the plan:   * addresses roles, responsibilities, and configuration management processes and procedures; * defines configuration items for the information system and when in the system development life cycle the configuration items are placed under configuration management; and * establishes the means for identifying configuration items throughout the system development life cycle and a process for managing the configuration of the configuration items. |
| **CM-9.1.1.3** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel responsible for configuration management plan development, documentation, and implementation; conducting [*basic*] discussions for evidence that the plan is developed, documented, and implemented as identified in CM-9.1.1.2 |
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| **ASSESSMENT – Control Enhancement 1** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CM-9(1)** | CONFIGURATION MANAGEMENT PLAN |
| **CM-9(1).1**  **CM-9(1).1.1** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization assigns responsibility for developing the configuration management process to organizational personnel that are not directly involved in system development.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Configuration management policy; configuration management plan; procedures addressing responsibilities for configuration management process development; security plan other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with responsibilities for configuration management process development]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls:  successor controls: CM-2, CM-3, CM-4, CM-5, CM-6, CM-7, CM-8 |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CM-9(1).1.1.1** | **Examine** configuration management policy, procedures addressing responsibilities for configuration management process development, configuration management plan, or other relevant documents; [*reviewing*] for the assignment of responsibility for developing the configuration management process to organizational personnel that are not directly involved in system development. |
| **CM-9(1).1.1.2** | **Interview** an agreed-upon [*basic*] sample of organizational personnel responsible for developing the configuration management process; conducting [*basic*] discussions for further evidence that these individuals are not directly involved in system development. |