| **assessment case** | | |
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| ASSESSMENT – Base Control, Part 1 of 2 | | |
| Assessment Information from Special Publication 800-53A Rev. 1 (June 2010) | | |
| **CP-9** | INFORMATION SYSTEM BACKUP | |
| **CP-9.1**  **CP-9.1.1**  **CP-9.1.2**  **CP-9.1.3**  **CP-9.1.4**  **CP-9.1.5**  **CP-9.1.6** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization defines the frequency of conducting user-level information backups to support recovery time objectives and recovery point objectives;* 2. *the organization defines the frequency of conducting system-level information backups to support recovery time objectives and recovery point objectives;* 3. *the organization defines the frequency of conducting information system documentation backups (including security-related information) to support recovery time objectives and recovery point objectives;* 4. *the organization backs up user-level information in accordance with the organization-defined frequency;* 5. *the organization backs up system-level information in accordance with the organization-defined frequency; and* 6. *the organization backs up information system documentation in accordance with the organization-defined frequency.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan; procedures addressing information system backup; security plan; backup storage location(s); information system backup logs or records; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with information system backup responsibilities]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CP-2  concurrent controls: CP-4, CP-6, CP-10, MP-4, MP-5, SC-24, SI-13  successor controls: None |
| **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. |
| **CP-9.1.1.1** | | **Examine** contingency planning policy, procedures addressing information system backup, contingency plan, or other relevant documents; [*reviewing*] for the frequency of conducting user-level information backups to support the recovery time objectives and recovery point objectives identified in CP-2.1.1.2.b. |
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| **CP-9.1.2.1** | | **Examine** contingency planning policy, procedures addressing information system backup, contingency plan, or other relevant documents; [*reviewing*] for the frequency of conducting system-level information backups to support the recovery time objectives and recovery point objectives identified in CP-2.1.1.2.b. |
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| **CP-9.1.3.1** | | **Examine** contingency planning policy, procedures addressing information system backup, contingency plan, or other relevant documents; [*reviewing*] for the frequency of conducting information system documentation backups (including security-related information) to support the recovery time objectives and recovery point objectives identified in CP-2.1.1.2.b. |
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| **CP-9.1.4.1** | | **Examine** an agreed-upon [*basic*] sample of records of information system backups; [*reviewing*] for evidence that user-level information is backed up in accordance with the frequency identified in CP-9.1.1.1. |
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| **CP-9.1.5.1** | | **Examine** an agreed-upon [*basic*] sample of records of information system backups; [*reviewing*] for evidence that system-level information is backed up in accordance with the frequency identified in CP-9.1.2.1. |
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| **CP-9.1.6.1** | | **Examine** an agreed-upon [*basic*] sample of records of information system backups; [*reviewing*] for evidence that information system documentation (including security-related information) is backed up in accordance with the frequency identified in CP-9.1.3.1. |
| ASSESSMENT – Base Control, Part 2 of 2 | | |
| **CP-9.2**  **CP-9.2.1** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization protects the confidentiality and integrity of backup information at the storage location.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan; procedures addressing information system backup; information system design documentation; information system configuration settings and associated documentation; backup storage location(s); other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with information system backup responsibilities]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CP-2  concurrent controls: CP-4, CP-6, CP-10, MP-4, MP-5, SC-24, SI-13  successor controls: None |
| **Action Step** | | **Potential Assessor Evidence Gathering Actions** |
| **CP-9.2.1.1** | | **Examine** contingency planning policy, procedures addressing information system backup, contingency plan, backup storage agreements, information system design documentation, or other relevant documents; [*reviewing*] for the measures (including mechanisms and their configurations) to be employed to protect the confidentiality and integrity of backup information at the storage location. |
| **CP-9.2.1.2** | | **Examine** an agreed-upon [*basic*] sample of records of information system backups and configuration documentation for the mechanisms identified in CP-9.2.1.1; [*reviewing*] for evidence that the measures identified in CP-9.2.1.1 are being applied. |
| **CP-9.2.1.3** | | **Examine** an agreed-upon [*basic*] sample of backup storage locations for the mechanisms identified in CP-9.2.1.2; [*observing*] for evidence that the measures identified in CP-9.2.1.2 are being applied. |
| **CP-9.2.1.4** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel responsible for information system backups; conducting [*basic*] discussions for further evidence that the measures identified in CP-9.2.1.2 are being applied. |
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| **ASSESSMENT – Control Enhancement 1** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-9(1)** | INFORMATION SYSTEM BACKUP |
| **CP-9(1).1**  **CP-9(1).1.1**  **CP-9(1).1.2** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization defines the frequency of information system backup testing; and* 2. *the organization conducts information system backup testing in accordance with organization-defined frequency to verify backup media reliability and information integrity.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan; procedures addressing information system backup; security plan; information system backup test results; backup storage location(s); other relevant documents or records]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CP-2  concurrent controls: CP-4, CP-6, CP-10, MP-4, MP-5, SC-24, SI-13  successor controls: None |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-9(1).1.1.1** | **Examine** contingency planning policy, procedures addressing information system backup, contingency plan, or other relevant documents; [*reviewing*] for the frequency of conducting information system backup testing. |
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| **CP-9(1).1.2.1** | **Examine** an agreed-upon [*basic*] sample of backup test results; [*reviewing*] for evidence that backup testing is being performed in accordance with the frequency identified in CP-9(1).1.1.1. |
| **CP-9(1).1.2.2** | **Examine** an agreed-upon [*basic*] sample of backup test results; [*reviewing*] for evidence that backup testing verifies the reliability of the backup media and the integrity of the information. |
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| **ASSESSMENT – Control Enhancement 2** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-9(2)** | INFORMATION SYSTEM BACKUP |
| **CP-9(2).1** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization uses a sample of backup information in the restoration of selected information system functions as part of contingency plan testing.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan; procedures addressing information system backup; information system backup test results; contingency plan testing and/or exercise documentation; contingency plan test results; other relevant documents or records]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CP-2  concurrent controls: CP-4, CP-6, CP-10, MP-4, MP-5, SC-24, SI-13  successor controls: None |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-9(2).1.1** | **Examine** contingency planning policy, procedures addressing information system backup, contingency plan, or other relevant documents; [*reviewing*] for the sample of backup information to be used in the restoration of selected information system functions as part of contingency plan testing. |
| **CP-9(2).1.2** | **Examine** an agreed-upon [*basic*] sample of contingency plan test results; [*reviewing*] for evidence that the sample of backup information identified in CP-9(2).1.1 is being used in the restoration of selected information system functions as part of contingency plan testing. |
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| **ASSESSMENT – Control Enhancement 3** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-9(3)** | INFORMATION SYSTEM BACKUP |
| **CP-9(3).1** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization stores backup copies of operating system and other critical information system software, as well as copies of the information system inventory (including hardware, software, and firmware components) in a separate facility or in a fire-rated container that is not collocated with the operational system.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan; procedures addressing information system backup; backup storage location(s); other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with contingency planning and plan implementation responsibilities; organizational personnel with information system backup responsibilities]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CP-2  concurrent controls: CP-4, CP-6, CP-10, MP-4, MP-5, SC-24, SI-13  successor controls: None |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-9(3).1.1** | **Examine** procedures addressing information system backup, contingency plan, or relevant documents; [*reviewing*] for evidence that backup copies of the operating system and other critical information system software, as well as copies of the information system inventory (including hardware, software, and firmware components) are to be stored in a separate facility or in a fire-rated container that is not collocated with the operational system. |
| **CP-9(3).1.2** | **Examine** backup storage location(s); [*observing*] for evidence that backup copies of the operating system and other critical information system software, as well as copies of the information system inventory (including hardware, software, and firmware components) are stored in a separate facility or in a fire-rated container that is not collocated with the operational system. |
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| **ASSESSMENT – Control Enhancement 4** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-9(4)** | INFORMATION SYSTEM BACKUP  [Withdrawn: Incorporated into CP-9]. |
| **CP-9(4).1** | **ASSESSMENT OBJECTIVE:**  [Withdrawn: Incorporated into CP-9].  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  [Withdrawn: Incorporated into CP-9]. |
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| **ASSESSMENT – Control Enhancement 5** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-9(5)** | INFORMATION SYSTEM BACKUP |
| **CP-9(5).1**  **CP-9(5).1.1**  **CP-9(5).1.2** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization defines the time period and rate of transferring information system backup information to the alternate storage site to support recovery time objectives and recovery point objectives; and* 2. *the organization transfers information system backup information to the alternate storage site in accordance with the organization-defined frequency and transfer rate.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan; procedures addressing information system backup; security plan; information system backup test results; alternate site service agreements; backup storage location(s); other relevant documents or records]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CP-2  concurrent controls: CP-4, CP-6, CP-10, MP-4, MP-5, SC-24, SI-13  successor controls: NONE |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-9(5).1.1.1** | **Examine** contingency planning policy, procedures addressing information system backup, contingency plan, or other relevant documents; [*reviewing*] for the time period for transferring information system backup information to the alternate storage site to support the recovery time objectives and recovery point objectives identified in CP-2.1.1.2.b. |
| **CP-9(5).1.1.2** | **Examine** contingency planning policy, procedures addressing information system backup, contingency plan, or other relevant documents; [*reviewing*] for the rate of transferring information system backup information to the alternate storage site to support the recovery time objectives and recovery point objectives identified in CP-2.1.1.2.b. |
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| **CP-9(5).1.2.1** | **Examine** an agreed-upon [*basic*] sample of contingency plan test results; [*reviewing*] for evidence that the organization transfers information system backup information to the alternate storage site in accordance with the time period identified in CP-9(5).1.1.1 and transfer rate identified in CP-9(5).1.1.2. |
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| **ASSESSMENT – Control Enhancement 6** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-9(6)** | INFORMATION SYSTEM BACKUP |
| **CP-9(6).1**  **CP-9(6).1.1**  **CP-9(6).1.2** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization maintains a redundant, secondary backup system that is not collocated with the primary backup system for the information system; and* 2. *the redundant, secondary backup system can be activated to accomplish information system backups without causing loss of information or disruption to the operation.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan; procedures addressing information system backup; information system backup test results; contingency plan test results; contingency plan testing and/or exercise documentation; secondary backup storage location(s); redundant secondary system for information system backups; other relevant documents or records]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CP-2  concurrent controls: CP-4, CP-6, CP-10, MP-4, MP-5, SC-24, SI-13  successor controls: None |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-9(6).1.1.1** | **Examine** contingency planning, procedures addressing information system backup, contingency plan, or relevant documents; [*reviewing*] for a redundant, secondary backup system and the measures to ensure the secondary backup system is not collocated with the primary backup system for the information system. |
| **CP-9(6).1.1.2** | **Examine** backup storage location(s); [*observing*] for evidence that the measures identified in CP-9(6).1.1.1 are being applied. |
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| **CP-9(6).1.2.1** | **Examine** an agreed-upon [*basic*] sample of contingency plan test results; [*reviewing*] for evidence that the redundant, secondary backup system can be activated to accomplish information system backups without causing loss of information or disruption to the operation. |