Attachment 12

Maintenance Policy - ITAM-0618

COUNTY OF SANTA BARBARA
INFORMATION TECHNOLOGY ADMINISTRATIVE MANUAL

SUBJECT:	MAINTENANCE POLICY	ITEM NUMBER:	ITAM-0618
OWNER:	DEPARTMENT OF GENERAL SERVICES	ADOPTION DATE:	MM/DD/20YY
APPROVER(S):	COUNTY BOARD OF SUPERVISORS	REVIEW DATE:	MM/DD/20YY
VERSION:	1.0	PAGE:	PAGE 1 OF 4

I. Purpose

   To ensure that County Information Technology (IT) resources are maintained in compliance with County IT security policies, standards, and procedures, along with all State and Federal requirements.

II. Audience

   The primary audience for this policy is Information Technology Professionals (County executives, managers, employees, contractors, vendors and third parties) whose responsibilities include managing, administering, and operating County networks or systems.

III. Scope

   This policy applies to any Information System that electronically generates, receives, stores, processes or transmits County-owned data, whether the system is hosted on the county network or by a third-party provider. Additionally, these provisions apply to anyone doing business as the County and/or in support of the County that is provisioned access to County Networks or systems. This includes employees, contractors, consultants, temporaries, and other workers at the County, including all personnel affiliated with third parties, collectively referred to hereafter as "agents".

IV. Definitions

   See ITAM-0602, Glossary of Definitions

V. Policy

   It is the policy of the County Board of Supervisors that:

   Maintenance controls are used to monitor software installation and updates to ensure that systems function as expected, and that a historical record of changes is maintained. Maintenance controls are also used to limit the type of software installed on systems to prevent the installation and use of unauthorized software on IT systems. Central IT and Departments must identify, approve, control, and routinely monitor the use of information system maintenance tools and remotely executed maintenance and diagnostic activities on a regular basis. Central IT and Departments must ensure that system maintenance is scheduled, performed, and documented in accordance with manufacturer or vendor specifications and/or organizational requirements. Only authorized personnel are to perform maintenance on information systems. The following table outlines the minimum security control requirements which all County information systems must adhere to in order to operate in a production environment:

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1. Controlled Maintenance

   County IT or Departmental IT shall:

   a. Schedule, perform, document, and review records of maintenance and repairs on information system components in accordance with manufacturer or vendor specifications and/or County requirements conducted by local IT and/or outsourced IT entities.

   b. Approve and monitor all maintenance activities, whether performed on site or remotely and whether the equipment is serviced on site or removed to another location.

   c. Require that system owners explicitly approve the removal of the information system or system components from County facilities for off-site maintenance or repairs.

   d. Sanitize equipment to remove all information from associated media prior to removal from County facilities for off-site maintenance or repairs.

   e. Check all potentially impacted security controls to verify that the controls are still functioning properly following maintenance or repair actions.

   f. Include County IT or Departmental IT and system owner's defined maintenance-related information in County maintenance records.

   g. For those components not directly associated with information processing, such as scanners, copiers, and printers, maintenance records must include date and time of maintenance, entity performing the maintenance, maintenance performed, and components replaced or removed, including identification/serial numbers, as applicable.

2. Maintenance Tools

   County IT or Departmental IT shall:

   a. Ensure that system owners and County IT or Departmental IT approve, control, and monitor information system maintenance tools.

   b. Inspect the maintenance tools carried into a facility by maintenance personnel for improper or unauthorized modifications.

   c. Check media containing diagnostic and test programs for malicious code before the media are used in the information system.

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3. Non-local Maintenance

County IT or Departmental IT shall:

   a. Approve and monitor non-local maintenance and diagnostic activities.

   b. Allow the use of non-local maintenance and diagnostic tools only as consistent with County policy and documented in the security plan for the information system.

   c. Employ strong authenticators in the establishment of non-local maintenance and diagnostic sessions.

   d. Maintain records for non-local maintenance and diagnostic activities.

   e. Terminate session and network connections when non-local maintenance is completed.

   f. Document in the security plan for the information system the policies and procedures for the establishment and use of non-local maintenance and diagnostic connections.

4. Maintenance Personnel

County IT or Departmental IT shall:

   a. Establish a process for maintenance personnel authorization and maintain a list of authorized maintenance organizations or personnel having access to critical technology systems.

   b. Ensure that non-escorted personnel performing maintenance on the information system have required access authorizations.

   c. Designate County personnel with required access authorizations and technical competence to supervise the maintenance activities of personnel who do not possess the required access authorizations.

5. Timely Maintenance

County IT or Departmental IT shall:

   a. Obtain maintenance support and/or spare parts for information systems as agreed upon within the service level agreement between IT and the system owner.

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VI. Exceptions

See ITAM-0600, IT Security Program

VII. Non-Compliance

See ITAM-0600, IT Security Program

VIII. References and Sources

1. Applicable Rules, Laws, and Regulations:
   a. National Institute of Standards and Technology (NIST) Special Publications (SP):

      i. NIST SP 800-53 – System Maintenance (MA)

      ii. NIST SP 800-12

      iii. NIST SP 800-63

      iv. NIST SP 800-88

      v. NIST SP 800-100

   b. Federal Information Processing Standards (FIPS) 140-2, FIPS 197, FIPS 201.

   c. State of California State Administrative Manual (SAM) 5300 et seq., Statewide Information Management Manual (SIMM) et seq.

2. Related Policies:

3. Referenced Documents:

4. Revision History:

VERSION	CHANGE	AUTHOR	DATE OF CHANGE
1.0	Initial Release	CISO/Policy Committee	08/25/2021