| **assessment case** | | |
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| ASSESSMENT – Base Control, Part 1 of 1 | | |
| Assessment Information from Special Publication 800-53A Rev. 1 (June 2010) | | |
| **AT-3** | SECURITY TRAINING | |
| **AT-3.1**  **AT-3.1.1**  **AT-3.1.2**  **AT-3.1.3** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization provides role-based security-related training before authorizing access to the system or performing assigned duties, and when required by system changes;* 2. *the organization defines the frequency of refresher role-based security-related training;* 3. *the organization provides refresher role-based security-related training in accordance with the organization-defined frequency.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Security awareness and training policy; procedures addressing security training implementation; codes of federal regulations; security training curriculum; security training materials; security plan; training records; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with responsibilities for role-based, security-related training; organizational personnel with significant information system security responsibilities]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: None  successor controls: AT-4 |
| **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. |
| **AT-3.1.1.1** | | **Examine** security awareness and training policy, procedures addressing security training implementation, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to provide role based security-related training before authorizing access to the system or performing assigned duties, and when required by system changes. |
| **AT-3.1.1.2** | | **Examine** training records for an agreed upon [*basic*] sample of organizational personnel with significant information system security responsibilities; [*reviewing*] for evidence that the measures identified in AT-3.1.1.1 are being applied. |
| **AT-3.1.1.3** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel with responsibilities for role-based, security-related training; conducting [*basic*] discussions for further evidence that the measures identified in AT-3.1.1.1 are being applied. |
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| **AT-3.1.2.1** | | **Examine** security awareness and training policy, security plan, or other relevant documents; [*reviewing*] for the frequency of refresher role-based security-related training. |
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| **AT-3.1.3.1** | | **Examine** training records for an agreed upon [*basic*] sample of organizational personnel with significant information system security responsibilities; [*reviewing*] for evidence that refresher role based, security-related training is provided in accordance with the frequency identified in AT-3.1.2.1. |
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| **ASSESSMENT – Control Enhancement 1** | | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | | |
| **AT-3(1)** | | SECURITY TRAINING |
| **AT-3(1).1**  **AT-3(1).1.1**  **AT-3(1).1.2**  **AT-3(1).1.3** | | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization provides employees with initial training in the employment and operation of environment controls;* 2. *the organization defines the frequency of refresher training in the employment and operation of environmental controls; and* 3. *the organization provides refresher training in the employment and operation of environmental controls in accordance with the organization-defined frequency.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Security awareness and training policy; procedures addressing security training implementation; security training curriculum; security training materials; security plan; training records; other relevant documents or records].  **Interview**: [*select from:* Organization personnel with security training responsibilities; organizational personnel with significant information system security responsibilities]. |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: None  successor controls: AT-4 |
| **Action Step** | | **Potential Assessor Evidence Gathering Actions** |
| **AT-3(1).1.1.1** | | **Examine** security awareness and training policy, procedures addressing security training implementation, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to provide employees with initial training in the employment and operation of environment controls. |
| **AT-3(1).1.1.2** | | **Examine** an agreed-upon [*basic*] sample of training records; [*reviewing*] for evidence that the measures identified in AT-3(1).1.1.1 are being applied. |
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| **AT-3(1).1.2.1** | | **Examine** security awareness and training policy, security plan, or other relevant documents; [*reviewing*] for the frequency of refresher training in the employment and operation of environmental controls. |
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| **AT-3(1).1.3.1** | | **Examine** an agreed-upon [*basic*] sample of training records; [*reviewing*] for evidence that refresher training in the employment and operation of environmental controls is provided in accordance with the frequency identified in AT-3(1).1.2.1. |
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| **ASSESSMENT – Control Enhancement 2** | | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | | |
| **AT-3(2)** | | SECURITY TRAINING |
| **AT-3(2).1**  **AT-3(2).1.1**  **AT-3(2).1.2**  **AT-3(2).1.3** | | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization provides employees with initial training in the employment and operation of physical security controls;* 2. *the organization defines the frequency of refresher training in the employment and operation of physical security controls; and* 3. *the organization provides refresher training in the employment and operation of physical security controls in accordance with the organization-defined frequency.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Security awareness and training policy; procedures addressing security training implementation; codes of federal regulations; security training curriculum; security training materials; security plan; training records; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with security training responsibilities; organizational personnel with significant information system security responsibilities]. |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: None  successor controls: AT-4 |
| **Action Step** | | **Potential Assessor Evidence Gathering Actions** |
| **AT-3(2).1.1.1** | | **Examine** security awareness and training policy, procedures addressing security training implementation, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to provide employees with initial training in the employment and operation of physical security controls. |
| **AT-3(2).1.1.2** | | **Examine** an agreed-upon [*basic*] sample of training records; [*reviewing*] for evidence that the measures identified in AT-3(2).1.1.1 are being applied. |
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| **AT-3(2).1.2.1** | | **Examine** security awareness and training policy, security plan, or other relevant documents; [*reviewing*] for the frequency of refresher training in the employment and operation of physical security controls. |
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| **AT-3(2).1.3.1** | | **Examine** an agreed-upon [*basic*] sample of training records; [*reviewing*] for evidence that refresher training in the employment and operation of physical security controls is provided in accordance with the frequency identified in AT-3(2).1.2.1. |