| **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-4** | SECURITY TRAINING RECORDS | |
| **AT-4.1**  **AT-4.1.1**    **AT-4.1.2**  **AT-4.1.3** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization documents and monitors individual information system security training activities including basic security awareness training and specific information system security training;* 2. *the organization defines the time period for retaining individual training records; and* 3. *the organization retains individual training records in accordance with the organization-defined time period.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Security awareness and training policy; procedures addressing security training records; security awareness and training records; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with security training record retention responsibilities]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: AT-2, AT-3  concurrent controls: None  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. |
| **AT-4.1.1.1** | | **Examine** security awareness and training policy, procedures addressing security training records, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to document and monitor individual information system security training activities that include basic security awareness training and specific information system security training. |
| **AT-4.1.1.2** | | **Examine** an agreed-upon [*basic*] sample of security awareness and training records; [*reviewing*] for evidence that the measures identified in AT-4.1.1.1are being applied. |
| **AT-4.1.1.3** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel with security training record retention responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in AT-4.1.1.1are being applied. |
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| **AT-4.1.2.1** | | **Examine** security awareness and training policy, procedures addressing security training records, security plan, or other relevant documents; [*reviewing*] for the time period for retaining individual training records. |
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| **AT-4.1.3.1** | | **Examine** security training records for an agreed-upon [*basic*] sample of organizational personnel; [*reviewing*] for evidence that individual training records are retained in accordance with the time period identified in AT-4.1.2.1. |
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