| **assessment case** | | |
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| ASSESSMENT – Base Control, Part 1 of 1 | | |
| Assessment Information from Special Publication 800-53A Rev. 1 (June 2010) | | |
| **AU-13** | MONITORING FOR INFORMATION DISCLOSURE | |
| **AU-13.1**  **AU-13.1.1**  **AU-13.1.2** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization defines the frequency of monitoring open source information for evidence of unauthorized exfiltration or disclosure of organization information; and* 2. *the organization monitors open source information for evidence of unauthorized exfiltration or disclosure of organizational information in accordance with the organization-defined frequency.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Audit and accountability policy; procedures addressing information disclosure monitoring; information system design documentation; information system configuration settings and associated documentation; information system audit records; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with responsibilities for monitoring open source information for evidence of unauthorized exfiltration or disclosure]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: CM-6, SI-4  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. |
| **AU-13.1.1.1** | | **Examine** audit and accountability policy, procedures addressing information disclosure monitoring, security plan, or other relevant documents; [*reviewing*] for the frequency of monitoring open source information for evidence of unauthorized exfiltration or disclosure of organization information. |
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| **AU-13.1.2.1** | | **Examine** audit and accountability policy, procedures addressing information disclosure monitoring, security plan, information system design documentation, or other relevant documents; [*reviewing*] for the automated mechanisms and their configuration settings to be employed to monitor open source information for unauthorized exfiltration or disclosure in accordance with the frequency identified in AU-13.1.1.1. |
| **AU-13.1.2.2** | | **Examine** documentation describing the current configuration settings for an agreed-upon [*basic*] sample of the automated mechanisms identified in AU-13.1.2.1; [*reviewing*] for evidence that these mechanisms are configured as identified in AU-13.1.2.1. |
| **AU-13.1.2.3** | | **Examine** an agreed-upon [*basic*] sample of information system audit records, information system monitoring records, or other relevant documents associated with monitoring open source information; [*reviewing*] for evidence that the mechanisms and configurations identified in AU-13.1.2.1 are being applied. |
| **AU-13.1.2.4** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel responsible for monitoring open source information; conducting [*basic*] discussions for further evidence that the mechanisms and configurations identified in AU-13-1.2.1 are being applied. |
| **AU-13.1.2.5** | | **Test** an agreed-upon [*basic*] sample of the automated mechanisms and their configuration settings identified in AU-13.1.2.1; conducting [*basic*] testing for evidence that these mechanisms are operating as intended. |