| **assessment case** | | |
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| ASSESSMENT – Base Control, Part 1of 1 | | |
| Assessment Information from Special Publication 800-53A Rev. 1 (June 2010) | | |
| **AU-4** | AUDIT STORAGE CAPACITY | |
| **AU-4.1**  **AU-4.1.1**  **AU-4.1.2** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization allocates audit record storage capacity; and* 2. *the organization configures auditing to reduce the likelihood of audit record storage capacity being exceeded.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Audit and accountability policy; procedures addressing audit storage capacity; information system design documentation; organization-defined audit record storage capacity for information system components that store audit records; list of organization-defined auditable events; information system configuration settings and associated documentation; information system audit records; other relevant documents or records].  **Test**: [*select from:* Audit record storage capacity and related configuration settings]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: AU-2, AU-3, AU-8, AU-14  concurrent controls: AU-5, AU-6, AU-7, AU-11, AU-12, 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-4.1.1.1** | | **Examine** procedures addressing audit record storage capacity, security plan, information system design documentation, or other relevant documents; [*reviewing*] for the audit record storage capacity to be allocated for the information system, and for the automated mechanisms and their configuration settings to be employed to allocate such capacity. |
| **AU-4.1.1.2** | | **Examine** documentation describing the current configuration settings for an-agreed upon [*basic*] sample of the automated mechanisms identified in AU-4.1.1.1; [*reviewing*] for evidence that these mechanisms are configured to allocate the audit record storage capacity identified in AU-4.1.1.1. |
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| **AU-4.1.2.1** | | **Examine** security plan, information system design documentation, or other relevant documents; [*reviewing*] for the automated mechanisms and their configuration settings to be employed to reduce the likelihood of the audit record storage capacity identified in AU-4.1.1.1 being exceeded. |
| **AU-4.1.2.2** | | **Examine** documentation describing the current configuration settings for an agreed-upon [*basic*] sample of the automated mechanisms identified in AU-4.1.2.1; [*reviewing*] for evidence that these mechanisms are configured as identified in AU-4.1.2.1. |
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