| **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-7** | AUDIT REDUCTION AND REPORT GENERATION | |
| **AU-7.1**  **AU-7.1.1** | **ASSESSMENT OBJECTIVE:**  *Determine if the information system provides an audit reduction and report generation capability.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Audit and accountability policy; procedures addressing audit reduction and report generation; information system design documentation; audit reduction, review, and reporting tools; information system audit records; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with information system audit review, analysis, and reporting responsibilities].  **Test**: [*select from:* Audit reduction and report generation capability]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: AU-2, AU-3, AU-8, AU-14  concurrent controls: AU-4, AU-5, AU-6, AU-11, AU-12, CM-6, IR-4, IR-5, IR-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-7.1.1.1** | | **Examine** procedures addressing audit reduction and report generation, security plan, information system design documentation, or other relevant documents; [*reviewing*] for the audit reduction and report generation capability, and the automated mechanisms and their configuration settings to be employed to provide this capability. |
| **AU-7.1.1.2** | | **Examine** documentation describing the current configuration settings for an-agreed upon [*basic*] sample of the automated mechanisms identified in AU-7.1.1.1; [*reviewing*] for evidence that these mechanisms are configured, as identified in AU-7.1.1.1, to support the capability identified in AU-7.1.1.1. |
| **AU-7.1.1.3** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel responsible for information system audit review, analysis, and reporting; conducting [*basic*] discussions for further evidence that the capability identified in AU-7.1.1.1 is being applied. |
| **AU-7.1.1.4** | | **Test** an agreed-upon [*basic*] sample of the automated mechanisms and their configuration settings identified in AU-7.1.1.1 that support the audit reduction and report generation capability identified in AU-7.1.1.1; conducting [*basic*] testing for evidence that the capability is operating as intended. |
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| **ASSESSMENT – Control Enhancement 1** | | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | | |
| **AU-7(1)** | | AUDIT REDUCTION AND REPORT GENERATION |
| **AU-7(1).1**  **AU-7(1).1.1** | | **ASSESSMENT OBJECTIVE:**  *Determine if the information system provides the capability to automatically process audit records for events of interest based on selectable event criteria.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Audit and accountability policy; procedures addressing audit reduction and report generation; information system design documentation; information system configuration settings and associated documentation; documented criteria for selectable events to audit; audit reduction, review, and reporting tools; information system audit records; other relevant documents or records].  **Test**: [*select from:* Audit reduction and report generation capability]. |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: AU-2, AU-3, AU-8, AU-14  concurrent controls: AU-4, AU-5, AU-6, AU-11, AU-12, CM-6, IR-4, IR-5, IR-6, SI-4  successor controls: None |
| **Action Step** | | **Potential Assessor Evidence Gathering Actions** |
| **AU-7(1).1.1.1** | | **Examine** security plan, information system design documentation, or other relevant documents; [*reviewing*] for the automated mechanisms and their configuration settings to be employed to automatically process audit records for events of interest based on selectable event criteria. |
| **AU-7(1).1.1.2** | | **Examine** documentation describing the current configuration settings for an agreed-upon [*basic*] sample of the automated mechanisms identified in AU-7(1).1.1.1; [*reviewing*] for evidence that these mechanisms are configured as identified in AU-7(1).1.1.1. |
| **AU-7(1).1.1.3** | | **Test** an agreed-upon [*basic*] sample of the automated mechanisms and their configuration settings identified in AU-7(1).1.1.1; conducting [*basic*] testing for evidence that these mechanisms are operating as intended. |