| **assessment case** | | |
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| ASSESSMENT – Base Control, Part 1 of 1 | | |
| Assessment Information from Special Publication 800-53A Rev. 1 (June 2010) | | |
| **CP-10** | INFORMATION SYSTEM RECOVERY AND RECONSTITUTION | |
| **CP-10.1**  **CP-10.1.1** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization provides automated mechanisms and/or manual procedures for the recovery and reconstitution of the information system to known state after a disruption, compromise, or failure.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan; procedures addressing information system recovery and reconstitution; information system configuration settings and associated documentation; information system design documentation; other relevant documents or records].  **Test**: [*select from:* Automated mechanisms and/or manual procedures for implementing information system recovery and reconstitution operations]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CP-4  concurrent controls: CP-2, CP-6, CP-7, CP-8, CP-9, SC-24, SI-13  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. |
| **CP-10.1.1.1** | | **Examine** procedures addressing information system recovery and reconstitution, contingency plan, information system design documentation, or other relevant documents; [*reviewing*] for the manual procedures and/or the automated mechanisms and their configuration settings to be employed for the recovery and reconstitution of the information system to a known state after a disruption, compromise, or failure. |
| **CP-10.1.1.2** | | **Examine** documentation describing the current configuration settings for anagreed-upon [*basic*]sample of automated mechanisms identified in CP-10.1.1; [*reviewing*] for evidence that these mechanisms are configured as identified in CP-10.1.1.1. |
| **CP-10.1.1.3** | | **Test** an agreed-upon [*basic*] sample of the automated mechanisms and/or manual procedures identified in CP-10.1.1.1; conducting [*basic*] testing for evidence that these mechanisms and/or manual procedures are operating as intended. |
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| **ASSESSMENT – Control Enhancement 1** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-10(1)** | INFORMATION SYSTEM RECOVERY AND RECONSTITUTION  [Withdrawn: Incorporated into CP-4(4)]. |
| **CP-10(1).1** | **ASSESSMENT OBJECTIVE:**  [Withdrawn: Incorporated into CP-4(4)].  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  [Withdrawn: Incorporated into CP-4(4)]. |
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| **ASSESSMENT – Control Enhancement 2** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-10(2)** | INFORMATION SYSTEM RECOVERY AND RECONSTITUTION |
| **CP-10(2).1**  **CP-10(2).1.1** | **ASSESSMENT OBJECTIVE:**  *Determine if the information system implements transaction recovery for systems that are transaction-based.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan; procedures addressing information system recovery and reconstitution; information system design documentation; information system configuration settings and associated documentation; contingency plan test results; other relevant documents or records].  **Test**: [*select from:* Automated mechanisms implementing transaction recovery capability]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CP-4  concurrent controls: CP-2, CP-6, CP-7, CP-8, CP-9, SC-24, SI-13  successor controls: None |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-10(2).1.1.1** | **Examine** contingency planning policy, procedures addressing information system recovery and reconstitution, contingency plan, information system design documentation, or other relevant documents; [*reviewing*] for the system components that are transaction-based and the measures (including automated mechanisms and their configuration settings) to be employed for transaction recovery of these system components.  Note to assessor: The control and corresponding assessor actions are applicable to the extent that the information system is transaction-based. |
| **CP-10(2).1.1.2** | **Examine** documentation describing the current configuration settings for anagreed-upon [*basic*]sample of automated mechanisms identified in CP-10(2).1.1.1; [*reviewing*] for evidence that these mechanisms are configured as identified in CP-10(2).1.1.1. |
| **CP-10(2).1.1.3** | **Examine** contingency plan test results, transaction recovery records, or other relevant documents for an agreed-upon [*basic*] sample of system components that are transaction-based as identified in CP-10(2).1.1.1; [*reviewing*] for evidence that the measures identified in CP-10(2).1.1.1 are being applied. |
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| **ASSESSMENT – Control Enhancement 3** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-10(3)** | INFORMATION SYSTEM RECOVERY AND RECONSTITUTION |
| **CP-10(3).1**  **CP-10(3).1.1**  **CP-10(3).1.2** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization defines in the security plan, explicitly or by reference, the circumstances that can inhibit recovery and reconstitution of the information system to a known state; and* 2. *the organization provides compensating security controls for organization-defined circumstances that can inhibit recovery and reconstitution of the information system to a known state.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan; procedures addressing information system recovery and reconstitution; contingency plan test procedures; security plan; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with information system recovery and reconstitution responsibilities]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CP-4  concurrent controls: CP-2, CP-6, CP-7, CP-8, CP-9, SC-24, SI-13  successor controls: None |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-10(3).1.1.1** | **Examine** procedures addressing information system recovery and reconstitution, contingency plan, or other relevant documents; [*reviewing*] for the circumstances that can inhibit recovery and reconstitution of the information system to a known state. |
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| **CP-10(3).1.2.1** | **Examine** procedures addressing information system recovery and reconstitution, contingency plan, or other relevant documents; [*reviewing*] for the compensating security controls to be provided for the circumstances identified in CP- 10(3).1.1.1. |
| **CP-10(3).1.2.2** | **Interview** an agreed-upon [*basic*] sample of organizational personnel responsible for information system recovery and reconstitution; conducting [*basic*] discussions for evidence that the compensating controls identified in CP-10(3)1.2.1 are provided for the circumstances identified in CP-10(3).1.1.1. |
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| **ASSESSMENT – Control Enhancement 4** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-10(4)** | INFORMATION SYSTEM RECOVERY AND RECONSTITUTION |
| **CP-10(4).1**  **CP-10(4).1.1**  **CP-10(4).1.2** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization defines the time-periods within which information system components must be reimaged from configuration-controlled and integrity-protected disk images representing a secure, operational state for the components; and* 2. *the organization provides the capability to reimage information system components, within organization-defined time-periods, from configuration-controlled and integrity-protected disk images representing a secure, operational state for the components.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan; procedures addressing information system recovery and reconstitution; information system design documentation; information system configuration settings and associated documentation; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with information system recovery and reconstitution responsibilities]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CM-2, CM-3, CM-9, CP-4  concurrent controls: CP-2, CP-6, CP-7, CP-8, CP-9, SC-24, SI-13  successor controls: None |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-10(4).1.1.1** | **Examine** contingency planning policy, procedures addressing information system recovery and reconstitution, contingency plan, or other relevant documents; [*reviewing*] for the time periods within which information system components must be reimaged from configuration-controlled and integrity-protected disk images representing a secure, operational state for the components. |
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| **CP-10(4).1.2.1** | **Examine** contingency planning policy, procedures addressing information system recovery and reconstitution, contingency plan, information system design documentation, or other relevant documents; [*reviewing*] for the configuration-controlled and integrity-protected disk images that support or provide the capability to reimage information system components to a secure, operational state within the time periods identified in CP-10(4).1.1.1. |
| **CP-10(4).1.2.2** | **Examine** contingency plan test/exercise results for an agreed-upon [*basic*] sample of disk images identified in CP-10(4).1.2.1; [*reviewing*] for evidence that the capability to reimage information system components is being provided as identified in CP-10(4).1.2.1. |
| **CP-10(4).1.2.3** | **Interview** an agreed-upon [*basic*] sample of organizational personnel responsible for information system recovery and reconstitution; conducting [*basic*] discussions for evidence that the organization provides the capability to reimage information system components within the time periods identified in CP-10(4).1.1.1. |
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| **ASSESSMENT – Control Enhancement 5** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-10(5)** | INFORMATION SYSTEM RECOVERY AND RECONSTITUTION |
| **CP-10(5).1**  **CP-10(5).1.1**  **CP-10(5).1.2** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization defines the type of failover capability for the information system (including whether the capability will be real-time or near real-time); and* 2. *the organization provides the organization-defined failover capability for the information system.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan; procedures addressing information system recovery and reconstitution; security plan; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with information system recovery and reconstitution responsibilities].  **Test**: [*select from:* Failover capability for the information system]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CP-4  concurrent controls: CP-2, CP-6, CP-7, CP-8, CP-9, SC-24, SI-13  successor controls: None |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-10(5).1.1.1** | **Examine** contingency planning policy, procedures addressing information system recovery and reconstitution, contingency plan, or other relevant documents; [*reviewing*] for the type of failover capability to be provided for the information system (including whether the capability will be real-time or near real-time). |
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| **CP-10(5).1.2.1** | **Examine** contingency plan test/exercise results of the failover capability for the information system; [*reviewing*] for evidence that the capability identified in CP-10(5).1.1.1 is being provided. |
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| **ASSESSMENT – Control Enhancement 6** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-10(6)** | INFORMATION SYSTEM RECOVERY AND RECONSTITUTION |
| **CP-10(6).1**  **CP-10(6).1.1** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization protects backup and restoration hardware, firmware, and software.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan; procedures addressing information system recovery and reconstitution; location(s) of backup and restoration hardware, firmware, and software; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with information system recovery and reconstitution responsibilities]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CP-4  concurrent controls: CP-2, CP-6, CP-7, CP-8, CP-9, SC-24, SI-13  successor controls: None |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-10(6).1.1.1** | **Examine** contingency planning policy, procedures addressing information system recovery and reconstitution, contingency plan, information system documentation, or other relevant documents; [*reviewing*] for the measures (including automated mechanisms and their configuration settings) to be employed to protect backup and restoration hardware, firmware, and software. |
| **CP-10(6).1.1.2** | **Examine** documentation describing the current configuration settings for an agreed-upon [*basic*] sample of automated mechanisms identified in CP-10(6).1.1.1; [*reviewing*] for evidence that these mechanisms are configured as identified in CP-10(6).1.1.1 |
| **CP-10(6).1.1.3** | **Examine** backup storage location(s); [*observing*] for evidence that the measures identified in CP-10(6).1.1.1 are being applied. |
| **CP-10(6).1.1.4** | **Interview** an agreed-upon [*basic*] sample of organizational personnel responsible for information system recovery and reconstitution; conducting [*basic*] discussions for further evidence that the measures identified in CP-10(6).1.1.1 are being applied. |
| **CP-10(6).1.1.5** | **Test** an agreed-upon [*basic*] sample of the automated mechanisms and their configuration settings identified in CP-10(6).1.1.1; conducting [*basic*] testing for evidence that these mechanisms are operating as intended. |