| **assessment case** | | |
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| ASSESSMENT – Base Control, Part 1 of 2 | | |
| Assessment Information from Special Publication 800-53A Rev. 1 (June 2010) | | |
| **CP-2** | CONTINGENCY PLAN | |
| **CP-2.1**  **CP-2.1.1**  **CP-2.1.1a**  **CP-2.1.1b**  **CP-2.1.1c**  **CP-2.1.1d**  **CP-2.1.1e**  **CP-2.1.1f**  **CP-2.1.2**  **CP-2.1.3** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization develops a contingency plan for the information system that:*    * *identifies essential missions and business functions and associated contingency requirements;*    * *provides recovery objectives, restoration priorities, and metrics;*    * *addresses contingency roles, responsibilities, assigned individuals with contact information;*    * *addresses maintaining essential missions and business functions despite an information system disruption, compromise, or failure; and*    * *addresses eventual, full information system restoration without deterioration of the security measures originally planned and implemented; and*    * *is reviewed and approved by designated officials within the organization;* 2. *the organization defines key contingency personnel (identified by name and/or by role) and organizational elements designated to receive copies of the contingency plan; and* 3. *the organization distributes copies of the contingency plan to organization-defined key contingency personnel and organizational elements.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; procedures addressing contingency operations for the information system; contingency plan; security plan; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with contingency planning and plan implementation responsibilities]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: CP-6, CP-7, CP-8, CP-10, SC-24, SI-13  successor controls: CP-3, CP-4, CP-9 |

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| **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-2.1.1.1** | | **Examine** information system documentation; [*reviewing*] for a contingency plan for the information system. |
| **CP-2.1.1.2**  **CP-2.1.1.2.a**  **CP-2.1.1.2.b**  **CP-2.1.1.2.c**  **CP-2.1.1.2.d**  **CP-2.1.1.2.e**  **CP-2.1.1.2.f** | | **Examine** contingency plan; [*reviewing*] for evidence that the plan:   * + identifies essential missions and business functions and associated contingency requirements;   + provides recovery objectives, restoration priorities, and metrics;   + addresses contingency roles, responsibilities, assigned individuals with contact information;   + addresses maintaining essential missions and business functions despite an information system disruption, compromise, or failure; and   + addresses eventual, full information system restoration without deterioration of the security measures originally planned and implemented; and   + is reviewed and approved by designated officials within the organization. |
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| **CP-2.1.2.1** | | **Examine** contingency planning policy, procedures addressing contingency operations, contingency plan, or other relevant documents; [*reviewing*] for the key contingency personnel (identified by name and/or by role) and organizational elements designated to receive copies of the contingency plan. |
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| **CP-2.1.3.1** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel and organizational elements identified in CP-2.1.2.1; conducting [*basic*] discussions for evidence that these individuals received copies of the contingency plan. |
| ASSESSMENT – Base Control, Part 2 of 2 | | |
| **CP-2.2**  **CP-2.2.1**  **CP-2.2.2**  **CP-2.2.3**  **CP-2.2.4**  **CP-2.2.5** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization coordinates contingency planning activities with incident handling activities:* 2. *the organization defines the frequency of contingency plan reviews;* 3. *the organization reviews the contingency plan for the information system in accordance with the organization-defined frequency;* 4. *the organization revises the contingency plan to address changes to the organization, information system, or environment of operation and problems encountered during contingency plan implementation, execution or testing; and* 5. *the organization communicates contingency plan changes to the key contingency personnel and organizational elements as identified in CP-2.1 (ii).*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; procedures addressing contingency operations for the information system; contingency plan; security plan; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with contingency planning and plan implementation responsibilities; organizational personnel with incident handling responsibilities]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: CP-6, CP-7, CP-8, CP-10, IR-4, SC-24, SI-13  successor controls: CP-3, CP-4, CP-9 |
| **Action Step** | | **Potential Assessor Evidence Gathering Actions** |
| **CP-2.2.1.1** | | **Examine** contingency planning policy, incident response policy, procedures addressing contingency operations, procedures addressing incident handling, contingency plan, incident response plan, or other relevant documents; [*reviewing*] for the measures to be employed to coordinate contingency planning activities with incident handling activities. |
| **CP-2.2.1.2** | | **Examine** an agreed-upon [*basic*] sample of meeting minutes, meeting agendas, status reports, or other relevant documents associated with coordinating contingency planning and incident handling activities; [*reviewing*] for evidence that the measures identified in CP-2.2.1.1 are being applied. |
| **CP-2.2.1.3** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel with contingency planning responsibilities and organizational personnel with incident handling responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in CP-2.2.1.1 are being applied to coordinate contingency planning activities with incident handling activities. |
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| **CP-2.2.2.1** | | **Examine** contingency planning policy, procedures addressing contingency operations, contingency plan, or other relevant documents; [*reviewing*] for the frequency of contingency plan reviews. |
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| **CP-2.2.3.1** | | **Examine** contingency plan and other relevant documents resulting from contingency plan reviews; [*reviewing*] for evidence that the plan is reviewed in accordance with the frequency identified in CP-2.2.2.1. |
| **CP-2.2.4.1** | | **Examine** contingency planning policy, procedures addressing contingency operations, contingency plan, or other relevant documents; [*reviewing*] for the measures to be employed to revise the contingency plan to address changes to the organization, information system, or environment of operation and any problems encountered during contingency plan implementation, execution, or testing. |
| **CP-2.2.4.2** | | **Examine** contingency plan and an agreed-upon [*basic*] sample of change control records addressing contingency plan revisions from changes to the organization, information system, or environment of operation; [*reviewing*] for evidence that the measures identified in CP-2.2.4.1 are being applied.  Note to assessor: Change control records addressing contingency plan revisions may be maintained in the contingency plan, or maintained in change management software or document management software used by the organization. |
| **CP-2.2.4.3** | | **Examine** contingency plan and an agreed-upon [*basic*] sample of change control records addressing contingency plan revisions from problems encountered during contingency plan implementation, execution, or testing; [*reviewing*] for evidence that the measures identified in CP-2.2.4.1 are being applied. |
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| **CP-2.2.5.1** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel and organizational elements identified in CP-2.1.2.1; conducting [*basic*] discussions for further evidence that contingency plan changes are communicated to key contingency personnel and organizational elements. |
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| **ASSESSMENT – Control Enhancement 1** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-2(1)** | CONTINGENCY PLAN |
| **CP-2(1).1**  **CP-2(1).1.1** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization coordinates the contingency plan development with other organizational elements responsible for related plans.*  **Examine**: [*select from:* Contingency planning policy; procedures addressing contingency operations for the information system; contingency plan; other related plans; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with contingency planning and plan implementation responsibilities and responsibilities in related plan areas]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: CP-6, CP-7, CP-8, CP-10, IR-4, PM-8, SC-24, SI-13  successor controls: CP-3, CP-4, CP-9 |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-2(1).1.1.1** | **Examine** contingency planning policy, procedures addressing contingency operations, contingency plan, or other relevant documents; [*reviewing*] for the measures to be employed to coordinate contingency plan development with other organizational elements responsible for related plans. |
| **CP-2(1).1.1.2** | **Examine** an agreed-upon [*basic*] sample of meeting minutes, meeting agendas, status reports, or other relevant documents associated with coordinating contingency plan development with related plans; [*reviewing*] for evidence that the measures identified in CP-2(1).1.1.1 are being applied. |
| **CP-2(1).1.1.3** | **Interview** an agreed-upon [*basic*] sample of organizational personnel with contingency plan development responsibilities and organizational personnel with responsibilities in related plan areas; conducting [*basic*] discussions for further evidence that the measures identified in CP-2(1).1.1.1 are being applied to coordinate contingency plan development with other organizational elements responsible for related plans. |
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| **ASSESSMENT – Control Enhancement 2** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-2(2)** | CONTINGENCY PLAN |
| **CP-2(2).1**  **CP-2(2).1.1** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization conducts capacity planning so that necessary capacity for information processing, telecommunications, and environmental support exists during contingency operations.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; procedures addressing contingency operations for the information system; contingency plan; capacity planning documents; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with contingency planning and plan implementation responsibilities]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: CP-6, CP-7, CP-8, CP-10, SC-24, SI-13  successor controls: CP-3, CP-4, CP-9 |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-2(2).1.1.1** | **Examine** contingency planning policy, procedures addressing contingency operations, contingency plan, or other relevant documents; [*reviewing*] for the measures to be employed to conduct capacity planning so that necessary capacity for information processing, telecommunications, and environmental support exists during contingency operations. |
| **CP-2(2).1.1.2** | **Examine** an agreed-upon [*basic*] sample of capacity planning documentation for the information system; [*reviewing*] for evidence that the measures identified in CP-2(2).1.1.1 are being applied. |
| **CP-2(2).1.1.3** | **Interview** an agreed-upon [*basic*] sample of organizational personnel with capacity planning responsibilities for the information system; conducting [*basic*] discussions for further evidence that the measures identified in CP-2(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-2(3)** | CONTINGENCY PLAN |
| **CP-2(3).1**  **CP-2(3).1.1**  **CP-2(3).1.2** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization defines the time period for planning the resumption of essential missions and business functions as a result of contingency plan activation; and* 2. *the organization plans for the resumption of essential missions and business function within organization-defined time period of contingency plan activation.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; procedures addressing contingency operations for the information system; contingency plan; security plan; business impact assessment; other related plans; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with contingency planning and plan implementation responsibilities]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: CP-6, CP-7, CP-8, CP-10, SC-24, SI-13  successor controls: CP-3, CP-4, CP-9 |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-2(3).1.1.1** | **Examine** contingency planning policy, procedures addressing contingency operations, contingency plan, or other relevant documents; [*reviewing*] for the time period for planning the resumption of essential missions and business functions as a result of contingency plan activation. |
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| **CP-2(3).1.2.1** | **Examine** contingency planning policy, procedures addressing contingency operations, contingency plan, or other relevant documents; [*reviewing*] for the measures to be employed to plan for the resumption of essential missions and business functions upon contingency plan activation within the time period identified in CP- 2(3).1.1.1. |
| **CP-2(3).1.2.2** | **Examine** an agreed-upon [*basic*] sample of business impact assessments, alternate processing site agreements, reciprocal agreements, alternate storage site agreements, or other relevant documents; [*reviewing*] for evidence that the measures identified in CP-2(3).1.2.1 are being applied. |
| **CP-2(3).1.2.3** | **Interview** an agreed-upon [*basic*] sample of organizational personnel with contingency plan development and implementation responsibilities; conducting [*basic*]discussions for further evidence that the measures identified in CP-2(3).1.2.1 are being applied. |
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| **ASSESSMENT – Control Enhancement 4** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-2(4)** | CONTINGENCY PLAN |
| **CP-2(4).1**  **CP-2(4).1.1**  **CP-2(4).1.2** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization defines the time period for planning the full resumption of affected missions and business functions as a result of contingency plan activation; and* 2. *the organization plans for the full resumption of affected missions and business functions within organization-defined time period of contingency plan activation.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; procedures addressing contingency operations for the information system; contingency plan; security plan; business impact assessment; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with contingency planning and plan implementation responsibilities]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: CP-6, CP-7, CP-8, CP-10, SC-24, SI-13  successor controls: CP-3, CP-4, CP-9 |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-2(4).1.1.1** | **Examine** contingency planning policy, procedures addressing contingency operations, contingency plan, or other relevant documents; [*reviewing*] for the time period for planning the full resumption of affected missions and business functions as a result of contingency plan activation. |
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| **CP-2(4).1.2.1** | **Examine** contingency planning policy, procedures addressing contingency operations, contingency plan, or other relevant documents; [*reviewing*] for the measures to be employed to plan for the full resumption of affected missions and business functions upon contingency plan activation within the time period identified in CP- 2(4).1.1.1. |
| **CP-2(4).1.2.2** | **Examine** an agreed-upon [*basic*] sample of business impact assessments, alternate processing site agreements, reciprocal agreements, alternate storage site agreements, or other relevant documents; [*reviewing*] for evidence that the measures identified in CP-2(4).1.2.1 are being applied. |
| **CP-2(4).1.2.3** | **Interview** an agreed-upon [*basic*] sample of organizational personnel with contingency plan development and implementation responsibilities; conducting [*basic*]discussions for further evidence that the measures identified in CP-2(4).1.2.1 are being applied. |
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| **ASSESSMENT – Control Enhancement 5** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-2(5)** | CONTINGENCY PLAN |
| **CP-2(5).1**  **CP-2(5).1.1**  **CP-2(5).1.2** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization plans for the continuance of essential missions and business functions with little or no loss of operational continuity; and* 2. *the organization sustains operational continuity until full information system restoration at primary processing and/or storage sites.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; procedures addressing contingency operations for the information system; contingency plan; business impact assessment; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with contingency planning and plan implementation responsibilities]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: CP-6, CP-7, CP-8, CP-10, SC-24, SI-13  successor controls: CP-3, CP-4, CP-9 |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-2(5).1.1.1** | **Examine** contingency planning policy, procedures addressing contingency operations, contingency plan, or other relevant documents; [*reviewing*] for the measures to be employed to plan for the continuance of essential missions and business functions with little or no loss of operational continuity. |
| **CP-2(5).1.1.2** | **Examine** an agreed-upon [*basic*] sample of business impact assessments, hot site agreements, service level agreements, reciprocal agreements, alternate storage site agreements, or other relevant documents; [*reviewing*] for evidence that the measures identified in CP-2(5).1.1.1 are being applied. |
| **CP-2(5).1.1.3** | **Interview** an agreed-upon [*basic*] sample of organizational personnel with contingency plan development and implementation responsibilities; conducting [*basic*]discussions for further evidence that the measures identified in CP-2(5).1.1.1 are being applied. |
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| **CP-2(5).1.2.1** | **Examine** contingency plan, procedures addressing contingency operations, contingency plan, or other relevant documents; [*reviewing*] for the measures to be employed to sustain operational continuity until full information system restoration at a primary processing and/or storage sites. |
| **CP-2(5).1.2.2** | **Examine** results for an agreed-upon [*basic*] sample of contingency plan tests/exercises conducted for the information system; [*reviewing*] for evidence that the measures identified in CP-2(5).1.2.1 are being applied. |
| **CP-2(5).1.2.3** | **Examine** results for an agreed-upon [*basic*] sample of activities associated with recovery and reconstitution of the information system; [*reviewing*] for evidence that the measures identified in CP-2(5).1.2.1 are being applied. |
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| **ASSESSMENT – Control Enhancement 6** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-2(6)** | CONTINGENCY PLAN |
| **CP-2(6).1**  **CP-2(6).1.1**  **CP-2(6).1.2** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization provides for the transfer of all essential missions and business functions to alternate processing and/or storage sites with little or no loss of operational continuity; and* 2. *the organization sustains operational continuity through restoration to primary processing and/or storage sites.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; procedures addressing contingency operations for the information system; contingency plan; alternate processing site agreements; alternate storage site agreements; contingency plan testing and/or exercise documentation; contingency plan test results; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with contingency planning and plan implementation responsibilities]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: NONE  concurrent controls: CP-6, CP-7, CP-8, CP-10, SC-24, SI-13  successor controls: CP-3, CP-4, CP-9 |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-2(6).1.1.1** | **Examine** contingency planning policy, procedures addressing contingency operations, contingency plan, or other relevant documents; [*reviewing*] for the measures to be employed to provide for the transfer of all essential missions and business functions to alternate processing and/or storage sites with little or no loss of operational continuity. |
| **CP-2(6).1.1.2** | **Examine** an agreed-upon [*basic*] sample of alternate processing site agreements, service level agreements, reciprocal agreements, alternate storage site agreements, or other relevant documents; [*reviewing*] for evidence that the measures identified in CP-2(6).1.1.1 are being applied. |
| **CP-2(6).1.1.3** | **Interview** an agreed-upon [*basic*] sample of organizational personnel with contingency plan development and implementation responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in CP-2(6)1.1.1 are being applied. |
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| **CP-2(6).1.2.1** | **Examine** contingency planning policy, procedures addressing contingency operations, contingency plan, or other relevant documents; [*reviewing*] for the measures to be employed to sustain operational continuity through restoration to primary processing and/or storage sites. |
| **CP-2(6).1.2.2** | **Examine** results from an agreed-upon [*basic*] sample of contingency plan tests/exercises conducted for the information system; [*reviewing*] for evidence that the measures identified in CP-2(6).1.2.1 are being applied. |
| **CP-2(6).1.2.3** | **Example** results from an agreed-upon [*basic*] sample of activities associated with recovery and reconstitution of the information system; [*reviewing*] for evidence that the measures identified in CP-2(6).1.2.1 are being applied. |