| **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-4** | CONTINGENCY PLAN TESTING AND EXERCISES | |
| **CP-4.1**  **CP-4.1.1**  **CP-4.1.2**  **CP-4.1.3**  **CP-4.1.4** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization defines the contingency plan tests and/or exercises to be conducted;* 2. *the organization defines the frequency of contingency plan tests and/or exercises;* 3. *the organization tests/exercises the contingency plan using organization-defined tests/exercises in accordance with organization-defined frequency; and* 4. *the organization reviews the contingency plan test/exercise results and takes corrective actions.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan, procedures addressing contingency plan testing and exercises; security plan; contingency plan testing and/or exercise documentation; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with responsibilities for reviewing or responding to contingency plan tests/exercises]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CP-2  concurrent controls: CP-3, CP-9  successor controls: CP-10, SC-24, SI-13 |
| **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-4.1.1.1** | | **Examine** contingency planning policy, procedures addressing contingency plan testing/exercises, contingency plan, or other relevant documents; [*reviewing*] for the contingency plan tests/exercises to be conducted for the information system. |
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| **CP-4.1.2.1** | | **Examine** contingency planning policy, procedures addressing contingency plan testing/exercises, contingency plan, or other relevant documents; [*reviewing*] for the frequency of contingency plan tests/exercises. |
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| **CP-4.1.3.1** | | **Examine** an agreed-upon [*basic*] sample of contingency plan tests/exercises conducted for the information system; [*reviewing*] for evidence that the organization tests/exercises the contingency plan using the tests/exercises identified in CP-4.1.1.1, in accordance with the frequency identified in CP-4.1.2.1, to determine the plan’s effectiveness and the organization’s readiness to execute the plan. |
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| **CP-4.1.4.1** | | **Examine** contingency planning policy, procedures addressing contingency plan testing/exercises, contingency plan, or other relevant documents; [*reviewing*] for the measures to be employed to review the contingency plan test/exercise results and to initiate any corrective actions needed to improve the plan’s effectiveness and the organization’s readiness to execute the plan. |
| **CP-4.1.4.2** | | **Examine** review documentation for an agreed-upon [*basic*] sample of contingency plan test/exercise results; [*reviewing*] for evidence that the measures identified in CP-4.1.4.1 are being applied to review contingency plan test/exercise results and any corrective actions needed. |
| **CP-4.1.4.3** | | **Examine** corrective action plan or other relevant documents associated with an agreed-upon [*basic*] sample of corrective actions identified in CP-4.1.4.2; [*reviewing*] for evidence that the measures identified in CP-4.1.4.1 are being applied to initiate corrective actions. |
| **CP-4.1.4.4** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel with responsibility for reviewing or responding to contingency plan test/exercise results; conducting [*basic*] discussions for further evidence that the measures identified in CP-4.1.4.1 are being applied. |
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| **ASSESSMENT – Control Enhancement 1** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-4(1)** | CONTINGENCY PLAN TESTING AND EXERCISES |
| **CP-4(1).1**  **CP-4(1).1.1** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization coordinates contingency plan testing and/or exercises with organizational elements responsible for related plans.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan; procedures addressing contingency plan testing and exercises; contingency plan testing and/or exercise documentation; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with contingency planning, plan implementation, and testing responsibilities; organizational personnel with responsibilities for related plans]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CP-2  concurrent controls: CP-3, CP-9, IR-4, PM-8  successor controls: CP-10, SC-24, SI-13 |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-4(1).1.1.1** | **Examine** contingency planning policy, procedures addressing contingency plan testing/exercises, contingency plan, or other relevant documents; [*reviewing*] for the measures to be employed to coordinate contingency plan testing/exercises with organizational elements responsible for related plans. |
| **CP-4(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 testing/exercises with related plans; [*reviewing*] for evidence that the measures identified in CP-4(1).1.1.1 are being applied. |
| **CP-4(1).1.1.3** | **Interview** an agreed-upon [*basic*] sample of organizational personnel with contingency plan testing responsibilities and organizational personnel with responsibilities in related plan areas; conducting [*basic*] discussions for further evidence that the measures identified in CP-4(1).1.1.1 are being applied to coordinate contingency plan testing/exercises with 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-4(2)** | CONTINGENCY PLAN TESTING AND EXERCISES |
| **CP-4(2).1**  **CP-4(2).1.1** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization conducts contingency plan testing/exercises at the alternate processing site to familiarize contingency personnel with the facility and available resources and to evaluate the site’s capabilities to support contingency operations.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan, procedures addressing contingency plan testing and exercises; contingency plan testing and/or exercise documentation; contingency plan test results; other relevant documents or records]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CP-2  concurrent controls: CP-3, CP-9  successor controls: CP-10, SC-24, SI-13 |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-4(2).1.1.1** | **Examine** contingency planning policy, procedures addressing contingency plan testing/exercises, alternate processing site agreement, contingency plan, or other relevant documents; [*reviewing*] for the measures to be employed to conduct contingency plan testing/exercises at the alternate processing site to familiarize contingency personnel with the facility and available resources, and to evaluate the site’s capabilities to support contingency operations. |
| **CP-4(2).1.1.2** | **Examine** results for an agreed-upon [*basic*] sample of contingency plan tests/exercises conducted at the alternate processing site; [*reviewing*] for evidence that the measures identified in CP-4(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-4(3)** | **CONTINGENCY PLAN TESTING AND EXERCISES** |
| **CP-4(3).1**  **CP-4(3).1.1** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization employs automated mechanisms to more thoroughly and effectively test/exercise the contingency plan by providing more complete coverage of contingency issues, selecting more realistic test/exercise scenarios and environments, and more effectively stressing the information system and supported missions.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan; procedures addressing contingency plan testing and exercises; automated mechanisms supporting contingency plan testing/exercises; contingency plan testing and/or exercise documentation; other relevant documents or records]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CP-2  concurrent controls: CP-3, CP-9  successor controls: CP-10, SC-24, SI-13 |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-4(3).1.1.1** | **Examine** contingency plan, information system design documentation, or other relevant documents; [*reviewing*] for the automated mechanisms and their configuration settings to be employed to more thoroughly and effectively test/exercise the contingency plan. |
| **CP-4(3).1.1.2** | **Examine** documentation describing the current configuration settings for an agreed-upon [*basic*] sample of the automated mechanisms identified in CP-4(3).1.1.1; [*reviewing*] for evidence that these mechanisms are configured as identified in CP-4(3).1.1.1. |
| **CP-4(3).1.1.3** | **Interview** agreed-upon [*basic*] sample of organizational personnel with contingency plan test/exercise responsibilities; conducting [*basic*] discussions for evidence that the mechanisms identified in CP-4(3).1.1.1 more thoroughly and effectively test/exercise the contingency plan by providing more complete coverage of contingency issues, selecting more realistic test/exercise scenarios and environments, and more effectively stressing the information system and supported missions. |
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| **ASSESSMENT – Control Enhancement 4** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **CP-4(4)** | **CONTINGENCY PLAN TESTING AND EXERCISES** |
| **CP-4(4).1**  **CP-4(4).1.1** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization includes a full recovery and reconstitution of the information system to a known state as part of contingency plan testing.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Contingency planning policy; contingency plan; procedures addressing information system recovery and reconstitution; contingency plan testing and/or exercise documentation; contingency plan test results; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with information system recovery and reconstitution responsibilities; organizational personnel with contingency plan testing and/or exercise responsibilities]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: CP-2  concurrent controls: CP-3, CP-9  successor controls: CP-10, SC-24, SI-13 |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **CP-4(4).1.1.1** | **Examine** contingency planning policy, procedures addressing contingency plan testing/exercises, procedures addressing information system recovery and reconstitution, contingency plan, or other relevant documents; [*reviewing*] for the requirement and measures to be employed to include a full recovery and reconstitution of the information system to a known state as part of contingency plan testing. |
| **CP-4(4).1.1.2** | **Examine** results for an agreed-upon [*basic*] sample of contingency plan tests/exercises conducted as a full recovery and reconstitution of the information system to a known state; [*reviewing*] for evidence that the measures identified in CP-4(4).1.1.1 are being applied. |