| **assessment case** | | |
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| ASSESSMENT – Base Control, Part 1 of 2 | | |
| Assessment Information from Special Publication 800-53A Rev. 1 (June 2010) | | |
| **PE-2** | PHYSICAL ACCESS AUTHORIZATIONS | |
| **PE-2.1**  **PE-2.1.1**  **PE-2.1.2**  **PE-2.1.3** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization identifies areas within the facility that are publicly accessible;* 2. *the organization develops and keeps current lists of personnel with authorized access to the facility where the information system resides (except for those areas within the facility officially designated as publicly accessible); and* 3. *the organization issues authorization credentials (e.g., badges, identification cards, smart cards).*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Physical and environmental protection policy; procedures addressing physical access authorizations; authorized personnel access list; authorization credentials; list of areas that are publicly accessible; other relevant documents or records]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: CM-5, MA-2, MA-3, MA-4, MA-5, MP-2, MP-4, PE-3, PE-4, PE-5, PE-7,  PE-8, PS-4, PS-5  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. |
| **PE-2.1.1.1** | | **Examine** physical and environmental protection policy, procedures addressing physical access authorizations, security plan, or other relevant documents; [*reviewing*] for the areas within the facility that are publicly accessible. |
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| **PE-2.1.2.1** | | **Examine** physical and environmental protection policy, procedures addressing physical access authorizations, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to develop and keep current lists of personnel with authorized access to the facility where the information system resides (except for the areas identified in PE-2.1.1.1). |
| **PE-2.1.2.2** | | **Examine** an agreed-upon [*basic*] sample of authorized personnel access lists; [*reviewing*] for evidence that the measures identified in PE-2.1.2.1 are being applied. |
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| **PE-2.1.3.1** | | **Examine** physical and environmental protection policy, procedures addressing physical access authorizations, security plan, or other relevant documents; [*reviewing*] for the types of authorization credentials to be issued by the organization and the measures to be employed to issue the credentials to authorized personnel. |
| **PE-2.1.3.2** | | **Examine** physical authorization credentials for an agreed-upon [*basic*] sample of authorized personnel; [*reviewing*] for evidence that the measures identified in PE-2.1.3.1 are being applied. |
| **PE-2.1.3.3** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel with physical access authorization responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in PE-2.1.3.1 are being applied to issue authorization credentials to authorized personnel. |
| ASSESSMENT – Base Control, Part 2 of 2 | | |
| **PE-2.2**  **PE-2.2.1**  **PE-2.2.2**  **PE-2.2.3** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization defines the frequency for review and approval of the physical access list and authorization credentials for the facility;* 2. *organization reviews and approves the access list and authorization credentials in accordance with the organization-defined frequency; and* 3. *the organization removes from the access list personnel no longer requiring access.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Physical and environmental protection policy; procedures addressing physical access authorizations; security plan; authorized personnel access list; authorization credentials; other relevant documents or records]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: CM-5, MA-2, MA-3, MA-4, MA-5, MP-2, MP-4, PE-3, PE-4, PE-5, PE-7,  PE-8, PS-4, PS-5  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\*\*** |
| **PE-2.2.1.1** | | **Examine** physical and environmental protection policy, procedures addressing physical access authorizations, security plan, or other relevant documents; [*reviewing*] for the frequency for reviewing and approving physical access lists and authorization credentials for the facility. |
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| **PE-2.2.2.1** | | **Examine** physical and environmental protection policy, procedures addressing physical access authorizations, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to review and approve the access lists and authorization credentials in accordance with the frequency identified in PE-2.2.1.1. |
| **PE-2.2.2.2** | | **Examine** physical access reviews and approvals for an agreed-upon [*basic*] sample of authorized personnel access lists and authorization credentials; [*reviewing*] for evidence that the measures identified in PE-2.2.2.1 are being applied. |
| **PE-2.2.2.3** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel with physical access authorization responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in PE-2.2.2.1 are being applied. |
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| **PE-2.2.3.1** | | **Examine** physical and environmental protection policy, procedures addressing physical access authorizations, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to remove personnel from the access list who no longer require access as a result of the measures identified in PE-2.2.2.1 to review and approve access lists and authorization credentials.  Note to assessor: The measures identified in PE-2.2.2.1 may include, for example, a checklist of documentation required to identify personnel no longer requiring access to the facility. Examples of such documentation may include employment status reports, termination records, transfer records, and property clearance records. |
| **PE-2.2.3.2** | | **Examine** physical access reviews and approvals identified in PE-2.2.2.2; [*reviewing*] for the personnel identified as no longer requiring access to the facility.  Note to assessor: Execution of this assessor action depends on the organization having explicitly identified personnel no longer requiring access to the facility. |
| **PE-2.2.3.3** | | **Examine** current authorized personnel access lists; [*reviewing*] for evidence that the personnel identified in PE-2.2.3.2 were removed from the access lists, and that the measures identified in PE-2.2.3.1 are being applied.  Note to assessor: Execution of this assessor action depends on the organization having explicitly identified personnel no longer requiring access to the facility. |
| **PE-2.2.3.4** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel with physical access authorization responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in PE-2.2.3.1 are being applied.  Note to assessor: Execution of this assessor action depends on the organization having explicitly identified personnel no longer requiring access to the facility. |
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| **ASSESSMENT – Control Enhancement 1** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **PE-2(1)** | PHYSICAL ACCESS AUTHORIZATIONS |
| **PE-2(1).1**  **PE-2(1).1.1**  **PE-2(1).1.2** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization identifies personnel positions or roles authorized for physical access to the facility where the information system resides; and* 2. *the organization authorizes physical access to the facility where the information system resides based on position or role.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Physical and environmental protection policy; procedures addressing physical access authorizations; physical access control logs or records; information system entry and exit points; other relevant documents or records]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: CM-5, MA-5, MP-2, MP-4, PE-3, PE-4, PE-5, PE-7, PE-8, PS-7  successor controls: None |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **PE-2(1).1.1.1** | **Examine** physical and environmental protection policy, procedures addressing physical access authorizations, security plan, or other relevant documents; [*reviewing*] for the positions or roles authorized for physical access to the facility where the information system resides. |
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| **PE-2(1).1.2.1** | **Examine** physical and environmental protection policy, procedures addressing physical access authorizations, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to authorize physical access to the facility where the information system resides based on the positions or roles identified in PE-2(1).1.1.1. |
| **PE-2(1).1.2.2** | **Examine** physical access authorizations for an agreed-upon [*basic*] sample of personnel with physical access to the facility; [*reviewing*] for evidence that the measures identified in PE-2(1).1.2.1 are being applied to authorize physical access to the facility where the information system resides based on position or role. |
| **PE-2(1).1.2.3** | **Interview** an agreed-upon [*basic*] sample of organizational personnel with physical access authorization responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in PE-2(1).1.2.1 are being applied to authorize physical access to the facility where the information system resides based on position or role. |
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| **ASSESSMENT – Control Enhancement 2** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **PE-2(2)** | PHYSICAL ACCESS AUTHORIZATIONS |
| **PE-2(2).1**  **PE-2(2).1.1** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization requires two forms of identification to gain access to the facility where the information system resides.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Physical and environmental protection policy; procedures addressing physical access authorizations; physical access control logs or records; information system entry and exit points; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with physical access authorization responsibilities; organizational personnel with physical access to information system facility]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: CM-5, MA-5, MP-2, MP-4, PE-3, PE-4, PE-5, PE-7, PE-8, PS-7  successor controls: None |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **PE-2(2).1.1.1** | **Examine** physical and environmental protection policy, procedures addressing physical access authorizations, security plan, or other relevant documents; [*reviewing*] for the requirement of two forms of identification to gain access to the facility where the information system resides. |
| **PE-2(2).1.1.2** | **Interview** an agreed-upon [*basic*] sample of organizational personnel with physical access authorization responsibilities; conducting [*basic*] discussions for further evidence of the requirement identified in PE-2(2).1.1.1 of two forms of identification to gain access to the facility where the information system resides. |
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| **ASSESSMENT – Control Enhancement 3** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **PE-2(3)** | PHYSICAL ACCESS AUTHORIZATIONS |
| **PE-2(3).1**  **PE-2(3).1.1**  **PE-2(3).1.2** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization identifies authorized personnel with appropriate clearances and access authorizations for gaining physical access to the facility containing an information system that processes classified information; and* 2. *the organization restricts physical access to the facility containing an information system that processes classified information to authorized personnel with appropriate clearances and access authorizations.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Physical and environmental protection policy; procedures addressing physical access authorizations; authorized personnel access list; physical access control logs or records; information system entry and exit points; other relevant documents or records]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: CM-5, MA-5, MP-2, MP-6, PE-3, PE-4, PE-7, PE-8, MA-5, PS-2, PS-3,  PS-6  successor controls: None |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **PE-2(3).1.1.1** | **Examine** physical and environmental protection policy, procedures addressing physical access authorizations, security plan, or other relevant documents; [*reviewing*] for a list of authorized personnel with appropriate clearances and access authorizations for gaining physical access to the facility containing an information system that processes classified information. |
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| **PE-2(3).1.2.1** | **Examine** physical and environmental protection policy, procedures addressing physical access authorizations, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to restrict physical access to the facility containing information systems that process classified information to the authorized personnel identified in PE-2(3).1.1.1. |
| **PE-2(3).1.2.2** | **Examine** an agreed-upon [*basic*] sample of physical access control logs for the facility containing the information system that processes classified information; [*reviewing*] for evidence that the measures identified in PE-2(3).1.2.1 are being applied. |
| **PE-2(3).1.2.3** | **Interview** an agreed-upon [*basic*] sample of organizational personnel with physical access authorization responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in PE-2(3).1.2.1 are being applied. |