| **assessment case** | | |
| --- | --- | --- |
| ASSESSMENT – Base Control, Part 1 of 1 | | |
| Assessment Information from Special Publication 800-53A Rev. 1 (June 2010) | | |
| **PE-6** | MONITORING PHYSICAL ACCESS | |
| **PE-6.1**  **PE-6.1.1**  **PE-6.1.2**  **PE-6.1.3**  **PE-6.1.4** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization monitors physical access to the information system to detect and respond to physical security incidents;* 2. *the organization defines the frequency to review physical access logs;* 3. *the organization reviews physical access logs in accordance with the organization-defined frequency; and* 4. *the organization coordinates results of reviews and investigations with the organization’s incident response capability.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Physical and environmental protection policy; procedures addressing physical access monitoring; security plan; physical access logs or records; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with physical access monitoring responsibilities].  **Test**: [*select from:* Physical access monitoring capability]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: AU-2, AU-3, AU-12  concurrent controls: AU-6, AU-7, MA-2, IR-4, IR-5, PE-2, PE-3, PE-4, PE-5, PE-6, PE-7,  PE-8, SC-7, 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. |
| **PE-6.1.1.1** | | **Examine** physical and environmental protection policy, procedures addressing physical access monitoring, security plan, or other relevant documents; [*reviewing*] for the measures to be employed for monitoring physical access to the information system to detect and respond to physical security incidents. |
| **PE-6.1.1.2** | | **Examine** an agreed-upon [*basic*] sample of physical access logs, surveillance equipment logs, physical access monitoring records, information system monitoring records, or other relevant documents; [*reviewing*] for evidence that the measures identified in PE-6.1.1.1 are being applied. |
| **PE-6.1.1.3** | | **Examine** physical access monitoring capability for the information system; [*observing*] for evidence that the measures identified in PE-6.1.1.1 are being applied. |
| **PE-6.1.1.4** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel with physical access monitoring responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in PE-6.1.1.1 are being applied to monitor physical access to the information system. |
| **PE-6.1.1.5** | | **Test** physical access monitoring capability for the information system using an agreed-upon [*basic*] sample of simulated events or conditions; conducting [*basic*] testing for evidence that the measures identified in PE-6.1.1.1 are being applied as intended. |
| **PE-6.1.2.1** | | **Examine** physical and environmental protection policy, procedures addressing physical access monitoring, security plan, or other relevant documents; [*reviewing*] for the frequency for reviewing physical access logs. |
| **PE-6.1.3.1** | | **Examine** physical and environmental protection policy, procedures addressing physical access monitoring, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to review physical access logs in accordance with the frequency defined in PE-6.1.2.1. |
| **PE-6.1.3.2** | | **Examine** an agreed-upon [*basic*] sample of physical access log reviews; [*reviewing*] for evidence that the measures identified in PE-6.1.3.1 are being applied. |
| **PE-6.1.4.1** | | **Examine** physical and environmental protection policy, procedures addressing physical access monitoring, incident response plan, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to coordinate results of physical access reviews and investigations with the organization’s incident response capability. |
| **PE-6.1.4.2** | | **Examine** an agreed-upon [*basic*] sample of incident monitoring reports, problem management reports, emails, or other relevant documentation generated to coordinate results of physical access reviews and investigations with incident response activities; [*reviewing*] for evidence that the measures identified in PE-6.1.4.1 are being applied. |
| **PE-6.1.4.3** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel with physical access monitoring responsibilities and organizational personnel with incident response planning responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in PE-6.1.4.1 are being applied. |
|  | | |

|  |  |
| --- | --- |
| **ASSESSMENT – Control Enhancement 1** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **PE-6(1)** | MONITORING PHYSICAL ACCESS |
| **PE-6(1).1**  **PE-6(1).1.1** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization monitors real-time physical intrusion alarms and surveillance equipment.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Physical and environmental protection policy; procedures addressing physical access monitoring; physical intrusion alarm/surveillance equipment logs or records; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with physical access monitoring responsibilities].  **Test**: [*select from:* Physical access monitoring capability]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: AU-2, AU-3, AU-12  concurrent controls: AU-6, AU-7, IR-4, IR-5, PE-2, PE-3, PE-4, PE-5, PE-6, PE-7, PE-8,  SC-7, SI-4  successor controls: None |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **PE-6(1).1.1.1** | **Examine** physical and environmental protection policy, procedures addressing physical access monitoring, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to monitor real-time physical intrusion alarms and surveillance equipment. |
| **PE-6(1).1.1.2** | **Examine** an agreed-upon [*basic*] sample of records resulting from monitoring real-time physical intrusion alarms and surveillance equipment; [*reviewing*] for evidence that the measures identified in PE-6(1).1.1.1 are being applied. |
| **PE-6(1).1.1.3** | **Interview** an agreed-upon [*basic*] sample of organizational personnel with physical access monitoring responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in PE-6(1).1.1.1 are being applied. |
| **PE-6(1).1.1.4** | **Test** physical access monitoring capability using an agreed-upon [*basic*] sample of simulated events or conditions; conducting [*basic*] testing for evidence that the measures identified in PE-6(1).1.1.1 are being applied as intended. |
|  | |

|  |  |
| --- | --- |
| **ASSESSMENT – Control Enhancement 2** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **PE-6(2)** | MONITORING PHYSICAL ACCESS |
| **PE-6(2).1**  **PE-6(2).1.1** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization employs automated mechanisms to recognize potential intrusions and initiate designated response actions.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Physical and environmental protection policy; procedures addressing physical access monitoring; information system design documentation; other relevant documents or records].  **Test**: [*select from:* Automated mechanisms implementing physical access monitoring capability]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: AU-2, AU-3, AU-12  concurrent controls: AU-6, AU-7, CM-6, IR-4, IR-5, PE-2, PE-3, PE-4, PE-5, PE-6, PE-7,  PE-8, SC-7, SI-4  successor controls: None |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **PE-6(2).1.1.1** | **Examine** physical and environmental protection policy, procedures addressing physical access monitoring, security plan, or other relevant documents; [*reviewing*] for the designated response actions to be initiated when potential intrusions are recognized. |
| **PE-6(2).1.1.2** | **Examine** security plan, information system design documentation, or other relevant documents; [*reviewing*] for the automated mechanisms and their configuration settings to be employed to recognize potential intrusions and initiate the designated response actions identified in PE-6(2)1.1.1. |
| **PE-6(2).1.1.3** | **Examine** documentation describing the current configuration settings for anagreed-upon [*basic*] sample of the automated mechanisms identified in PE-6(2).1.1.2; [*reviewing*] for evidence that these mechanisms are configured as identified in PE-6(2).1.1.2. |
| **PE-6(2).1.1.4** | **Test** an agreed-upon [*basic*]sample of the automated mechanisms and their configuration settings identified in PE-6(2).1.1.2; conducting [*basic*] testing for evidence that these mechanisms are operating as intended. |