| **assessment case** | | |
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| ASSESSMENT – Base Control, Part 1 of 1 | | |
| Assessment Information from Special Publication 800-53A Rev. 1 (June 2010) | | |
| **PE-8** | ACCESS RECORDS | |
| **PE-8.1**  **PE-8.1.1**  **PE-8.1.2**  **PE-8.1.3** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization maintains visitor access records to the facility where the information system resides (except for those areas within the facility officially designated as publicly accessible);* 2. *the organization defines the frequency to review visitor access records;* 3. *the organization reviews the visitor access records in accordance with the organization-defined frequency.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Physical and environmental protection policy; procedures addressing facility access records; security plan; facility access control records; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with responsibilities for reviewing physical access records]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: MA-2, PE-2, PE-3, PE-4, PE-5, PE-6, PE-7, PE-16  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-8.1.1.1** | | **Examine** physical and environmental protection policy, procedures addressing facility access records, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to maintain visitor access records to the facility where the information system resides (except for the areas designated in PE-2.1.1.1 as publicly accessible). |
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| **PE-8.1.1.2** | | **Examine** an agreed-upon [*basic*] sample of visitor access records; [*reviewing*] for evidence that the measures identified in PE-8.1.1.1 are being applied. |
| **PE-8.1.2.1** | | **Examine** physical and environmental protection policy, procedures addressing facility access records, security plan, or other relevant documents; [*reviewing*] for the frequency for reviewing visitor access records. |
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| **PE-8.1.3.1** | | **Examine** physical and environmental protection policy, procedures addressing facility access records, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to review visitor access records in accordance with the frequency identified in PE-8.1.2.1. |
| **PE-8.1.3.2** | | **Examine** an agreed-upon [*basic*] sample of visitor access record reviews; [*reviewing*] for evidence that the measures identified in PE-8.1.3.1 are being applied. |
| **PE-8.1.3.3** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel with responsibilities for reviewing visitor access records; conducting [*basic*] discussions for further evidence that the measures identified in PE-8.1.3.1 are being applied. |
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| **ASSESSMENT – Control Enhancement 1** | | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | | |
| **PE-8(1)** | | ACCESS RECORDS |
| **PE-8(1).1**  **PE-8(1).1.1** | | **ASSESSMENT OBJECTIVE:**  *Determine if the organization employs automated mechanisms to facilitate the maintenance and review of access records.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Physical and environmental protection policy; procedures addressing facility access records; automated mechanisms supporting management of access records; facility access control logs or records; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with responsibilities for reviewing physical access records]. |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: CM-6, MA-2, PE-2, PE-3, PE-4, PE-5, PE-6, PE-7, PE-16  successor controls: None |
| **Action Step** | | **Potential Assessor Evidence Gathering Actions** |
| **PE-8(1).1.1.1** | | **Examine** security plan, information system design documentation, or other relevant documents; [*reviewing*] for the automated mechanisms and their configuration settings to be employed to facilitate the maintenance and review of access records. |
| **PE-8(1).1.1.2** | | **Examine** documentation describing the current configuration settings for anagreed-upon [*basic*] sample of the automated mechanisms identified in PE-8(1).1.1.1; [*reviewing*] for evidence that these mechanisms are configured as identified in PE-8(1).1.1.1. |
| **PE-8(1).1.1.3** | | **Test** an agreed-upon [*basic*]sample of the automated mechanisms and their configuration settings identified in PE-8(1).1.1.1; conducting [*basic*] testing for evidence that these mechanisms are operating as intended. |
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| **ASSESSMENT – Control Enhancement 2** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **PE-8(2)** | ACCESS RECORDS |
| **PE-8(2).1**  **PE-8(2).1.1** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization maintains a record of all physical access, both visitor and authorized individuals.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Physical and environmental protection policy; procedures addressing facility access records; facility access control logs or records; other relevant documents or records]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: MA-2, PE-2, PE-3, PE-4, PE-5, PE-6, PE-7, PE-16  successor controls: None |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **PE-8(2).1.1.1** | **Examine** physical and environmental protection policy, procedures addressing facility access records, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to maintain a record of all physical access, including both visitors and authorized individuals. |
| **PE-8(2).1.1.2** | **Examine** an agreed-upon [*basic*] sample of facility access control logs for visitors and authorized individuals; [*reviewing*] for evidence that the measures identified in PE-8(2).1.1.1 are being applied. |