| **assessment case** | | |
| --- | --- | --- |
| ASSESSMENT – Base Control, Part 1 of 1 | | |
| Assessment Information from Special Publication 800-53A Rev. 1 (June 2010) | | |
| **PL-5** | PRIVACY IMPACT ASSESSMENT | |
| **PL-5.1**  **PL-5.1.1**  **PL-5.1.2** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization conducts a privacy impact assessment on the information system; and* 2. *the privacy impact assessment is in accordance with OMB policy.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Security planning policy; procedures addressing privacy impact assessments on the information system; privacy impact assessment; other relevant documents or records]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: PL-2, RA-2, RA-3  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. |
| **PL-5.1.1.1** | | **Examine** security planning policy, procedures addressing privacy impact assessments, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to conduct privacy impact assessments on the information system. |
| **PL-5.1.1.2** | | **Examine** privacy impact assessment; [*reviewing*] for evidence that the measures identified in PL-5.1.1.1 are being applied. |
| **PL-5.1.1.3** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel responsible for conducting privacy impact assessments; conducting [*basic*] discussions for further evidence that the measures identified in PL-5.1.1.1 are being applied. |
|  | |  |
| **PL-5.1.2.1** | | **Examine** security planning policy, procedures addressing privacy impact assessments, security plan, or other relevant documents; [*reviewing*] for the requirement that privacy impact assessments are to be conducted in accordance with OMB policy. |
| **PL-5.1.2.2** | | **Examine** privacy impact assessment; [*reviewing*] for evidence that the assessment is consistent with the requirement identified in PL-5.1.2.1. |