| **assessment case** | | |
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| ASSESSMENT – Base Control, Part 1 of 1 | | |
| Assessment Information from Special Publication 800-53A Rev. 1 (June 2010) | | |
| **PS-6** | ACCESS AGREEMENTS | |
| **PS-6.1**  **PS-6.1.1**  **PS-6.1.2**  **PS-6.1.3**  **PS-6.1.4** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization identifies appropriate access agreements for individuals requiring access to organizational information and information systems;* 2. *individuals requiring access to organizational information and information systems sign appropriate access agreements prior to being granted access;* 3. *the organization defines the frequency of reviews/updates for access agreements; and* 4. *the organization reviews/updates the access agreements in accordance with the organization-defined frequency.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Personnel security policy; procedures addressing access agreements for organizational information and information systems; security plan; access agreements; records of access agreement reviews and updates; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with personnel security responsibilities]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: PS-2  concurrent controls: AC-2, AC-3, AC-6, CA-3, IA-4, IA-5, MA-4, MA-5, PE-2, PE-3, PL-4,  PS-3, PS-7, PS-8, SA-9  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. |
| **PS-6.1.1.1** | | **Examine** personnel security policy, procedures addressing access agreements, security plan, or other relevant documents; [*reviewing*] for the appropriate access agreements to be used for individuals requiring access to organizational information and information systems. |
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| **PS-6.1.2.1** | | **Examine** personnel security policy, access control policy, identification and authentication policy, physical and environmental protection policy, procedures addressing access agreements, procedures addressing account management, procedures addressing identifier and authenticator management, procedures addressing physical access authorizations, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to ensure that personnel requiring access to organizational information and information systems sign appropriate access agreements as identified in PS-6.1.1.1 prior to being granted access.  Note to assessor: Physical or electronic signatures are acceptable as defined in organization policy or procedures. |
| **PS-6.1.2.2** | | **Examine** access agreements, account management records, and access authorizations for an agreed-upon [*basic*] sample of information system users; [*reviewing*] for evidence that the measures identified in PS-6.1.2.1 are being applied. |
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| **PS-6.1.3.1** | | **Examine** personnel security policy, procedures addressing access agreements, security plan, or other relevant documents; [*reviewing*] for the frequency to review/update access agreements. |
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| **PS-6.1.4.1** | | **Examine** personnel security policy, procedures addressing access agreements, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to review/update access agreements in accordance with the frequency identified in PS-6.1.3.1. |
| **PS-6.1.4.2** | | **Examine** an agreed-upon [*basic*] sample of access agreement reviews and updates; [*reviewing*] for evidence that the measures identified in PS-6.1.4.1 are being applied. |
| **PS-6.1.4.3** | | **Interview** an agreed-upon [*basic*] sample oforganizational personnel responsible for reviewing and updating access agreements; conducting [*basic*] discussions for further evidence that the measures identified in PS-6.1.4.1 are being applied. |
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| **ASSESSMENT – Control Enhancement 1** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **PS-6(1)** | ACCESS AGREEMENTS |
| **PS-6(1).1**  **PS-6(1).1.1**  **PS-6(1).1.1a**  **PS-6(1).1.1b** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization grants access to information with special protection measures only to individuals who:*   * *have a valid access authorization that is demonstrated by assigned official government duties; and* * *satisfy associated personnel security criteria.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Personnel security policy; procedures addressing access agreements for organizational information and information systems; access agreements; access authorizations; personnel security criteria; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with personnel security responsibilities]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: PS-2  concurrent controls: AC-2, AC-3, AC-6, CA-3, MA-4, MA-5, PE-2, PE-3, PL-4, PS-3, PS-7,  PS-8, SA-9  successor controls: None |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **PS-6(1).1.1.1** | **Examine** personnel security policy, procedures addressing access agreements, security plan, or other relevant documents; [*reviewing*] for the types of information with special protection measures.  Note to assessor: Examples of information with special protection measures include classified information, privacy information, and proprietary information. |
| **PS-6(1).1.1.2** | **Examine** personnel security policy, procedures addressing access agreements, security plan, or other relevant documents; [*reviewing*] for the authorizations required by individuals to access the types of information identified in PS-6(1).1.1.1 as demonstrated by assigned official government duties.  Note to assessor: Official government duties should support the need-to-know justifications for authorizing the minimum access permissions required to handle information with special protection measures and to ensure compliance with AC-6 least privilege concepts defined in organization policy and procedures. |
| **PS-6(1).1.1.3** | **Examine** personnel security policy, procedures addressing access agreements, security plan, or other relevant documents; [*reviewing*] for the personnel security criteria established for individuals who require access to the types of information identified in PS-6(1).1.1.1 as demonstrated by assigned official government duties. |
| **PS-6(1).1.1.4**  **PS-6(1).1.1.4.a**  **PS-6(1).1.1.4.b** | **Examine** personnel security policy, access control policy, physical and environmental protection policy, procedures addressing access agreements, procedures addressing account management, procedures addressing physical access authorizations, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to grant access to the information identified in PS-6(1).1.1.1 only to individuals who:   * + have a valid access authorization as identified in PS-6(1).1.1.2 that is demonstrated by assigned official government duties; and   + satisfy the associated personnel security criteria identified in PS-6(1).1.1.3. |
| **PS-6(1).1.1.5** | **Examine** access agreements, account management records, and access authorizations for an agreed-upon [*basic*] sample of individuals with access to an agreed-upon [*basic*] sample of the information types identified in PS-6(1).1.1.1; [*reviewing*] for evidence that the measures identified in PS-6(1).1.1.4.a are being applied to grant access to information with special protection measures only to individuals who have a valid access authorization as identified in PS-6(1).1.1.2 that is demonstrated by assigned official government duties. |
| **PS-6(1).1.1.6** | **Examine** personnel screening records, access agreements, account management records, and access authorizations for the individuals identified in PS-6(1).1.1.5; [*reviewing*] for evidence that the measures identified in PS-6(1).1.1.4.b are being applied to grant access to information with special protection measures only to individuals who satisfy the personnel security criteria identified in PS-6(1).1.1.3. |
| **PS-6(1).1.1.7** | **Interview** an agreed-upon [*basic*] sample oforganizational personnel with personnel security responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in PS-6(1).1.1.4.a are being applied to grant access to information with special protection measures only to individuals who have a valid access authorization as identified in PS-6(1).1.1.2 that is demonstrated by assigned official government duties. |
| **PS-6(1).1.1.8** | **Interview** an agreed-upon [*basic*] sample oforganizational personnel with personnel security responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in PS-6(1).1.1.4.b are being applied to grant access to information with special protection measures only to individuals who satisfy the personnel security criteria identified in PS-6(1).1.1.3. |
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| **ASSESSMENT – Control Enhancement 2** | |
| **Assessment Information from Special Publication 800-53A Rev. 1 (June 2010)** | |
| **PS-6(2)** | ACCESS AGREEMENTS |
| **PS-6(2).1**  **PS-6(2).1.1**  **PS-6(2).1.1a**  **PS-6(2).1.1b**  **PS-6(2).1.1c** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization grants access to classified information with special protection measures only to individuals who:*   * *have a valid access authorization that is demonstrated by assigned official government duties;* * *satisfy associated personnel security criteria; and* * *have read, understood, and signed a nondisclosure agreement.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Personnel security policy; procedures addressing access agreements for organizational information and information systems; access agreements; access authorizations; personnel security criteria; signed nondisclosure agreements; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with personnel security responsibilities]. |
| **Additional Assessment Case Information** | |
|  | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: PS-2  concurrent controls: AC-2, AC-3, CA-3, MA-4, MA-5, PE-2, PE-3, PL-4, PS-3, PS-7, PS-8,  SA-9  successor controls: None |
| **Action Step** | **Potential Assessor Evidence Gathering Actions** |
| **PS-6(2).1.1.1** | **Examine** personnel security policy, procedures addressing access agreements, security plan, or other relevant documents; [*reviewing*] for the special protection measures established for classified information.  Note to assessor: Examples of special protection measures for classified information include Special Access Programs (SAP) and Sensitive Compartmented Information (SCI). |
| **PS-6(2).1.1.2** | **Examine** personnel security policy, procedures addressing access agreements, security plan, or other relevant documents; [*reviewing*] for the authorizations required by individuals to access classified information with the special protection measures identified in PS-6(2).1.1.1 as demonstrated by assigned official government duties.  Note to assessor: Official government duties should support the need-to-know justifications for authorizing the minimum access permissions required to handle classified information with special protection measures and to ensure compliance with AC-6 least privilege concepts defined in organization policy and procedures. |
| **PS-6(2).1.1.3** | **Examine** personnel security policy, procedures addressing access agreements, security plan, or other relevant documents; [*reviewing*] for the personnel security criteria established for individuals who require access to classified information with the special protection measures identified in PS-6(2).1.1.1 as demonstrated by assigned official government duties. |
| **PS-6(2).1.1.4**  **PS-6(2).1.1.4.a**  **PS-6(2).1.1.4.b**  **PS-6(2).1.1.4.c** | **Examine** personnel security policy, access control policy, physical and environmental protection policy, procedures addressing access agreements, procedures addressing account management, procedures addressing physical access authorizations, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to grant access to classified information with the special protection measures identified in PS-6(2).1.1.1 only to individuals who:   * + have a valid access authorization as identified in PS-6(2).1.1.2 that is demonstrated by assigned official government duties;   + satisfy the associated personnel security criteria identified in PS-6(2).1.1.3; and   + have read, understood, and signed a nondisclosure agreement. |
| **PS-6(2).1.1.5** | **Examine** classified information nondisclosure agreements, account management records, and access authorizations for an agreed-upon [*basic*] sample of individuals with access to classified information with an agreed-upon [*basic*] sample of the special protection measures identified in PS-6(2).1.1.1; [*reviewing*] for evidence that the measures identified in PS-6(2).1.1.4.a are being applied to grant access to classified information with special protection measures only to individuals who have a valid access authorization as identified in PS-6(2).1.1.2 that is demonstrated by assigned official government duties. |
| **PS-6(2).1.1.6** | **Examine** personnel screening records, classified information nondisclosure agreements, account management records, and access authorizations for the individuals identified in PS-6(2).1.1.5; [*reviewing*] for evidence that the measures identified in PS-6(2).1.1.4.b are being applied to grant access to classified information with special protection measures only to individuals who satisfy the personnel security criteria identified in PS-6(2).1.1.3. |
| **PS-6(2).1.1.7** | **Examine** classified information nondisclosure agreements, account management records, and access authorizations for the individuals identified in PS-6(2).1.1.5; [*reviewing*] for evidence that the measures identified in PS-6(2).1.1.4.c are being applied to grant access to classified information with special protection measures only to individuals who have read, understood, and signed a nondisclosure agreement.  Note to assessor: Physical or electronic signatures are acceptable as defined in organization policy or procedures. |
| **PS-6(2).1.1.8** | **Interview** an agreed-upon [*basic*] sample oforganizational personnel with personnel security responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in PS-6(2).1.1.4.a are being applied to grant access to classified information with special protection measures only to individuals who have a valid access authorization as identified in PS-6(2).1.1.2 that is demonstrated by assigned official government duties. |
| **PS-6(2).1.1.9** | **Interview** an agreed-upon [*basic*] sample oforganizational personnel with personnel security responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in PS-6(1).1.1.4.b are being applied to grant access to classified information with special protection measures only to individuals who satisfy the personnel security criteria identified in PS-6(1).1.1.3. |
| **PS-6(2).1.1.10** | **Interview** an agreed-upon [*basic*] sample oforganizational personnel with personnel security responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in PS-6(1).1.1.4.c are being applied to grant access to classified information with special protection measures only to individuals who have read, understood, and signed a nondisclosure agreement. |