| **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-8** | PERSONNEL SANCTIONS | |
| **PS-8.1**  **PS-8.1.1** | **ASSESSMENT OBJECTIVE:**  *Determine if the organization employs a formal sanctions process for personnel failing to comply with established information security policies and procedures.*  **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* Personnel security policy; procedures addressing personnel sanctions; rules of behavior; records of formal sanctions; other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with personnel security responsibilities]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: CA-3, PL-4, PS-6, PS-7, 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-8.1.1.1** | | **Examine** personnel security policy, procedures addressing personnel sanctions, security plan, or other relevant documents; [*reviewing*] for the formal sanctions process to be employed for personnel failing to comply with established information security policies and procedures. |
| **PS-8.1.1.2** | | **Examine** personnel sanctions for an agreed-upon [*basic*] sample of personnel security incidents warranting formal sanctions; [*reviewing*] for evidence that the process identified in PS-8.1.1.1 is being applied.  Note to assessor: Execution of this assessor action depends upon the need for formal sanctions to have occurred. |
| **PS-8.1.1.3** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel with personnel sanctions enforcement responsibilities; conducting [*basic*] discussions for further evidence that the process identified in PS-8.1.1.1 is being applied.  Note to assessor: Execution of this assessor action depends upon the need for formal sanctions to have occurred. |
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