| **assessment case** | | |
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| ASSESSMENT – Base Control, Part 1 of 1 | | |
| Assessment Information from Special Publication 800-53A Rev. 1 (June 2010) | | |
| **SI-12** | INFORMATION OUTPUT HANDLING AND RETENTION | |
| **SI-12.1**  **SI-12.1.1**  **SI-12.1.2** | **ASSESSMENT OBJECTIVE:**  *Determine if:*   1. *the organization handles both information within and output from the information system in accordance with applicable federal laws, Executive Orders, directives, policies, regulations, standards, and operational requirements; and* 2. *the organization retains both information within and output from the information system in accordance with applicable federal laws, Executive Orders, directives, policies, regulations, standards, and operational requirements.*   **POTENTIAL ASSESSMENT METHODS AND OBJECTS:**  **Examine**: [*select from:* System and information integrity policy; procedures addressing information system output handling and retention; media protection policy and procedures; information retention records, other relevant documents or records].  **Interview**: [*select from:* Organizational personnel with information output handling and retention responsibilities]. | |
| **Additional Assessment Case Information** | | |
|  | | **POTENTIAL ASSESSMENT SEQUENCING:**  precursor controls: None  concurrent controls: MP-2,MP-3, MP-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. |
| **SI-12.1.1.1** | | **Examine** system and information integrity policy, procedures addressing information system output handling and retention, security plan, or other relevant documents; [*reviewing*] for the applicable federal laws, Executive Orders, directives, policies, regulations, standards, and operational requirements for handling both information within and output from the information system. |
| **SI-12.1.1.2** | | **Examine** system and information integrity policy, procedures addressing information system output handling and retention, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to handle both information within and output from the information system in accordance with the applicable federal laws, Executive Orders, directives, policies, regulations, standards, and operational requirements identified in SI-12.1.1.1. |
| **SI-12.1.1.3** | | **Examine** an agreed-upon [*basic*] sample ofinformation handling records, or other relevant documents; [*reviewing*] for evidence that the measures identified in SI-12.1.1.2 are being applied. |
| **SI-12.1.1.4** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel with output handling and retention responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in SI-12.1.1.2 are being applied. |
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| **SI-12.1.2.1** | | **Examine** system and information integrity policy, procedures addressing information system output handling and retention, security plan, or other relevant documents; [*reviewing*] for the applicable federal laws, Executive Orders, directives, policies, regulations, standards, and operational requirements for retaining both information within and output from the information system. |
| **SI-12.1.2.2** | | **Examine** system and information integrity policy, procedures addressing information system output handling and retention, security plan, or other relevant documents; [*reviewing*] for the measures to be employed to retain both information within and output from the information system in accordance with the applicable federal laws, Executive Orders, directives, policies, regulations, standards, and operational requirements identified in SI-12.1.2.1. |
| **SI-12.1.2.3** | | **Examine** an agreed-upon [*basic*] sample of information retention records, or other relevant documents; [*reviewing*] for evidence that the measures identified in SI-12.1.2.2 are being applied. |
| **SI-12.1.2.4** | | **Interview** an agreed-upon [*basic*] sample of organizational personnel with output handling and retention responsibilities; conducting [*basic*] discussions for further evidence that the measures identified in SI-12.1.2.2 are being applied. |
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