

Sample Audit Checklist for CJIS Security Policy Area 12

#	QUESTION	YES	NO	N/A	STANDARD	COMMENT
5.12	Personnel Security					
1.	<p>If the state in which a TGRA/Tribe’s personnel access CHRI has enacted state law mandating fingerprint-based records checks for non-criminal justice access to criminal history information and the Tribe has a legal means to obtain fingerprint-based records checks for its personnel through such process, the Tribe will ensure these checks are performed. Please note that not all states require it and not all tribes have legal means to obtain it.</p> <p>Has the state in which the Tribe resides enacted state law mandating fingerprint-based records checks for non-criminal justice access to criminal history information?</p> <p>If no, proceed to question # 7.</p> <p>Does the Tribe have legal means to obtain fingerprint-based records checks for its personnel through the state process?</p> <p>If no, please explain why the Tribe lacks legal means to access the state process.</p> <p>If yes, complete all questions associated with CSP 5.12.1.</p>	_____	_____	_____	CSP 5.12.1(1)	
2.	<p>Did the Tribe or TGRA request fingerprint-based background checks for its personnel with access to CHRI?</p>	_____	_____	_____	CSP 5.12.1(1)	
3.	<p>Did the Tribe or TGRA receive the results of these background checks?</p>	_____	_____	_____	CSP 5.12.1(1)	
4.	<p>If the background check resulted in a record, did the Tribe/TGRA seek NIGC CSO approval before the individual was granted access to CJ/CHRI?</p> <p>If a conviction of any kind exists, did the Tribe or TGRA request a review by the NIGC CSO?</p> <p>If a record of any kind is found on a contractor personnel, did the Tribe or TGRA formally notify the Contractor and delay the access to CJ/CHRI pending review by the NIGC CSO?</p>	_____	_____	_____	CSP 5.12.1(2)	
		_____	_____	_____	CSP 12.1.3(a)(b)	
		_____	_____	_____	CSP 12.1.3(c)	

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5.	<p>If the person already has access to CJ/CHRI and is subsequently arrested and or convicted, continued access to CJ/CHRI shall be determined by the NIGC CSO.</p> <p>Did the Tribe or TGRA request the NIGC CSO review the matter to determine if access to CJ/CHRI is still appropriate?</p> <p>This does not implicitly grant hiring/firing authority with the NIGC CSO, only the authority to grant access to CJ/CHRI.</p>	_____	_____	_____	CSP 5.12.1(5)	
7.	<p>Based on record examination, does the Tribe or TGRA maintain a list of personnel who have been authorized unescorted access to unencrypted CJ/CHRI? Has the Tribe/TGRA provided a current copy of the access list to the NIGC CSO or has it done so previously?</p>	_____	_____	_____	CSP 5.12.1(7) CSP 5.9.1.2	
8.	<p>Based on inquiry and record examination, upon termination of personnel by the Tribe or TGRA, does the Tribe or TGRA have an auditable process to notify the NIGC CSO and take other action, if any, to ensure access to CJ/CHRI is terminated?</p> <p>If the individual was an employee of a Contractor, the employer shall notify the Tribe/TGRA affected by the personnel change. And the Tribe/TGRA will notify the NIGC CSO of the termination.</p>	_____	_____	_____	CSP 5.12.2	
9.	<p>Based on inquiry and record examination, does the Tribe or TGRA review CJ/CHRI access authorizations when personnel are reassigned or transferred to other positions within the Tribe or TGRA? Specifically does the Tribe/TGRA initiate appropriate actions such as closing and establishing accounts and changing system access authorizations?</p>	_____	_____	_____	CSP 5.12.3	
10.	<p>Based on inquiry and record examination, does the Tribe or TGRA employ a formal sanctions process for personnel failing to comply with established information security policies and procedures?</p>	_____	_____	_____	CSP 5.12.4	