

*Sample Audit Checklist for CJIS Security Policy Area 9*

#	QUESTION	YES	NO	N/A	STANDARD	COMMENT
<b>5.9</b>	<b>Physical Protection</b>					
1.	Physical protection policy and procedures shall be documented and implemented to ensure CJI and information system hardware, software, and media are physically protected through access control measures.  Based on inquiry, observation and record examination, does the Tribe or TGRA have the perimeter of a physically secure location <sup>1</sup> prominently posted and separated from non-secure locations by physical controls?	_____	_____	_____	CSP 5.9 CSP 5.9.1 CSP 5.9.1.1	
2.	Based on inquiry and record examination, does the Tribe or TGRA develop and keep current a list of personnel with authorized access to the physically secure location or issue credentials to authorized personnel?	_____	_____	_____	CSP 5.9.1.2	
3.	Based on inquiry, observation and record examination, does the Tribe or TGRA control all physical access points to the secure location and verify individual access authorizations before granting access?	_____	_____	_____	CSP 5.9.1.3	
4.	Based on inquiry, observation and record examination, does the Tribe or TGRA control physical access to information system distribution and transmission lines within the physically secure location?	_____	_____	_____	CSP 5.9.1.4	
5.	Based on inquiry, observation and record examination, does the Tribe or TGRA control physical access to information system devices that display CJI/CHRI and position information system devices in such a way as to prevent unauthorized individuals from accessing and viewing CJI/CHRI?	_____	_____	_____	CSP 5.9.1.5	
6.	Based on inquiry and record examination, does the Tribe or TGRA monitor physical access to the information system(s) to detect and respond to physical security incidents?	_____	_____	_____	CSP 5.9.1.6	

<sup>1</sup> A facility, a criminal justice conveyance, or an area, a room, or a group of rooms, within a facility with both the physical and personnel security controls sufficient to protect CJI and associated information systems.

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7.	Based on inquiry and record examination, does the Tribe or TGRA control physical access by authenticating visitors before authorizing escorted <sup>2</sup> access to the physically secure location?	_____	_____	_____	CSP 5.9.1.7	
	Does the Tribe or TGRA escort visitors at all times and monitor visitor activity?	_____	_____	_____	CSP 5.9.1.7	
8.	Based on inquiry, observation and record examination, does the Tribe or TGRA authorize and control information system-related items entering and exiting the physically secure location?	_____	_____	_____	CSP 5.9.1.8	
9.	If a Tribe or TGRA cannot meet all of the controls required for establishing a physically secure location, but has an operational need to access or store CJ/CHRI, the Tribe or TGRA shall designate an area, a room, or a storage container, as a controlled area for the purpose of day-to-day CJ/CHRI access or storage.  If applicable, does the Tribe or TGRA, at a minimum:					
	1. Limit access to the controlled area during CJ/CHRI processing times to only those personnel authorized by the Tribe or TGRA to access or view CJ/CHRI?	_____	_____	_____	CSP 5.9.2(1)	
	2. Lock the area, room, or storage container when unattended?	_____	_____	_____	CSP 5.9.2(2)	
	3. Position information system devices and documents containing CJ/CHRI in such a way as to prevent unauthorized individuals from access and view?	_____	_____	_____	CSP 5.9.2(3)	
	4. Follow the encryption requirements found in CSP 5.10.1.2 for electronic storage (i.e. data “at rest”) of CJ/CHRI?	_____	_____	_____	CSP 5.9.2(4)	

<sup>2</sup> Escorting is when authorized personnel accompany a visitor at all times while within a physically secure location to ensure the protection and integrity of the physically secure location and any Criminal Justice Information therein. The use of cameras or other electronic means used to monitor a physically secure location does not constitute an escort.