

Sample Audit Checklist for CJIS Security Policy (CJISSECPOL) Area 12

#	QUESTION	YES	NO	N/A	STANDARD	COMMENT
5.12 Personnel Security						
1.	Based on inquiry and record examination, does the Tribe or TGRA conduct personnel screening for individuals requiring unescorted access to unencrypted Criminal Justice Information (CJI)/Criminal History Record Information (CHRI) consistent with Tribal or TGRA policy and or regulations?	___	___	___	CSP 5.12.1(1)(c)	
2.	Based on record examination, does the Tribe or TGRA maintain a list of personnel who have been authorized unescorted access to unencrypted CJI/CHRI?	___	___	___	CSP 5.12.1(7)	
	Has the Tribe/TGRA provided a current copy of the access list to the NIGC Information Security Officer (ISO) or has it done so previously?	___	___	___	CSP 5.9.1.2	
3.	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 ISO and take other action, if any, to ensure access to CJI/CHRI is terminated?	___	___	___	CSP 5.12.2	
	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 ISO of the termination.					
4.	Based on inquiry and record examination, does the Tribe or TGRA review CJI/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?	___	___	___	CSP 5.12.3	
5.	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?	___	___	___	CSP 5.12.4	