

Sample Audit Checklist for CJIS Security Policy (CJISSECPOL) Area 9

#	QUESTION	YES	NO	N/A	STANDARD	COMMENT
5.9	Physical and Environmental Protection (PE)¹					
1.	Based on inquiry and record examination, has the Tribe or TGRA developed, documented, and disseminated to organizational personnel with physical and environmental protection responsibilities an agency-level physical and environmental protection policy that: <ul style="list-style-type: none"> • Addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance? • Is consistent with applicable laws, executive orders, directives, regulations, policies, standards, and guidelines? 	___	___	___	PE-1, a.1.(a)	
		___	___	___	PE-1, a.1.(b)	
2.	Does the Tribe or TGRA have procedures to facilitate the implementation of the physical and environmental protection policy and the associated physical and environmental protection controls?	___	___	___	PE-1, a.2	
3.	Has the Tribe or TGRA designated organizational personnel with information security responsibilities to manage the development, documentation, and dissemination of the physical and environmental protection policy and procedures?	___	___	___	PE-1, b	
4.	Based on inquiry and record examination, does the Tribe or TGRA review and update the current physical and environmental protection: <ul style="list-style-type: none"> • Policy annually and following any physical, environmental, or security related incidents involving Criminal Justice Information (CJI) / Criminal History Record Information (CHRI) or systems used to process, store, or transmit CJI / CHRI? • Procedures annually and following any physical, environmental, or security related incidents involving CJI / CHRI or systems used to process, store, or transmit CJI / CHRI? 	___	___	___	PE-1, c.1	
		___	___	___	PE-1, c.2	

¹ These requirements are sanctionable for audit beginning October 1, 2024.

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5.	Based on inquiry and record examination, has the Tribe or TGRA developed, approved, and maintain a list of individuals with authorized access to the facility where the system resides?	___	___	___	PE-2, a	
6.	Based on inquiry and record examination, has the Tribe or TGRA issued authorization credentials for facility access?	___	___	___	PE-2, b	
7.	Based on inquiry and record examination, does the Tribe or TGRA review the access list detailing authorized facility access by individuals annually and when personnel changes occur?	___	___	___	PE-2, c	
8.	Based on inquiry and record examination, does the Tribe or TGRA remove individuals from the facility access list when access is no longer required?	___	___	___	PE-2, d	
9.	Based on inquiry and record examination, does the Tribe or TGRA enforce physical access authorizations by: <ul style="list-style-type: none"> • Verifying individual access authorizations before granting access to the facility? • Controlling ingress and egress to the facility using agency-implemented procedures and controls? 	___	___	___	PE-3, a.1	
		___	___	___	PE-3, a.2	
10.	Based on inquiry and record examination, does the Tribe or TGRA maintain physical access audit logs for the physically secure location and agency-defined sensitive areas?	___	___	___	PE-3, b	
11.	Based on inquiry and record examination, does the Tribe or TGRA control access to areas within the facility designated as non-publicly accessible by implementing physical access devices including, but not limited to keys, locks, combinations, biometric readers, placards, and/or card readers?	___	___	___	PE-3, c	
12.	Based on inquiry and record examination, does the Tribe or TGRA escort visitors and control visitor activity in all physically secure locations?	___	___	___	PE-3, d	

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13.	Based on inquiry and record examination, does the Tribe or TGRA secure keys, combinations, and other physical access devices?	___	___	___	PE-3, e	
14.	Based on inquiry and record examination, does the Tribe or TGRA inventory all agency-issued physical access devices annually?	___	___	___	PE-3, f	
15.	Based on inquiry and record examination, does the Tribe or TGRA change combinations and keys when keys are lost, combinations are compromised, or when individuals possessing the keys or combinations are transferred or terminated?	___	___	___	PE-3, g	
16.	Based on inquiry and record examination, does the Tribe or TGRA control physical access to information system distribution and transmission lines and devices within organizational facilities using agency-implemented procedures and controls?	___	___	___	PE-4	
17.	Based on inquiry and record examination, does the Tribe or TGRA control physical access to output from monitors, printers, scanners, audio devices, facsimile machines, and copiers to prevent unauthorized individuals from obtaining the output?	___	___	___	PE-5	
18.	Based on inquiry and record examination, does the Tribe or TGRA monitor physical access to the facility where the system resides to detect and respond to physical security incidents?	___	___	___	PE-6, a	
19.	Based on inquiry and record examination, does the Tribe or TGRA review physical access logs quarterly and upon occurrence of any physical, environmental, or security-related incidents involving CJI / CHRI or systems used to process, store, or transmit CJI / CHRI?	___	___	___	PE-6, b	

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20.	Based on inquiry and record examination, does the Tribe or TGRA coordinate results of reviews and investigations with the organizational incident response capability?	___	___	___	PE-6, c	
21.	Based on inquiry and record examination, does the Tribe or TGRA monitor physical access to the facility where the system resides using physical intrusion alarms and surveillance equipment?	___	___	___	PE-6, (1)	
22.	Based on inquiry and record examination, does the Tribe or TGRA maintain visitor access records to the facility where the system resides for one (1) year?	___	___	___	PE-8, a	
23.	Based on inquiry and record examination, does the Tribe or TGRA review visitor access records quarterly?	___	___	___	PE-8, b	
24.	Based on inquiry and record examination, does the Tribe or TGRA report anomalies in visitor access records to organizational personnel with physical and environmental protection responsibilities and organizational personnel with information security responsibilities?	___	___	___	PE-8, c	
25.	Based on inquiry and record examination, does the Tribe or TGRA limit personally identifiable information contained in visitor access records to the minimum Personally Identifiable Information (PII) necessary to achieve the purpose for which it is collected (see CJISSECPOL Section 4.3) ² ?	___	___	___	PE-8, (3)	
	Note: Access to visitor access records is restricted to authorized agency personnel.					
26.	Based on inquiry and record examination, does the Tribe or TGRA authorize and control information system-related components entering and exiting the facility?	___	___	___	PE-16, a	
27.	Based on inquiry and record examination, does the Tribe or TGRA maintain records of the system components?	___	___	___	PE-16, b	

² See [CJISSECPOL v5.9.4](#), Section 4, pages 3-4.

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28.	Based on inquiry and record examination, does the Tribe or TGRA determine and document all alternate facilities or locations allowed for use by employees?	___	___	___	PE-17, a	
29.	Based on inquiry and record examination, does the Tribe or TGRA employ the following controls at alternate work sites: <ul style="list-style-type: none"> • Limit access to the area during CJI /CHRI processing times to only those personnel authorized by the agency to access or view CJI / CHRI? • Lock the area, room, or storage container when unattended? • Position information system devices and documents containing CJI /CHRI in such a way as to prevent unauthorized individuals from access and view? • Follow the encryption requirements found in SC-13³⁴ and SC-28⁵⁶ for electronic storage (i.e., data at-rest) of CJI / CHRI? 	___	___	___	PE-17, b.1	
		___	___	___	PE-17, b.2	
		___	___	___	PE-17, b.3	
		___	___	___	PE-17, b.4	
30.	Based on inquiry and record examination, does the Tribe or TGRA assess the effectiveness of controls at alternate work sites?	___	___	___	PE-17, c	
31.	Based on inquiry and record examination, does the Tribe or TGRA provide a means for employees to communicate with information security and privacy personnel in case of incidents?	___	___	___	PE-17, d	

³ See [CJISSECPOL v5.9.4](#), SC-13 CRYPTOGRAPHIC PROTECTION, page 160.

⁴ Please refer to questions #29 and #30 of the Sample Audit Checklist for CJISSECPOL 5.10.

⁵ See [CJISSECPOL v5.9.4](#), SC-28 PROTECTION OF INFORMATION AT REST, pages 163-4.

⁶ Please refer to questions #42 and #43 of the Sample Audit Checklist for CJISSECPOL 5.10.