

**Sample Audit Checklist for the CJIS Security Policy (CJISSECPOL)**

#	QUESTION	YES	NO	N/A	STANDARD	COMMENT
<b>Supply Chain Risk Management (SR)</b>						
1.	Based on inquiry and record examination, has the Tribe or TGRA developed, documented, and disseminated to organizational personnel with supply chain risk management responsibilities an agency-level supply chain risk management policy that: <ul style="list-style-type: none"> <li>Addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance?</li> <li>Is consistent with applicable laws, executive orders, directives, regulations, policies, standards, and guidelines?</li> </ul>	_____	_____	_____	SR-1, a.1.a	
		_____	_____	_____	SR-1, a.1.b	
2.	Does the Tribe or TGRA have procedures to facilitate the implementation of the supply chain risk management policy and the associated supply chain risk management controls?	_____	_____	_____	SR-1, a.2	
3.	Has the Tribe or TGRA designated organizational personnel with security responsibilities to manage the development, documentation, and dissemination of the supply chain risk management policy and procedures?	_____	_____	_____	SR-1, b	
4.	Based on inquiry and record examination, does the Tribe or TGRA review and update the current supply chain risk management: <ul style="list-style-type: none"> <li>Policy annually and following any security incidents involving unauthorized access to CJI / CHRI or systems used to process, store, or transmit CJI / CHRI?</li> <li>Procedures annually and following any security incidents involving unauthorized access to CJI / CHRI or systems used to process, store, or transmit CJI / CHRI?</li> </ul>	_____	_____	_____	SR-1, c.1	
		_____	_____	_____	SR-1, c.2	

**Sample Audit Checklist for the CJIS Security Policy (CJISSECPOL)**

#	QUESTION	YES	NO	N/A	STANDARD	COMMENT
5.	Based on inquiry and record examination, has the Tribe or TGRA developed a plan for managing supply chain risks associated with the research and development, design, manufacturing, acquisition, delivery, integration, operations and maintenance, and disposal of the following systems, system components or system services: systems used to process, store, or transmit CJI / CHRI?	_____	_____	_____	SR-2, a	
6.	Based on inquiry and record examination, does the Tribe or TGRA review and update the supply chain risk management plan annually or as required, to address threat, organizational or environmental changes?	_____	_____	_____	SR-2, b	
7.	Based on inquiry and record examination, does the Tribe or TGRA protect the supply chain risk management plan from unauthorized disclosure and modification?	_____	_____	_____	SR-2, c	
8.	Based on inquiry and record examination, has the Tribe or TGRA established a supply chain risk management team consisting of individuals with security responsibilities and supply chain risk management responsibilities to lead and support the following SCRM activities:					
	• Information technology?	_____	_____	_____	SR-2, (1)	
	• Contracting?	_____	_____	_____	SR-2, (1)	
	• Information security?	_____	_____	_____	SR-2, (1)	
	• Privacy?	_____	_____	_____	SR-2, (1)	
	• Mission or business?	_____	_____	_____	SR-2, (1)	
	• Legal?	_____	_____	_____	SR-2, (1)	
	• Supply chain and logistics?	_____	_____	_____	SR-2, (1)	
	• Acquisition?	_____	_____	_____	SR-2, (1)	
	• Business continuity?	_____	_____	_____	SR-2, (1)	
	• Other relevant functions?	_____	_____	_____	SR-2, (1)	
9.	Based on inquiry and record examination, does the Tribe or TGRA employ the following acquisition strategies, contract tools, and procurement methods to protect against, identify, and mitigate supply chain risks:					
	• Use preferred suppliers who can provide attestation or demonstration of compliance with state or federal standards?	_____	_____	_____	SR-5	

***Sample Audit Checklist for the CJIS Security Policy (CJISSECPOL)***

#	QUESTION	YES	NO	N/A	STANDARD	COMMENT
10.	Based on inquiry and record examination, has the Tribe or TGRA established agreements and procedures with entities involved in the supply chain for the system, system component, or system service for the notification of supply chain compromises to systems used to process, store, or transmit CJI / CHRI?	_____	_____	_____	SR-8	
11.	Based on inquiry and record examination, does the Tribe or TGRA inspect the following systems or system components upon initial procurement and periodically as needed to detect tampering: <ul style="list-style-type: none"><li>• Systems used to process, store, or transmit CJI / CHRI?</li></ul>	_____	_____	_____	SR-10	
12.	Based on inquiry and record examination, does the Tribe or TGRA dispose of CJI / CHRI using the techniques and methods as described in Media Protection (MP)?  See the related sample audit checklist at <a href="#">NIGC CJIS Resource Materials</a> .	_____	_____	_____	SR-12	