

Sample Audit Checklist for CJIS Security Policy (CJISSECPOL)

#	QUESTION	YES	NO	N/A	STANDARD	COMMENT
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: - 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: - 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: - 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)? Note: Access to visitor access records is restricted to authorized agency personnel.	_____	_____	_____	PE-8, (3)	
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	

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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: • 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-13²³ and SC-28⁴⁵ 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	

² See [CJISSECPOL](#), SC-13 CRYPTOGRAPHIC PROTECTION, page 243.

³ Please refer to questions #29 and #30 of the [Sample Audit Checklist for CJISSECPOL SC](#).

⁴ See [CJISSECPOL](#), SC-28 PROTECTION OF INFORMATION AT REST, pages 246-248.

⁵ Please refer to questions #42 and #43 of the [Sample Audit Checklist for CJISSECPOL SC](#).