#	*QUESTION*	*YES*	*NO*	*N/A*	*STANDARD*	*COMMENT*
5.18	**Contingency Planning (CP)[1]**					
1.	Based on inquiry and record examination, has the Tribe or TGRA developed, documented, and disseminated to organizational personnel with contingency planning responsibilities an agency-level contingency planning policy that:					
	• Addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance?	____	____	____	CP-1, a.1.(a)	
	• Is consistent with applicable laws, executive orders, directives, regulations, policies, standards, and guidelines?	____	____	____	CP-1, a.1.(b)	
2.	Does the Tribe or TGRA have procedures to facilitate the implementation of the contingency planning policy and the associated contingency planning controls?	____	____	____	CP-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 contingency planning policy and procedures?	____	____	____	CP-1, b	
4.	Based on inquiry and record examination, does the Tribe or TGRA review and update the current contingency planning:					
	• Policy annually and following any security incidents involving unauthorized access to Criminal Justice Information (CJI) / Criminal History Record Information (CHRI) or systems used to process, store, or transmit CJI / CHRI, or training simulations or exercises?	____	____	____	CP-1, c.1	
	• Procedures annually and following any security incidents involving unauthorized access to CJI / CHRI or systems used to process, store, or transmit CJI / CHRI, or training simulations or exercises?	____	____	____	CP-1, c.2	

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

#	*QUESTION*	*YES*	*NO*	*N/A*	*STANDARD*	*COMMENT*
5.	Based on inquiry and record examination, has the Tribe or TGRA developed a contingency plan for the system that:					
	• Identifies essential mission and business functions and associated contingency requirements?	____	____	____	CP-2, a.1	
	• Provides recovery objectives, restoration priorities, and metrics?	____	____	____	CP-2, a.2	
	• Addresses contingency roles, responsibilities, assigned individuals with contact information?	____	____	____	CP-2, a.3	
	• Addresses maintaining essential mission and business functions despite a system disruption, compromise, or failure?	____	____	____	CP-2, a.4	
	• Addresses eventual, full system restoration without deterioration of the controls originally planned and implemented?	____	____	____	CP-2, a.5	
	• Addresses the sharing of contingency information?	____	____	____	CP-2, a.6	
	• Is reviewed and approved by agency head or their designee?	____	____	____	CP-2, a.7	
6.	Based on inquiry and record examination, does the Tribe or TGRA distribute copies of the contingency plan to organizational personnel with contingency planning or incident response duties?	____	____	____	CP-2, b	
7.	Based on inquiry and record examination, does the Tribe or TGRA coordinate contingency planning activities with incident handling activities?	____	____	____	CP-2, c	
8.	Based on inquiry and record examination, does the Tribe or TGRA review the contingency plan for the system annually?	____	____	____	CP-2, d	
9.	Based on inquiry and record examination, does the Tribe or TGRA update the contingency plan to address changes to the organization, system, or environment of operation and problems encountered during contingency plan implementation, execution, or testing?	____	____	____	CP-2, e	

#	*QUESTION*	*YES*	*NO*	*N/A*	*STANDARD*	*COMMENT*
10.	Based on inquiry and record examination, does the Tribe or TGRA communicate contingency plan changes to organizational personnel with contingency planning or incident response duties?	____	____	____	CP-2, f	
11.	Based on inquiry and record examination, does the Tribe or TGRA incorporate lessons learned from contingency plan testing, training, or actual contingency activities into contingency testing and training?	____	____	____	CP-2, g	
12.	Based on inquiry and record examination, does the Tribe or TGRA protect the contingency plan from unauthorized disclosure and modification?	____	____	____	CP-2, h	
13.	Based on inquiry and record examination, does the Tribe or TGRA coordinate contingency plan development with organizational elements responsible for related plans[2]?	____	____	____	CP-2, (1)	
14.	Based on inquiry and record examination, does the Tribe or TGRA plan for the resumption of essential mission and business functions within twenty-four (24) hours of contingency plan activation?	____	____	____	CP-2, (3)	
15.	Based on inquiry and record examination, does the Tribe or TGRA identify critical system assets supporting essential mission and business functions?	____	____	____	CP-2, (8)	
16.	Based on inquiry and record examination, does the Tribe or TGRA provide contingency training to system users consistent with assigned roles and responsibilities:					
	• Within thirty (30) days of assuming a contingency role or responsibility?	____	____	____	CP-3, a.1	
	• When required by system changes?	____	____	____	CP-3, a.2	
	• Annually thereafter?	____	____	____	CP-3, a.3	

[2] Plans that are related to contingency plans include Business Continuity Plans, Disaster Recovery Plans, Critical Infrastructure Plans, Continuity of Operations Plans, Crisis Communications Plans, Insider Threat Implementation Plans, Data Breach Response Plans, Cyber Incident Response Plans, Breach Response Plans, and Occupant Emergency Plans.

#	*QUESTION*	*YES*	*NO*	*N/A*	*STANDARD*	*COMMENT*
17.	Based on inquiry and record examination, does the Tribe or TGRA review and update contingency training content annually and following any security incidents involving unauthorized access to CJI / CHRI or systems used to process, store, or transmit CJI / CHRI, or training simulations or exercises?	____	____	____	CP-3, b	
18.	Based on inquiry and record examination, does the Tribe or TGRA: • Test the contingency plan for the system annually using the following tests to determine the effectiveness of the plan and the readiness to execute the plan: checklists, walk-through and tabletop exercises, simulations (parallel or full interrupt), or comprehensive exercises?	____	____	____	CP-4, a	
	• Review the contingency plan test results?	____	____	____	CP-4, b	
	• Initiate corrective actions, if needed?	____	____	____	CP-4, c	
19.	Based on inquiry and record examination, does the Tribe or TGRA coordinate contingency plan testing with organizational elements responsible for related plans[3]?	____	____	____	CP-4, (1)	
20.	Based on inquiry and record examination, has the Tribe or TGRA established an alternate storage site, including necessary agreements[4] to permit the storage and retrieval of system backup information?	____	____	____	CP-6, a	
21.	Based on inquiry and record examination, does the Tribe or TGRA ensure that the alternate storage site provides controls equivalent to that of the primary site?	____	____	____	CP-6, b	
22.	Based on inquiry and record examination, has the Tribe or TGRA identified an alternate storage site that is sufficiently separated from the primary storage site to reduce susceptibility to the same threats?	____	____	____	CP-6, (1)	

[3] Id.

[4] Items covered by alternate storage site agreements include environmental conditions at the alternate sites, access rules for systems and facilities, physical and environmental protection requirements, and coordination of delivery and retrieval of backup media.

#	*QUESTION*	*YES*	*NO*	*N/A*	*STANDARD*	*COMMENT*
23.	Based on inquiry and record examination, does the Tribe or TGRA identify potential accessibility problems to the alternate storage site in the event of an area-wide disruption or disaster and outline explicit mitigation actions[5]?	____	____	____	CP-6, (3)	
24.	Based on inquiry and record examination, has the Tribe or TGRA established an alternate processing site, including necessary agreements to permit the transfer and resumption of operations for essential mission and business functions within the time period defined in the system contingency plan(s) when the primary processing capabilities are unavailable?	____	____	____	CP-7, a	
25.	Based on inquiry and record examination, does the Tribe or TGRA make available at the alternate processing site, the equipment and supplies required to transfer and resume operations or put contracts in place to support delivery to the site within the organization-defined time period for transfer and resumption?	____	____	____	CP-7, b	
26.	Based on inquiry and record examination, does the Tribe or TGRA provide controls at the alternate processing site that are equivalent to those at the primary site?	____	____	____	CP-7, c	
27.	Based on inquiry and record examination, has the Tribe or TGRA identified an alternate processing site that is sufficiently separated from the primary processing site to reduce susceptibility to the same threats?	____	____	____	CP-7, (1)	
28.	Based on inquiry and record examination, does the Tribe or TGRA identify potential accessibility problems to alternate processing sites in the event of an area-wide disruption or disaster and outlines explicit mitigation actions?	____	____	____	CP-7, (2)	

[5] Explicit mitigation actions include duplicating backup information at other alternate storage sites if access problems occur at originally designated alternate sites or planning for physical access to retrieve backup information if electronic accessibility to the alternate site is disrupted.

#	*QUESTION*	*YES*	*NO*	*N/A*	*STANDARD*	*COMMENT*
29.	Based on inquiry and record examination, has the Tribe or TGRA developed alternate processing site agreements that contain priority-of-service provisions[6] in accordance with availability requirements (including recovery time objectives)?	____	____	____	CP-7, (3)	
30.	Based on inquiry and record examination, has the Tribe or TGRA established alternate telecommunications services, including necessary agreements to permit the resumption of system operations for essential mission and business functions within the time period as defined in the system contingency plan(s) when the primary telecommunications capabilities are unavailable at either the primary or alternate processing or storage sites?	____	____	____	CP-8	
31.	Based on inquiry and record examination, has the Tribe or TGRA: • Developed primary and alternate telecommunications service agreements that contain priority-of-service provisions in accordance with availability requirements (including recovery time objectives)? • Requested Telecommunications Service Priority for all telecommunications services used for national security emergency preparedness if the primary and/or alternate telecommunications services are provided by a common carrier?	____ ____	____ ____	____ ____	CP-8, (1) a CP-8, (1) b	
32.	Based on inquiry and record examination, has the Tribe or TGRA Obtain alternate telecommunications services to reduce the likelihood of sharing a single point of failure with primary telecommunications services?	____	____	____	CP-8, (2)	

[6] Priority of service agreements refer to negotiated agreements with service providers that ensure that organizations receive priority treatment consistent with their availability requirements and the availability of information resources for logical alternate processing and/or at the physical alternate processing site.

#	*QUESTION*	*YES*	*NO*	*N/A*	*STANDARD*	*COMMENT*
33.	Based on inquiry and record examination, does the Tribe or TGRA conduct backups of user-level information[7] contained in operational systems for essential business functions as required by the contingency plans?	____	____	____	CP-9, a	
34.	Based on inquiry and record examination, does the Tribe or TGRA conduct backups of system-level information[8] contained in the system as required by the contingency plans?	____	____	____	CP-9, b	
35.	Based on inquiry and record examination, does the Tribe or TGRA conduct backups of system documentation, including security- and privacy-related documentation as required by the contingency plans?	____	____	____	CP-9, c	
36.	Based on inquiry and record examination, does the Tribe or TGRA protect the confidentiality, integrity, and availability of backup information?	____	____	____	CP-9, d	
37.	Based on inquiry and record examination, does the Tribe or TGRA test backup information as required by the contingency plans to verify media reliability and information integrity?	____	____	____	CP-9, (1)	
38.	Based on inquiry and record examination, does the Tribe or TGRA implement cryptographic mechanisms to prevent unauthorized disclosure and modification of CJI / CHRI?	____	____	____	CP-9, (8)	
39.	Based on inquiry and record examination, does the Tribe or TGRA provide for the recovery and reconstitution of the system to a known state within the timeframe as required by the contingency plans after a disruption, compromise, or failure?	____	____	____	CP-10	
40.	Based on inquiry and record examination, does the Tribe or TGRA implement transaction recovery for systems that are transaction-based[9]?	____	____	____	CP-10, (2)	

[7] User-level information includes information other than system-level information.
[8] System-level information includes system state information, operating system software, middleware, application software, and licenses.
[9] Transaction-based systems include database management systems and transaction processing systems. Mechanisms supporting transaction recovery include transaction rollback and transaction journaling.