

Sample Audit Checklist for CJIS Security Policy Area 1

#	QUESTION	YES	NO	N/A	STANDARD	COMMENT
5.1	Information Exchange Agreements					
1.	<p>Before exchanging CHRI with a Tribe or TGRA, the NIGC must enter into a formal agreement— such as its CHRI MOU— with the Tribe/TGRA to specify security controls. Exchanging CHRI includes electronic mail, web services, facsimile, hard copy and information systems sending, receiving and storing CHRI.</p> <p>Does the Tribe or TGRA possess or receive CHRI from the NIGC?</p>	___	___	___	CSP 5.1.1	
2.	<p>The NIGC CHRI MOU outlines the procedures for handling, processing, communicating and storing CHRI to protect it from unauthorized disclosure, alteration or misuse. The MOU incorporates the requirements of the CSP.</p> <p>Has the Tribe or TGRA entered into the CHRI MOU? If so, have they entered into the most recent version of the CHRI MOU? Please confirm the dates of the signatures on the MOU and indicate them here.</p>	___	___	___	CSP 5.1.1	
3.	<p>Has the Tribe or TGRA established procedures for handling CJI/CHRI to protect them from unauthorized disclosure, alteration or misuse?</p>	___	___	___	CSP 5.1.1.1	
4.	<p>Has the Tribe or TGRA established procedures for processing CJI/CHRI to protect it from unauthorized disclosure, alteration or misuse?</p>	___	___	___	CSP 5.1.1.1	
5.	<p>Has the Tribe or TGRA established procedures for communicating CJI/CHRI to protect it from unauthorized disclosure, alteration or misuse?</p>	___	___	___	CSP 5.1.1.1	
6.	<p>Has the Tribe or TGRA established procedures for storing CJI/CHRI to protect it from unauthorized disclosure, alteration or misuse?</p>	___	___	___	CSP 5.1.1.1	