

Sample Audit Checklist for CJIS Security Policy Area 7

#	QUESTION	YES	NO	N/A	STANDARD	COMMENT
5.7	Configuration Management					
1.	<p>Planned or unplanned changes to the hardware, software, and/or firmware components of the information system can have significant effects on the overall security of the system. The goal is to allow only qualified and authorized individuals access to information system components for purposes of initiating changes, including upgrades, and modifications.</p> <p>CSP 5.5, Access Control, describes agency¹ requirements for control of privileges and restrictions.</p> <p>Based on inquiry and record examination, does the Tribe or TGRA configure the application, service, or information system to provide only essential capabilities and specifically prohibit and/or restrict the use of specified functions, ports, protocols, and/or services?</p>	_____	_____	_____	CSP 5.7.1.1	
2.	<p>Based on inquiry and record examination, does the Tribe or TGRA ensure that a complete topological drawing depicting the interconnectivity of the agency network, to criminal justice information, systems and services is maintained in a current status?²</p> <p>Based on inquiry and record examination, does the Tribe or TGRA network topological drawing include:</p>					
	<p>1. All communications paths, circuits, and other components used for the interconnection, beginning with the agency-owned system(s) and traversing through all interconnected systems to the agency end-point?</p>	_____	_____	_____	CSP 5.7.1.2(1)	
	<p>2. The logical location of all components (e.g., firewalls, routers, switches, hubs, servers, encryption devices, and computer workstations)? (Individual workstations (clients) do not have to be shown; the number of clients is sufficient).</p>	_____	_____	_____	CSP 5.7.1.2(2)	

¹ Throughout this document, the term “agency” refers to tribal agencies.

² See CSP Appendix C for sample network diagrams.

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	3. "For Official Use Only" (FOUO) markings?	_____	_____	_____	CSP 5.7.1.2(3)	
	4. The agency name and date (day, month, and year) the drawing was created or updated?	_____	_____	_____	CSP 5.7.1.2(4)	
3.	The system configuration documentation often contains sensitive details (e.g. descriptions of applications, processes, procedures, data structures, authorization processes, data flow, etc.)					
	Based on inquiry and record examination, does the Tribe or TGRA protect the system documentation from unauthorized access consistent with the provisions described in CSP 5.5 Access Control?	_____	_____	_____	CSP 5.7.2	