

Requirements and Transition Document

FBI CJIS Security Policy Version 5.0

2011-2014

The CJIS Security Policy ver 5.0 was approved by the Advisory Policy Board (APB) in June, 2010, and subsequently approved by the Director, FBI, in February, 2011. The policy contains current requirements carried over from version 4.5 along with new requirements for agencies to implement.

This document lists every new requirement and its “required by” year from 2011-2014* based on a number of factors including, among other things: cost, threat, technological innovations, and realistic need. Those cases where prior version requirements were assigned a specific “required by” date, i.e. September 30th, 2013, that date has been carried over. CJIS auditors will conduct zero-cycle audits beginning October 1st of the “required by” year. For example, new requirements with a “required by” year of 2012 will fall under the zero-cycle audit beginning October 1st, 2012. Noncriminal Justice Agencies that have not previously been subject to CJIS Security Policy audit and whose only access to FBI CJIS data is for the purpose of civil fingerprint-based background checks or other noncriminal justice purposes will not undergo zero-cycle audits until October 1st, 2013.

Though the dates applied to requirements are spread across several years the intent is for agencies to start working toward them immediately where possible and leverage the requirements document as a tool for financial planning and justification to meet requirements that cannot be met immediately.

Please refer questions or comments about this requirements document or version 5.0 of the CJIS Security Policy to your respective Information Security Officer, CJIS Security Officer, or Compact Officer.

* A requirement with “required by” year without a corresponding month and day is to be read as January 1st of that year.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
Security Policy Sections 1-4 (Introduction, Approach, Roles & Responsibilities, and CJI/PII)				
1	1.3	Section 2	Relationship to Local Security Policy and Other Policies	The local agency may complement the CJIS Security Policy with a local policy, or the agency may develop their own stand-alone security policy; however, the CJIS Security Policy shall always be the minimum standard and local policy may augment, or increase the standards, but shall not detract from the CJIS Security Policy standards.
2	1.3	Section 2	"	The agency shall develop, disseminate, and maintain formal, documented procedures to facilitate the implementation of the CJIS Security Policy and, where applicable, the local security policy.
3	1.3	New (2011)	"	The policies and procedures shall be consistent with applicable laws, Executive Orders, directives, policies, regulations, standards, and guidance.
4	3.2.1	Section 3.1	CJIS Systems Agencies (CSA)	The head of each CSA shall appoint a CJIS Systems Officer (CSO).
5	3.2.1	New (2011)	"	Such decisions shall be documented and kept current.
6	3.2.2	New (2011)	CJIS Systems Officer (CSO)	Pursuant to The Bylaws for the CJIS Advisory Policy Board and Working Groups, the role of CSO shall not be outsourced.
7	3.2.2	Section 3.1 & 3.2	"	The CSO shall set, maintain, and enforce the following:
8		Section 3.1 & 3.2	"	1. Standards for the selection, supervision, and separation of personnel who have access to CJI.
9		Section 3.1 & 3.2	"	2. Policy governing the operation of computers, access devices, circuits, hubs, routers, firewalls, and other components that comprise and support a telecommunications network and related CJIS systems used to process, store, or transmit CJI, guaranteeing the priority, confidentiality, integrity, and availability of service needed by the criminal justice community.
10		Section 3.1 & 3.2	"	a. Ensure appropriate use, enforce system discipline, and ensure CJIS Division operating procedures are followed by all users of the respective services and information.
11		Section 3.1 & 3.2	"	b. Ensure state/federal agency compliance with policies approved by the APB and adopted by the FBI.
12		Section 3.1 & 3.2	"	c. Ensure the appointment of the CSA ISO and determine the extent of authority to the CSA ISO.

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13		New (2011)	"	d. The CSO, or designee, shall ensure that a Terminal Agency Coordinator (TAC) is designated within each agency that has devices accessing CJIS systems.
14		New (2011)	"	e. Ensure each agency having access to CJI has someone designated as the Local Agency Security Officer.
15		New (2011)	"	f. Approve access to FBI CJIS systems.
16		New (2011)	"	g. Assume ultimate responsibility for managing the security of CJIS systems within their state and/or agency.
17		New (2011)	"	h. Perform other related duties outlined by the user agreements with the FBI CJIS Division.
18		New (2011)	"	3. Outsourcing of Criminal Justice Functions
19		New (2011)	"	a. Responsibility for the management of the approved security requirements shall remain with the CJA. Security control includes the authority to enforce the standards for the selection, supervision, and separation of personnel who have access to CJI; set and enforce policy governing the operation of computers, circuits, and telecommunications terminals used to process, store, or transmit CJI; and to guarantee the priority service needed by the criminal justice community.
20		New (2011)	"	b. Responsibility for the management control of network security shall remain with the CJA. Management control of network security includes the authority to enforce the standards for the selection, supervision, and separation of personnel who have access to CJI; set and enforce policy governing the operation of circuits and network equipment used to transmit CJIS data; and to guarantee the priority service as determined by the criminal justice community.
21	3.2.7	Security Addendum 2.04	Agency Coordinator (AC)	The AC shall be responsible for the supervision and integrity of the system, training and continuing education of employees and operators, scheduling of initial training and testing, and certification testing and all required reports by NCIC.
22	3.2.7	Security Addendum 2.04	"	The AC shall :

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23		Security Addendum 2.04	"	1. Understand the communications, records capabilities, and needs of the Contractor which is accessing federal and state records through or because of its relationship with the CGA.
24		Security Addendum 2.04	"	2. Participate in related meetings and provide input and comments for system improvement.
25		Security Addendum 2.04	"	3. Receive information from the CGA (e.g., system updates) and disseminate it to appropriate Contractor employees.
26		Security Addendum 2.04	"	4. Maintain and update manuals applicable to the effectuation of the agreement, and provide them to the Contractor.
27		Security Addendum 2.04	"	5. Maintain up-to-date records of Contractor's employees who access the system, including name, date of birth, social security number, date fingerprint card(s) submitted, date security clearance issued, and date initially trained, tested, certified or recertified (if applicable).
28		Security Addendum 2.04	"	6. Train or ensure the training of Contractor personnel. If Contractor personnel access NCIC, schedule the operators for testing or a certification exam with the CSA staff, or AC staff with permission from the CSA staff. Schedule new operators for the certification exam within six (6) months of assignment. Schedule certified operators for biennial re-certification testing within thirty (30) days prior to the expiration of certification. Schedule operators for other mandated class.
29		Security Addendum 2.04	"	7. The AC will not permit an untrained/untested or non-certified Contractor employee to access CJI or systems supporting CJI where access to CJI can be gained.
30		Security Addendum 2.04	"	8. Where appropriate, ensure compliance by the Contractor with NCIC validation requirements.
31		Security Addendum 2.04	"	9. Provide completed applicant fingerprint cards on each Contractor employee who accesses the system to the CJA (or, where appropriate, CSA) for criminal background investigation prior to such employee accessing the system.
32		Security Addendum 2.04	"	10. Any other responsibility for the AC promulgated by the FBI.

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33	3.2.8	Section 3.3	CJIS System Agency Information Security Officer (CSA ISO)	The CSA ISO shall :
34		Section 3.3	"	1. Serve as the security point of contact (POC) to the FBI CJIS Division ISO.
35		Section 3.3	"	2. Document technical compliance with the CJIS Security Policy with the goal to assure the confidentiality, integrity, and availability of criminal justice information to the user community throughout the CSA's user community, to include the local level.
36		Section 3.3	"	3. Document and provide assistance for implementing the security-related controls for the Interface Agency and its users.
37		Section 3.3	"	4. Establish a security incident response and reporting procedure to discover, investigate, document, and report to the CSA, the affected criminal justice agency, and the FBI CJIS Division ISO major incidents that significantly endanger the security or integrity of CJIS.
38	3.2.9	Section 3.4	Local Agency Security Officer (LASO)	Each LASO shall :
39		Section 3.4	"	1. Identify who is using the CSA approved hardware, software, and firmware and ensure no unauthorized individuals or processes have access to the same.
40		Section 3.4	"	2. Identify and document how the equipment is connected to the state system.
41		Section 3.4	"	3. Ensure that personnel security screening procedures are being followed as stated in this policy.
42		Section 3.4	"	4. Ensure the approved and appropriate security measures are in place and working as expected.
43		Section 3.4	"	5. Support policy compliance and ensure CSA ISO is promptly informed of security incidents.
44	3.2.10	Section 3.5	FBI CJIS Division Information Security Officer (FBI CJIS ISO)	The FBI CJIS ISO shall :
45		Section 3.5	"	1. Maintain the CJIS Security Policy.
46		Section 3.5	"	2. Disseminate the FBI Director approved CJIS Security Policy.

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47		Section 3.5	"	3. Serve as a liaison with the CSA's ISO and with other personnel across the CJIS community and in this regard provide technical guidance as to the intent and implementation of operational and technical policy issues.
48		Section 3.5	"	4. Serve as a point-of-contact (POC) for computer incident notification and distribution of security alerts to the CSOs and ISOs.
49		Section 3.5	"	5. Assist with developing audit compliance guidelines as well as identifying and reconciling security-related issues.
50		Section 3.5	"	6. Develop and participate in information security training programs for the CSOs and ISOs, and provide a means by which to acquire feedback to measure the effectiveness and success of such training.
51		Section 3.5	"	7. Maintain a current ISO homepage on the Law Enforcement Online (LEO) network and keep the CSOs and ISOs updated on pertinent information via the iso@leo.gov email address.
52	3.2.12	New (2011)	Compact Officer	Pursuant to the National Crime Prevention and Privacy Compact, each party state shall appoint a Compact Officer who shall ensure that Compact provisions and rules, procedures, and standards established by the Compact Council are complied with in their respective state.
53	4.2.1	Section 8.1 & 8.2.1	Terminology	Proper access to, use and dissemination of data from these files shall be consistent with the use and dissemination policies concerning the III described in Title 28, Part 20, CFR, and the NCIC Operating Manual
54	4.2.1	Section 8.1 & 8.2.1	"	The following files shall be protected as CHRI:
55		Section 8.1 & 8.2.1	"	1. Gang File.
56		Section 8.1 & 8.2.1	"	2. Known or Appropriately Suspected Terrorist File.
57		Section 8.1 & 8.2.1	"	3. Convicted Persons on Supervised Release File.
58		Section 8.1 & 8.2.1	"	4. Immigration Violator File (formerly the Deported Felon File).
59		Section 8.1 & 8.2.1	"	5. National Sex Offender Registry File.
60		Section 8.1 & 8.2.1	"	6. Historical Protection Order File of the NCIC.
61	Section 8.1 & 8.2.1	"	7. Identity Theft File.	
62	4.2.2.1	Section 8.2.1	Proper Use of CHRI	The III shall be accessed only for an authorized purpose.
63	4.2.2.1	Section 8.2.1	"	Further, CHRI shall only be used for an authorized purpose consistent with the purpose for which III was accessed.

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64	4.2.3	Section 8.6	Storage	When CHRI is stored, agencies shall establish appropriate administrative, technical and physical safeguards to ensure the security and confidentiality of the information.
65	4.2.3	Section 8.6	"	These records shall be stored for extended periods only when they are key elements for the integrity and/or utility of case files and/or criminal record files.
66	4.2.4.1	Section 8.3.1	Justification	In addition to the use of purpose codes and logging information, all users shall provide a reason for all III inquiries whenever requested by NCIC System Managers, CSAs, local agency administrators, or their representatives.
67	4.3	New (2012)	Personally Identifiable Information (PII)	PII shall be extracted from CJI for the purpose of official business only.
68	4.3	New (2012)	"	Agencies shall develop policies, based on state and local privacy rules, to ensure appropriate controls are applied when handling PII extracted from CJI.

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CJIS Security Policy Area 1 - Information Exchange Agreements				
69	5.1	Section 7.10(a) & 7.12(a) & 8.5	Policy Area 1: Information Exchange Agreements	The information shared through communication mediums shall be protected with appropriate security safeguards.
70	5.1.1	New	Information Exchange	Before exchanging CJI, agencies shall put formal agreements in place that specify security controls.
71	5.1.1	New (2012)	"	Information exchange agreements for agencies sharing CJI data that is sent to and/or received from the FBI CJIS shall specify the security controls and conditions described in this document.
72	5.1.1	New (2012)	"	Information exchange agreements shall be supported by documentation committing both parties to the terms of information exchange.
73	5.1.1.1	New (2012)	Information Handling	Procedures for handling and storage of information shall be established to protect that information from unauthorized disclosure, alteration or misuse.
74	5.1.1.1	New (2012)	"	Using the requirements in this policy as a starting point, the procedures shall apply to the handling, processing, storing, and communication of CJI.
75	5.1.1.2	Section 6.2	State and Federal Agency User Agreements	Each CSA head or SIB Chief shall execute a signed written user agreement with the FBI CJIS Division stating their willingness to demonstrate conformity with this policy before accessing and participating in CJIS records information programs.
76	5.1.1.2	Section 6.2	"	This agreement shall include the standards and sanctions governing utilization of CJIS systems.
77	5.1.1.2	Section 6.2	"	As coordinated through the particular CSA or SIB Chief, each Interface Agency shall also allow the FBI to periodically test the ability to penetrate the FBI's network through the external network connection or system per authorization of Department of Justice (DOJ) Order 2640.2F.
78	5.1.1.2	New (2012)	"	All user agreements with the FBI CJIS Division shall be coordinated with the CSA head.
79	5.1.1.3	Section 6.3	Criminal Justice Agency User Agreements	Any CJA receiving access to FBI CJIS data shall enter into a signed written agreement with the appropriate signatory authority of the CSA providing the access.

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80	5.1.1.3	Section 6.3	"	The written agreement shall specify the FBI CJIS systems and services to which the agency will have access, and the FBI CJIS Division policies to which the agency must adhere.
81	5.1.1.3	Section 6.3	"	These agreements shall include:
82		Section 6.3	"	1. Audit.
83		Section 6.3	"	2. Dissemination.
84		Section 6.3	"	3. Hit confirmation.
85		Section 6.3	"	4. Logging.
86		Section 6.3	"	5. Quality Assurance (QA).
87		Section 6.3	"	6. Screening (Pre-Employment).
88		Section 6.3	"	7. Security.
89		Section 6.3	"	8. Timeliness.
90		Section 6.3	"	9. Training.
91		Section 6.3	"	10. Use of the system.
92		Section 6.3	"	11. Validation.
93	5.1.1.4	Section 6.4	Inter-Agency and Management Control Agreements	A NCJA (government) designated to perform criminal justice functions for a CJA shall be eligible for access to the CJI.
94	5.1.1.4	Section 6.4	"	Access shall be permitted when such designation is authorized pursuant to Executive Order, statute, regulation, or inter-agency agreement.
95	5.1.1.5	Section 6.6	Private Contractor User Agreements and CJIS Security Addendum	Private contractors who perform criminal justice functions shall meet the same training and certification criteria required by governmental agencies performing a similar function, and shall be subject to the same extent of audit review as are local user agencies.
96	5.1.1.5	Section 6.6	"	Private contractors who perform criminal justice functions shall meet the same training and certification criteria required by governmental agencies performing a similar function, and shall be subject to the same extent of audit review as are local user agencies.
97	5.1.1.5	Security Addendum	"	All private contractors who perform criminal justice functions shall acknowledge, via signing of the Security Addendum Certification page, and abide by all aspects of the CJIS Security Addendum.
98	5.1.1.5	Section 6.7	"	Modifications to the CJIS Security Addendum shall be enacted only by the FBI.

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99	5.1.1.5	Section 6.6	"	1. Private contractors designated to perform criminal justice functions for a CJA shall be eligible for access to CJI.
100	5.1.1.5	Section 6.6	"	Access shall be permitted pursuant to an agreement which specifically identifies the agency's purpose and scope of providing services for the administration of criminal justice.
101	5.1.1.5	Section 6.6	"	The agreement between the CJA and the private contractor shall incorporate the CJIS Security Addendum approved by the Director of the FBI, acting for the U.S. Attorney General, as referenced in Title 28 CFR 20.33 (a)(7).
102	5.1.1.5	Section 6.6	"	2. Private contractors designated to perform criminal justice functions on behalf of a NCJA (government) shall be eligible for access to CJI.
103	5.1.1.5	Section 6.6	"	Access shall be permitted pursuant to an agreement which specifically identifies the agency's purpose and scope of providing services for the administration of criminal justice.
104	5.1.1.5	Section 6.6	"	The agreement between the NCJA and the private contractor shall incorporate the CJIS Security Addendum approved by the Director of the FBI, acting for the U.S. Attorney General, as referenced in Title 28 CFR 20.33 (a)(7).
105	5.1.1.6	Section 2.1.1(b)(4)	Agency User Agreements	A NCJA (public) designated to request civil fingerprint-based background checks, with the full consent of the individual to whom a background check is taking place, for noncriminal justice functions, shall be eligible for access to CJI.
106	5.1.1.6	New (2012)	"	Access shall be permitted when such designation is authorized pursuant to federal law or state statute approved by the U.S. Attorney General.
107	5.1.1.6	Section 2.1.1(b)(4)	"	An NCJA (public) receiving access to FBI CJIS data shall enter into a signed written agreement with the appropriate signatory authority of the CSA/SIB providing the access.
108	5.1.1.6	Section 2.1.1(b)(4)	"	A NCJA (private) designated to request civil fingerprint-based background checks, with the full consent of the individual to whom a background check is taking place, for noncriminal justice functions, shall be eligible for access to CJI.

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109	5.1.1.6	Section 2.1.1(b)(4)	"	Access shall be permitted when such designation is authorized pursuant to federal law or state statute approved by the U.S. Attorney General.
110	5.1.1.6	New (2012)	"	An NCJA (private) receiving access to FBI CJIS data shall enter into a signed written agreement with the appropriate signatory authority of the CSA/SIB providing the access.
111	5.1.1.6	Section 2.1.1(b)(4)	"	All NCJAs accessing CJI shall be subject to all pertinent areas of the CJIS Security Policy (see appendix J for supplemental guidance).
112	5.1.1.6	New (2012)	"	Each NCJA that directly accesses FBI CJI shall also allow the FBI to periodically test the ability to penetrate the FBI's network through the external network connection or system per authorization of Department of Justice (DOJ) Order 2640.2F.
113	5.1.1.7	Section 2.1.1(b)(4)	Security and Management Control Outsourcing Standard	Channelers designated to request civil fingerprint-based background checks or noncriminal justice ancillary functions on behalf of a NCJA (public) or NCJA (private) for noncriminal justice functions shall be eligible for access to CJI.
114	5.1.1.7	Section 2.1.1(b)(4)	"	Access shall be permitted when such designation is authorized pursuant to federal law or state statute approved by the U.S. Attorney General.
115	5.1.1.7	New (2011)	"	All Channelers accessing CJI shall be subject to the terms and conditions described in the Compact Council Security and Management Control Outsourcing Standard.
116	5.1.1.7	Section 6.4	"	Each Channeler that directly accesses CJI shall also allow the FBI to conduct periodic penetration testing.
117	5.1.1.7	New (2011)	"	Channelers leveraging CJI to perform civil functions on behalf of an Authorized Recipient shall meet the same training and certification criteria required by governmental agencies performing a similar function, and shall be subject to the same extent of audit review as are local user agencies.
118	5.1.2	New (2012)	Monitoring, Review, and Delivery of Services	As specified in the inter-agency agreements, MCAs, and contractual agreements with private contractors, the services, reports and records provided by the service provider shall be regularly monitored and reviewed.

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119	5.1.2	New (2012)	"	The CJA shall maintain sufficient overall control and visibility into all security aspects to include, but not limited to, identification of vulnerabilities and information security incident reporting/response.
120	5.1.2	New (2012)	"	The incident reporting/response process used by the service provider shall conform to the incident reporting/response specifications provided in this policy.
121	5.1.2.1	New (2012)	Managing Changes to Service Providers	Any changes to services provided by a service provider shall be managed by the CJA.
122	5.1.2.1	New (2012)	"	Evaluation of the risks to the agency shall be undertaken based on the criticality of the data, system, and the impact of the change.
123	5.1.3	New (2012)	Secondary Dissemination	If CHRI is released to another authorized agency, and that agency was not part of the releasing agency's primary information exchange agreement(s), the releasing agency shall log such dissemination.

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CJIS Security Policy Area 2 - Security Awareness Training				
124	5.2	New (2013)	Policy Area 2: Security Awareness Training	Basic security awareness training shall be required within six months of initial assignment and biennially thereafter, for all personnel who have access to CJI.
125	5.2.1.1	New (2013)	All Personnel	At a minimum, the following topics shall be addressed as baseline security awareness training for all authorized personnel with access to CJI:
126		New (2013)	"	1. Rules that describe responsibilities and expected behavior with regard to CJI usage.
127		New (2013)	"	2. Implications of noncompliance.
128		New (2013)	"	3. Incident response (Points of contact; Individual actions).
129		New (2013)	"	4. Media Protection.
130		New (2013)	"	5. Visitor control and physical access to spaces—discuss applicable physical security policy and procedures, e.g., challenge strangers, report unusual activity.
131		New (2013)	"	6. Protect information subject to confidentiality concerns — hardcopy through destruction.
132		New (2013)	"	7. Proper handling and marking of CJI.
133		New (2013)	"	8. Threats, vulnerabilities, and risks associated with handling of CJI.
134		New (2013)	"	9. Dissemination and destruction.
135	5.2.1.2	New (2013)	Personnel with Physical and Logical Access	In addition to 5.2.1.1 above, following topics at a minimum shall be addressed as baseline security awareness training for all authorized personnel with both physical <u>and</u> logical access to CJI:
136		New (2013)	"	1. Rules that describe responsibilities and expected behavior with regard to information system usage.
137		New (2013)	"	2. Password usage and management—including creation, frequency of changes, and protection.
138		New (2013)	"	3. Protection from viruses, worms, Trojan horses, and other malicious code.
139		New (2013)	"	4. Unknown e-mail/attachments.
140		New (2013)	"	5. Web usage—allowed versus prohibited; monitoring of user activity.
141		New (2013)	"	6. Spam.

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142		New (2013)	"	7. Social engineering. (The act of manipulating people to perform actions or divulging confidential information.).
143		New (2013)	"	8. Physical Security—increases in risks to systems and data.
144		New (2013)	"	9. Media Protection.
145		New (2013)	"	10. Handheld device security issues—address both physical and wireless security issues.
146		New (2013)	"	11. Use of encryption and the transmission of sensitive/confidential information over the Internet—address agency policy, procedures, and technical contact for assistance.
147		New (2013)	"	12. Laptop security—address both physical and information security issues.
148		New (2013)	"	13. Personally owned equipment and software—state whether allowed or not (e.g., copyrights).
149		New (2013)	"	14. Access control issues—address least privilege and separation of duties.
150		New (2013)	"	15. Individual accountability—explain what this means in the agency.
151		New (2013)	"	16. Use of acknowledgement statements—passwords, access to systems and data, personal use and gain.
152		New (2013)	"	17. Desktop security—discuss use of screensavers, restricting visitors’ view of information on screen (preventing/limiting “shoulder surfing”), battery backup devices, allowed access to systems.
153		New (2013)	"	18. Protect information subject to confidentiality concerns—in systems, archived, on backup media, and until destroyed.
154		New (2013)	"	19. Threats, vulnerabilities, and risks associated with accessing CJIS Service systems and services.
155	5.2.1.3	New (2013)	Personnel with Information Technology Roles	In addition to 5.2.1.1 and 5.2.1.2 above, the following topics at a minimum shall be addressed as baseline security awareness training for all Information Technology personnel (system administrators, security administrators, network administrators, etc.):
156		New (2013)	"	1. Protection from viruses, worms, Trojan horses, and other malicious code—scanning, updating definitions.
157		New (2013)	"	2. Data backup and storage—centralized or decentralized approach.

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158		New (2013)	"	3. Timely application of system patches—part of configuration management.
159		New (2013)	"	4. Access control measures.
160		New (2013)	"	5. Network infrastructure protection measures.
161	5.2.2	New (2013)	Security Training Records	Records of individual basic security awareness training and specific information system security training shall be documented, kept current, and maintained by the CSO/SIB/Compact Officer.

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CJIS Security Policy Area 3 - Incident Response				
162	5.3	New (2012)	Policy Area 3: Incident Response	Agencies shall : (i) establish an operational incident handling capability for agency information systems that includes adequate preparation, detection, analysis, containment, recovery, and user response activities; (ii) track, document, and report incidents to appropriate agency officials and/or authorities.
163	5.3	New (2012)	"	ISOs have been identified as the POC on security-related issues for their respective agencies and shall ensure LASOs institute the CSA incident response reporting procedures at the local level.
164	5.3.1	New (2012)	Reporting Information Security Events	The agency shall promptly report incident information to appropriate authorities.
165	5.3.1	New (2012)	"	Information security events and weaknesses associated with information systems shall be communicated in a manner allowing timely corrective action to be taken.
166	5.3.1	Sections 3.3(d) & 5.2.2	"	Formal event reporting and escalation procedures shall be in place.
167	5.3.1	New (2012)	"	Wherever feasible, the agency shall employ automated mechanisms to assist in the reporting of security incidents.
168	5.3.1	New (2012)	"	All employees, contractors and third party users shall be made aware of the procedures for reporting the different types of event and weakness that might have an impact on the security of agency assets and are required to report any information security events and weaknesses as quickly as possible to the designated point of contact.
169	5.3.1.1.1	Section 5.2.1	FBI CJIS Division Responsibilities	The FBI CJIS Division shall :
170		Section 5.2.1	"	1. Manage and maintain the CJIS Division's Computer Security Incident Response Capability (CSIRC).
171		Section 5.2.1	"	2. Serve as a central clearinghouse for all reported intrusion incidents, security alerts, bulletins, and other security-related material.
172		Section 5.2.1	"	3. Ensure additional resources for all incidents affecting FBI CJIS Division controlled systems as needed.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
173		Section 5.2.1	"	4. Disseminate prompt advisories of system threats and operating system vulnerabilities to all CSOs and ISOs through the use of the <u>iso@leo.gov</u> e-mail account, to include but not limited to: Product Security Bulletins, Virus Bulletins, and Security Clips.
174		Section 5.2.1	"	5. Track all reported incidents and/or trends.
175		Section 5.2.1	"	6. Monitor the resolution of all incidents.
176	5.3.1.1.2	Section 5.5.2	CSA ISO Responsibilities	The CSA ISO shall :
177		Section 5.5.2	"	1. Assign individuals in each state, federal, and international law enforcement organization to be the primary point of contact for interfacing with the FBI CJIS Division concerning incident handling and response.
178		Section 5.5.2	"	2. Identify individuals who are responsible for reporting incidents within their area of responsibility.
179		Section 5.5.2	"	3. Collect incident information from those individuals for coordination and sharing among other organizations that may or may not be affected by the incident.
180		Section 5.5.2	"	4. Develop, implement, and maintain internal incident response procedures and coordinate those procedures with other organizations that may or may not be affected.
181		Section 5.5.2	"	5. Collect and disseminate all incident-related information received from the Department of Justice (DOJ), FBI CJIS Division, and other entities to the appropriate local law enforcement POCs within their area.
182		Section 5.5.2	"	6. Act as a single POC for their jurisdictional area for requesting incident response assistance.
183	5.3.2	New 2012)	Management of Information Security Incidents	A consistent and effective approach shall be applied to the management of information security incidents.
184	5.3.2	Section 5.3 & 5.4	"	Responsibilities and procedures shall be in place to handle information security events and weaknesses effectively once they have been reported.
185	5.3.2.1	New (2012)	Incident Handling	The agency shall implement an incident handling capability for security incidents that includes preparation, detection and analysis, containment, eradication, and recovery.
186	5.3.2.1	New (2013)	"	Wherever feasible, the agency shall employ automated mechanisms to support the incident handling process.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
187	5.3.2.2	New (2012)	Collection of Evidence	Where a follow-up action against a person or agency after an information security incident involves legal action (either civil or criminal), evidence shall be collected, retained, and presented to conform to the rules for evidence laid down in the relevant jurisdiction(s).
188	5.3.3	New (2012)	Incident Response Training	The agency shall ensure general incident response roles responsibilities are included as part of required security awareness training.
189	5.3.4	New (2012)	Incident Monitoring	The agency shall track and document information system security incidents on an ongoing basis.
190	5.3.4	New (2012)	"	The CSA ISO shall maintain completed security incident reporting forms until the subsequent FBI triennial audit or until legal action (if warranted) is complete (whichever time-frame is greater).

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
CJIS Security Policy Area 4 - Auditing and Accountability				
191	5.4	New (2013)	Policy Area 4: Auditing and Accountability	Agencies shall implement audit and accountability controls to increase the probability of authorized users conforming to a prescribed pattern of behavior.
192	5.4	New (2013)	"	Agencies shall carefully assess the inventory of components that compose their information systems to determine which security controls are applicable to the various components.
193	5.4.1	Section 7.14	Auditable Events and Content (Information Systems)	The agency's information system shall generate audit records for defined events.
194	5.4.1	New (2013)	"	The agency shall specify which information system components carry out auditing activities.
195	5.4.1	Section 7.14	"	The agency's information system shall produce, at the application and/or operating system level, audit records containing sufficient information to establish what events occurred, the sources of the events, and the outcomes of the events.
196	5.4.1	New (2013)	"	The agency shall periodically review and update the list of agency-defined auditable events.
197	5.4.1	New (2013)	"	In the event an agency does not use an automated system, manual recording of activities shall still take place.
198	5.4.1.1	Section 7.14	Events	The following events shall be logged:
199		Section 7.14	"	1. Successful and unsuccessful system log-on attempts.
200		New (2013)	"	2. Successful and unsuccessful attempts to access, create, write, delete or change permission on a user account, file, directory or other system resource.
201		New (2013)	"	3. Successful and unsuccessful attempts to change account passwords.
202		New (2013)	"	4. Successful and unsuccessful actions by privileged accounts.
203		New (2013)	"	5. Successful and unsuccessful attempts for users to access, modify, or destroy the audit log file.
204		5.4.1.1.1	New (2013)	Content
205	New (2013)		"	1. Date and time of the event.
206	New (2013)		"	2. The component of the information system (e.g., software component, hardware component) where the event occurred.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
207		New (2013)	"	3. Type of event.
208		New (2013)	"	4. User/subject identity.
209		New (2013)	"	5. Outcome (success or failure) of the event.
210	5.4.2	New (2013)	Response to Audit Processing Failures	The agency's information system shall provide alerts to appropriate agency officials in the event of an audit processing failure.
211	5.4.3	New (2013)	Audit Monitoring, Analysis, and Reporting	The responsible management official shall designate an individual or position to review/analyze information system audit records for indications of inappropriate or unusual activity, investigate suspicious activity or suspected violations, to report findings to appropriate officials, and to take necessary actions.
212	5.4.3	New (2013)	"	Audit review/analysis shall be conducted at a minimum once a week.
213	5.4.3	New (2013)	"	The agency shall increase the level of audit monitoring and analysis activity within the information system whenever there is an indication of increased risk to agency operations, agency assets, or individuals based on law enforcement information, intelligence information, or other credible sources of information.
214	5.4.4	New (2013)	Time Stamps	The agency's information system shall provide time stamps for use in audit record generation.
215	5.4.4	New (2013)	"	The time stamps shall include the date and time values generated by the internal system clocks in the audit records.
216	5.4.4	New (2013)	"	The agency shall synchronize internal information system clocks on an annual basis.
217	5.4.5	New (2013)	Protection of Audit Information	The agency's information system shall protect audit information and audit tools from modification, deletion and unauthorized access.
218	5.4.6	New (2012)	Audit Record Retention	The agency shall retain audit records for at least 365 days.
219	5.4.6	New (2013)	"	Once the minimum retention time period has passed, the agency shall continue to retain audit records until it is determined they are no longer needed for administrative, legal, audit, or other operational purposes.
220	5.4.7	Section 8.4	Logging NCIC and III Transactions	A log shall be maintained for a minimum of one (1) year on all NCIC and III transactions.
221	5.4.7	Section 8.4	"	The III portion of the log shall clearly identify both the operator and the authorized receiving agency.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
222	5.4.7	Section 8.4	"	III logs shall also clearly identify the requester and the secondary recipient.
223	5.4.7	Section 8.4	"	The identification on the log shall take the form of a unique identifier that shall remain unique to the individual requester and to the secondary recipient throughout the minimum one year retention period.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
CJIS Security Policy Area 5 - Access Control				
224	5.5.1	New (2012)	Account Management	The agency shall manage information system accounts, including establishing, activating, modifying, reviewing, disabling, and removing accounts.
225	5.5.1	New (2012)	"	The agency shall validate information system accounts at least annually and shall document the validation process.
226	5.5.1	New (2013)	"	The agency shall identify authorized users of the information system and specify access rights/privileges.
227	5.5.1	New (2013)	"	The agency shall grant access to the information system based on:
228		New (2013)	"	1. Valid need-to-know/need-to-share that is determined by assigned official duties.
229		New (2013)	"	2. Satisfaction of all personnel security criteria.
230	5.5.1	New (2013)	"	The agency responsible for account creation shall be notified when:
231		New (2013)	"	1. A user's information system usage or need-to-know or need-to-share changes.
232		New (2013)	"	2. A user is terminated or transferred or associated accounts are removed, disabled, or otherwise secured.
233	5.5.2	Section 7.6	Access Enforcement	The information system shall enforce assigned authorizations for controlling access to the system and contained information.
234	5.5.2	New (2012)	"	The information system controls shall restrict access to privileged functions (deployed in hardware, software, and firmware) and security-relevant information to explicitly authorized personnel.
235	5.5.2	New (2013)	"	Access control policies (e.g., identity-based policies, role-based policies, rule-based policies) and associated access enforcement mechanisms (e.g., access control lists, access control matrices, cryptography) shall be employed by agencies to control access between users (or processes acting on behalf of users) and objects (e.g., devices, files, records, processes, programs, domains) in the information system.
236	5.5.2.1	New (2013)	Least Privilege	The agency shall approve individual access privileges and shall enforce physical and logical access restrictions associated with changes to the information system; and generate, retain, and review records reflecting all such changes.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
237	5.5.2.1	Section 7.6.3	"	The agency shall enforce the most restrictive set of rights/privileges or access needed by users for the performance of specified tasks.
238	5.5.2.1	Section 7.6.3	"	The agency shall implement least privilege based on specific duties, operations, or information systems as necessary to mitigate risk to CJI.
239	5.5.2.1	New (2013)	"	Logs of access privilege changes shall be maintained for a minimum of one year or at least equal to the agency's record retention policy – whichever is greater.
240	5.5.2.2	New (2013)	System Access Control	Access control mechanisms to enable access to CJI shall be restricted by object (e.g., data set, volumes, files, records) including the ability to read, write, or delete the objects.
241	5.5.2.2	New (2013)	"	Access controls shall be in place and operational for all IT systems to:
242		New (2013)	"	1. Prevent multiple concurrent active sessions for one user identification, for those applications accessing CJI, unless the agency grants authority based upon operational business needs. Agencies shall document the parameters of the operational business needs for multiple concurrent active sessions.
243		New (2013)	"	2. Ensure that only authorized personnel can add, change, or remove component devices, dial-up connections, and remove or alter programs.
244	5.5.2.3	New (2013)	Access Control Criteria	Agencies shall control access to CJI based on one or more of the following:
245		New (2013)	"	1. Job assignment or function (i.e., the role) of the user seeking access.
246		New (2013)	"	2. Physical location.
247		New (2013)	"	3. Logical location.
248		New (2013)	"	4. Network addresses (e.g., users from sites within a given agency may be permitted greater access than those from outside).
249		New (2013)	"	5. Time-of-day and day-of-week/month restrictions.
250	5.5.2.4	New (2013)	Access Control Mechanisms	When setting up access controls, agencies shall use one or more of the following mechanisms:
251		New (2013)	"	1. Access Control Lists (ACLs). ACLs are a register of users (including groups, machines, processes) who have been given permission to use a particular object (system resource) and the types of access they have been permitted.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
252		New (2013)	"	2. Resource Restrictions. Access to specific functions is restricted by never allowing users to request information, functions, or other resources for which they do not have access. Three major types of resource restrictions are: menus, database views, and network devices.
253		New (2013)	"	3. Encryption. Encrypted information can only be decrypted, and therefore read, by those possessing the appropriate cryptographic key. While encryption can provide strong access control, it is accompanied by the need for strong key management. If encryption of stored information is employed as an access enforcement mechanism, the cryptography used is Federal Information Processing Standards (FIPS) 140-2 (as amended) compliant (see section 5.10.1.1.2 for encryption requirements).
254		New (2013)	"	4. Application Level. In addition to controlling access at the information system level, access enforcement mechanisms are employed at the application level to provide increased information security for the agency.
255	5.5.3	Section 7.6.1	Unsuccessful Login Attempts	Where technically feasible, the system shall enforce a limit of no more than 5 consecutive invalid access attempts by a user (attempting to access CJI or systems with access to CJI).
256	5.5.3	Section 7.6.1	"	The system shall automatically lock the account/node for a 10 minute time period unless released by an administrator.
257	5.5.4	New (2013)	System Use Notification	The information system shall display an approved system use notification message, before granting access, informing potential users of various usages and monitoring rules.
258	5.5.4	New (2013)	"	The system use notification message shall , at a minimum, provide the following information:
259		New (2013)	"	1. The user is accessing a restricted information system.
260		New (2013)	"	2. System usage may be monitored, recorded, and subject to audit.
261		New (2013)	"	3. Unauthorized use of the system is prohibited and may be subject to criminal and/or civil penalties.
262		New (2013)	"	4. Use of the system indicates consent to monitoring and recording.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
263	5.5.4	New (2013)	"	The system use notification message shall provide appropriate privacy and security notices (based on associated privacy and security policies or summaries) and remain on the screen until the user acknowledges the notification and takes explicit actions to log on to the information system.
264	5.5.4	New (2013)	"	Privacy and security policies shall be consistent with applicable laws, Executive Orders, directives, policies, regulations, standards, and guidance.
265	5.5.5	Section 7.6.2	Session Lock	The information system shall prevent further access to the system by initiating a session lock after a maximum of 30 minutes of inactivity, and the session lock remains in effect until the user reestablishes access using appropriate identification and authentication procedures.
266	5.5.5	New (2013)	"	Users shall directly initiate session lock mechanisms to prevent inadvertent viewing when a device is unattended.
267	5.5.6	New (2013)	Remote Access	The agency shall authorize, monitor, and control all methods of remote access to the information system.
268	5.5.6	New (2013)	"	The agency shall employ automated mechanisms to facilitate the monitoring and control of remote access methods.
269	5.5.6	New (2013)	"	The agency shall control all remote accesses through managed access control points.
270	5.5.6	New (2013)	"	The agency may permit remote access for privileged functions only for compelling operational needs but shall document the rationale for such access in the security plan for the information system.
271	5.5.6.1	New (2011)	Personally Owned Information Systems	A personally owned information system shall not be authorized to access, process, store or transmit CJI unless the agency has established and documented the specific terms and conditions for personally owned information system usage.
272	5.5.7	New (2012)	Wireless Access Restrictions	The agency shall : (i) establish usage restrictions and implementation guidance for wireless technologies; and (ii) authorize, monitor, control wireless access to the information system.
273	5.5.7.1	New (2012)	All 802.11x Wireless Protocols	Agencies shall :

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
274		New (2012)	"	1. Perform validation testing to ensure rogue APs (Access Points) do not exist in the 802.11 Wireless Local Area Network (WLAN) and to fully understand the wireless network security posture.
275		New (2012)	"	2. Maintain a complete inventory of all Access Points (APs) and 802.11 wireless devices.
276		New (2012)	"	3. Place APs in secured areas to prevent unauthorized physical access and user manipulation.
277		New (2012)	"	4. Test AP range boundaries to determine the precise extent of the wireless coverage and design the AP wireless coverage to limit the coverage area to only what is needed for operational purposes.
278		New (2012)	"	5. Enable user authentication and encryption mechanisms for the management interface of the AP.
279		New (2012)	"	6. Ensure that all APs have strong administrative passwords and ensure that all passwords are changed in accordance with section 5.6.3.1.
280		New (2012)	"	7. Ensure the reset function on APs is used only when needed and is only invoked by authorized personnel. Restore the APs to the latest security settings, when the reset functions are used, to ensure the factory default settings are not utilized.
281		New (2012)	"	8. Change the default service set identifier (SSID) in the APs. Disable the broadcast SSID feature so that the client SSID must match that of the AP. Validate that the SSID character string does not contain any agency identifiable information (division, department, street, etc.) or services.
282		New (2012)	"	9. Enable all security features of the wireless product, including the cryptographic authentication, firewall, and other privacy features.
283		New (2012)	"	10. Ensure that encryption key sizes are at least 128-bits and the default shared keys are replaced by unique keys.
284		New (2012)	"	11. Ensure that the ad hoc mode has been disabled unless the environment is such that the risk has been assessed and is tolerable. Note: some products do not allow disabling this feature; use with caution or use different vendor.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
285		New (2012)	"	12. Disable all nonessential management protocols on the APs and disable hypertext transfer protocol (HTTP) when not needed or protect HTTP access with authentication and encryption.
286		New (2012)	"	13. Enable logging (if supported) and review the logs on a recurring basis per local policy. At a minimum logs shall be reviewed monthly.
287		New (2012)	"	14. Segregate, virtually (e.g. virtual local area network (VLAN) and ACLs) or physically (e.g. firewalls), the wireless network from the operational wired infrastructure. Limit access between wireless networks and the wired network to only operational needs.
288		New (2012)	"	15. When disposing of access points that will no longer be used by the agency, clear access point configuration to prevent disclosure of network configuration, keys, passwords, etc.
289	5.5.7.2	New (2012)	Legacy 802.11 Protocols	Agencies shall follow the guidelines below regarding wireless implementation and cases where the WEP and WPA security features are used to provide wireless security in conjunction with the CJIS required minimum encryption specifications.
290		New (2012)	"	1. Deploy media access control (MAC) access control lists (ACL); however, MAC ACLs do not represent a strong defense mechanism by themselves because they are transmitted in the clear from WLAN clients to APs so they can be captured easily.
291		New (2012)	"	2. Enable WEP/WPA.
292		New (2012)	"	3. Ensure the default shared keys are replaced by more secure unique keys.
293		New (2012)	"	4. Enable utilization of key-mapping keys rather than default keys so that sessions are unique when using WEP.
294		5.5.7.3.1	New (2012)	Cellular Risk Mitigations
295		New (2012)	"	1. Apply available critical patches and upgrades to the operating system.
296		New (2012)	"	2. Are configured for local device authentication.
297		New (2012)	"	3. Use advanced authentication.
298		New (2012)	"	4. Encrypt all CJI resident on the device.
299		New (2012)	"	5. Erase cached information when session is terminated.
300		New (2012)	"	6. Employ personal firewalls.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
301		New (2012)	"	7. Employ antivirus software.
302	5.5.7.4	New (2012)	Bluetooth	If such services are needed, they shall be provided through additional, higher-layer means in addition to the Bluetooth specification and 802.11 standards.
303	5.5.7.4	New (2012)	"	Agencies shall :
304		New (2012)	"	1. Provide users with a list of precautionary measures they should take to better protect handheld Bluetooth devices from theft. The organization and its employees should be responsible for its wireless technology components because theft of those components could lead to malicious activities against the organization's information system resource.
305		New (2012)	"	2. Maintain a complete inventory of all Bluetooth-enabled wireless devices and addresses (BD_ADDRs). A complete inventory of Bluetooth-enabled wireless devices can be referenced when conducting an audit that searches for unauthorized use of wireless technologies.
306		New (2012)	"	3. Change the default setting of the Bluetooth device to reflect the organization's security policy. Because default settings are generally not secure, a careful review of those settings should be performed to ensure that they comply with the organization's security policy.
307		New (2012)	"	4. Set Bluetooth devices to the lowest necessary and sufficient power level so that transmissions remain within the secure perimeter of the organization. Setting Bluetooth devices to the lowest necessary and sufficient power level ensures a secure range of access to authorized users. The use of Class 1 devices should be avoided due to their extended range (approximately 100 meters).
308		New (2012)	"	5. Choose personal identification number (PIN) codes that are sufficiently random and long. Avoid static and weak PINs, such as all zeroes. PIN codes should be random so that they cannot be easily reproduced by malicious users. Longer PIN codes are more resistant to brute force attacks. For Bluetooth v2.0 (or earlier) devices, an eight-character alphanumeric PIN shall be used.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
309		New (2012)	"	6. For v2.1 devices using Secure Simple Pairing, avoid using the “Just Works” model. The “Just Works” model does not provide protection against man-in-the-middle (MITM) attacks. Devices that only support Just Works should not be procured if similarly qualified devices that support one of the association models (i.e. Numeric Comparison, Out of Band, or Passkey Entry) are available.
310		New (2012)	"	7. Bluetooth devices should be configured by default as, and remain, undiscoverable except as needed for pairing. Bluetooth interfaces should be configured as non-discoverable, which prevents visibility to other Bluetooth devices except when discovery is specifically needed. Also, the default self-identifying or discoverable names provided on Bluetooth devices should be changed to anonymous unidentifiable names.
311		New (2012)	"	8. Invoke link encryption for all Bluetooth connections regardless of how needless encryption may seem (i.e. no Security Mode 1). Link encryption should be used to secure all data transmissions during a Bluetooth connection; otherwise, transmitted data is vulnerable to eavesdropping.
312		New (2012)	"	9. If multi-hop wireless communication is being utilized, ensure that encryption is enabled on every link in the communication chain. Every link should be secured because one unsecured link results in compromising the entire communication chain.
313		New (2012)	"	10. Ensure device mutual authentication is performed for all accesses. Mutual authentication is required to provide verification that all devices on the network are legitimate.
314		New (2012)	"	11. Enable encryption for all broadcast transmission (Encryption Mode 3). Broadcast transmissions secured by link encryption provide a layer of security that protects these transmissions from user interception for malicious purposes.
315		New (2012)	"	12. Configure encryption key sizes to the maximum allowable. Using maximum allowable key sizes provides protection from brute force attacks.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
316		New (2012)	"	13. Establish a “minimum key size” for any negotiation process. Establishing minimum key sizes ensures that all keys are long enough to be resistant to brute force attacks. See Section 5.10.1.1.2 for minimum key encryption standards.
317		New (2012)	"	14. Use Security Mode 3 in order to provide link-level security prior to link establishment.
318		New (2012)	"	15. Users do not accept transmissions of any kind from unknown or suspicious devices. These types of transmissions include messages, files, and images. With the increase in the number of Bluetooth enabled devices, it is important that users only establish connections with other trusted devices and only accept content from these trusted devices.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
CJIS Security Policy Area 6 - Identification and Authentication				
319	5.6	New (2012)	Policy Area 6: Identification and Authentication	The agency shall identify information system users and processes acting on behalf of users and authenticate the identities of those users or processes as a prerequisite to allowing access to agency information systems or services.
320	5.6.1	Section 7.3.1	Identification Policy and Procedures	Each person who is authorized to store, process, and/or transmit CJI shall be uniquely identified.
321	5.6.1	Section 7.3.1	"	A unique identification shall also be required for all persons who administer and maintain the system(s) that access CJI or networks leveraged for CJI transit.
322	5.6.1	Section 7.3.1	"	Agencies shall require users to identify themselves uniquely before the user is allowed to perform any actions on the system.
323	5.6.1	Section 7.3.1	"	Agencies shall ensure that all user IDs belong to currently authorized users.
324	5.6.1	Section 7.3.1	"	Identification data shall be kept current by adding new users and disabling and/or deleting former users.
325	5.6.1.1	Section 6.1	Use of Originating Agency Identifiers in Transactions and Information Exchanges	An FBI authorized originating agency identifier (ORI) shall be used in each transaction on CJIS systems in order to identify the sending agency and to ensure the proper level of access for each transaction.
326	5.6.1.1	Section 6.1	"	The original identifier between the requesting agency and the CSA/SIB/Channeler shall be the ORI, and other agency identifiers, such as user identification or personal identifier, an access device mnemonic, or the Internet Protocol (IP) address.
327	5.6.1.1	Section 6.1	"	Because the agency performing the transaction may not necessarily be the same as the agency requesting the transaction, the CSA/SIB/Channeler shall ensure that the ORI for each transaction can be traced, via audit trail, to the specific agency which is requesting the transaction.
328	5.6.1.1	Section 6.1	"	Agencies assigned a P (limited access) ORI shall not use the full access ORI of another agency to conduct an inquiry transaction.
329	5.6.2	New (2011)	Authentication Policy and Procedures	Each individual's identity shall be authenticated at either the local agency, CSA, SIB or Channeler level.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
330	5.6.2	Section 7.3.2.2	"	The authentication strategy shall be part of the agency's audit for policy compliance.
331	5.6.2	Section 7.3.2.2	"	The FBI CJIS Division shall identify and authenticate all individuals who establish direct web-based interactive sessions with FBI CJIS Services.
332	5.6.2	New (2011)	"	The FBI CJIS Division shall authenticate the ORI of all message-based sessions between the FBI CJIS Division and its customer agencies but will not further authenticate the user nor capture the unique identifier for the originating operator because this function is performed at the local agency, CSA, SIB or Channeler level.
333	5.6.2.1	Section 7.3.3	Standard Authentication (Password)	Agencies shall follow the secure password attributes, below, to authenticate an individual's unique ID.
334	5.6.2.1	Section 7.3.3	"	Passwords shall :
335		Section 7.3.3	"	1. Be a minimum length of eight (8) characters on all systems.
336		Section 7.3.3	"	2. Not be a dictionary word or proper name.
337		Section 7.3.3	"	3. Not be the same as the Userid.
338		Section 7.3.3	"	4. Expire within a maximum of 90 calendar days.
339		Section 7.3.3	"	5. Not be identical to the previous ten (10) passwords.
340		Section 7.3.3	"	6. Not be transmitted in the clear outside the secure location.
341		New (2012)	"	7. Not be displayed when entered.
342	5.6.2.2.1	New (2012)	"	EXCEPTION: AA shall be required when the requested service has built AA into its processes and requires a user to provide AA before granting access.
343	5.6.3	Section 7.3.2.2	Identifier and Authenticator Management	The agency shall establish identifier and authenticator management processes.
344	5.6.3.1	New (2012)	Identifier Management	The agency shall document and manage user identifiers by:
345		New (2012)	"	1. Uniquely identifying each user.
346		New (2012)	"	2. Verifying the identity of each user.
347		New (2012)	"	3. Receiving authorization to issue a user identifier from an appropriate agency official.
348		New (2012)	"	4. Issuing the user identifier to the intended party.
349		New (2012)	"	5. Disabling the user identifier after a specified period of inactivity.
350		New (2012)	"	6. Archiving user identifiers.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
351	5.6.3.2	New (2012)	Authenticator Management	In order to manage information system authenticators, agencies shall :
352		New (2012)	"	1. Define initial authenticator content.
353		New (2012)	"	2. Establish administrative procedures for initial authenticator distribution, for lost/compromised, or damaged authenticators, and for revoking authenticators.
354		New (2012)	"	3. Change default authenticators upon information system installation.
355		New (2012)	"	4. Change/refresh authenticators periodically.
356	5.6.3.2	New (2012)	"	Users shall take reasonable measures to safeguard authenticators including maintaining possession of their individual authenticators, not loaning or sharing authenticators with others, and immediately reporting lost or compromised authenticators.
357	5.6.4	New (2014)	Assertions	Assertion mechanisms used to communicate the results of a remote authentication to other parties shall be:
358		New (2014)	"	1. Digitally signed by a trusted entity (e.g., the identity provider).
359		New (2014)	"	2. Obtained directly from a trusted entity (e.g. trusted broker) using a protocol where the trusted entity authenticates to the relying party using a secure protocol (e.g. transport layer security [TLS]) that cryptographically authenticates the verifier and protects the assertion.
360	5.6.4	New (2014)	"	Assertions generated by a verifier shall expire after 12 hours and shall not be accepted thereafter by the relying party.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
CJIS Security Policy Area 7 - Configuration Management				
361	5.7.1.1	New (2011)	Least Functionality	The agency shall configure the application, service, or information system to provide only essential capabilities and shall specifically prohibit and/or restrict the use of specified functions, ports, protocols, and/or services.
362	5.7.1.2	Section 7.1	Network Diagram	The agency shall 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.
363	5.7.1.2	Section 7.1	"	The network topological drawing shall include the following:
364		Section 7.1	"	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.
365		Section 7.1	"	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.
366		Section 7.1	"	3. "For Official Use Only" (FOUO) markings.
367		New (2012)	"	4. The agency name and date (day, month, and year) drawing was created or updated.
368	5.7.2	New (2012)	Security of Configuration Documentation	Agencies shall protect the system documentation from unauthorized access consistent with the provisions described in section 5.5 Access Control.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
CJIS Security Policy Area 8 - Media Protection				
369	5.8	New (2011)	Policy Area 8: Media Protection	Media protection policy and procedures shall be documented and implemented to ensure that access to electronic and physical media in all forms is restricted to authorized individuals.
370	5.8	New (2011)	"	Procedures shall be defined for securely handling, transporting and storing media.
371	5.8.1	New (2011)	Media Storage and Access	The agency shall securely store electronic and physical media within physically secure locations or controlled areas.
372	5.8.1	New (2011)	"	The agency shall restrict access to electronic and physical media to authorized individuals.
373	5.8.1	New (2013)	"	If physical and personnel restrictions are not feasible then the data shall be encrypted per section 5.10.1.2.
374	5.8.2	New (2011)	Media Transport	The agency shall protect and control electronic and physical media during transport outside of controlled areas and restrict the activities associated with transport of such media to authorized personnel.
375	5.8.2.1	New (2011)	Electronic Media in Transit	Controls shall be in place to protect electronic media containing CJI while in transport (physically moved from one location to another) to help prevent compromise of the data.
376	5.8.2.1	New (2011)	"	Encryption, as defined in section 5.10.1.2 of this policy, is the optimal control during transport; however, if encryption of the data isn't possible then each agency shall institute other controls to ensure the security of the data.
377	5.8.2.2	New (2011)	Physical Media in Transit	Physical media shall be protected at the same level as the information would be protected in electronic form.
378	5.8.3	Section 4.6 & 4.7	Electronic Media Sanitization and Disposal	The agency shall sanitize, that is, overwrite at least three times or degauss electronic media prior to disposal or release for reuse by unauthorized individuals.
379	5.8.3	New (2011)	"	Inoperable electronic media shall be destroyed (cut up, shredded, etc.).
380	5.8.3	New (2011)	"	The agency shall maintain written documentation of the steps taken to sanitize or destroy electronic media.
381	5.8.3	New (2011)	"	Agencies shall ensure the sanitization or destruction is witnessed or carried out by authorized personnel.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
382	5.8.4	New (2011)	Disposal of Physical Media	Physical media shall be securely disposed of when no longer required, using formal procedures.
383	5.8.4	New (2011)	"	Formal procedures for the secure disposal or destruction of physical media shall minimize the risk of sensitive information compromise by unauthorized individuals.
384	5.8.4	Section 4.6	"	Physical media shall be destroyed by shredding or incineration.
385	5.8.4	New (2011)	"	Agencies shall ensure the disposal or destruction is witnessed or carried out by authorized personnel.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
CJIS Security Policy Area 9 - Physical Protection				
386	5.9	New (2011)	Policy Area 9: Physical Protection	Physical protection policy and procedures shall be documented and implemented to ensure CJI and information system hardware, software, and media are physically protected through access control measures.
387	5.9.1	New (2011)	Physically Secure Location	For interim compliance, and for the sole purpose of meeting the advanced authentication policy, a police vehicle shall be considered a physically secure location until September 30 th 2013.
388	5.9.1.1	Section 7.2.2	Security Perimeter	The perimeter of physically secure location shall be prominently posted and separated from non-secure locations by physical controls.
389	5.9.1.1	Section 7.2.2	"	Security perimeters shall be defined, controlled and secured in a manner acceptable to the CSA or SIB.
390	5.9.1.2	New (2013)	Physical Access Authorizations	The agency shall develop and keep current a list of personnel with authorized access to the physically secure location (except for those areas within the permanent facility officially designated as publicly accessible) or shall issue credentials to authorized personnel.
391	5.9.1.3	New (2011)	Physical Access Control	The agency shall control all physical access points (except for those areas within the facility officially designated as publicly accessible) and shall verify individual access authorizations before granting access.
392	5.9.1.4	New (2011)	Access Control for Transmission Medium	The agency shall control physical access to information system distribution and transmission lines within the physically secure location.
393	5.9.1.5	Section 4.4.1	Access Control for Display Medium	The agency shall control physical access to information system devices that display CJI and shall position information system devices in such a way as to prevent unauthorized individuals from accessing and viewing CJI.
394	5.9.1.6	Section 4.4.1	Monitoring Physical Access	The agency shall monitor physical access to the information system to detect and respond to physical security incidents.
395	5.9.1.7	New (2011)	Visitor Control	The agency shall control physical access by authenticating visitors before authorizing escorted access to the physically secure location (except for those areas designated as publicly accessible).
396	5.9.1.7	New (2011)	"	The agency shall escort visitors at all times and monitor visitor activity.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
397	5.9.1.8	New (2012)	Access Records	The agency shall maintain visitor access records to the physically secure location (except for those areas officially designated as publicly accessible) that includes:
398		New (2012)	"	1. Name and agency of the visitor.
399		New (2012)	"	2. Signature of the visitor.
400		New (2012)	"	3. Form of identification.
401		New (2012)	"	4. Date of access.
402		New (2012)	"	5. Time of entry and departure.
403		New (2012)	"	6. Purpose of visit.
404		New (2012)	"	7. Name and agency of person visited.
405	5.9.1.8	New (2012)	"	The visitor access records shall be maintained for a minimum of one year.
406	5.9.1.8	New (2012)	"	Designated officials within the agency shall frequently review the visitor access records for accuracy and completeness.
407	5.9.1.9	New (2013)	Delivery and Removal	The agency shall authorize and control information system-related items entering and exiting the physically secure location.
408	5.9.2	New (2013)	Controlled Area	If an agency cannot meet all of the controls required for establishing a physically secure location, but has an operational need to access or store CJI, the agency shall designate an area, a room, or a storage container, as a “controlled area” for the purpose of day-to-day CJI access or storage.
409	5.9.2	New (2012)	"	The agency shall , at a minimum:
410		New (2012)	"	1. Limit access to the controlled area during CJI processing times to only those personnel authorized by the agency to access or view CJI.
411		New (2012)	"	2. Lock the area, room, or storage container when unattended.
412		New (2012)	"	3. Position information system devices and documents containing CJI in such a way as to prevent unauthorized individuals from access and view.
413		New (2012)	"	4. Follow the encryption requirements found in section 5.10.1.1.2 for electronic storage (i.e. data “at rest”) of CJI.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
CJIS Security Policy Area 10 - Systems and Communications Protection and Information Integrity				
414	5.10.1	Section 7.5	Information Flow Enforcement	The network infrastructure shall control the flow of information between interconnected systems.
415	5.10.1.1	New (2013)	Boundary Protection	The agency shall :
416		Section 7	"	1. Control access to networks processing CJI.
417		New (2013)	"	2. Monitor and control communications at the external boundary of the information system and at key internal boundaries within the system.
418		Section 7.5 & 7.13	"	3. Ensure any connections to the Internet, other external networks, or information systems occur through controlled interfaces (e.g. proxies, gateways, routers, firewalls, encrypted tunnels). See Section 5.10.4.4 for guidance on personal firewalls.
419		New (2013)	"	4. Employ tools and techniques to monitor network events, detect attacks, and provide identification of unauthorized use.
420		New (2011)	"	5. Ensure the operational failure of the boundary protection mechanisms do not result in any unauthorized release of information outside of the information system boundary (i.e. the device shall “fail closed” vs. “fail open”).
421		New (2012)	"	6. Allocate publicly accessible information system components (e.g. public Web servers) to separate sub networks with separate, network interfaces. Publicly accessible information systems residing on a virtual host shall follow the guidance in section 5.10.3.2 to achieve separation.
422	5.10.1.2	Section 7.9 & 7.12	Encryption	1. Encryption shall be a minimum of 128 bit.
423		Section 7.9	"	2. When CJI is transmitted outside the boundary of the physically secure location, the data shall be immediately protected via cryptographic mechanisms (encryption).
424		New (2013)	"	3. When CJI is at rest (i.e. stored electronically) outside the boundary of the physically secure location, the data shall be protected via cryptographic mechanisms (encryption).
425		Section 7.9 & 7.12	"	4. When encryption is employed, the cryptographic module used shall be certified to meet FIPS 140-2 standards.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
426		New (2013)	"	5. For agencies using public key infrastructure technology, the agency shall develop and implement a certificate policy and certification practice statement for the issuance of public key certificates used in the information system.
427	5.10.1.2	New (2013)	"	Registration to receive a public key certificate shall :
428		New (2013)	"	a) Include authorization by a supervisor or a responsible official.
429		New (2013)	"	b) Be accomplished by a secure process that verifies the identity of the certificate holder.
430		New (2013)	"	c) Ensure the certificate is issued to the intended party.
431	5.10.1.3	New (2013)	Intrusion Detection Tools and Techniques	The agency shall implement network-based and/or host-based intrusion detection tools.
432	5.10.1.3	New (2012)	"	The CSA/SIB shall , in addition:
433		New (2012)	"	1. Monitor inbound and outbound communications for unusual or unauthorized activities.
434		New (2012)	"	2. Send individual intrusion detection logs to a central logging facility where correlation and analysis will be accomplished as a system wide intrusion detection effort.
435		New (2012)	"	3. Employ automated tools to support near-real-time analysis of events in support of detecting system-level attacks.
436	5.10.1.4	New (2011)	Voice over Internet Protocol	Agencies using the VoIP protocol shall :
437		New (2011)	"	1. Establish usage restrictions and implementation guidance for VoIP technologies.
438		New (2011)	"	2. Document, monitor and control the use of VoIP within the agency.
439	5.10.3.1	New (2012)	Partitioning	The application, service, or information system shall separate user functionality (including user interface services) from information system management functionality.
440	5.10.3.1	New (2012)	"	The application, service, or information system shall physically or logically separate user interface services (e.g. public Web pages) from information storage and management services (e.g. database management).
441	5.10.3.2	New (2012)	Virtualization	In addition to the security controls described in this policy, the following additional controls shall be implemented in a virtual environment:

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
442		New (2012)	"	1. Isolate the host from the virtual machine. In other words, virtual machine users cannot access host files, firmware, etc.
443		New (2012)	"	2. Maintain audit logs for all virtual machines and hosts and store the logs outside the hosts' virtual environment.
444		New (2012)	"	3. Virtual Machines that are Internet facing (web servers, portal servers, etc.) shall be physically separate from Virtual Machines that process CJI internally.
445		New (2012)	"	4. Device drivers that are "critical" shall be contained within a separate guest.
446	5.10.4.1	New (2011)	Patch Management	The agency shall identify applications, services, and information systems containing software or components affected by recently announced software flaws and potential vulnerabilities resulting from those flaws.
447	5.10.4.1	New (2011)	"	The agency (or the software developer/vendor in the case of software developed and maintained by a vendor/contractor) shall develop and implement a local policy that ensures prompt installation of newly released security relevant patches, service packs and hot fixes.
448	5.10.4.1	New (2012)	"	Patch requirements discovered during security assessments, continuous monitoring or incident response activities shall also be addressed expeditiously.
449	5.10.4.2	New (2012)	Malicious Code Protection	The agency shall implement malicious code protection that includes automatic updates for all systems with Internet access.
450	5.10.4.2	New (2012)	"	Agencies with systems not connected to the Internet shall implement local procedures to ensure malicious code protection is kept current (i.e. most recent update available).
451	5.10.4.2	Section 7.15	"	The agency shall employ virus protection mechanisms to detect and eradicate malicious code (e.g., viruses, worms, Trojan horses) at critical points throughout the network and on all workstations, servers and mobile computing devices on the network.
452	5.10.4.2	New (2011)	"	The agency shall ensure malicious code protection is enabled on all of the aforementioned critical points and information systems and resident scanning is employed.
453	5.10.4.3	New (2012)	Spam and Spyware Protection	The agency shall implement spam and spyware protection.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
454	5.10.4.3	New (2012)	"	The agency shall :
455		New (2012)	"	1. Employ spam protection mechanisms at critical information system entry points (e.g. firewalls, electronic mail servers, remote-access servers).
456		New (2012)	"	2. Employ spyware protection at workstations, servers or mobile computing devices on the network.
457		New (2012)	"	3. Use the spam and spyware protection mechanisms to detect and take appropriate action on unsolicited messages and spyware/adware, respectively, transported by electronic mail, electronic mail attachments, Internet accesses, removable media (e.g. diskettes or compact disks) or other removable media as defined in this policy document.
458	5.10.4.4	Section 7.13.3	Personal Firewall	A personal firewall shall be employed on all devices that are mobile by design (i.e. laptops, handhelds, personal digital assistants, etc.).
459	5.10.4.4	Section 7.13.3(b)	"	At a minimum, the personal firewall shall perform the following activities:
460		Section 7.13.3(b)	"	1. Manage program access to the Internet.
461		Section 7.13.3(b)	"	2. Block unsolicited requests to connect to the PC.
462		Section 7.13.3(b)	"	3. Filter Incoming traffic by IP address or protocol.
463		Section 7.13.3(b)	"	4. Filter Incoming traffic by destination ports.
464		Section 7.13.3(b)	"	5. Maintain an IP traffic log.
465	5.10.4.5	New (2012)	Security Alerts and Advisories	The agency shall :
466		New (2012)	"	1. Receive information system security alerts/advisories on a regular basis.
467		New (2012)	"	2. Issue alerts/advisories to appropriate personnel.
468		New (2012)	"	3. Document the types of actions to be taken in response to security alerts/advisories.
469		New (2012)	"	4. Take appropriate actions in response.
470		New (2012)	"	5. Employ automated mechanisms to make security alert and advisory information available throughout the agency as appropriate.
471	5.10.4.6	Section 7.6	Information Input Restrictions	The agency shall restrict the information input to any connection to FBI CJIS services to authorized personnel only.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
CJIS Security Policy Area 11 - Formal Audits				
472	5.11.1.1	Section 9.2	Triennial Compliance Audits by the FBI CJIS Division	The CJIS Audit Unit (CAU) shall conduct a triennial audit of each CSA in order to verify compliance with applicable statutes, regulations and policies.
473	5.11.1.1	Section 9.2	"	This audit shall include a sample of CJAs and, in coordination with the SIB, the NCJAs.
474	5.11.1.1	New (2013)	"	The FBI CJIS Division shall also have the authority to conduct unannounced security inspections and scheduled audits of Contractor facilities.
475	5.11.1.2	New (2013)	Triennial Security Audits by the FBI CJIS Division	This audit shall include a sample of CJAs and NCJAs.
476	5.11.2	Section 9.1	Audits by the CSA	Each CSA shall :
477		Section 9.1	"	1. At a minimum, triennially audit all CJAs and NCJAs which have direct access to the state system in order to ensure compliance with applicable statutes, regulations and policies.
478		New (2013)	"	2. In coordination with the SIB, establish a process to periodically audit all NCJAs, with access to CJI, in order to ensure compliance with applicable statutes, regulations and policies.
479		New (2013)	"	3. Have the authority to conduct unannounced security inspections and scheduled audits of Contractor facilities.
480	5.11.3	Section 9.4	Special Security Inquiries and Audits	All agencies having access to CJI shall permit an inspection team to conduct an appropriate inquiry and audit of any alleged security violations.
481	5.11.3	Section 9.4	"	The inspection team shall be appointed by the APB and shall include at least one representative of the CJIS Division.
482	5.11.3	Section 9.4	"	All results of the inquiry and audit shall be reported to the APB with appropriate recommendations.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
CJIS Security Policy Area 12 - Personnel Security				
483	5.12.1.1	New (2012)	Minimum Screening Requirements for Individuals Requiring Access to CJI	1. To verify identification, a state of residency and national fingerprint-based record checks shall be conducted within 30 days of assignment for all personnel who have direct access to CJI and those who have direct responsibility to configure and maintain computer systems and networks with direct access to CJI.
484		New (2012)	"	When appropriate, the screening shall be consistent with: (i) 5 CFR 731.106; (ii) Office of Personnel Management policy, regulations, and guidance; and (iii) agency policy, regulations, and guidance.
485		Section 4.5(a)	"	2. All requests for access shall be made as specified by the CSO.
486		Section 4.5(a)	"	All CSO designees shall be from an authorized criminal justice agency.
487		Section 4.5(b)	"	3. If a felony conviction of any kind exists, the hiring authority in the Interface Agency shall deny access to CJI.
488		Section 4.5(c)	"	4. If a record of any other kind exists, access to CJI shall not be granted until the CSO or his/her designee reviews the matter to determine if access is appropriate.
489		Section 4.5(d)	"	5. If the person appears to be a fugitive or has an arrest history without conviction, the CSO or his/her designee shall review the matter to determine if access to CJI is appropriate.
490		Section 4.5(e)	"	6. If the person is employed by a noncriminal justice agency, the CSO or his/her designee, and, if applicable, the appropriate board maintaining management control, shall review the matter to determine if CJI access is appropriate.
491		New (2011)	"	7. If the person already has access to CJI and is subsequently arrested and or convicted, continued access to CJI shall be determined by the CSO.
492		Section 4.5(g)	"	8. If the CSO or his/her designee determines that access to CJI by the person would not be in the public interest, access shall be denied and the person's appointing authority shall be notified in writing of the access denial.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
493		Section 4.5(g)	"	8. If the CSO or his/her designee determines that access to CJI by the person would not be in the public interest, access shall be denied and the person's appointing authority shall be notified in writing of the access denial.
494		Section 4.5(h)	"	9. Support personnel, contractors, and custodial workers with access to physically secure locations or controlled areas (during CJI processing) shall be subject to a state and national fingerprint-based record check unless these individuals are escorted by authorized personnel at all times.
495	5.12.1.2	Security Addendum 6.00	Personnel Screening for Contractors and Vendors	In addition to meeting the requirements in paragraph 5.12.1.1, contractors and vendors shall meet the following requirements:
496		Security Addendum 6.03	"	1. Prior to granting access to CJI, the CGA on whose behalf the Contractor is retained shall verify identification via a state of residency and national fingerprint-based record checks.
497		Security Addendum 6.03(b)	"	2. If a record of any kind is found, the CGA shall be formally notified, and system access shall be delayed pending review of the criminal history record information.
498	5.12.1.2	Security Addendum 6.03(b)	"	The CGA shall in turn notify the Contractor-appointed Security Officer.
499		Security Addendum 6.03(c)	"	3. When identification of the applicant with a criminal history has been established by fingerprint comparison, the CGA or the CJA (if the CGA does not have the authority to view CHRI) shall review the matter.
500		New (2012)	"	4. A Contractor employee found to have a criminal record consisting of felony conviction(s) shall be disqualified.
501		New (2012)	"	5. Applicants shall also be disqualified on the basis of confirmations that arrest warrants are outstanding for such applicants.
502		New (2012)	"	6. The CGA shall maintain a list of personnel who have been authorized access to CJI and shall , upon request, provide a current copy of the access list to the CSO.
503	5.12.2	New (2012)	Personnel Termination	The agency, upon termination of individual employment, shall immediately terminate access to CJI.

	Location in Policy	Ver 4.5 Location or New Requirement/Date	Topic	Shall Statement
504	5.12.3	New (2012)	Personnel Transfer	The agency shall review CJI access authorizations when personnel are reassigned or transferred to other positions within the agency and initiate appropriate actions such as closing and establishing accounts and changing system access authorizations.
505	5.12.4	New (2012)	Personnel Sanctions	The agency shall employ a formal sanctions process for personnel failing to comply with established information security policies and procedures.