



## Requirements Companion Document to the FBI CJIS Security Policy *and KCJIS Policies and Procedures* Version 5.9



*The KCJIS committee has chosen to adopt the FBI CJIS Security Policy as the baseline policy for KCJIS. When KCJIS requirements exceed those of FBI CJIS policy, the KCJIS language will be identified by a KCJIS icon in the left margin as illustrated in this paragraph.*

*KCJIS policy enhancements are depicted in this document by use of italicized font set in blue (when viewed online or printed to color printer).*

*The KCJIS Committee approved the KCJIS policy subcommittee's recommended changes to the corresponding KCJIS policy and procedures version 5.7 effective 3/11/2019. Among those approved changes was a change to policy **1.3 Relationship to Local Security Policy and Other Policies** – inserting a requirement for Kansas Highway Patrol, as the CSA, to immediately update KCJIS policies that are exceeded by FBI CJIS policy updates.*

Recommended changes to version 5.8 of the FBI *CJIS Security Policy* were approved by the Advisory Policy Board (APB) and subsequently approved by the Director, FBI. **FBI CSP version 5.9 was released June 1, 2020** *but did not necessitate a need for an immediate update to the corresponding KCJIS policy. However, a KCJIS Policies and Procedures subcommittee was convened on Sept 8, 2020. Changes recommended by the subcommittee were approved by the KCJIS Committee on September 14, 2020. The Policy contains current requirements carried over from previous versions along with newly approved requirements for agencies to implement. This document has been renamed from "Requirements and Tiering Document" to the new title above.*

The "Summary of Changes" page lists requirements that were added, deleted, or changed from the previous version and are now reflected in the current version. Within the document, modifications are highlighted in yellow for ease of location.

The document contains a “Requirement Priority Tier” column. This column lists the individual requirement tier of 1 or 2. Tier 1 requirements are indicated in **BLUE**. Tier 2 requirements are indicated in **GOLD**. Tier priorities are defined as indicated here:

- Tier 1 requirements must be met by a system before a CSO can approve connection to the state system.
- Tier 2 requirements must be met by the date indicated in the plan approved by the CSO.

The document also contains the “cloud matrix” consisting of additional columns describing who (CJIS/CSO, Agency, Cloud Service Provider or both the agency and service provider) has the technical capability to perform the actions necessary to ensure a particular requirement is being met. **NOTE: The Agency will always be ultimately accountable to ensure Policy compliance.** Three sub-columns are labeled IaaS, PaaS and SaaS and depict the type of cloud services being leveraged by the Agency from the Cloud Service Provider. Respectively, these cloud service models are:

- IaaS – Infrastructure as a Service
- PaaS – Platform as a Service
- SaaS – Software as a Service

Responsibility is color-coded within the columns based on the agreed ability to perform the actions necessary to meet requirements. They are as follows:

Dark Gray	CJIS/CSO
Dark Green	Agency
Dark Blue	Service Provider
Orange	Both

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

## SUMMARY OF CHANGES

### Version 5.9

Requirement No.	Change
541 – 553	The language in the main requirement statement for this range of requirements changed.

### *KCJIS Version 5.9*

*Added “The Nlets manual (aka the Nlets Wiki/Users Guide)” to the “Included as policy by reference...” paragraphs in the KCJIS Introduction Policies and Procedures and Policy 1.3 Relationship to Local Security Policies and Other Policies*

*Language changes in policy 5.3.1 Reporting Security Events and 5.3.6 Sanctions to simplify and clarify who the agency **shall** initially report the incident to and in what time frame. Also add language to clarify roles and authorities of KBI and KHP personnel in the incident response process.*

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
<b>Security Policy Sections 1 - 4 (Introduction, Approach, Roles &amp; Responsibilities, and CJI/PII)</b>								
1	1.3	1.3	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 <b>shall</b> always be the minimum standard and local policy may augment, or increase the standards,	1	Agency	Agency	Agency
2				...and local policy may augment, or increase the standards, but <b>shall not</b> detract from the CJIS Security Policy standards.	1	Agency	Agency	Agency
				<i>The KCJIS committee has chosen to adopt the FBI CJIS Security Policy as the baseline policy for KCJIS. When KCJIS requirements exceed those of FBI CJIS policy, the KCJIS language will be identified by a KCJIS icon in the left margin as illustrated in this paragraph.</i>	1	Agency	Agency	Agency
				<i>When FBI policy updates exceed KCJIS specific policies, the Kansas Highway Patrol, as the CSA, shall immediately modify KCJIS policy</i>				
				<i>Whenever the terms CJIS or NCIC are used in any part of this publication, it generally refers to both FBI CJIS and KCJIS provided information and systems used to access that information.</i>				
3				The agency <b>shall</b> develop, disseminate, and maintain formal, documented procedures to facilitate the implementation of the CJIS Security Policy and, where applicable, the local security policy.	2	Agency	Agency	Agency
4	The policies and procedures <b>shall</b> be consistent with applicable laws, Executive Orders, directives, policies, regulations, standards, and guidance.	1	Agency	Agency	Agency			
	<i>The following documents are incorporated by reference and made part of this policy: (1) the NCIC 2000 Operating Manual; (2) Title 28, Code of Federal Regulations, Part 20; (3) the N-Dex Policy and Operating Manual <b>The NLets manual (aka the NLets Wiki/Users Guide)</b>.</i>	1	Agency	Agency	Agency			
	<i>The ANNOTATIONS and GUIDANCE chapter of this KCJIS publication is intended to assist KCJIS users in the application of these policies. This will include explanations of current KCJIS governance interpretations and understandings of policies and regulations along with references to helpful resources.</i>							
	<i>The required documentation for local policy and procedures listed in this manual and the NCIC operating manual <b>shall</b> be included in a local agency Standard Operating Procedures (SOP) manual. Refer to Part 2 (GUIDANCE) of this publication for further</i>							
		2	CJIS SECURITY POLICY APPROACH	<i>Each criminal justice agency <b>shall</b> require all unescorted personnel to sign an awareness statement which indicates they have read local agency standards and procedures relating to the KCJIS policy and acknowledge the consequences of policy violations.</i>		Agency	Agency	Agency
				<i>Signed awareness statements <b>shall</b> be retained by the agency and made available to a KCJIS Auditor or other KCJIS administrative personnel.</i>				

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
5	3.2.1	3.2.1	CJIS Systems Agencies (CSA)	The head of each CSA <b>shall</b> appoint a CJIS Systems Officer (CSO).	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
6				Such decisions <b>shall</b> be documented and kept current.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
7	3.2.2	3.2.2	CJIS Systems Officer (CSO)"	Pursuant to The Bylaws for the CJIS Advisory Policy Board and Working Groups, the role of CSO <b>shall not</b> be outsourced.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
8				3.2.2(1)	3.2.2(1)	The CSO <b>shall</b> set, maintain, and enforce the following: 1. Standards for the selection, supervision, and separation of personnel who have access to CJJI.	1	CJIS/CSO
9	3.2.2(2)	3.2.2(2)	CJIS Systems Officer (CSO)	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 CJJI, guaranteeing the priority, confidentiality, integrity, and availability of service needed by the criminal justice community.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
10				a. Ensure appropriate use, enforce system discipline, and ensure CJIS Division operating procedures are followed by all users of the respective services and information.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
11				b. Ensure state/federal agency compliance with policies approved by the APB and adopted by the FBI.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
12				c. Ensure the appointment of the CSA ISO and determine the extent of authority to the CSA ISO.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
13				d. Ensure the designation of a Terminal Agency Coordinator (TAC) within each agency with device access to CJIS systems.	1	Agency	Agency	Agency
14				e. Ensure each agency having access to CJJI has someone designated as the Local Agency Security Officer (LASO).	1	Agency	Agency	Agency
15				f. Ensure the LASO receives enhanced security awareness training (ref. Section 5.2).	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
16				g. Approve access to FBI CJIS systems	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
17				h. Assume ultimate responsibility for managing the security of CJIS systems within their state and/or agency.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
18				i. Perform other related duties outlined by the user agreements with the FBI CJIS Division				
19	3.2.2(3)	3.2.2(3)	CJIS Systems Officer (CSO)	3. Outsourcing of Criminal Justice Functions				
20				a. Responsibility for the management of the approved security requirements <b>shall</b> remain with the CJA.	1	Agency	Agency	Agency
				b. Responsibility for the management control of network security <b>shall</b> remain with the CJA.	1	Agency	Agency	Agency
	3.2.3	3.2.3	Terminal Agency Coordinator (TAC)	<i>Each local criminal justice agency head shall designate an individual as its administrative point of contact prior to being granted access to the KCJIS system or KCJIS information.</i>	1	Agency	Agency	Agency
				<i>This individual shall hereafter be known as the Terminal Agency Coordinator or TAC.</i>	1	Agency	Agency	Agency
				<i>The TAC shall be responsible for overseeing the administrative aspects relating to the use of their KCJIS access devices and the information entered and obtained from KCJIS. Each agency may designate up to two alternate TACs in addition to their primary TAC.</i>	1	Agency	Agency	Agency
				<i>Agencies shall make notification to the Kansas Highway Patrol CJIS Unit within 3 business days of a TAC change within their agency</i>	2	Agency	Agency	Agency
	3.2.4	3.2.4	Criminal Justice Agency (CJA)	<i>Agencies shall make notification to the Kansas Highway Patrol CJIS Unit within 3 business days of an agency head change within their agency</i>	2	Agency	Agency	Agency

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21	3.2.6	3.2.6	Contracting Government Agency (CGA)	A CGA is a government agency, whether a CJA or a NCJA, that enters into an agreement with a private contractor subject to the CJIS Security Addendum. The CGA entering into an agreement with a contractor <b>shall</b> appoint an Agency Coordinator.	1	Agency	Agency	Agency
22	3.2.7	3.2.7	Agency Coordinator (AC)	The AC <b>shall</b> 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.	1	Agency	Agency	Agency
				The AC <b>shall</b> :				
23				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.	1	Agency	Agency	Agency
24				2. Participate in related meetings and provide input and comments for system improvement.	2	Agency	Agency	Agency
25				3. Receive information from the CGA (e.g., system updates) and disseminate it to appropriate Contractor employees.	1	Agency	Agency	Agency
26				4. Maintain and update manuals applicable to the effectuation of the agreement, and provide them to the Contractor.	2	Agency	Agency	Agency
27				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).	1	Agency	Agency	Agency
28				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.	1	Agency	Agency	Agency
29				7. The AC will not permit an untrained/untested or non-certified Contractor employee to access CJJ or systems supporting CJJ where access to CJJ can be gained.	2	Agency	Agency	Agency
30				8. Where appropriate, ensure compliance by the Contractor with NCIC validation requirements.	1	Agency	Agency	Agency
31				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.	1	Agency	Agency	Agency
32	10. Any other responsibility for the AC promulgated by the FBI.	1	Agency	Agency	Agency			
33	3.2.8	3.2.8	CJIS System Agency Information Security Officer (CSA ISO)	The CSA ISO <b>shall</b> :				
				1. Serve as the security point of contact (POC) to the FBI CJIS Division ISO.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
34				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.	2	CJIS/CSO	CJIS/CSO	CJIS/CSO
35				3. Document and provide assistance for implementing the security-related controls for the Interface Agency and its users.	2	CJIS/CSO	CJIS/CSO	CJIS/CSO
36				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 CJJ.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO

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				Each LASO shall:				
37	3.2.9	3.2.9	Local Agency Security Officer (LASO)	1. Identify who is using the CSA approved hardware, software, and firmware and ensure no unauthorized individuals or processes have access to the same.	1	Agency	Agency	Agency
38				2. Identify and document how the equipment is connected to the state system.	1	Agency	Agency	Agency
39				3. Ensure that personnel security screening procedures are being followed as stated in this policy.	1	Agency	Agency	Agency
40				4. Ensure the approved and appropriate security measures are in place and working as expected.	1	Agency	Agency	Agency
41				5. Support policy compliance and ensure CSA ISO is promptly informed of security incidents.	1	Agency	Agency	Agency
				6. Be responsible for securing security awareness training and associated record keeping.	1	Agency	Agency	Agency
				Agencies shall make notification to the Kansas Highway Patrol CJIS Unit within 3 business days of a LASO change within their agency		Agency	Agency	Agency
				The FBI CJIS ISO shall:				
42	3.2.10	3.2.10	FBI CJIS Division Information Security Officer (FBI CJIS ISO)	1. Maintain the CJIS Security Policy.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
43				2. Disseminate the FBI Director approved CJIS Security Policy.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
44				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.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
45				4. Serve as a point-of-contact (POC) for computer incident notification and distribution of security alerts to the CSOs and ISOs.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
46				5. Assist with developing audit compliance guidelines as well as identifying and reconciling security-related issues.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
47				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.		CJIS/CSO	CJIS/CSO	CJIS/CSO
48				7. Maintain a security policy resource center (SPRC) on FBI.gov and keep the CSOs and ISOs updated on pertinent information.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
49	3.2.12	3.2.12	Compact Officer	Pursuant to the National Crime Prevention and Privacy Compact, each party state	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
50				...Compact Officer who shall ensure that Compact provisions and rules, procedure	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
	4.1	4.1	Criminal Justice Information (CJI)	<p><i>Not all information available via KCJIS is strictly classified as CJI, but may still be categorized as restricted information. Please see section 4.2.2.1 for a list of data sources available via KCJIS which contain restricted information. Some information available via KCJIS is not CJI, is not considered restricted, and is exempt from the protection levels required for CJI. This information includes:</i></p> <ul style="list-style-type: none"> <li><i>Information from the National Weather Service or KHP Road Reports;</i></li> <li><i>Kansas humanitarian "attempt to locate," except when indicated it is intended for law enforcement release only;</i></li> <li><i>Information released under exigent circumstances, such as victim information released during an Amber Alert;</i></li> <li><i>Completely anonymized data that cannot be traced to any specific incident, investigation, or individual, generally used for the purpose of analysis or research; or</i></li> <li><i>Information that has clearly been marked or classified as releasable, non-restricted, and non-CJI.</i></li> </ul> <p><i>If information is not clearly unrestricted, it should be treated as restricted at levels required for CJI.</i></p>	1	Agency	Agency	Agency

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
	4.1.1	4.1.1	Criminal history Record information (CHRI)	<i>Kansas CHRI is subject to restrictions defined in K.S.A. 22-4701 et. seq</i>	1	Agency	Agency	Agency
51	4.2.1	4.2.1	Proper Access, Use, and Dissemination of CHRI	The III <b>shall</b> be accessed only for an authorized purpose.	1	Agency	Agency	Agency
52				Further, CHRI <b>shall</b> only be used for an authorized purpose consistent with the purpose for which III was accessed.	1	Agency	Agency	Agency
53	4.2.2	4.2.2	Proper Access, Use, and Dissemination of NCIC Restricted Files Information	Proper access to, use, and dissemination of data from restricted files <b>shall</b> be consistent with the access, use, and dissemination policies concerning the III described in Title 28, Part 20, CFR, and the NCIC Operating Manual.	1	Agency	Agency	Agency
				The restricted files, which <b>shall</b> be protected as CHRI, are as follows:				
54				1. Gang File	1	Agency	Agency	Agency
55				2. Known or Appropriately Suspected Terrorist File	1	Agency	Agency	Agency
56				3. Supervised Release File	1	Agency	Agency	Agency
57				4. National Sex Offender Registry File	1	Agency	Agency	Agency
58				5. Historical Protection Order File of the NCIC	1	Agency	Agency	Agency
59				6. Identity Theft File	1	Agency	Agency	Agency
60				7. Protective Interest File	1	Agency	Agency	Agency
61				8. Person With Information [PWI] data in the Missing Person Files	1	Agency	Agency	Agency
62				9. Violent Person File	1	Agency	Agency	Agency
63	10. NICS Denied Transaction File	1	Agency	Agency	Agency			
	4.2.2.1	Proper Access, Use, and Dissemination of Kansas Restricted Information	<p><i>KCJIS provides access to several data sources which contain restricted information. These data sources, or files, are governed by the respective local, state, tribal, and federal agencies that have statutory and regulatory responsibility for them. Proper access to, use, and dissemination of data from these sources shall be consistent with their specific governing authorities. Some of the data sources (and associated governance authority) that contain at least some restricted information include:</i></p> <ol style="list-style-type: none"> <li>1. <i>Kansas Criminal History (Kansas Bureau of Investigation)</i></li> <li>2. <i>Kansas Registered Offender Information (Kansas Bureau of Investigation)</i></li> <li>3. <i>Kansas Driver and Vehicle Information (Kansas Bureau of Investigation / Kansas Department of Revenue)</i></li> <li>4. <i>Incident, Offense, and Arrest Data in the Kansas Incident Based Reporting System (KIBRS) (Kansas Bureau of Investigation)</i></li> <li>5. <i>Information in the KCJIS Authorization and Customer Information System (KACIS) (Kansas Highway Patrol / Kansas Bureau of Investigation)</i></li> <li>6. <i>Kansas Automated Biometric Information System (ABIS) Information (Kansas Bureau of Investigation)</i></li> <li>7. <i>Kansas Missing and Unidentified Persons Information (Kansas Bureau of Investigation)</i></li> <li>8. <i>Kansas Highway and Vehicle Crash Information (Kansas Department of Transportation)</i></li> <li>9. <i>Kansas Corrections and Incarceration Information (Kansas Department of Corrections, various Kansas Sheriffs)</i></li> <li>10. <i>Kansas Be On the Lookout (BOLO) Information (Kansas Bureau of Investigation)</i></li> <li>11. <i>Kansas State Citation Information (Various local law enforcement agencies)</i></li> <li>12. <i>NLETS Information (Kansas Bureau of Investigation)</i></li> </ol> <p><i>To determine what information within these data sources is restricted, and to determine proper access, uses, and dissemination of that restricted information, reference the appropriate governance authority for each respective data source.</i></p>	1	Agency	Agency	Agency	
				1	Agency	Agency	Agency	
				1	Agency	Agency	Agency	
				1	Agency	Agency	Agency	
				1	Agency	Agency	Agency	
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	4.2.3.1	4.2.3.1	For Official Purposes	Agencies should not disseminate protected PII, nor <b>shall</b> they disseminate records clearly submitted by another agency without authorization from the owning agency.	1	Agency	Agency	Agency
64	4.2.3.2	4.2.3.2	For Other Authorized Purposes"	Non-restricted files information <b>shall not be</b> disseminated commercially.	1	Agency	Agency	Agency
				Information derived from non-restricted files for other than law enforcement purposes can be used by authorized criminal justice personnel only to confirm the status of a person or property (i.e., wanted or stolen) <i>or as authorized by Kansas statutes.</i>	1	Agency	Agency	Agency
65				Agencies <b>shall not</b> disseminate restricted files information for purposes other than law enforcement.	1	Agency	Agency	Agency
	4.2.3.4	4.2.3.4	Record Keeping	Each criminal justice agency granted KCJIS access is responsible for maintaining its case records relating to national and state non-restricted file entries per the KCJIS Audit Standards. These standards are available on both the KHP CJIS Launch Pad and the KCJIS web portal.	1	Agency	Agency	Agency
	4.2.3.5	4.2.3.5	N-Dex	N-Dex is a FBI web based system designed to provide CJAs with a investigative tool to search, link, analyze and share CJI. NDEx access is restricted to criminal justice agencies and agencies performing the administration of criminal justice. The Kansas CSO has approved the following agencies and users to access N-DEX:	1	Agency	Agency	Agency
				1. Law Enforcement Officers	1	Agency	Agency	Agency
				2. Prosecuting Attorney's Offices	1	Agency	Agency	Agency
				3. Pretrial service agencies and pretrial release agencies	1	Agency	Agency	Agency
				4. Correctional Institutions	1	Agency	Agency	Agency
				5. Nongovernmental railroad	1	Agency	Agency	Agency
				6. Probation and Parole Offices	1	Agency	Agency	Agency
				7. Courts and Magistrates Offices	1	Agency	Agency	Agency
				Acceptable use of NDEx:	1	Agency	Agency	Agency
				1. Law enforcement investigations & Analytics	1	Agency	Agency	Agency
				2. Pretrial and pre-sentence investigations	1	Agency	Agency	Agency
				3. Correctional investigations	1	Agency	Agency	Agency
				4. Probation/parole investigations	1	Agency	Agency	Agency
				User access to NDEx must be approved by the CSA	1	Agency	Agency	Agency
66				4.2.4	4.2.4	Storage	When CHRI is stored, agencies <b>shall</b> establish appropriate administrative, technical and physical safeguards to ensure the security and confidentiality of the information.	1
67	These records <b>shall</b> 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.	1	Agency				Agency	Agency
	CJI <b>shall</b> be retained as permitted by this policy, agency policies, or local, state, and federal laws and regulations	1	Agency				Agency	Agency

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68	4.2.5.1	4.2.5.1	Justification	In addition to the use of purpose codes and logging information, all users <b>shall</b> provide a reason for all III inquiries whenever requested by NCIC System Managers, CSAs, local agency administrators, or their representatives.	1	Agency	Agency	Agency
				<i>When querying FBI Interstate Identification Index (III), the terminal operator running the query shall:</i>	1	Agency	Agency	Agency
				1. <i>Specify, in the Attention (ATN) Field, the full first and last name of the person requesting the information followed by a slash or hyphen then the last 3 characters of the terminal operator's KCJIS User ID. Both name and last 3 characters of KCJIS User ID shall be specified even if the requestor of the information and the terminal operator are the same person.</i>	1	Agency	Agency	Agency
				2. <i>Specify, in the Reason (REA) Field, a criminal investigation case number or a specific investigative reason for the query.</i>	1	Agency	Agency	Agency
69	4.3	4.3	Personally Identifiable Information (PII)	PII <b>shall</b> be extracted from CJJ for the purpose of official business only.	1	Agency	Agency	Agency
70				Agencies <b>shall</b> develop policies, based on state and local privacy rules, to ensure appropriate controls are applied when handling PII extracted from CJJ.	1	Agency	Agency	Agency
<b>5 POLICY AND IMPLEMENTATION</b>								
	5	5	POLICY AND IMPLEMENTATION	<i>KCJIS offers two different solutions for accessing KCJIS information, the central message switch and the KCJIS secure web portal. The central message switch must be used in order to access NCIC, III, and Nlets. The KCJIS web portal may be used when only Kansas information is of interest.</i>	1	Agency	Agency	Agency
				<i>When accessing the KCJIS central message switch all sections of this manual apply. For access to the KCJIS secure web portal a network diagram need not be submitted for approval, and Access Devices need not specifically be approved. In that regard the KCJIS secure web portal may be considered accessible from anywhere, including outside the boundary of the secured network that is defined by section 5.10 of this policy. However information retrieved on the KCJIS secure web portal must still be protected from view by any unauthorized observer. Further, should any information from the secure KCJIS web portal be stored into local records, such information must be protected according to all requirements specified in this policy. Users of the KCJIS web portal must exercise caution when using the web portal outside the boundary of the secured network. Even simple actions such as printing can result in unintentionally storing sensitive information locally on a PC's hard drive. Actions such as clearing browser caches and temporary internet files may be necessary to ensure no CJJ is left insecure.</i>	1	Agency	Agency	Agency

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
<b>CJIS Security Policy Area 1 - Information Exchange Agreements</b>								
71	5.1	5.1	Policy Area 1: Information Exchange Agreements	The information shared through communication mediums <b>shall</b> be protected with appropriate security safeguards.	1	Agency	Agency	Agency
72	5.1.1	5.1.1	Information Exchange	Before exchanging CJI, agencies <b>shall</b> put formal agreements in place that specify security controls.	1	Agency	Agency	Agency
73				Information exchange agreements for agencies sharing CJI data that is sent to and/or received from the FBI CJIS <b>shall</b> specify the security controls and conditions described in this document.	1	Agency	Agency	Agency
74				Information exchange agreements <b>shall</b> be supported by documentation committing both parties to the terms of information exchange.	1	Agency	Agency	Agency
75				Law Enforcement and civil agencies <b>shall</b> have a local policy to validate a requestor of CJI as an authorized recipient before disseminating CJI.	1	Agency	Agency	Agency
76	5.1.1.1	5.1.1.1	Information Handling	Procedures for handling and storage of information <b>shall</b> be established to protect that information from unauthorized disclosure, alteration or misuse.	1	Agency	Agency	Agency
77				Using the requirements in this policy as a starting point, the procedures <b>shall</b> apply to the handling, processing, storing, and communication of CJI.	1	Agency	Agency	Agency
78	5.1.1.2	5.1.1.2	State and Federal Agency User Agreements	Each CSA head or SIB Chief <b>shall</b> 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.	1	Agency	Agency	Agency
79				This agreement <b>shall</b> include the standards and sanctions governing utilization of CJIS systems.	1	Agency	Agency	Agency
80				As coordinated through the particular CSA or SIB Chief, each Interface Agency <b>shall</b> 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.	1	Agency	Agency	Agency
81				All user agreements with the FBI CJIS Division <b>shall</b> be coordinated with the CSA head.	1	Agency	Agency	Agency
82	5.1.1.3	5.1.1.3	Criminal Justice Agency User Agreements"	Any CJA receiving access to FBI CJI <b>shall</b> enter into a signed written agreement with the appropriate signatory authority of the CSA providing the access.	1	Agency	Agency	Agency
83				The written agreement <b>shall</b> 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.	1	Agency	Agency	Agency
84				These agreements <b>shall</b> include:				
85				1. Audit.	1	Agency	Agency	Agency
86				2. Dissemination.	1	Agency	Agency	Agency
87				3. Hit confirmation.	1	Agency	Agency	Agency
88				4. Logging.	1	Agency	Agency	Agency
89				5. Quality Assurance (QA).	1	Agency	Agency	Agency
90				6. Screening (Pre-Employment).	1	Agency	Agency	Agency
91				7. Security.	1	Agency	Agency	Agency
92				8. Timeliness.	1	Agency	Agency	Agency
93	9. Training.	1	Agency	Agency	Agency			
94	10. Use of the system.	1	Agency	Agency	Agency			
95	5.1.1.4	5.1.1.4	Inter-Agency and Management Control Agreements"	A NCJA (government) designated to perform criminal justice functions for a CJA <b>shall</b> be eligible for access to the CJI.	1	Agency	Agency	Agency
96				Access <b>shall</b> be permitted when such designation is authorized pursuant to Executive Order, statute, regulation, or inter-agency agreement.	1	Agency	Agency	Agency

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
97	5.1.1.4	5.1.1.4	Inter-Agency and Management Control Agreements (continued)	The NCJA <b>shall</b> sign and execute a management control agreement (MCA) with the CJA, which stipulates management control of the criminal justice function remains solely with the CJA.	1	Agency	Agency	Agency
				<i>For example, if an agency's I.T. support is provided by governmental personnel with whom the agency does not have direct management control, or if a dispatching Center operates under its own budget apart from any Law Enforcement Agency, MCAs shall be used to ensure the CJA maintains appropriate management control.</i>				
98	5.1.1.5	5.1.1.5	Private Contractor User Agreements and CJIS Security Addendum	Private contractors who perform criminal justice functions <b>shall</b> meet the same training and certification criteria required by governmental agencies performing a similar function, and...	1	Both	Both	Both
99				...and <b>shall</b> be subject to the same extent of audit review as are local user agencies.	1	Both	Both	Both
100				All private contractors who perform criminal justice functions <b>shall</b> acknowledge, via signing of the Security Addendum Certification page, and abide by all aspects of the CJIS Security Addendum.	1	Both	Both	Both
101				Modifications to the CJIS Security Addendum <b>shall</b> be enacted only by the FBI.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
102				1. Private contractors designated to perform criminal justice functions for a CJA <b>shall</b> be eligible for access to CJJ.	1	Agency	Agency	Agency
103				Access <b>shall</b> be permitted pursuant to an agreement which specifically identifies the agency's purpose and scope of providing services for the administration of criminal justice.	1	Agency	Agency	Agency
104				The agreement between the CJA and the private contractor <b>shall</b> 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). <b>NOTE: While no policy change. AUDITs will be looking to review actual agreements (contracts) to verify this requirement.</b>	1	Agency	Agency	Agency
105				2. Private contractors designated to perform criminal justice functions on behalf of a NCJA (government) <b>shall</b> be eligible for access to CJJ.	1	Agency	Agency	Agency
106				Access <b>shall</b> be permitted pursuant to an agreement which specifically identifies the agency's purpose and scope of providing services for the administration of criminal justice.	1	Agency	Agency	Agency
107				The agreement between the NCJA and the private contractor <b>shall</b> 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). <b>NOTE: While no policy change. AUDITs will be looking to review actual agreements (contracts) to verify this requirement</b>	1	Agency	Agency	Agency
				<i>The CJA utilizing private contractors shall document the procedures used to ensure private contractor compliance of FBI and KCJIS policies. The documentation shall include:</i>	1	Agency	Agency	Agency
			<i>1. The inclusion of the FBI CJIS Security Addendum.</i>					
			<i>2. The designation of an Agency Coordinator as required in policy 3.2.7;</i>					
			<i>3. Procedure for collecting fingerprints for submission to KBI for initial record check according to and subsequent name based checks according policy area 5.12</i>					
			<i>4. Procedure for tracking private contractor security awareness training according to policy area 5.2.</i>					

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement		Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
108	5.1.1.6	5.1.1.6	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, <b>shall</b> be eligible for access to CJI.	1	Agency	Agency	Agency
109				Access <b>shall</b> be permitted when such designation is authorized pursuant to federal law or state statute approved by the U.S. Attorney General.	1	Agency	Agency	Agency
110				A NCJA (public) receiving access to FBI CJI <b>shall</b> enter into a signed written agreement with the appropriate signatory authority of the CSA/SIB providing the access.	1	Agency	Agency	Agency
111				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, <b>shall</b> be eligible for access to CJI.	1	Agency	Agency	Agency
112				Access <b>shall</b> be permitted when such designation is authorized pursuant to federal law or state statute approved by the U.S. Attorney General.	1	Agency	Agency	Agency
113				A NCJA (private) receiving access to FBI CJI <b>shall</b> enter into a signed written agreement with the appropriate signatory authority of the CSA, SIB, or authorized agency providing the access.	1	Agency	Agency	Agency
114				All NCJAs accessing CJI <b>shall</b> be subject to all pertinent areas of the CJIS Security Policy (see appendix J for supplemental guidance).	1	Agency	Agency	Agency
115				Each NCJA that directly accesses FBI CJI <b>shall</b> 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.	1	Agency	Agency	Agency
116				5.1.1.7	5.1.1.7	Outsourcing Standards for Channelers	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 <b>shall</b> be eligible for access to CJI.	1
117	Access <b>shall</b> be permitted when such designation is authorized pursuant to federal law or state statute approved by the U.S. Attorney General.	1	Agency				Agency	Agency
118	All Channelers accessing CJI <b>shall</b> be subject to the terms and conditions described in the Compact Council Security and Management Control Outsourcing Standard.	1	Agency				Agency	Agency
119	Each Channeler that directly accesses CJI <b>shall</b> also allow the FBI to conduct periodic penetration testing.	1	Agency				Agency	Agency
120	Channelers leveraging CJI to perform civil functions on behalf of an Authorized Recipient <b>shall</b> meet the same training and certification criteria required by governmental agencies performing a similar function...	1	Agency				Agency	Agency
121	...and <b>shall</b> be subject to the same extent of audit review as are local user agencies.	1	Agency				Agency	Agency

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
122	5.1.1.8	5.1.1.8	Outsourcing Standards for Non-Channelers	Contractors designated to perform noncriminal justice ancillary functions on behalf of a NCJA (public) or NCJA (private) for noncriminal justice functions <b>shall</b> be eligible for access to CJJ.	1	Agency	Agency	Agency
123				Access <b>shall</b> be permitted when such designation is authorized pursuant to federal law or state statute approved by the U.S. Attorney General.	1	Agency	Agency	Agency
124				All contractors accessing CJJ <b>shall</b> be subject to the terms and conditions described in the Compact Council Outsourcing Standard for Non-Channelers.	1	Agency	Agency	Agency
125				Contractors leveraging CJJ to perform civil functions on behalf of an Authorized Recipient <b>shall</b> meet the same training and certification criteria required by governmental agencies performing a similar function, and...	1	Agency	Agency	Agency
127	5.1.2	5.1.2	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 <b>shall</b> be regularly monitored and reviewed.	1	Agency	Agency	Agency
128				The CJA, authorized agency, or FBI <b>shall</b> 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.	1	Agency	Agency	Agency
129				The incident reporting/response process used by the service provider <b>shall</b> conform to the incident reporting/response specifications provided in this policy.	1	Agency	Agency	Agency
130	5.1.2.1	5.1.2.1	Managing Changes to Service Providers	Any changes to services provided by a service provider <b>shall</b> be managed by the CJA, authorized agency, or FBI.	1	Agency	Agency	Agency
131				Evaluation of the risks to the agency <b>shall</b> be undertaken based on the criticality of the data, system, and the impact of the change.	1	Agency	Agency	Agency
132	5.1.3	5.1.3	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 <b>shall</b> log such dissemination.	1	Agency	Agency	Agency
				<i>Release of CHRI outside of an agency without a signed KCJIS 114, or similar document, <b>shall</b> be logged as secondary dissemination</i>	1	Agency	Agency	Agency
				<i>The dissemination log, whether automated or manual, <b>shall</b> identify the secondary recipient, agency, date of dissemination, purpose of the dissemination, name and other identifiers of the subject of the record and name of the person who generated the dissemination.</i>	1	Agency	Agency	Agency
				<i>Dissemination logs <b>shall</b> be kept for a minimum of three years and be readily available upon request of KCJIS administrative agencies for audit review or investigation use. There may be advantages to keeping the logs for a longer period of time.</i>	1	Agency	Agency	Agency
133	5.1.4	5.1.4	Secondary Dissemination of Non-CHRI CJJ	Dissemination <b>shall</b> conform to the local policy validating the requestor of the CJJ as an employee or contractor of a law enforcement agency or civil agency requiring the CJJ to perform their mission or a member of the public receiving CJJ via authorized dissemination.	1	Agency	Agency	Agency

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
<b>CJIS Security Policy Area 2 Security Awareness and other Training</b>								
134	5.2.1	5.2.1	<i>Basic Security Awareness Training</i>	Basic security awareness training <b>shall</b> be required within six months of initial assignment and biennially thereafter, for all personnel who have access to CJJ to include all personnel who have unescorted access to a physically secure location.	1	Both	Both	Both
				At a minimum, the following topics <b>shall</b> be addressed as baseline security awareness training for all personnel who have access to a physically secure location:				
135	5.2.1.1	5.2.1.1	Level One Security Awareness Training	1. Individual responsibilities and expected behavior with regard to being in the vicinity of CJJ usage and/or terminals.	1	Both	Both	Both
136				2. Implications of noncompliance.	1	Both	Both	Both
137				3. Incident response (Identify points of contact and individual actions).	1	Both	Both	Both
138				4. Visitor control and physical access to spaces—discuss applicable physical security policy and procedures, e.g., challenge strangers, report unusual activity, etc.	1	Both	Both	Both
				In addition to 5.2.1.1 above, the following topics, at a minimum, <b>shall</b> be addressed as baseline security awareness training for all authorized personnel with access to CJJ:				
139	5.2.1.2	5.2.1.2	Level Two Security Awareness Training	1. Media Protection.	1	Both	Both	Both
140				2. Protect information subject to confidentiality concerns — hardcopy through destruction.	1	Both	Both	Both
141				3. Proper handling and marking of CJJ.	1	Both	Both	Both
142				4. Threats, vulnerabilities, and risks associated with handling of CJJ.	1	Both	Both	Both
143				5. Social engineering.	1	Both	Both	Both
144				6. Dissemination and destruction.	1	Both	Both	Both

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
	5.2.1.3	5.2.1.3	Level Three Security Awareness Training	In addition to 5.2.1.1 and 5.2.1.2 above, the following topics, at a minimum, <b>shall</b> be addressed as baseline security awareness training for all authorized personnel with both physical and logical access to CJJ:				
145				1. Rules that describe responsibilities and expected behavior with regard to information system usage.	1	Both	Both	Both
146				2. Password usage and management—including creation, frequency of changes, and protection.	1	Both	Both	Both
147				3. Protection from viruses, worms, Trojan horses, and other malicious code.	1	Both	Both	Both
148				4. Unknown e-mail/attachments.	1	Both	Both	Both
149				5. Web usage—allowed versus prohibited; monitoring of user activity.	1	Both	Both	Both
150				6. Spam.	1	Both	Both	Both
151				7. Physical Security—increases in risks to systems and data.	1	Both	Both	Both
152				8. Handheld device security issues—address both physical and wireless security issues.	1	Both	Both	Both
153				9. Use of encryption and the transmission of sensitive/confidential information over the Internet—address agency policy, procedures, and technical contact for assistance.	1	Both	Both	Both
154				10. Laptop security—address both physical and information security issues.	1	Both	Both	Both
155				11. Personally owned equipment and software—state whether allowed or not (e.g., copyrights).	1	Both	Both	Both
156				12. Access control issues—address least privilege and separation of duties.	1	Both	Both	Both
157				13. Individual accountability—explain what this means in the agency.	1	Both	Both	Both
158				14. Use of acknowledgement statements—passwords, access to systems and data, personal use and gain.	1	Both	Both	Both
159				15. Desktop security—discuss use of screensavers, restricting visitors' view of information on screen (preventing/limiting "shoulder surfing"), battery backup	1	Both	Both	Both
160				16. Protect information subject to confidentiality concerns—in systems, archived, on backup media, and until destroyed.	1	Both	Both	Both
161	17. Threats, vulnerabilities, and risks associated with accessing CJIS Service systems and services.	1	Both	Both	Both			
	5.2.1.4	5.2.1.4	Level Four Security Awareness Training	In addition to 5.2.1.1, 5.2.1.2 and 5.2.1.3 above, the following topics at a minimum <b>shall</b> be addressed as baseline security awareness training for all Information Technology personnel (system administrators, security administrators, network administrators, etc.):				
162				1. Protection from viruses, worms, Trojan horses, and other malicious code—scanning, updating definitions.	1	Both	Both	Both
163				2. Data backup and storage—centralized or decentralized approach.	1	Both	Both	Both
164				3. Timely application of system patches—part of configuration management.	1	Both	Both	Both
165				4. Access control measures.	1	Both	Both	Both
166	5. Network infrastructure protection measures.	1	Both	Both	Both			



	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
167	5.2.2	5.2.2	<b>LASO Training</b>	LASO training <b>shall</b> be required prior to assuming duties but no later than six months after initial assignment and ...				
168				... and annually thereafter.				
				At a minimum, the following topics <b>shall</b> be addressed as enhanced security awareness training for a LASO:				
169				1. The roles and responsibilities listed in CJIS Security Policy Section 3.2.9.				
170				2. Additional state/local/tribal/federal agency LASO roles and responsibilities.				
171				3. Summary of audit findings from previous state audits of local agencies.				
172				4. Findings from the last FBI CJIS Division audit of the CSA.				
173				5. Most recent changes to the CJIS Security Policy.				
	5.2.3	5.2.3	Security Training Records	Records of individual basic security awareness training and specific information system security training <b>shall</b> be:				
174				- documented	1	Both	Both	Both
175				- kept current	1	Both	Both	Both
176				- maintained by the CSO/SIB/Compact Officer	1	Both	Both	Both
				<i>Proper records of all KCJIS related training shall be maintained for audit review.</i>	1	Both	Both	Both
			<i>Documentation of all curriculums not provided by the Kansas Highway Patrol CJIS unit must be available for review by the KCJIS auditors</i>	1	Both	Both	Both	

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
	5.2.4	5.2.4	NCIC Training	All training must be adhered to as prescribed in the NCIC Operating Manual. All personnel with access to NCIC <b>shall</b> be trained to their level of access within six months of employment or assignment and recertified biennially. The following outlines the training that each level of personnel <b>shall</b> achieve:	1	Agency	Agency	Agency
	5.2.4.1	5.2.4.1	NCIC full access	NCIC full access operators are authorized to make entries, modifications, cancellations, clears or locates in any NCIC file. They also have the capability to perform queries from one or more components of the NCIC system. To ensure compliance with NCIC policy and regulations, all NCIC full access operators <b>shall</b> undergo a higher level of training that involves:	1	Agency	Agency	Agency
1. Certification through the Kansas Highway Patrol CJIS unit.				1	Agency	Agency	Agency	
2. When operator certification expires, NCIC access may be denied until recertification is completed.				1	Agency	Agency	Agency	
	5.2.4.2	5.2.4.2	NCIC Limited Access	NCIC limited access operators have the capability to perform only queries from one or more components of the NCIC system and are not authorized to make entries, modifications, cancellations, clears or locates in any NCIC file. Training for this level involves:	1	Agency	Agency	Agency
1. Training, functional testing, and certification of proficiency of operators according to their level of use performed at their local agency.				1	Agency	Agency	Agency	
2. Resources for complying with this policy are available from the KHP CJIS Unit.				1	Agency	Agency	Agency	
	5.2.4.3	5.2.4.3	NCIC practitioners	NCIC practitioners <b>shall</b> receive training in accordance with their assigned duties as listed:	1	Agency	Agency	Agency
1. Within 12 months of employment or assignment all sworn law enforcement personnel <b>shall</b> receive basic NCIC training to ensure effective use of the system and compliance with NCIC policies and regulations.				1	Agency	Agency	Agency	
2. This training <b>shall</b> be offered as part of the course curriculum of a local agency's training program or as part of the Kansas Law Enforcement Training Center (KLETC).				1	Agency	Agency	Agency	
3. Other criminal justice employees (including but not limited to judges, record clerks, court employees, prosecutors) <b>shall</b> receive training on NCIC system use.				1	Agency	Agency	Agency	
4. All criminal justice agencies <b>shall</b> ensure employees required to go through initial NCIC training receive continuing training on NCIC system use, policy updates, regulations and new features. This training may be offered by the CSA or provided in-house. Each agency is responsible to ensure their employees receive required training				1	Agency	Agency	Agency	
	5.2.5	5.2.5	Terminal Agency Coordinator Training	Terminal Agency Coordinators (TAC) <b>shall</b> complete specific training presented by the KHP CJIS unit within 6 months of assignment and recertify biennially.	1	Agency	Agency	Agency
				TACs must also complete NCIC training to the highest level of access granted to anyone in their agency.	1	Agency	Agency	Agency

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						laaS	PaaS	SaaS
<b>CJIS Security Policy Area 3 - Incident Response</b>								
177	5.3	5.3	Policy Area 3: Incident Response	To ensure protection of CJJ, agencies <b>shall</b> : (i) establish operational incident handling procedures that include adequate preparation, detection, analysis, containment, recovery, and user response activities;...	1	Both	Both	Both
178				... (ii) track, document, and report incidents to appropriate agency officials and/or authorities.	1	Both	Both	Both
179				ISOs have been identified as the POC on security-related issues for their respective agencies and <b>shall</b> ensure LASOs institute the CSA incident response reporting procedures at the local level.	1	Both	Both	Both
180	5.3.1	5.3.1	Reporting Security Events	The agency <b>shall</b> promptly report incident information to appropriate authorities.	1	Both	Both	Both
181				Security events, including identified weaknesses associated with the event, <b>shall</b> be communicated in a manner allowing timely corrective action to be taken.	1	Both	Both	Both
182				Formal event reporting and escalation procedures <b>shall</b> be in place.	1	Both	Both	Both
183				Wherever feasible, the agency <b>shall</b> employ automated mechanisms to assist in the reporting of security incidents.	2	Both	Both	Both
184				All employees, contractors and third party users <b>shall</b> 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 security events and weaknesses as quickly as possible to the designated point of contact.	2	Both	Both	Both
				<i>KCJIS Security Incident, Event, and Security Event definitions and/or examples derived from the National Institute of Standards and Technology (NIST). Definitions for each are located in Appendix A – Terms and Definitions. The individual at the local agency who observes or suspects a Security Incident shall immediately notify their agency supervisory personnel, who shall notify agency I.T. support, their agency LASO, and TAC. Steps shall be taken by the agency I.T. support, TAC and LASO to confirm, identify, contain, isolate, and document the incident as quickly as possible. The LASO or TAC shall promptly notify their KHP Technical Security Auditor, and the KBI Help Desk when a Security Incident is suspected or has taken place, and the notification shall be made no later than 24 hours after initial discovery of the actual or suspected Security Incident. The local agency LASO or TAC shall also submit a completed KCJIS 139 Security Incident Notification form to their assigned KHP Technical Security Auditor as soon as possible. A KCJIS 139 Security Incident Notification form shall be completed and submitted to the agency's KHP Technical Security Auditor as soon as possible. The KBI may suspend the affected user and/or system(s) access to KCJIS resources, as a safe guard, when made aware of a Security Incident. The KHP shall work with the affected agency to determine the scope and potential vulnerability to KCJIS. When applicable, the KHP shall inform the KBI to reinstate the affected user and/or system(s) access once they determine the incident has been resolved; or when they determine the risk to KCJIS has been eliminated. The KBI ISO, or designee(s) may authorize the suspension of any affected user and/or system(s) access to KCJIS resources, as a safeguard, when made aware of a Security Incident. They shall also develop procedures to ensure the KBI promptly notifies the KHP ISO, or designee of all reported KCJIS Security Incidents; including any actions taken to suspend access to KCJIS resources. These procedures shall also include steps to notify applicable local agencies of any actions taken to suspend their access to KCJIS resources.</i>	2	Both	Both	Both

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
	5.3.1	5.3.1	Reporting Security Events	<p>The KHP ISO, or designee(s) shall develop procedures to coordinate with the local agency, and the KBI, to determine the scope of any reported incident(s), as well as the potential vulnerability to KCJIS. They should also develop procedures to ensure the prompt notification to the KBI Help Desk once it has been determined an incident has either been resolved or has been contained in a manner that eliminates the risk to KCJIS. The procedures shall also include a process for notifying the KBI, when applicable, to reinstate any suspended access. The KBI shall not reinstate access to KCJIS resources without authorization from the KHP ISO, or designee(s).</p> <p>If an agency is unsure whether to report a specific event, they should promptly contact the KHP KBI Help Desk for assistance in determining if the event is a Security Incident. Agencies should also consider notifying other potentially impacted entities regarding actual or suspected Security Incidents. These entities could include but are not limited to: CAD/RMS vendors, city/county I.T. representatives, and other connected agencies and/or organizations.</p> <p>Examples of Security Incidents include, but are not limited to:</p> <ul style="list-style-type: none"> <li>A user's credentials (e.g., Password, PIN, Token) have been, or are suspected to have</li> <li>Users sharing credentials (e.g., Username, Password, PIN, Token) to access KCJIS resources.</li> <li>Antivirus software alerts when it detects that a host is infected with malware.</li> <li>Loss, theft, or unauthorized use of laptops, desktops, mobile devices, or other equipment used to process, store, or transmit CJJ.</li> <li>An information system has been, or is suspected to have been compromised (e.g., ransomware infection, website defacement, abnormal pop-ups or notification banners, agency data suspected to have been breached).</li> <li>User transmits CJJ to authorized recipient via email (unless secured in accordance with appropriate policies).</li> </ul>	2	Both	Both	Both
185	5.3.1.1.1	5.3.1.1.1	FBI CJIS Division Responsibilities	The FBI CJIS Division shall:				
186				1. Manage and maintain the CJIS Division's Computer Security Incident Response Capability (CSIRC).	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
187				2. Serve as a central clearinghouse for all reported intrusion incidents, security alerts, bulletins, and other security-related material.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
188				3. Ensure additional resources for all incidents affecting FBI CJIS Division controlled systems as needed.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
189				4. Disseminate prompt advisories of system threats and operating system vulnerabilities via the security policy resource center on FBI.gov, to include but not limited to: Product Security Bulletins, Virus Bulletins, and Security Clips.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
190				5. Track all reported incidents and/or trends.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
191	5.3.1.1.2	5.3.1.1.2	CSA ISO Responsibilities	The CSA ISO shall:				
192				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.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
193				2. Identify individuals who are responsible for reporting incidents within their area of responsibility.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
194				3. Collect incident information from those individuals for coordination and sharing among other organizations that may or may not be affected by the incident.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
195				4. Develop, implement, and maintain internal incident response procedures and coordinate those procedures with other organizations that may or may not be affected.	2	CJIS/CSO	CJIS/CSO	CJIS/CSO
196				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.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
				6. Act as a single POC for their jurisdictional area for requesting incident response assistance.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO

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197	5.3.2	5.3.2	Management of Security Incidents	A consistent and effective approach <b>shall</b> be applied to the management of security incidents.	1	Both	Both	Both
198				Responsibilities and procedures <b>shall</b> be in place to handle security events and weaknesses effectively once they have been reported.	1	Both	Both	Both
199	5.3.2.1	5.3.2.1	Incident Handling	The agency <b>shall</b> implement an incident handling capability for security incidents that includes preparation, detection and analysis, containment, eradication, and recovery.	1	Both	Both	Both
200				Wherever feasible, the agency <b>shall</b> employ automated mechanisms to support the incident handling process.	2	Both	Both	Both
				<i>Once access has been suspended due to a reportable Adverse Event it will be re-established as follows:</i>				
				<i>1. The agency documents in writing what steps have been taken to secure the affected information system</i>	1	Both	Both	Both
				<i>2. The CSA ISO or their designee review the steps taken to determine whether the agency security requirements have been successfully addressed.</i>	1	Both	Both	Both
				<i>3. The CSA ISO or their designee issues an authorization to resume KCJIS access. Copies of the authorization will be sent to the affected agency LASO and TAC, KBI, and CSA auditors.</i>	1	Both	Both	Both
				<i>4. If the CSA ISO determines additional steps are required before authorizing resumed KCJIS access, a written report detailing those steps will be sent to the affected agency head, LASO and TAC, KBI, and CSA CSO and KCJIS auditors</i>	1	Both	Both	Both
			<i>5. An appeal can be made in writing by the agency head to the CSO to challenging the CSA ISO's decision not to allow access to be resumed</i>	1	Both	Both	Both	
201	5.3.2.2	5.3.2.2	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 <b>shall</b> be collected, retained, and presented to conform to the rules for evidence laid down in the relevant jurisdiction(s).	1	Both	Both	Both
202	5.3.3	5.3.3	Incident Response Training	The agency <b>shall</b> ensure general incident response roles responsibilities are included as part of required security awareness training.	2	Both	Both	Both
203	5.3.4	5.3.4	Incident Monitoring	The agency <b>shall</b> track and document security incidents on an ongoing basis.	1	Both	Both	Both
204				The CSA ISO <b>shall</b> 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).	2	Both	Both	Both
	5.3.5	5.3.5	<i>Policy Violation</i>	<i>A policy violation occurs when an agency or personnel are non-compliant with the policies outlined within or referenced by this publication.</i>				
	5.3.5.1	5.3.5.1	<i>Reporting Policy Violations</i>	<i>If a policy violation is discovered, the individual discovering the violation shall take the following steps:</i>	2	Agency	Agency	Agency
				<i>1. Take corrective action immediately</i>	2	Agency	Agency	Agency
				<i>2. Notify LASO and/or TAC immediately.</i>	2	Agency	Agency	Agency
				<i>After discovery of a policy violation, the administration of the agency where the violation occurred shall do the following:</i>	2	Agency	Agency	Agency
				<i>1. Initiate an investigation to determine why the violation occurred</i>	2	Agency	Agency	Agency
			<i>2. Administer appropriate discipline and job performance counseling to all individuals involved.</i>	2	Agency	Agency	Agency	

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	5.3.5.1	5.3.5.1	Reporting Policy Violations	3. Submit a report from the agency head to the CJIS CSO documenting the violation and outlining any disciplinary or corrective measures that have been taken.	2	Agency	Agency	Agency
				The CJIS CSO <b>shall</b> review the report.	2	Agency	Agency	Agency
				If the CJIS CSO determines the local agency has taken appropriate measures to correct the violation and prevent future violations from occurring, a letter <b>shall</b> be sent to the agency head stating this.	2	Agency	Agency	Agency
				The CJIS CSO <b>shall</b> open an investigation into the matter if he/she concludes the corrective actions were insufficient. This could result in sanctions being levied.	2	Agency	Agency	Agency
				5.3.5.1.1	5.3.5.1.1	If a policy violation is discovered that occurred at a local agency, and the above process was not followed, the CJIS CSO <b>shall</b> open an investigation into the matter		
	5.3.6	5.3.6	Sanctions	A sanction is a disciplinary measure from <del>the State CSO or ISO</del> <b>KHP</b> directed against a specific Kansas criminal justice agency or its employees, as a result of being found in violation of KCJIS policies or FBI CJIS policies in the operation of its KCJIS system or use of information obtained from it. Penalties may vary depending on the severity of the violation. Sanctions include but are not limited to denial of new devices or system changes, loss of KCJIS access to an agency, and/or permanent loss of KCJIS access to specific individuals who are found to be in violation of KCJIS policies, procedures, and/or				
	5.3.6.1	5.3.6.1		When a sanction is placed on an agency, the <b>KHP</b> <del>sanctioning official (the ISO for security related matters, the State CSO for all other matters)</del> <b>shall</b> issue a written letter to the affected agency head documenting the sanction.	2	Agency	Agency	Agency
				Documentation <b>shall</b> include a description of the violation, how the agency failed to take the appropriate actions and a description of the sanction being levied.	2	Agency	Agency	Agency
				Copies of the letter <b>shall</b> be submitted to the KCJIS Committee Chairperson, the KBI, and the CJIS CSO.	2	Agency	Agency	Agency
	5.3.6.2	5.3.6.2		When a sanction is placed on an agency employee, the <b>KHP</b> <del>sanctioning official (the ISO for security related matters, the State CSO for all other matters)</del> <b>shall</b> issue a written letter to the affected individual(s) with a copy to the agency head documenting the sanction	2	Agency	Agency	Agency
				This documentation <b>shall</b> include a description of the violation that occurred and the sanction being levied.	2	Agency	Agency	Agency
				Copies of the letter <b>shall</b> be submitted to the KCJIS Committee Chairperson, the KBI ISO, <del>the CJIS CSO</del> , and all affected agencies	2	Agency	Agency	Agency
	5.3.6.3	5.3.6.3		Any appeal for the purpose of challenging a sanction <b>shall</b> be made in writing to the Superintendent of the Kansas Highway Patrol by the individual being sanctioned.	2	Agency	Agency	Agency
				Such letter <b>shall</b> state the following:	2	Agency	Agency	Agency
				1. Admission or denial of the event leading to the sanction.	2	Agency	Agency	Agency
				2. Any argument or evidence to why the penalty for the actions should be reconsidered.	2	Agency	Agency	Agency

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205	5.4	5.4	Policy Area 4: Auditing and Accountability	Agencies <b>shall</b> implement audit and accountability controls to increase the probability of authorized users conforming to a prescribed pattern of behavior.	1	Both	Both	Service Provider
206				Agencies <b>shall</b> carefully assess the inventory of components that compose their information systems to determine which security controls are applicable to the various components.	1	Both	Service Provider	Service Provider
207	5.4.1	5.4.1	Auditable Events and Content (Information Systems)	The agency's information system <b>shall</b> generate audit records for defined events.	1	Both	Both	Service Provider
208				The agency <b>shall</b> specify which information system components carry out auditing activities.	1	Both	Both	Service Provider
209				The agency's information system <b>shall</b> 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.	1	Both	Both	Service Provider
210				The agency <b>shall</b> periodically review and update the list of agency-defined auditable events.	2	Both	Both	Service Provider
211				In the event an agency does not use an automated system, manual recording of activities <b>shall</b> still take place.	1	Both	Both	Service Provider
	5.4.1.1	5.4.1.1	Events	The following events <b>shall</b> be logged:				
212				1. Successful and unsuccessful system log-on attempts.	1	Both	Both	Service Provider
213				2. Successful and unsuccessful attempts to access, create, write, delete or change permission on a user account, file, directory or other system resource.	1	Both	Both	Service Provider
214				3. Successful and unsuccessful attempts to change account passwords.	1	Both	Both	Service Provider
215				4. Successful and unsuccessful actions by privileged accounts.	1	Both	Both	Service Provider
216				5. Successful and unsuccessful attempts for users to access, modify, or destroy the audit log file.	1	Both	Both	Service Provider
	5.4.1.1.1	5.4.1.1.1	Content	The following content <b>shall</b> be included with every audited event:				
217				1. Date and time of the event.	1	Both	Both	Service Provider
218				2. The component of the information system (e.g., software component, hardware component) where the event occurred.	1	Both	Both	Service Provider
219				3. Type of event.	1	Both	Both	Service Provider
220				4. User/subject identity.	1	Both	Both	Service Provider
221	5. Outcome (success or failure) of the event.	1	Both	Both	Service Provider			
222	5.4.2	5.4.2	Response to Audit Processing Failures	The agency's information system <b>shall</b> provide alerts to appropriate agency officials in the event of an audit processing failure.	2	Both	Both	Both
223	5.4.3	5.4.3	Audit Monitoring, Analysis, and Reporting	The responsible management official <b>shall</b> 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.	2	Both	Both	Both
224				Audit review/analysis <b>shall</b> be conducted at a minimum once a week.	2	Both	Both	Both
225				The agency <b>shall</b> 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.	2	Both	Both	Both

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226	5.4.4	5.4.4	Time Stamps	The agency's information system <b>shall</b> provide time stamps for use in audit record generation.	2	Both	Both	Service Provider			
227				The time stamps <b>shall</b> include the date and time values generated by the internal system clocks in the audit records.	2	Both	Both	Service Provider			
228				The agency <b>shall</b> synchronize internal information system clocks on an annual basis.	2	Both	Both	Service Provider			
229	5.4.5	5.4.5	Protection of Audit Information	The agency's information system <b>shall</b> protect audit information and audit tools from modification, deletion and unauthorized access.	1	Both	Both	Service Provider			
230	5.4.6	5.4.6	Audit Record Retention	The agency <b>shall</b> retain audit records for at least one (1) year.	1	Both	Both	Service Provider			
231				Once the minimum retention time period has passed, the agency <b>shall</b> continue to retain audit records until it is determined they are no longer needed for administrative, legal, audit, or other operational purposes.	1	Both	Both	Service Provider			
232	5.4.7	5.4.7	Logging NCIC and III Transactions	<i>KCJIS shall maintain a log for a minimum of three (3) years of all KCJIS, NCIC and III transactions executed through the KCJIS central message switch or the KCJIS secure web site.</i>	1	CSA/SIB	CSA/SIB	CSA/SIB			
233				The III portion of the log <b>shall</b> clearly identify both the operator and the authorized receiving agency.	1	Agency	Agency	Agency			
234				III logs <b>shall</b> also clearly identify the requester and the secondary recipient.	1	Agency	Agency	Agency			
235				The identification on the log <b>shall</b> take the form of a unique identifier that <b>shall</b> remain unique to the individual requester and to the secondary recipient throughout the minimum one year retention period.	1	Agency	Agency	Agency			
<b>CJIS Security Policy Area 5 - Access Control</b>											
236	5.5.1	5.5.1	Account Management	The agency <b>shall</b> manage information system accounts, including establishing, activating, modifying, reviewing, disabling, and removing accounts.	1	Agency	Both	Both			
237				The agency <b>shall</b> validate information system accounts at least annually and...	1	Agency	Both	Both			
238				...and <b>shall</b> document the validation process.	2	Agency	Both	Both			
239				The agency <b>shall</b> identify authorized users of the information system and specify access rights/privileges.	1	Agency	Both	Both			
240				The agency <b>shall</b> grant access to the information system based on: 1. Valid need-to-know/need-to-share that is determined by assigned official duties.	1	Agency	Both	Both			
241				2. Satisfaction of all personnel security criteria.	1	Agency	Both	Both			
242				The agency responsible for account creation <b>shall</b> be notified when: 1. A user's information system usage or need-to-know or need-to-share changes.	1	Agency	Both	Both			
243				2. A user is terminated or transferred or associated accounts are removed, disabled, or otherwise secured.	1	Agency	Both	Both			
244				5.5.2	5.5.2	Access Enforcement	The information system <b>shall</b> enforce assigned authorizations for controlling access to the system and contained information.	1	Agency	Both	Both
245							The information system controls <b>shall</b> restrict access to privileged functions (deployed in hardware, software, and firmware) and security-relevant information to explicitly authorized personnel.	1	Agency	Both	Both



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246	5.5.2	5.5.2	Access Enforcement (continued)	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) <b>shall</b> 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.	1	Agency	Both	Both
247	5.5.2.1	5.5.2.1	Least Privilege	The agency <b>shall</b> approve individual access privileges and...	1	Agency	Both	Both
248				...and <b>shall</b> enforce physical and logical access restrictions associated with changes to the information system; and generate, retain, and review records reflecting all such changes.	1	Agency	Both	Both
249				The agency <b>shall</b> enforce the most restrictive set of rights/privileges or access needed by users for the performance of specified tasks.	1	Agency	Both	Both
250				The agency <b>shall</b> implement least privilege based on specific duties, operations, or information systems as necessary to mitigate risk to CJI.	1	Agency	Both	Both
251				Logs of access privilege changes <b>shall</b> be maintained for a minimum of one year or at least equal to the agency's record retention policy – whichever is greater.	2	Agency	Both	Both
252				Access control mechanisms to enable access to CJI <b>shall</b> be restricted by object (e.g., data set, volumes, files, records) including the ability to read, write, or delete the objects.	2	Agency	Both	Both
				Access controls <b>shall</b> be in place and operational for all IT systems to:				
253	5.5.2.2	5.5.2.2	System Access Control	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.	2	Agency	Both	Both
254				(1. continued) Agencies <b>shall</b> document the parameters of the operational business needs for multiple concurrent active sessions.	2	Agency	Both	Both
255				2. Ensure that only authorized personnel can add, change, or remove component devices, dial-up connections, and remove or alter programs.	1	Agency	Both	Both
				Agencies <b>shall</b> control access to CJI based on one or more of the following:				
256	5.5.2.3	5.5.2.3	Access Control Criteria	1. Job assignment or function (i.e., the role) of the user seeking access.	1	Agency	Both	Both
257				2. Physical location.	1	Agency	Both	Both
258				3. Logical location.	1	Agency	Both	Both
259				4. Network addresses (e.g., users from sites within a given agency may be permitted greater access than those from outside).	1	Agency	Both	Both
260				5. Time-of-day and day-of-week/month restrictions.	1	Agency	Both	Both
							When setting up access controls, agencies <b>shall</b> use one or more of the following mechanisms:	
261	5.5.2.4	5.5.2.4	Access Control Mechanisms	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.	1	Agency	Both	Both
262				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.	1	Agency	Both	Both
263				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).	1	Agency	Both	Both

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264	5.5.2.4	5.5.2.4	Access Control Mechanisms (continued)	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.	1	Agency	Both	Both
265	5.5.3	5.5.3	Unsuccessful Login Attempts	Where technically feasible, the system <b>shall</b> 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).	2	Agency	Both	Both
266				The system <b>shall</b> automatically lock the account/node for a 10 minute time period unless released by an administrator.	2	Agency	Both	Both
267	5.5.4	5.5.4	System Use Notification	The information system <b>shall</b> display an approved system use notification message, before granting access, informing potential users of various usages and monitoring rules.	2	Agency	Both	Both
				The system use notification message <b>shall</b> , at a minimum, provide the following information:				
268				1. The user is accessing a restricted information system.	2	Agency	Both	Both
269				2. System usage may be monitored, recorded, and subject to audit.	2	Agency	Both	Both
270				3. Unauthorized use of the system is prohibited and may be subject to criminal and/or civil penalties.	2	Agency	Both	Both
271				4. Use of the system indicates consent to monitoring and recording.	2	Agency	Both	Both
272				The system use notification message <b>shall</b> provide appropriate privacy and security notices (based on associated privacy and security policies or summaries) and...	2	Agency	Both	Both
273				...and remain on the screen until the user acknowledges the notification and takes explicit actions to log on to the information system.	2	Agency	Both	Both
274				Privacy and security policies <b>shall</b> be consistent with applicable laws, Executive Orders, directives, policies, regulations, standards, and guidance.	2	Agency	Both	Both
275				5.5.5	5.5.5	Session Lock	The information system <b>shall</b> prevent further access to the system by initiating a session lock after a maximum of 30 minutes of inactivity, and...	2
276	...and the session lock remains in effect until the user reestablishes access using appropriate identification and authentication procedures.	2	Agency				Both	Both
277	Users <b>shall</b> directly initiate session lock mechanisms to prevent inadvertent viewing when a device is unattended.	2	Agency				Both	Both
278	5.5.7	5.5.7	Remote Access	The agency <b>shall</b> authorize, monitor, and control all methods of remote access to the information system.	1	Agency	Both	Both
279				The agency <b>shall</b> employ automated mechanisms to facilitate the monitoring and control of remote access methods.	1	Agency	Both	Both
280				The agency <b>shall</b> control all remote accesses through managed access control points.	1	Agency	Both	Both
281				The agency may permit remote access for privileged functions only for compelling operational needs but <b>shall</b> document the technical and administrative process for enabling remote access for privileged functions in the security plan for the system.	1	Agency	Both	Both
				Virtual escorting of privileged functions is permitted only when all the following conditions are met:				
282				1. The session <b>shall</b> be monitored at all times by an authorized escort.	1	Agency	Both	Both
283				2. The escort <b>shall</b> be familiar with the system/area in which the work is being performed.	1	Agency	Both	Both
284				3. The escort <b>shall</b> have the ability to end the session at any time.	1	Agency	Both	Both
285				4. The remote administrative personnel connection <b>shall</b> be via an encrypted (FIPS 140-2 certified) path.	1	Agency	Both	Both

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
286	5.5.7	5.5.7	Remote Access	5. The remote administrative personnel <b>shall</b> be identified prior to access and authenticated prior to or during the session. This authentication may be accomplished prior to the session via an Advanced Authentication (AA) solution or during the session via active	1	Agency	Both	Both
287	5.5.7.1	5.5.7.1	Personally Owned Information Systems	A personally owned information system <b>shall not</b> 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.	1	Agency	Both	Both
288				When personally owned mobile devices (i.e. bring your own device [BYOD]) are authorized, they <b>shall</b> be controlled in accordance with the requirements in Policy Area 13: Mobile Devices.	1	Agency	Both	Both
289	5.5.7.2	5.5.7.2	Publicly Accessible Computers	Publicly accessible computers <b>shall not</b> be used to access, process, store or transmit CJI. Publicly accessible computers include but are not limited to: hotel business center computers, convention center computers, public library computers, public kiosk computers, etc.	1	Agency	Both	Both
<b>CJIS Security Policy Area 6 - Identification and Authentication</b>								
290	5.6	5.6	Policy Area 6: Identification and Authentication	The agency <b>shall</b> 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.	1	Agency	Both	Both
291	5.6.1	5.6.1	Identification Policy and Procedures	Each person who is authorized to store, process, and/or transmit CJI <b>shall</b> be uniquely identified.	1	Agency	Both	Both
292				A unique identification <b>shall</b> also be required for all persons who administer and maintain the system(s) that access CJI or networks leveraged for CJI transit.	1	Agency	Both	Both
293				Agencies <b>shall</b> require users to identify themselves uniquely before the user is allowed to perform any actions on the system.	1	Agency	Both	Both
294				Agencies <b>shall</b> ensure that all user IDs belong to currently authorized users.	1	Agency	Both	Both
295				Identification data <b>shall</b> be kept current by adding new users and disabling and/or deleting former users.	1	Agency	Both	Both
296	5.6.1.1	5.6.1.1	Use of Originating Agency Identifiers in Transactions and Information Exchanges	An FBI authorized originating agency identifier (ORI) <b>shall</b> 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.	1	Agency	Agency	Agency
				<i>For all other non-criminal justice agencies, an Nlets ORI is assigned by Nlets, or a Kansas specific agency identifier can be assigned by the KBI. Both will be administered by the Kansas Bureau of Investigation.</i>	1	Agency/ KBI	Agency/ KBI	Agency/ KBI
297				The original identifier between the requesting agency and the CSA/SIB/Channeler <b>shall</b> be the ORI, and other agency identifiers, such as user identification or personal identifier, an access device mnemonic, or the Internet Protocol (IP) address.	1	Agency	Agency	Agency
298				Because the agency performing the transaction may not necessarily be the same as the agency requesting the transaction, the CSA/SIB/Channeler <b>shall</b> ensure that the ORI for each transaction can be traced, via audit trail, to the specific agency which is requesting the transaction.	1	Agency	Agency	Agency
299				Agencies assigned a P (limited access) ORI <b>shall not</b> use the full access ORI of another agency to conduct an inquiry transaction.	1	Agency	Agency	Agency

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
300	5.6.2	5.6.2	Authentication Policy and Procedures	Each individual's identity <b>shall</b> be authenticated at either the local agency, CSA, SIB or Channeler level.	1	Agency	Agency	Agency
301				The authentication strategy <b>shall</b> be part of the agency's audit for policy compliance.	2	Agency	Agency	Agency
302				The FBI CJIS Division <b>shall</b> identify and authenticate all individuals who establish direct web-based interactive sessions with FBI CJIS Services.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
303				The FBI CJIS Division <b>shall</b> 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.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
304	5.6.2.1	5.6.2.1	Standard Authenticators	Users <b>shall not</b> be allowed to use the same password or PIN in the same logon sequence.	1	Agency	Both	Both
305	5.6.2.1.1	5.6.2.1.1	Password	When agencies use a password as an authenticator for an individual's unique ID, they <b>shall</b> use the basic password standards in 5.6.2.1.1.1, OR follow the advanced passwords standards in 5.6.2.1.1.2. NOTE: There is no option to combine or select particular options between the two separate lists below				
306	5.6.2.1.1	5.6.2.1.1.1	Basic Password Standards	When agencies elect to follow the basic password standards, passwords <b>shall</b> :	1	Agency	Both	Both
307	5.6.2.1.1	5.6.2.1.1.1	Basic Password Standards	1. Be a minimum length of eight (8) characters on all systems.	1	Agency	Both	Both
308				2. Not be a dictionary word or proper name.	1	Agency	Both	Both
309				3. Not be the same as the Userid.	1	Agency	Both	Both
310				4. Expire within a maximum of 90 calendar days.	1	Agency	Both	Both
311				5. Not be identical to the previous ten (10) passwords.	2	Agency	Both	Both
312				6. Not be transmitted in the clear outside the secure location.	1	Agency	Both	Both
313				7. Not be displayed when entered.	1	Agency	Both	Both
	5.6.2.1.1.2	5.6.2.1.1.2	Advanced Password Standards	When agencies elect to follow the advanced password standards, follow the guidance below:				
314				1. Passwords <b>shall</b> be a minimum of twenty (20) characters in length with no additional complexity requirements imposed (e.g., ASCII characters, emojis, all keyboard characters, and spaces will be acceptable).	1	Agency	Both	Both
315				2. Password Verifiers <b>shall</b> not permit the use of a stored "hint" for forgotten passwords and/or prompt subscribers to use specific types of information (e.g., "What was the name of your first pet?") when choosing a password.	1	Agency	Both	Both
316				3. Verifiers <b>shall</b> maintain a list of "banned passwords" that contains values known to be commonly-used, expected, or compromised.	1	Agency	Both	Both
317				4. When processing requests to establish and change passwords, Verifiers <b>shall</b> compare the prospective passwords against the "banned passwords" list.	1	Agency	Both	Both
318				5. If the chosen password is found to be part of a "banned passwords" list, the Verifier <b>shall</b> :	1	Agency	Both	Both
319				a. Advise the subscriber that they need to select a different password,	1	Agency	Both	Both
320				b. Provide the reason for rejection, and	1	Agency	Both	Both
321				c. Require the subscriber to choose a different password.	1	Agency	Both	Both
322				6. Verifiers <b>shall</b> limit the number of failed authentication attempts that can be made as described in Section 5.5.3 Unsuccessful Login Attempts.	1	Agency	Both	Both

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
323	5.6.2.1.1.2	5.6.2.1.1.2	Advanced Password Standards	7. Verifiers <b>shall</b> force a password change if there is evidence of authenticator compromise or every 365 days from the last password change.	1	Agency	Both	Both
324				8. Verifiers <b>shall</b> use approved encryption and an authenticated protected channel when requesting passwords to protect against eavesdropping and Man-in-the-Middle (MitM) attacks.	1	Agency	Both	Both
325				9. Verifiers <b>shall</b> store passwords in a manner that is resistant to offline attacks by salting and hashing the password using a one-way key derivation function when stored.	1	Agency	Both	Both
326				a. The salt <b>shall</b> be at least 32 bits in length.	1	Agency	Both	Both
327				b. The salt <b>shall</b> be chosen arbitrarily so as to minimize salt value collisions among stored hashes.	1	Agency	Both	Both
				10. For each subscriber, Verifiers <b>shall</b> protect stored salt and resulting hash values using a password or PIN.	1	Agency	Both	Both
328	5.6.2.1.2	5.6.2.1.2	Personal Identification Number (PIN)	When agencies implement the use of a PIN as a standard authenticator, the PIN attributes <b>shall</b> follow the guidance in section 5.7.2.1.1 (password).	1	Agency	Both	Both
				When agencies utilize a PIN in conjunction with a certificate or a token (e.g. key fob with rolling numbers) for the purpose of advanced authentication, agencies <b>shall</b> follow the PIN attributes described below.				
329				a. Be a minimum length of six (6) digits.	1	Agency	Both	Both
330				b. Have no repeating digits (i.e., 112233).	1	Agency	Both	Both
331				c. Have no sequential patterns (i.e., 123456).	1	Agency	Both	Both
332				d. Not be the same as the Userid.	1	Agency	Both	Both
333				e. Expire within a maximum of 365 days. a. If a PIN is used to access a soft certificate which is the second factor of authentication, AND the first factor is a password that complies with the requirements in Section 5.6.2.1.1, then the 365 day expiration requirement can be waived by the CSO.	1	Agency	Both	Both
334				f. Not be identical to the previous three (3) PINs.	1	Agency	Both	Both
335				g. Not be transmitted in the clear outside the secure location.	1	Agency	Both	Both
336				h. Not be displayed when entered.	1	Agency	Both	Both
				EXCEPTION: When a PIN is used for local device authentication, the only requirement is that it be a minimum of six (6) digits.				
337	5.6.2.1.3	5.6.2.1.3	One-time Passwords (OTP)	When agencies implement the use of an OTP as authenticator, the OTP <b>shall</b> meet the requirements described below.				
338				1. Be a minimum of six (6) randomly generated characters.	1	Agency	Both	Both
339				2. Be valid for a single session.	1	Agency	Both	Both
				3. If not used, expire within a maximum of five (5) minutes after issuance.	1	Agency	Both	Both
340	5.6.2.2	5.6.2.2	Advanced Authentication	When user-based certificates are used for authentication purposes, they <b>shall</b> :				
341				1. Be specific to an individual user and not to a particular device.	1	Agency	Both	Both
342				2. Prohibit multiple users from utilizing the same certificate.	1	Agency	Both	Both
				3. Require the user to "activate" that certificate for each user in some manner (e.g., passphrase or user-specific PIN)	1	Agency	Both	Both

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
343	5.6.2.2.1	5.6.2.2.1	Advanced Authentication Policy and Rationale	AA <b>shall not</b> be required for users requesting access to CJJ from within the perimeter of a physically secure location (Section 5.9), when the technical security controls have been met (Sections 5.5 and 5.10), or...	1	Agency	Both	Both
344				... or when the user has no ability to conduct transactional activities on state and national repositories, applications, or services (i.e. indirect access).	1	Agency	Both	Both
345				Conversely, if the technical security controls have not been met, AA <b>shall</b> be required even if the request for CJJ originates from within a physically secure location.	1	Agency	Both	Both
346				The two authentication factors <b>shall</b> be unique (i.e. password/token or biometric/password but not password/password or token/token).	1	Agency	Both	Both
347				EXCEPTION: AA <b>shall</b> be required when the requested service has built AA into its processes and requires a user to provide AA before granting access.	1	Agency	Both	Both
348	5.6.3	5.6.3	Identifier and Authenticator Management	The agency <b>shall</b> establish identifier and authenticator management processes.	1	Agency	Both	Both
349	5.6.3.1	5.6.3.1	Identifier Management	In order to manage user identifiers, agencies <b>shall</b> :				
350				1. Uniquely identify each user.	1	Agency	Both	Both
351				2. Verify the identity of each user.	1	Agency	Both	Both
352				3. Receive authorization to issue a user identifier from an appropriate agency official.	1	Agency	Both	Both
353				4. Issue the user identifier to the intended party.	1	Agency	Both	Both
354				5. Disable the user identifier after a specified period of inactivity.	1	Agency	Both	Both
355	5.6.3.2	5.6.3.2	Authenticator Management	In order to manage information system authenticators, agencies <b>shall</b> :				
356				1. Define initial authenticator content.	1	Agency	Both	Both
357				2. Establish administrative procedures for initial authenticator distribution, for lost/compromised, or damaged authenticators, and for revoking authenticators.	1	Agency	Both	Both
358				3. Change default authenticators upon information system installation.	1	Agency	Both	Both
359				4. Change/refresh authenticators periodically.	1	Agency	Both	Both
360	5.6.4	5.6.4	Assertions	Users <b>shall</b> 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.	1	Agency	Both	Both
361				Assertion mechanisms used to communicate the results of a remote authentication to other parties <b>shall</b> be:				
362				1. Digitally signed by a trusted entity (e.g., the identity provider).	1	Agency	Both	Both
363				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.	1	Agency	Both	Both
362	Assertions generated by a verifier <b>shall</b> expire after 12 hours and...	1	Agency	Both	Both			
363	...and <b>shall not</b> be accepted thereafter by the relying party.	1	Agency	Both	Both			

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
<b>CJIS Security Policy Area 7 - Configuration Management</b>								
364	5.7.1.1	5.7.1.1	Least Functionality	The agency <b>shall</b> configure the application, service, or information system to provide only essential capabilities ...	2	Agency	Both	Both
365				...and <b>shall</b> specifically prohibit and/or restrict the use of specified functions, ports, protocols, and/or services.	1	Agency	Both	Both
366	5.7.1.2	5.7.1.2	Network Diagram	The agency <b>shall</b> 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.	1	Agency	Both	Both
				The network topological drawing <b>shall</b> include the following:				
367				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.	1	Agency	Both	Both
368				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.	1	Agency	Both	Both
369				3. "For Official Use Only" (FOUO) markings.	1	Agency	Both	Both
370	4. The agency name and date (day, month, and year) drawing was created or updated.	1	Agency	Both	Both			
371	5.7.2	5.7.2	Security of Configuration Documentation	Agencies <b>shall</b> protect the system documentation from unauthorized access consistent with the provisions described in section 5.5 Access Control.	2	Agency	Both	Both
<b>CJIS Security Policy Area 8 - Media Protection</b>								
372	5.8	5.8	Policy Area 8: Media Protection	Media protection policy and procedures <b>shall</b> be documented and implemented to ensure that access to electronic and physical media in all forms is restricted to authorized individuals.	2	Agency	Agency	Agency
373				Procedures <b>shall</b> be defined for securely handling, transporting and storing media.	2	Agency	Agency	Agency
374	5.8.1	5.8.1	Media Storage and Access	The agency <b>shall</b> securely store electronic and physical media within physically secure locations or controlled areas.	1	Both	Both	Both
375				The agency <b>shall</b> restrict access to electronic and physical media to authorized individuals.	1	Both	Both	Both
376				If physical and personnel restrictions are not feasible then the data <b>shall</b> be encrypted per section 5.10.1.2.	1	Both	Both	Both
377	5.8.2	5.8.2	Media Transport	The agency <b>shall</b> 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.	1	Agency	Agency	Agency
378	5.8.2.1	5.8.2.1	Digital Media during Transport	Controls <b>shall</b> be in place to protect digital media containing CJI while in transport (physically moved from one location to another) to help prevent compromise of the data.	1	Agency	Agency	Agency
379				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 <b>shall</b> institute physical controls to ensure the security of the data.	1	Agency	Both	Both
380	5.8.2.2	5.8.2.2	Physical Media in Transit	Physical media <b>shall</b> be protected at the same level as the information would be protected in electronic form.	1	Agency	Agency	Agency
381	5.8.3	5.8.3	Digital Media Sanitization and Disposal	The agency <b>shall</b> sanitize, that is, overwrite at least three times or degauss electronic media prior to disposal or release for reuse by unauthorized individuals.	1	Agency	Both	Both
382				Inoperable electronic media <b>shall</b> be destroyed (cut up, shredded, etc.).	1	Agency	Agency	Agency
383				The agency <b>shall</b> maintain written documentation of the steps taken to sanitize or destroy electronic media.	2	Agency	Agency	Agency
384				Agencies <b>shall</b> ensure the sanitization or destruction is witnessed or carried out by authorized personnel.	1	Agency	Agency	Agency

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
<b>CJIS Security Policy Area 8 - Media Protection</b>								
385	5.8.4	5.8.4	Disposal of Physical Media	Physical media <b>shall</b> be securely disposed of when no longer required, using formal procedures.	1	Agency	Agency	Agency
386				Formal procedures for the secure disposal or destruction of physical media <b>shall</b> minimize the risk of sensitive information compromise by unauthorized individuals.	2	Agency	Agency	Agency
387				Physical media <b>shall</b> be destroyed by shredding or incineration.	1	Agency	Agency	Agency
388				Agencies <b>shall</b> ensure the disposal or destruction is witnessed or carried out by authorized personnel.	1	Agency	Agency	Agency
				<p><i>Use Case 2 – off-site shredding</i></p> <p><i>A police department contracts with a document management company to shred their old paper files that contain CJI. The document management company (a private contractor) picks up sheets of plaintext printouts in bins and loads them on a truck to transport to their facility to shred. They return a "certificate of destruction" to the police department indicating the plaintext printouts have been destroyed.</i></p> <p><i>The document management company contract includes by reference the FBI CJIS Security Addendum. The police department conducts initial finger print record checks and annual name- based rechecks for Criminal History records of the truck driver and any other employees of the document company who may have unescorted access to the plaintext CJI prior to shredding.</i></p> <p><i>The police department ensures the document company employees also complete Security Awareness Training levels 1 and 2 described in policy areas 5.2.1.1-5.2.1.2.</i></p>				
<b>CJIS Security Policy Area 9 - Physical Protection</b>								
389	5.9	5.9	Policy Area 9: Physical Protection	Physical protection policy and procedures <b>shall</b> be documented and implemented to ensure CJI and information system hardware, software, and media are physically protected through access control measures.	2	Both	Both	Both
390	5.9.1.1	5.9.1.1	Security Perimeter	The perimeter of physically secure location <b>shall</b> be prominently posted and separated from non-secure locations by physical controls.	1	Both	Both	Both
391				Security perimeters <b>shall</b> be defined, controlled and secured in a manner acceptable to the CSA or SIB.	1	Both	Both	Both
392	5.9.1.2	5.9.1.2	Physical Access Authorizations	The agency <b>shall</b> 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...	1	Both	Both	Both
393				...or <b>shall</b> issue credentials to authorized personnel.	1	Both	Both	Both
394	5.9.1.3	5.9.1.3	Physical Access Control	The agency <b>shall</b> control all physical access points (except for those areas within the facility officially designated as publicly accessible) and...	1	Both	Both	Both
395				...and <b>shall</b> verify individual access authorizations before granting access.	1	Both	Both	Both
396	5.9.1.4	5.9.1.4	Access Control for Transmission Medium	The agency <b>shall</b> control physical access to information system distribution and transmission lines within the physically secure location.	1	Both	Both	Both
397	5.9.1.5	5.9.1.5	Access Control for Display Medium	The agency <b>shall</b> control physical access to information system devices that display CJI and...	1	Both	Both	Both
398				...and <b>shall</b> position information system devices in such a way as to prevent unauthorized individuals from accessing and viewing CJI.	1	Both	Both	Both
399	5.9.1.6	5.9.1.6	Monitoring Physical Access	The agency <b>shall</b> monitor physical access to the information system to detect and respond to physical security incidents.	1	Both	Both	Both
400	5.9.1.7	5.9.1.7	Visitor Control	The agency <b>shall</b> control physical access by authenticating visitors before authorizing escorted access to the physically secure location (except for those areas designated as publicly accessible).	1	Both	Both	Both
401				The agency <b>shall</b> escort visitors at all times and monitor visitor activity.	1	Both	Both	Both



	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
402	5.9.1.8	5.9.1.8	Delivery and Removal	The agency <b>shall</b> authorize and control information system-related items entering and exiting the physically secure location.	1	Both	Both	Both
403	5.9.2	5.9.2	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 <b>shall</b> designate an area, a room, or a storage container, as a "controlled area" for the purpose of day-to-day CJI access or storage.	1	Both	Both	Both
				The agency <b>shall</b> , at a minimum:				
404				1. Limit access to the controlled area during CJI processing times to only those personnel authorized by the agency to access or view CJI.	1	Both	Both	Both
405				2. Lock the area, room, or storage container when unattended.	1	Both	Both	Both
406				3. Position information system devices and documents containing CJI in such a way as to prevent unauthorized individuals from access and view.	1	Both	Both	Both
407	4. Follow the encryption requirements found in section 5.10.1.1.2 for electronic storage (i.e. data "at rest") of CJI.	1	Both	Both	Both			
<b>CJIS Security Policy Area 10 - Systems and Communications Protection and Information Integrity</b>								
408	5.10.1	5.10.1	Information Flow Enforcement	The network infrastructure <b>shall</b> control the flow of information between interconnected systems.	1	Both	Service Provider	Service Provider
409	5.10.1.1	5.10.1.1	Boundary Protection	The agency <b>shall</b> :				
				1. Control access to networks processing CJI.	1	Both	Service Provider	Service Provider
410				2. Monitor and control communications at the external boundary of the information system and at key internal boundaries within the system.	1	Both	Service Provider	Service Provider
411				3. <i>KCJIS policy requires that any connections to the Internet, other external networks, or non-criminal justice information systems occur through locally managed firewalls. See Section 5.13.4.3 for guidance on personal firewalls. Also refer to National Institute of Standards and Technology (NIST) Special Publication 800-41 Guidelines on Firewalls and Firewall Policy, available at <a href="http://www.nist.gov/customcf/get_pdf.cfm?pub_id=901083">http://www.nist.gov/customcf/get_pdf.cfm?pub_id=901083</a></i>	1	Both	Service Provider	Service Provider
412				4. Employ tools and techniques to monitor network events, detect attacks, and provide identification of unauthorized use.	1	Both	Service Provider	Service Provider
413				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 <b>shall</b> "fail closed" vs. "fail open").	1	Both	Service Provider	Service Provider
414	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 <b>shall</b> follow the guidance in section 5.10.3.2 to achieve separation.	1	Both	Service Provider	Service Provider			
415	5.10.1.2.1	5.10.1.2.1	Encryption for CJI in Transit	When CJI is transmitted outside the boundary of the physically secure location, the data <b>shall</b> be immediately protected via encryption.	1	Both	Service Provider	Service Provider
416				When encryption is employed, the cryptographic module used <b>shall</b> be FIPS 140-2 certified and ...	1	Both	Service Provider	Service Provider
417				... and use a symmetric cipher key strength of at least 128 bit strength to protect CJI.	1	Both	Service Provider	Service Provider

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
	5.10.1.2.1	5.10.1.2.1	Encryption for CJI in Transit	2. Encryption <b>shall not</b> be required if the transmission medium meets all of the following requirements:				
418				a. The agency owns, operates, manages, or protects the medium.	1	Agency	Agency	Agency
419				b. Medium terminates within physically secure locations at both ends with no interconnections between	1	Agency	Agency	Agency
420				c. Physical access to the medium is controlled by the agency using the requirements in Section 5.9.1 and 5.12.	1	Agency	Agency	Agency
421				d. Protection includes safeguards (e.g. acoustic, electric, electromagnetic, and physical) and if feasible countermeasures (e.g. alarms, notifications) to permit its use for the transmission of unencrypted information through an area of lesser classification or control.	1	Agency	Agency	Agency
422				e. With approval of the CSO.	1	Agency	Agency	Agency
423	5.10.1.2.2	5.10.1.2.2	Encryption for CJI at Rest	When CJI is at rest (i.e. stored electronically) outside the boundary of the physically secure location, the data <b>shall</b> be protected via encryption.	1	Both	Service Provider	Service Provider
424				When encryption is employed, agencies <b>shall</b> either encrypt CJI in accordance with the standard in Section 5.10.1.2.1 above, or ...	1	Both	Service Provider	Service Provider
425				... or use a symmetric cipher that is FIPS 197 certified (AES) and at least 256 bit strength.	1	Both	Service Provider	Service Provider
				1. When agencies implement encryption on CJI at rest, the passphrase to unlock the cipher <b>shall</b> meet the following requirements:				
426				a. Be at least 10 characters	1	Both	Service Provider	Service Provider
427				b. Not be a dictionary word	1	Both	Service Provider	Service Provider
428				c. Include at least one (1) upper case letter, one (1) lower case letter, one (1) number, and one (1) special character	1	Both	Service Provider	Service Provider
429				d. Be changed when previously authorized personnel no longer require access	1	Both	Service Provider	Service Provider
430				2. Multiple files maintained in the same unencrypted folder <b>shall</b> have separate and distinct passphrases.	1	Both	Service Provider	Service Provider
431				2. All audit requirements found in Section 5.4.1 Auditable Events and Content (Information Systems) <b>shall</b> be applied.	1	Both	Service Provider	Service Provider
432	5.10.1.2.3	5.10.1.2.3	Public Key Infrastructure (PKI) Technology	For agencies using public key infrastructure (PKI) technology, the agency <b>shall</b> develop and implement a certificate policy and certification practice statement for the issuance of public key certificates used in the information system.	1	Both	Service Provider	Service Provider
				Registration to receive a public key certificate <b>shall</b> :				
433				1. Include authorization by a supervisor or a responsible official.	1	Both	Service Provider	Service Provider
434				2. Be accomplished by a secure process that verifies the identity of the certificate holder.	1	Both	Service Provider	Service Provider
435			3. Ensure the certificate is issued to the intended party.	1	Both	Service Provider	Service Provider	

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
				Agencies <b>shall</b> :				
436	5.10.1.3	5.10.1.3	Intrusion Detection Tools and Techniques	1. Implement network-based and/or host-based intrusion detection or prevention tools.	1	Both	Service Provider	Service Provider
437				2. Maintain current intrusion detection or prevention signatures.	1	Both	Service Provider	Service Provider
438				3. Monitor inbound and outbound communications for unusual or unauthorized activities	1	Both	Service Provider	Service Provider
439				4. Send individual intrusion detection logs to a central logging facility where correlation and analysis will be accomplished as a system wide intrusion detection effort.	1	Both	Service Provider	Service Provider
440				5. Review intrusion detection or prevention logs weekly or implement automated event notification.	1	Both	Service Provider	Service Provider
441				6. Employ automated tools to support near-real-time analysis of events in support of detecting system-level attacks.	1	Both	Service Provider	Service Provider
							In addition to the security controls described in this document, the following additional controls <b>shall</b> be implemented when an agency deploys VoIP within a network that contains unencrypted CJI:	
442	5.10.1.4	5.10.1.4	Voice over Internet Protocol	1. Establish usage restrictions and implementation guidance for VoIP technologies.	1	Both	Service Provider	Service Provider
443				2. Document, monitor and control the use of VoIP within the agency.	1	Both	Service Provider	Service Provider
444				3. Utilize Virtual Local Area Network (VLAN) technology to segment VoIP traffic from data traffic.	1	Both	Service Provider	Service Provider
445	5.10.1.5	5.10.1.5	Cloud Computing	The storage of CJI, regardless of encryption status, <b>shall</b> only be permitted in cloud environments (e.g. government or third-party/commercial datacenters, etc.) which reside within the physical boundaries of APB-member country (i.e. U.S., U.S. territories, Indian Tribes, and Canada) and legal authority of an APB member agency (i.e. U.S. – federal/state/territory, Indian Tribe, or the Royal Canadian Mounted Police (RCMP)).	1	Service Provider	Service Provider	Service Provider
446				Metadata derived from unencrypted CJI <b>shall</b> be protected in the same manner as CJI and...	1	Service Provider	Service Provider	Service Provider
447				... <b>shall</b> not be used for any advertising or other commercial purposes by any cloud service provider or other associated entity.	1	Service Provider	Service Provider	Service Provider
448	5.10.2	5.10.2	Facsimile Transmission of CJI	CJI transmitted external to a physically secure location using a facsimile server, application or service which implements email-like technology, <b>shall</b> meet the encryption requirements for CJI in transit as defined in Section 5.10.	1	Both	Service Provider	Service Provider
449	5.10.3.1	5.10.3.1	Partitioning	The application, service, or information system <b>shall</b> separate user functionality (including user interface services) from information system management functionality.	2	Both	Service Provider	Service Provider
450				The application, service, or information system <b>shall</b> physically or logically separate user interface services (e.g. public Web pages) from information storage and management services (e.g. database management).	1	Both	Service Provider	Service Provider

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
	5.10.3.2	5.10.3.2	Virtualization	In addition to the security controls described in this policy, the following additional controls <b>shall</b> be implemented in a virtual environment:				
451				1. Isolate the host from the virtual machine. In other words, virtual machine users cannot access host files, firmware, etc.	2	Both	Service Provider	Service Provider
452				2. Maintain audit logs for all virtual machines and hosts and store the logs outside the hosts' virtual environment.	1	Both	Service Provider	Service Provider
453				3. Virtual Machines that are Internet facing (web servers, portal servers, etc.) shall be physically separate from Virtual Machines that process CJI internally or be separated by a virtual firewall.	1	Both	Service Provider	Service Provider
454				4. Drivers that serve critical functions shall be stored within the specific VM they service. In other words, do not store these drivers within the hypervisor, or host operating system, for sharing. Each VM is to be treated as an independent system - secured as independently as possible.	1	Both	Service Provider	Service Provider
				The following additional technical security controls <b>shall</b> be applied in virtual environments where CJI is comingled with non-CJI:				
455				1. Encrypt CJI when stored in a virtualized environment where CJI is comingled with non-CJI or segregate and store unencrypted CJI within its own secure	1	Both	Service Provider	Service Provider
456				2. Encrypt network traffic within the virtual environment.	1	Both	Service Provider	Service Provider
				The following are additional technical security control best practices and <i>should</i> be implemented wherever feasible:				
				1. Implement IDS and/or IPS monitoring within the virtual environment				
				2. Virtually or physically firewall each VM within the virtual environment to ensure that only allowed protocols will transact				
				3. Segregate the administrative duties for the host				
457	5.10.4.1	5.10.4.1	Patch Management	The agency <b>shall</b> identify applications, services, and information systems containing software or components affected by recently announced software flaws and potential vulnerabilities resulting from those flaws.	1	Both	Service Provider	Service Provider
458				The agency (or the software developer/vendor in the case of software developed and maintained by a vendor/contractor) <b>shall</b> develop and implement a local policy that ensures prompt installation of newly released security relevant patches, service packs and hot fixes.	1	Both	Service Provider	Service Provider
				Local policies <i>should</i> include such items as:				
				1. Testing of appropriate patches before installation				
				2. Rollback capabilities when installing patches, updates, etc.				
				3. Automatic updates without individual user intervention.				
				4. Centralized patch management.				
459			Patch requirements discovered during security assessments, continuous monitoring or incident response activities <b>shall</b> also be addressed expeditiously.	1	Both	Service Provider	Service Provider	

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
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460	5.10.4.2	5.10.4.2	Malicious Code Protection	The agency <b>shall</b> implement malicious code protection that includes automatic updates for all systems with Internet access.	1	Both	Service Provider	Service Provider
461				Agencies with systems not connected to the Internet <b>shall</b> implement local procedures to ensure malicious code protection is kept current (i.e. most recent update available).	1	Both	Service Provider	Service Provider
462				The agency <b>shall</b> 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.	1	Both	Service Provider	Service Provider
463				The agency <b>shall</b> ensure malicious code protection is enabled on all of the aforementioned critical points and information systems and resident scanning is employed.	1	Both	Service Provider	Service Provider
464	5.10.4.3	5.10.4.3	Spam and Spyware Protection	The agency <b>shall</b> implement spam and spyware protection.	2	Both	Service Provider	Service Provider
				The agency <b>shall</b> :				
465				1. Employ spam protection mechanisms at critical information system entry points (e.g. firewalls, electronic mail servers, remote-access servers).	2	Both	Service Provider	Service Provider
466				2. Employ spyware protection at workstations, servers and mobile computing devices on the network.	2	Both	Service Provider	Service Provider
467				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.	2	Both	Service Provider	Service Provider
468	5.10.4.4	5.10.4.4	Security Alerts and Advisories	The agency <b>shall</b> :	2	Both	Service Provider	Service Provider
				1. Receive information system security alerts/advisories on a regular basis.	2	Both	Service Provider	Service Provider
469				2. Issue alerts/advisories to appropriate personnel.	2	Both	Service Provider	Service Provider
470				3. Document the types of actions to be taken in response to security alerts/advisories.	2	Both	Service Provider	Service Provider
471				4. Take appropriate actions in response.	2	Both	Service Provider	Service Provider
472	5. Employ automated mechanisms to make security alert and advisory information available throughout the agency as appropriate.	2	Both	Service Provider	Service Provider			
473	5.10.4.5	5.10.4.5	Information Input Restrictions	The agency <b>shall</b> restrict the information input to any connection to FBI CJIS services to authorized personnel only.	1	Agency	Agency	Agency
	5.10.5	5.10.5	Kansas Office of Information Technology Services connections to KCJIS	<i>The State of Kansas Office of Information Technology Services (OITS) offers options for local agencies to connect to KCJIS. Costs to the agency may be associated with these options.</i>	2	N/A	N/A	N/A
	5.10.5.1.1	5.10.5.1.1	OITS Responsibilities	<i>OITS shall ensure the 24x7x365 availability of the KCJIS networks in accordance with service level agreements between OITS and the KCJIS administrative agencies</i>	2	N/A	N/A	N/A
	5.10.5.1.2	5.10.5.1.2		<i>OITS monitors KCJIS connections to identify and isolate network problems occurring on OITS managed networks</i>	2	N/A	N/A	N/A
	5.10.5.2.1	5.10.5.2.1	Use of OITS managed connections	<i>OITS devices shall be powered on and in communicating status at all times to facilitate accurate network monitoring and reporting</i>	2	N/A	N/A	N/A
	5.10.5.2.2	5.10.5.2.2		<i>Any CJA device connected to an OITS device shall be protected by a firewall</i>	2	N/A	N/A	N/A

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
<b>CJIS Security Policy Area 11 - Formal Audits</b>								
474	5.11.1.1	5.11.1.1	Triennial Compliance Audits by the FBI CJIS Division	The CJIS Audit Unit (CAU) <b>shall</b> conduct a triennial audit of each CSA in order to verify compliance with applicable statutes, regulations and policies	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
475				This audit <b>shall</b> include a sample of CJAs and, in coordination with the SIB, the NCJAs.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
476				The FBI CJIS Division <b>shall</b> also have the authority to conduct unannounced security inspections and scheduled audits of Contractor facilities.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
477	5.11.1.2	5.11.1.2	Triennial Security Audits by the FBI CJIS Division	This audit <b>shall</b> include a sample of CJAs and NCJAs.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
	5.11.2	5.11.2	Audits by the CSA	Each CSA <b>shall</b> :				
478				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.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
479				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.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
480				3. Have the authority to conduct unannounced security inspections and scheduled audits of Contractor facilities.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
481				4. Have the authority, on behalf of another CSA, to conduct a CSP compliance audit of contractor facilities and provide the results to the requesting CSA. If a subsequent CSA requests an audit of the same contractor facility, the CSA may provide the results of the previous audit unless otherwise notified by the requesting CSA that a new audit be performed.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
	5.11.2.1	5.11.2.1	Triennial Compliance Audits by Kansas Highway Patrol CJIS Unit	<i>The Kansas Highway Patrol CJIS Unit is authorized to conduct data quality compliance audits of CJAs and NCJAs, once every three (3) years as a minimum, to assess agency compliance with applicable statutes, regulations and policies. This audit shall include a review of NCIC transactions (entries and queries made) and the corresponding local records. Audits may be conducted on a more frequent basis if the audit reveals that an agency has not complied with applicable statutes, regulations and policies.</i>		KHP /Agency	KHP /Agency	KHP /Agency
	5.11.2.2	5.11.2.2	Triennial Security Audits by Kansas Highway Patrol CJIS Unit	<i>The Kansas Highway Patrol CJIS Unit is authorized to conduct security audits of CJAs and NCJAs, once every three (3) years as a minimum, to assess agency compliance with the CJIS and KCJIS Security Policies. This audit shall be separate from the data quality compliance audits. Audits may be conducted on a more frequent basis if the audit reveals that an agency has not complied with the Security Policies. The Kansas Highway Patrol CJIS Unit shall also have the authority to conduct unannounced security inspections and scheduled audits of Contractor facilities.</i>		KHP /Agency	KHP /Agency	KHP /Agency
	5.11.2.3	5.11.2.3	Audits by the Kansas Bureau of Investigation	<i>As the State Identification Bureau (SIB), the Kansas Bureau of Investigation is authorized to periodically audit all NCJAs with access to CJI, and CJAs required to submit incident and arrest data to the central repository, in order to ensure compliance with applicable statutes, regulations and policies.</i>		KBI/NCJA	KBI/NCJA	KBI/NCJA
482	5.11.3	5.11.3	Special Security Inquiries and Audits	All agencies having access to CJI <b>shall</b> permit an inspection team to conduct an appropriate inquiry and audit of any alleged security violations.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
483				The inspection team <b>shall</b> be appointed by the APB and <b>shall</b> include at least one representative of the CJIS Division.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO
484				All results of the inquiry and audit <b>shall</b> be reported to the APB with appropriate recommendations.	1	CJIS/CSO	CJIS/CSO	CJIS/CSO

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
<b>CJIS Security Policy Area 12 - Personnel Security</b>								
485	5.12.1.	5.12.1	<b>Personnel Screening Requirements for Individuals Requiring Unescorted Access to Unencrypted CJI</b>	1. To verify identification, state of residency and national fingerprint-based record checks <b>shall</b> be conducted prior to granting access to CJI for all personnel who have unescorted access to unencrypted CJI or unescorted access to physically secure locations or controlled areas (during times of CJI processing).	1	Agency	Agency	Agency
486				However, if the person resides in a different state than that of the assigned agency, the agency <b>shall</b> conduct state (of the agency) and national fingerprint-based record checks and execute a NLETS CHRI IQ/FQ/AQ query using purpose code C, E, or J depending on the circumstances.	1	Agency	Agency	Agency
487				When appropriate, the screening <b>shall</b> be consistent with a. 5 CFR 731.106; and/or b. Office of Personnel Management policy, regulations, and guidance; and/or c. agency policy, regulations, and guidance.	1	Agency	Agency	Agency
488				2. All requests for access shall be made as specified by the CSO.	1	Agency	Agency	Agency
489				All CSO designees <b>shall</b> be from an authorized criminal justice agency.	1	Agency	Agency	Agency
				a. <i>Non-US citizens must be legally able to perform the work in or for the United States</i>	1	Agency	Agency	Agency
				b. <i>Individuals must be at least 18 years of age</i>	1	Agency	Agency	Agency
				<i>For screening purposes, all available criminal history record information including diversions and expunged records shall be considered</i>	1	Agency	Agency	Agency
490				3. If a record of any 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.				
491				a. If a felony conviction of any kind exists, the Interface Agency shall deny access to CJI. However, the Interface Agency may ask for a review by the CSO in extenuating circumstances where the severity of the offense and the time that has passed would support a possible variance.	1	Agency	Agency	Agency
				b. Applicants with a record of misdemeanor offense(s) may be granted access if the CSO, or his or her designee, determines the nature or severity of the misdemeanor offense(s) do not warrant disqualification. The Interface Agency may request the CSO review a denial of access determination. This same procedure applies if the person is found to be a fugitive or has an arrest history without conviction.				
492				c. If a record of any kind is found on a contractor, the CGA shall be formally notified and system access shall be delayed pending review of the criminal history record information.	1	Agency	Agency	Agency
493				The CGA shall in turn notify the contractor's security officer.	1	Agency	Agency	Agency
494				4. 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.	1	Agency	Agency	Agency
495				5. 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.	1	Agency	Agency	Agency

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
496	5.12.1.	5.12.1	<b>Personnel Screening Requirements for Individuals Requiring Unescorted Access to Unencrypted CJI (continued)</b>	6. 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...	1	Agency	Agency	Agency
497				...the person's appointing authority <b>shall</b> be notified in writing of the access denial				
498				7. The granting agency shall maintain a list of personnel who have been authorized unescorted access to unencrypted CJI and...	1	Agency	Agency	Agency
499				... <b>shall</b> , upon request, provide a current copy of the access list to the CSO.	1	Agency	Agency	Agency
				<i>Individual name-based record checks shall be conducted prior to granting access to CJI for all personnel who have unescorted access to unencrypted CJI or unescorted access to physically secure locations or controlled areas (during times of CJI processing) and annually thereafter or whenever there is reasonable suspicion that an individual's criminal history status has changed.</i>	1	Agency	Agency	Agency
				<i>Name-based record checks shall include the following queries, at a minimum:</i>	1	Agency	Agency	Agency
				<i>1. All available NCIC Wanted Person files regardless of severity or extradition. (QWA)</i>	1	Agency	Agency	Agency
				<i>2. III (QH with QR if indicated)</i>	1	Agency	Agency	Agency
				<i>3. NLETS Identity Query for person's state of residence (IQ with FQ when indicated)</i>				
				<i>4. Kansas CCH (KIQ/KFQ or Web Portal Master search)</i>	1	Agency	Agency	Agency
				<i>Any individual with access to CJI shall report any arrest, new indictment, charge, conviction, or diversion of a criminal violation to their agency head by the end of the business day following the reportable event</i>	1	Agency	Agency	Agency
				<i>Agencies shall document procedures for reporting</i>	1	Agency	Agency	Agency
500	5.12.2	5.12.2	Personnel Termination	Upon termination of personnel by an interface agency, the agency <b>shall</b> immediately terminate access to local agency systems with access to CJI.	1	Both	Both	Both
501				Furthermore, the interface agency <b>shall</b> provide notification or other action to ensure access to state and other agency systems is terminated.	1	Both	Both	Both
502				If the employee is an employee of a NCJA or a Contractor, the employer <b>shall</b> notify all Interface Agencies that may be affected by the personnel change.	1	Both	Both	Both
503	5.12.3	5.12.3	Personnel Transfer	The agency <b>shall</b> 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.	1	Both	Both	Both
504	5.12.4	5.12.4	Personnel Sanctions	The agency <b>shall</b> employ a formal sanctions process for personnel failing to comply with established information security policies and procedures.	2	Both	Both	Both
				<i>When a sanction is placed on an agency employee, the sanctioning official (the CSA ISO for security related matters, the CSA CSO for all other matters) shall issue a written letter to the affected individual(s) with a copy to the agency head documenting the sanction..</i>	2	Both	Both	Both
				<i>This documentation shall include a description of the violation that occurred and the sanction being levied</i>	2	Both	Both	Both
				<i>Copies of the letter shall be submitted to the KCJIS Committee Chairperson, the KBI, and the CSA CSO.</i>	2	Both	Both	Both



	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
<b>CJIS Security Policy Area 13 - Mobile Devices</b>								
				The agency <b>shall</b> :				
505	5.13	5.13	Mobile Devices	(i) establish usage restrictions and implementation guidance for mobile devices;	1	Agency	Agency	Agency
506				(ii) authorize, monitor, control wireless access to the information system.	1	Agency	Agency	Agency
507				Wired Equivalent Privacy (WEP) and Wi-Fi Protected Access (WPA) cryptographic algorithms, used by all pre-802.11i protocols, do not meet the requirements for FIPS 140-2 and <b>shall not</b> be used.	1	Agency	Agency	Agency
508				Agencies <b>shall</b> implement the following controls for all agency-managed wireless access points with access to an agency's network that processes unencrypted CJJ:	1	Agency	Agency	Agency
				Agencies <b>shall</b> implement the following controls for all agency-managed wireless access points:				
509				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.	1	Agency	Agency	Agency
510				2. Maintain a complete inventory of all Access Points (APs) and 802.11 wireless devices.	1	Agency	Agency	Agency
511				3. Place APs in secured areas to prevent unauthorized physical access and user manipulation.	1	Agency	Agency	Agency
512				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.	1	Agency	Agency	Agency
513	5.13.1.1	5.13.1.1	802.11 Wireless Protocols	5. Enable user authentication and encryption mechanisms for the management interface of the AP.	1	Agency	Agency	Agency
514				6. Ensure that all APs have strong administrative passwords and ensure that all passwords are changed in accordance with section 5.7.3.1.	1	Agency	Agency	Agency
515				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.	1	Agency	Agency	Agency
516				8. Change the default service set identifier (SSID) in the APs.	1	Agency	Agency	Agency
517				Disable the broadcast SSID feature so that the client SSID must match that of the AP.	1	Agency	Agency	Agency
518				Validate that the SSID character string does not contain any agency identifiable information (division, department, street, etc.) or services.	1	Agency	Agency	Agency
519				9. Enable all security features of the wireless product, including the cryptographic authentication, firewall, and other privacy features.	1	Agency	Agency	Agency
520				10. Ensure that encryption key sizes are at least 128-bits and...	1	Agency	Agency	Agency
521				...and the default shared keys are replaced by unique keys.	1	Agency	Agency	Agency
522				11. Ensure that the ad hoc mode has been disabled.	1	Agency	Agency	Agency
523				12. Disable all nonessential management protocols on the APs. Disable non-FIPS compliant secure access to the management interface.	1	Agency	Agency	Agency

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
524	5.13.1.1	5.13.1.1	802.11 Wireless Protocols (continued)	13. Ensure all management access and authentication occurs via FIPS compliant secure protocols (e.g. SFTP, HTTPS, SNMP over TLS, etc.). Disable non-FIPS compliant secure access to the management interface.	1	Agency	Agency	Agency
525				14. Enable logging (if supported) and...	1	Agency	Agency	Agency
526				... review the logs on a recurring basis per local policy.	1	Agency	Agency	Agency
527				At a minimum logs <b>shall</b> be reviewed monthly.	1	Agency	Agency	Agency
528				15. Insulate, virtually (e.g. virtual local area network (VLAN) and ACLs) or physically (e.g. firewalls), the wireless network from the operational wired infrastructure.	1	Agency	Agency	Agency
529				16. 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.	1	Agency	Agency	Agency
530	5.13.1.2.1	5.13.1.2.1	Cellular Service Abroad	When devices are authorized to access CJI outside the U.S., agencies <b>shall</b> perform an inspection to ensure that all controls are in place and functioning properly in accordance with the agency's policies prior to and after deployment outside of the U.S.	1	Agency	Agency	Agency
	5.13.1.2.2	5.13.1.2.2	Voice Transmissions Over Cellular Devices	Any cellular device used to transmit CJI via voice is <i>exempt from</i> the encryption and authentication requirements				
531	5.13.1.3	5.13.1.3	Bluetooth	Organizational security policy <b>shall</b> be used to dictate the use of Bluetooth and its associated devices based on the agency's operational and business processes.	2	Agency	Agency	Agency
				<i>Bluetooth is not allowed for transfer of CHRI between computing devices. Bluetooth is allowable for devices such as keyboards, mice, microphones, headsets, etc.</i>				
	5.13.1.4	5.13.1.4	Mobile Hotspots	When an agency allows mobile devices that are approved to access or store CJI to function as a Wi-Fi hotspot connecting to the Internet, they <b>shall</b> be configured:				
532				1. Enable encryption on the hotspot	1	Agency	Agency	Agency
533				2. Change the hotspot's default SSID	1	Agency	Agency	Agency
534				a. Ensure the hotspot SSID does not identify the device make/model or agency	1	Agency	Agency	Agency
535				3. Create a wireless network password (Pre-shared key)	1	Agency	Agency	Agency
536				4. Enable the hotspot's port filtering/blocking features if present	1	Agency	Agency	Agency
537				5. Only allow connections from agency controlled devices	1	Agency	Agency	Agency
				Note: Refer to the requirements in Section 5.10.1.2 encryption for item #1. Refer to the requirements in Section 5.6.2.2.1 Password for item #3. Only password attributes #1, #2 and #3 are required				
538	OR Have a MDM solution to provide the same security as identified in 1 - 5 above.	1	Agency	Agency	Agency			

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
539	5.13.2	5.13.2	Mobile Device Management (MDM)	Devices that have had any unauthorized changes made to them (including but not limited to being rooted or jailbroken) <b>shall not</b> be used to process, store, or transmit CJI at any time.	1	Agency	Agency	Agency
				User agencies <b>shall</b> implement the following controls when <b>allowing</b> directly accessing CJI <b>access</b> from devices running limited feature operating				
540				1. Ensure that CJI is only transferred between CJI authorized applications and storage areas of the device.	1	Agency	Agency	Agency
541				2. MDM with centralized administration configured and implemented to perform at least the <b>following controls</b> :	1	Agency	Agency	Agency
542				a. Remote locking of the device	1	Agency	Agency	Agency
543				b. Remote wiping of the device	1	Agency	Agency	Agency
544				c. Setting and locking device configuration	1	Agency	Agency	Agency
545				d. Detection of "rooted" and "jailbroken" devices	1	Agency	Agency	Agency
546				e. Enforcement of folder or disk level encryption	1	Agency	Agency	Agency
547				f. Application of mandatory policy settings on the device	1	Agency	Agency	Agency
548				g. Detection of unauthorized configurations	1	Agency	Agency	Agency
549				h. Detection of unauthorized software or applications	1	Agency	Agency	Agency
550				i. Ability to determine location of agency controlled devices	1	Agency	Agency	Agency
551				j. Prevention of unpatched devices from accessing CJI or CJI systems	1	Agency	Agency	Agency
552				k. Automatic device wiping after a specified number of failed access attempts	1	Agency	Agency	Agency
				EXCEPTION: An <b>MDM is not required when receiving CJI from an indirect access information system</b> (i.e. the system provides no capability to conduct transactional activities on state and national repositories, applications or services). However, it is incumbent upon the authorized agency to ensure CJI is delivered to the appropriate requesting agency or individual. The <b>CSO will make the final determination</b> of whether access is considered indirect				
553	5.13.3	5.13.3	Wireless Device Risk Mitigations	Organizations <b>shall</b> , as a minimum, ensure that wireless devices:				
				1. Apply available critical patches and upgrades to the operating system as soon as they become available for the device and after necessary testing as described in Section 5.10.4.1.	1	Agency	Agency	Agency
554				2. Are configured for local device authentication (see Section 5.13.7.1)	1	Agency	Agency	Agency
555				3. Use advanced authentication or CSO approved compensating controls as per Section 5.13.7.2.1.	1	Agency	Agency	Agency
556				4. Encrypt all CJI resident on the device.	1	Agency	Agency	Agency
557				5. Erase cached information, to include authenticators (see Section 5.6.2.1) in applications, when session is terminated.	1	Agency	Agency	Agency
558				6. Employ personal firewalls <b>on full-featured operating system devices</b> or run a Mobile Device Management (MDM) system that facilitates the ability to provide firewall services from the agency level.	1	Agency	Agency	Agency
559	7. Employ malicious code protection <b>on full-featured operating system devices</b> or run a MDM system that facilitates the ability to provide anti-malware services from the agency level.	1	Agency	Agency	Agency			

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
560	5.13.4.1	5.13.4.1	Patching/Updates	Agencies <b>shall</b> monitor mobile devices to ensure their patch and update state is current.	1	Agency	Agency	Agency
561	5.13.4.2	5.13.4.2	Malicious Code Protection	Agencies that allow smartphones and tablets to access CJI <b>shall</b> have a process to approve the use of specific software or applications on the devices.	1	Agency	Agency	Agency
562	5.13.4.3	5.13.4.3	Personal Firewall	A personal firewall <b>shall</b> be employed on all devices that have a full-feature operating system (i.e. laptops or tablets with Windows or Linux/Unix operating systems).	1	Agency	Agency	Agency
				At a minimum, the personal firewall <b>shall</b> perform the following activities:				
563				1. Manage program access to the Internet.	1	Agency	Agency	Agency
564				2. Block unsolicited requests to connect to the user device.	1	Agency	Agency	Agency
565				3. Filter Incoming traffic by IP address or protocol.	1	Agency	Agency	Agency
566				4. Filter Incoming traffic by destination ports.	1	Agency	Agency	Agency
567				5. Maintain an IP traffic log.	1	Agency	Agency	Agency
568	5.13.5	5.13.5	Incident Response	In addition to the requirements in Section 5.3 Incident Response, agencies <b>shall</b> develop additional or enhanced incident reporting and handling procedures to address mobile device operating scenarios.	1	Agency	Agency	Agency
				Special reporting procedures for mobile devices <b>shall</b> apply in any of the following situations:				
569				1. Loss of device control. For example:	1	Agency	Agency	Agency
				a. Device known to be locked, minimal duration of loss				
				b. Device lock state unknown, minimal duration of loss				
				c. Device lock state unknown, extended duration of loss				
				d. Device known to be unlocked, more than momentary duration of loss				
570				2. Total loss of device	1	Agency	Agency	Agency
571				3. Device compromise	1	Agency	Agency	Agency
572				4. Device loss or compromise outside the United States	1	Agency	Agency	Agency
573	5.13.6	5.13.6	Access Control	Access control (Section 5.5 Access Control) <b>shall</b> be accomplished by the application that accesses CJI.	1	Agency	Agency	Agency
574	5.13.7.1	5.13.7.1	Local Device Authentication	When mobile devices are authorized for use in accessing CJI, local device authentication <b>shall</b> be used to unlock the device for use.	1	Agency	Agency	Agency
575				The authenticator used <b>shall</b> meet the requirements in section 5.6.2.1 Standard Authenticators.	1	Agency	Agency	Agency
576	5.13.7.2	5.13.7.2	Advance Authentication	When accessing CJI from an authorized mobile device, advanced authentication <b>shall</b> be used by the authorized user <i>unless the access to CJI is indirect as described in Section 5.6.2.2.1 . If access is indirect, then AA is not required.</i>	1	Agency	Agency	Agency
577	5.13.7.2.1	5.13.7.2.1	Compensating Controls	Before CSOs consider approval of compensating controls, Mobile Device Management (MDM) <b>shall</b> be implemented per Section 5.13.2.	1	Agency	Agency	Agency
				The compensating controls <b>shall</b> :				
578				1. Meet the intent of the CJIS Security Policy AA requirement	1	Agency	Agency	Agency
579				2. Provide a similar level of protection or security as the original AA requirement	1	Agency	Agency	Agency
580				3. Not rely upon the existing requirements for AA as compensating controls	1	Agency	Agency	Agency
581				4. Expire upon the CSO approved date or when a compliant AA solution is implemented.	1	Agency	Agency	Agency

	Ver 5.8 Location and New Requirement	Ver 5.9 Location and New Requirement	Topic	Shall Statement	Requirement Priority Tier	Agency Responsibility by Cloud Model		
						IaaS	PaaS	SaaS
	5.13.7.2.1	5.13.7.2.1	Compensating Controls (continued)	The following minimum controls shall be implemented as a part of the CSO approved compensating controls:	1	Agency	Agency	Agency
582				Possession and registration of an agency-issued smartphone or tablet as an indication it is the authorized user	1	Agency	Agency	Agency
583				Use of device certificates as per Section 5.13.7.3 Device Certificates	1	Agency	Agency	Agency
584				Implemented CJIS Security Policy compliant standard authenticator protection on the secure location where CJI is stored	1	Agency	Agency	Agency
	5.13.7.3	5.13.7.3	Device Certificates	When certificates or cryptographic keys used to authenticate a mobile device are used in lieu of compensating controls for advanced authentication, they <b>shall</b> be:				
585				1. Protected against being extracted from the device	1	Agency	Agency	Agency
586				2. Configured for remote wipe on demand or self-deletion based on a number of unsuccessful login or access attempts	1	Agency	Agency	Agency
587				3. Configured to use a secure authenticator (i.e. password, PIN) to unlock the key for use	1	Agency	Agency	Agency