



JOINT COMMITTEE ON INFORMATION TECHNOLOGY

Kansas Highway Patrol – KCJIS Information Technology Security Audits December 8, 2016

The Kansas Highway Patrol appreciates the opportunity to provide information on the Kansas Criminal Justice Information System (KCJIS) Information Technology Security Audits (ITSA). The audits are conducted on Criminal Justice Agencies (CJAs) and Non-Criminal Justice Agencies (NCJAs) for compliance with Federal and State Policy as summarized below. This report was prepared and presented by Captain Justin Bramlett and CJIS Systems Agency Information Security Officer (CSA ISO) Don Cathey of the Kansas Highway Patrol.

Required by FBI

TITLE 28 **Code of Federal Regulations**; PART 20 **Criminal Justice Information Systems**

§20.2 Authority. These *regulations are issued pursuant to sections 501 and 524(b) of the Omnibus Crime Control and Safe Streets Act of 1968* ...

§20.36 Participation in the Interstate Identification Index System. (a) In order to acquire and retain direct access to the III System, ... shall execute a *CJIS User Agreement (or its functional equivalent) with ... the CJIS Division, FBI, to abide by all present rules, policies, and procedures of the NCIC, as well as any rules, policies, and procedures hereinafter recommended by the CJIS Advisory Policy Board and adopted by the FBI Director.*

§20.38 Sanction for noncompliance. *Access* to systems managed or maintained by the FBI is *subject to cancellation in regard to any agency or entity that fails to comply* with the provisions of subpart C of this part.

Criminal Justice Information Services (CJIS) Security Policy

The CJIS Security Policy integrates presidential directives, federal laws, FBI directives and the criminal justice community's APB decisions along with nationally recognized guidance from the National Institute of Standards and Technology.

5.11.2 Audits by the CSA (CJIS Systems Agency)

Each CSA shall:

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.

Kansas Highway Patrol is the CSA

- CJIS Systems Officer – Captain Bramlett
 - KCJIS Information Security Officer – Don Cathey
 - 3 Information Technology Security auditors

Required auditor qualifications (updated January 2016):

- High school diploma or equivalent
- Full access NCIC certification
- Complete FBI CJIS required security awareness training level 4
- General knowledge of networks
- Complete one technical training course from any of these areas:
 - Computer networks
 - Information Technology security
 - Vendor specific networking devices
 - Computer forensics
 - Ethical hacking
- Have effective working relationship with agency personnel
- Ability to understand and communicate technical security concepts to an audience with diverse levels of technical knowledge and understanding.

Information Technology Security Audits

- The audits are more of a continuance of awareness program than a technical exercise.
 - Our auditors do not do penetration testing, vulnerability scanning or review specific device configurations.
- Agencies are encouraged to complete a questionnaire modeled after the FBI's Technical Security Audits.
 - The focus of the audit is on policy compliance to protect Criminal Justice Information (CJI) as defined by FBI and Kansas policy.
 - Paper responses are input into **CJIS Audit** software for tracking and triennial scheduling assistance
 - CJIS Audit does provide a workflow process to communicate an Agency Policy compliance status. The agency responds to address out of compliance items and documents corrective actions.
- An onsite visit consists of:
 - Interview to complete Audit questionnaire
 - Auditors will verify:
 - Accuracy of any pre-audit questionnaire responses
 - Physical security
 - Anti-malware current and scanning
 - Existence of security appliances/devices claimed
- Kansas Highway Patrol CJIS Technical Security Audit Unit conducted 357 audits between 2014 through 2016.

For more information

<https://cjisaudit.khp.ks.gov/launchpad>

<https://www.fbi.gov/services/cjis/cjis-security-policy-resource-center/view>