GRAND JURY COURT REPORTER INSPECTION CHECKLIST

Rule 6(e) of the Federal Rules of Criminal Procedures
DOJ Instruction 1700.xxx.xx Safeguarding Grand Jury Information
Justice Manual 9-11.000 Grand Jury
USAPP 3-15.120.004 Safeguarding Grand Jury Information

DATE: _____ DISTRICT: _____

PRIMARY POINT OF CONTACT FOR INSPECTION

Position: _____ _____ email _____

POC Name: _____ Address: _____

City: _____ State: _____ Zip Code: _____ Desk Phone: _____

Country: _____ Cell Phone: _____

GRAND JURY COURT REPORTER FACILITY INFORMATION

Contractor Point of Contact: _____ Location of Facility: _____

Address of Facility: _____ City: _____

State: _____ Zip Code: _____ Country: _____

Desk Phone: _____ Cell Phone: _____ FAX: _____

email _____

GENERAL

1. Does the Contractor have a copy of: (if No, please provide a copy.)

Statement of Work	☐ Yes	☐ No
Rule 6(e)	☐ Yes	☐ No
USAPP 3-15.120.004	☐ Yes	☐ No

PERSONNEL SECURITY REQUIREMENTS

1. Have all grand jury court reporters undergone a background check? (Provide a list of all cleared court reporters.)	☐ Yes	☐ No
2. Are grand jury court reporters security approvals less than 5-years old?	☐ Yes	☐ No
3. Does the grand jury court reporter maintain a file, report, or system where security approvals/denials are kept and safeguarded?	☐ Yes	☐ No

INFORMATION SECURITY REQUIREMENTS

1. Is the grand jury information (notes, audio tapes, drafts, typewriter ribbons, computer tapes, etc) kept under constant observation?	☐ Yes	☐ No
2. Is grand jury information being covered, turned face down, placed in storage container, or otherwise protected when persons who should not have access are present?	☐ Yes	☐ No
3. Is grand jury information returned to storage containers, as soon as practical, after use?	☐ Yes	☐ No
4. Does the grand jury court reporter understand the policies and procedures for protecting grand jury information?	☐ Yes	☐ No
5. Are removable media containing grand jury information stored, at a minimum, in a lockable cabinet, with an alarm system protecting the area, which meets the 15-minute response? (GSA approved combination lock or GSA approved class 6 safe with a combination lock is preferred, when used outside of USAO space)	☐ Yes	☐ No

INFORMATION SECURITY REQUIREMENTS (CONTINUED)

6. Are all computers used to process grand jury information on a standalone system, without any connections to a network? ☐ Yes ☐ No
7. Have all grand jury court reporters been briefed and trained on the policies and procedures on safeguarding grand jury information? If yes, how are they briefed or trained? How? _____ ☐ Yes ☐ No
8. Has grand jury court reporters assured the USAO that no other transcription work is being performed on the equipment, unless the system is being sanitized immediately following USAO transcription work? ☐ Yes ☐ No
9. Does Grand Jury Court Reporter Facility have a shredder? (Check Shred size (.08 x .50 mm)) If No, how is paper waste destroyed? How? _____ ☐ Yes ☐ No

PHYSICAL SECURITY REQUIREMENTS

1. Where is Grand Jury material stored when not being used? _____
2. Who changes combinations on safes and locks? _____
3. How many doors are in the facility? _____
4. Is the door where the grand jury information is processed and stored lockable? ☐ Yes ☐ No
5. Are entrances and exits to the grand jury information storage area locked when not under observation or during non-working hours? ☐ Yes ☐ No
6. Can the contractor's facility meet the 15-minute response in case of fire/security alarm? (If not, please define alternate means of physical security to meet this requirment, i.e., 24-hour guard force, etc.) Alternate: _____ ☐ Yes ☐ No
7. Name of alarm service vendor? _____
8. Has the alarm system been tested in the last 12-months? ☐ Yes ☐ No

   Name of tester: _____ Date of last test? _____

9. Describe how grand jury information is protected when unauthorized individuals enter contractor facility.

10. Describe how grand jury materials are transferred between the Grand Jury Court Reporters Facility and the USAO?

11. What kind of Information Technology equipment is used by the Grand Jury Court Reporter?

12. What measures are set in place for Information Technology equipment that is not operational?

13. How many computers are used to process grand jury information? Are they shared by more than one grand jury court reporter? If so, how are the computers scrubbed?

PHYSICAL SECURITY REQUIREMENTS

14. What measures are being taken by the grand jury court reporter to ensure USAO materials are not mixed with non USAO material?

15. Describe End of Day Security check measure at the Grand Jury Court Reporter's Facility?

16. Is Grand Jury Court Reporter space shared with any other business? ☐ Yes ☐ No
If yes, how is work space designed to prevent compromised USAO Grand Jury Information?

Describe how:

17. Additional comments from Grand Jury Court Reporter Facility Inspection:

Signature

Name and Title of Inspector

FEDERAL GRAND JURY COURT REPORTER'S SECURITY REVIEW - COMMERCIAL FACILITY

DATE: _____ DISTRICT: _____

ADMINISTRATIVE INFORMATION

Name of Reviewer (printed): _____ eMail: _____

Date of Last Review: _____

SECTION A - CONTRACT INFORMATION

Date of the Contract: _____ Contract Number: _____

Option Year: _____ Period of Performance: _____ to _____

Contracting Officer: _____ eMail: _____

Name of Court Reporter Business/Firm/Company: _____

Address: _____ City: _____ State: _____

Zip Code: _____ Phone: _____

Name of Court Reporter (printed): _____ eMail: _____

Name of any sub-contractor including proofreading services (each requires a separate security review).

SECTION B - COURT REPORTERS

NAME (LAST, FIRST, MI)	BACKGROUND INVESTIGATION TYPE	DATE OF INVESTIGATION	DATE EOUSA APPROVED BI OR WAIVER	NATIONAL SECURITY CLEARANCE LEVEL (IF ANY)	DATE OF SIGNED CR SECURITY ACKNOWLEDGEMENT	DATE OF LATEST TRAINING ON GRAND JURY SECURITY	FORM OF LATEST TRAINING ON GRAND JURY SECURITY

SECTION C - FACILITY INFORMATION

1. Physical address of Grand Jury (GJ) material:

   a. Processed: _____
   (Room #, Floor, Street, City, State, Zip Code)

   b. Stored: _____
   (Room #, Floor, Street, City, State, Zip Code)

2. Facility Type? (choose only one) _____

3. Describe how you protect GJ material from other tenants, co-business, unauthorized employees, customers, or guests:

4. List the full name(s) of the facility or space owner(s):

First Name	Middle Initial	Last Name	Phone Number	eMail

5. List the full name(s) of who has a key, access code, and alarm code to the facility and to the GJ processing/storage space? (Specify to each)

KEY	ACCESS CODE	ALARM CODE

6. List the full name(s) of who has unsupervised and/or unrestricted access to the facility or space:

Full Name (First, MI, Last)	Title or Position

SECTION D - PROCESSING AND STORAGE LOCATION INFORMATION

1. Is the room(s) within the facility or space where GJ material is processed and stored equipped with a lockable door? ☐ YES ☐ NO

SECTION D - PROCESSING AND STORAGE LOCATION INFORMATION

2. Is the room(s) within the facility or space dedicated solely to the processing and/or storage of Grand Jury Information (GJI)? ☐ YES ☐ NO

3. If the room(s) within the facility or space is not solely used for processing and/or storing GJI, what is the room or are the rooms used for? Describe in sufficient detail.

4. Describe the type of lock and access control procedures:

5. List the full name(s) of who has the key(s) or combination(s) to any door locks and/or alarm codes used to provide access to GJ material:

KEY	COMBINATION	ALARM CODE

6. Is there an externally monitored intrusion detection system (IDS) installed for the room(s) where GJ material is processed and stored? ☐ YES ☐ NO

7. Is the IDS connected to a monitoring station? ☐ YES ☐ NO
(Attach a copy of the IDS activity log covering the last quarter, previous 3 months, or since the contract was awarded if less than 3 months.)

8. Describe the normal alarm/disarm process:

9. List the brand of alarm: _____

10. Is the IDS Key Pad within the room and covered by an alarm sensor? ☐ YES ☐ NO

11. How many alarm sensors are in the room? (choose all that apply) _____

☐ Passive Infrared ☐ Microwave ☐ Ultrasonic

☐ Glass Break ☐ Vibration ☐ Acoustic

12. List the name of the alarm monitoring service: _____

13. What was the date of the last actual alarm or system test to ensure the alarm is working properly? _____

SECTION E - INFORMATION SECURITY AND INFORMATION TECHNOLOGY

1. Are Grand Jury notes, drafts, final documents, transcripts, all processing storage media, printed materials, etc., containing GJI stored inside a locked General Services Administration (GSA) approved safe or equivalent? What is the make, model, and serial number of safe?

MAKE	MODEL	SERIAL NUMBER

2. Are combinations to approved safes or locks on approved storage containers security GJI changed at least annually, when a person who has knowledge of the combination leaves, or when a combination is or may have been compromised? (List date of the last two changes) ☐ YES ☐ NO

   1. Provide date previous changed: _____

   2. Provide date last changed: _____

3. Are devices and removable media clearly marked or labeled as containing GJI? ☐ YES ☐ NO

4. Describe the exact computer device and any external devices used for preparing and processing GJI? (List brand or make, model, serial number, and any activated wireless capabilities.)

BRAND OR MAKE	MODEL	SERIAL NUMBER	ACTIVATED WIRELESS CAPABILITY

5. List the full name(s) of all users of the device(s) used for GJ:

Full Name (First, MI, Last)	Title or Position	Role

5a. If more than one person uses the device, is the system sanitized between users and how is this accomplished?

5b. Who has administrative control over the device and system settings? _____

5c. Who can access the memory? _____

SECTION E - INFORMATION SECURITY AND INFORMATION TECHNOLOGY

6. Describe how Grand Jury transcripts are proofread by the business or company

6a. List any external or partner company and individual by full name(s)?

External or Partner Company Name(s)	Full Names (First, MI, Last)

7. Describe how GJ materials (including notes, draft, finals in either paper or electronic format) are destroyed or disposed:

8. List the full name(s) of who destroyes or disposes of the GJ materials not returned to the USAO:

9. Describe how GJ material is coordinated with and shipped to the USAO:

10. Describe in detail how GJ material is transmitted and/or transported:

11. Describe how GJ materials being sent to the USAO are packaged:

12. List the full name(s) of anyone who physically transports GJ materials:

GOVERNMENT REVIEW

I certify that I have reviewed the facility and their processes are required. The results of the review are contained in this completed in this completed document. (select one):

- ☐ No security concerns were identified during my review. Currently, the contractor as well as any sub-contractor(s) sufficiently satisfy the security requirements stipulated in the contract or purchase order.
- ☐ Security concerns have been identified and have been referred to appropriate DOJ authority for waiver consideration and/or the Contractor for remedy and/or resolution. (*subject to verification*)
- ☐ Security concerns identified during the review have already been resolved to my satisfaction. No further action is currently needed by DOJ or the contractor (including any sub-contractor(s).

Additional comments or observations ☐ are or ☐ are not attached

Comment(s):

Name of Government Reviewer (printed)

Signature Field

Title of Government Reviewer

Telephone Number

Date

GRAND JURY COURT REPORTER FACILITY/EQUIPMENT INSPECTION CHECKLIST

DATE: _____ DISTRICT: _____

COURT REPORTER INFORMATION

Name of Court Reporter: _____ email _____

Address: _____ City: _____ State: _____

Zip Code: _____ Desk Phone: _____ Cell Phone: _____

COURT REPORTER FIRM/COMPANY INFORMATION

Name of Firm/Company: _____ Firm/Company POC: _____

Location of Facility: _____ Address of Facility: _____

City: _____ State: _____ Zip Code: _____

Desk Phone: _____ Cell Phone: _____ FAX: _____

email _____

PROCESSING, STORAGE, TRANSCRIBTION, AND TRANSMISSION

Is the Court Recorder/Reporter responsible for transcribing the Grand Jury (GJ) proceedings? ☐ YES ☐ NO

If "NO". What company is responsible for storing and transcribing the proceedings?

How is the GJ information transmitted to the company?

Is a backup created after the GJ is copied into a DVD/CD? ☐ YES ☐ NO

Where is the backup stored?

Provide the physical address where Grand Jury (GJ) material/information will be stored or processed immediately after GJ session.

AUTOMATED DATA PROCESSING (ADP) & AUDIO RECORDING EQUIPMENT

Is ADP equipment used in a dedicated, stand-alone, single user mode and strictly used in processing Grand Jury information? ☐ YES ☐ NO

Make: _____ Model: _____ Equipment Type: _____

Serial Number: _____ Other: _____

If "NO". Please explain:

AUTOMATED DATA PROCESSING (ADP) & AUDIO RECORDING EQUIPMENT (continued)

If No. Is the system sanitized immediately following USAO transcription work? ☐ YES ☐ NO

Please identify the method and software used to sanitize the equipment?

Who has access (LOGIN) to ADP equipment?

Where is the ADP and associated recording devices stored when not is use?

List all peripherals or devices used to capture, record, or process Grand Jury Session (examples: thumb drives, audio recording devices, SD cards, etc.):

PERIPHERALS OR DEVICE	MAKE	MODEL	SERIAL NUMBER	QUANTITY

Is the ADP equipment configured with removable hard drive? ☐ YES ☐ NO

If "NO". Please explain:

Are removable hard drive(s), thumb drives, SD cards or CD/DVDs stored in an approved security container after normal working hours or when the equipment is not in use? ☐ YES ☐ NO

If "NO". Please explain:

Are removable hard drive(s), thumb drives, SD cards or CD/DVDs labeled with "Limited Official Use or Grand Jury Information"? ☐ YES ☐ NO

If "NO". Please explain:

SHIPPING OR TRANSMISSION OF GRAND JURY MATERIAL

How are transcribed Grand Jury material shipped or transmitted to USAO?

Please explain:

Has the Court Reporter signed the Security Briefing and Acknowledgement letter? ☐ YES ☐ NO

If "NO". Please explain:

REMARKS OR COMMENTS (NOTES)

CERTIFICATION

I hereby certify all GJI and any equipment, as outlined above and in the contract, is accurate.

Contractor Name (printed) | Signature | Date

Inspection conducted by:

Name (printed) | Signature

(USAO personnel such as GJ Coordinator/DOSM/IT System Manager)

FEDERAL GRAND JURY COURT REPORTER CONTRACT SECURITY INSPECTION CHECKLIST

ACQUISITION INSTRUCTION (AI - 10)

DATE: _____ DISTRICT: _____

SECURITY CLAUSE PARAGRAPH	ESSENTIAL SECURITY REQUIREMENTS		
1d	**APPROVED PERSONNEL.** A list of the Contractor's employees, including any sub-contractors, has been provided to the Government and maintained by the Contractor listing who will have physical access to GJ approved devices, data, and information.	☐ Compliant	☐ Non-compliant
1f	**SUB-CONTRACTORS.** The Contractor has ensured that any sub-contractors, including proofreading services, comply with the security requirements of the contract and have been approved by the Government.	☐ Compliant	☐ Non-compliant
2d	**BACKGROUND INVESTIGATION.** All persons performing work under the contract have complied with and been the subject of a favorably adjudicated background investigation by the Government.	☐ Compliant	☐ Non-compliant
3a	**APPROVED ROOM.** The room where GJ material is processed and stored has been approved by the Government.	☐ Compliant	☐ Non-compliant
3c	**PROTECTING INFORMATION.** GJ material is protected against unauthorized disclosure and viewing by other tenants, co-business, unauthorized employees, customers, family, friends, etc.	☐ Compliant	☐ Non-compliant
3d	**APPROVED DOOR AND LOCK.** The door (or doors) to the room were GJ material will be processed and stored is equipped with a lock approved by the Government.	☐ Compliant	☐ Non-compliant
3d	**RESTRICTING ACCESS.** The Contractor ensures that no one is allowed unsupervised and/or unrestricted access to the space where the GJ material is stored unless approved by the Government.	☐ Compliant	☐ Non-compliant
3d 3f	**KEYS AND ACCESS CODES.** Any and all key(s) or access code(s) and alarm code(s) to the location where GJ material is processed or stored is limited to individuals specifically identified and approved by the Government.	☐ Compliant	☐ Non-compliant
3f	**ALARM MONITORING.** The room approved by the Government for storage of GJ material is alarmed and externally monitored by a professional security service approved by the Government.	☐ Compliant	☐ Non-compliant

SECURITY CLAUSE PARAGRAPH	ESSENTIAL SECURITY REQUIREMENTS		
3f	**ALARM ACTIVITY REPORTS.** Alarm activity reports are provided to the Government quarterly (3 consecutive months since time of award) reflecting monitoring service and activity.	☐ Compliant	☐ Non-compliant
3f	**ALARM ACTIVATION/DEACTIVATION.** The alarm is activated and deactivated consistently and as required by the Government.	☐ Compliant	☐ Non-compliant
3f	**ALARM TEST.** The alarm system is tested at least once per year to ensure it is functioning properly and the desired response occurs.	☐ Compliant	☐ Non-compliant
3g	**STORAGE CONTAINER.** GJ material including notes, drafts, final documents, storage media, etc., are stored inside a USAO-approved storage container.	☐ Compliant	☐ Non-compliant
3g	**STORAGE CONTAINER COMBATIONS.** Safe combinations to approved storage containers securing GJ material are changed at least annually, when a person who has knowledge of the combination leaves, or when a combination is or may have been compromised.	☐ Compliant	☐ Non-compliant
4	**APPROVED COMPUTERS.** Administrative controls over all devices and settings is restricted and approved by the Government.	☐ Compliant	☐ Non-compliant
4a	**MARKING DEVICES AND MEDIA.** All devices and removable media used for GJ are approved for use by the Government and clearly marked (or labeled) as containing GJ material.	☐ Compliant	☐ Non-compliant
4c	**SHARING COMPUTERS/STORAGE MEDIA.** All shared information technology and storage media is deleted before the device or media is shared unless approved by the Government.	☐ Compliant	☐ Non-compliant
5	**DESTROYING MATERIAL.** The Contractor ensures that all GJ materials (include notes, draft, finals in either paper or electronic format) are destroyed or disposed of in a manner approved by the Government.	☐ Compliant	☐ Non-compliant
7b - d	**PACKAGING/TRANSPORTING/SHIPPING MATERIALS.** The Contractor ensures that all GJ materials are properly packaged, marked, transported, coordinated with, and couriered or shipped to the Government as prescribed in the Contract.	☐ Compliant	☐ Non-compliant
9c	**ESSENTIAL SECURITY INFORMATION.** The Contractor provides and updates the list of essential security information.	☐ Compliant	☐ Non-compliant
10a	**REPORTING INCIDENTS.** The Contractor is prepared to report any incident or situation which places the GJ information at risk.	☐ Compliant	☐ Non-compliant

ADDITIONAL COMMENTS/OBSERVATIONS/CONCERNS

GOVERNMENT REVIEW

I certify that I have reviewed the facility and their processes are required. The results of the review are contained in this completed in this completed document. (select only one):

- ☐ No security concerns were identified during my review. The contractor as well as any sub-contractor(s) sufficiently maintains the security requirements outlined in the contract.
- ☐ Security concerns were identified during the review but were sufficiently resolved by the contractor. No further action is currently needed.
- ☐ Security concerns have been identified and referred to the Contracting Officer for remedy and/or resolution. (*Remedies and resolutions are subject to verification by the Government.*)

Additional comments or observations ☐ are or ☐ are not attached

Comment(s):

Name of Government Reviewer (printed)

Date

Signature Field

Title of Government Reviewer

Telephone Number

GRAND JURY COURT REPORTER SECURITY BRIEFING AND ACKNOWLEDGMENT

DATE: _____ DISTRICT: _____

Grand jury court reporter personnel are required to be briefed and trained on Rule 6(e)(2) and grand jury information handling and safeguarding annually. This form will be retained by the Grand Jury Program Manager as part of the official file in accordance with USAPP 3-15.120.004.

ADMINISTRATIVE INFORMATION

☐ Court Reporter ☐ Translator or Interpreter

Full Name (including aliases): _____ Address: _____

City: _____ State: _____ Zip Code: _____ Cell Phone: _____

Country: _____

PERSONAL RESPONSIBILITIES

☐ Report, to USAO, unauthorized entries (or attempts), unauthorized disclosures (or attempts to gain information), changes in company ownership or changes in address or location.

☐ Report any irregularities associated with your duties or activities to the case's lead Assistant United States Attorney. This includes but is not limited to the possible unauthorized, accidental, or inadvertent disclosure of GRAND JURY information, the unauthorized review or sharing of GRAND JURY information, equipment issues associated with processing GRAND JURY information, loss of storage media containing GRAND JURY information, etc.

☐ Review and comply with Rule 6(e)(2)(B)(iii) of the Federal Rules of Criminal Procedure that specifically imposes an obligation of secrecy on court reporters, transcribers, interpreters and translators.

☐ Review and comply with GRAND JURY contract security requirements.

☐ Review and sign the Federal GRAND JURY information Non-Disclosure Agreement. The purpose for this Agreement is to reinforce the special trust and responsibilities associated with access to the highly sensitive and special category of unclassified but controlled information. The standards established by *Rule 6(e) of the Federal Rules of Criminal Procedures* form the entire basis for this Agreement.

SAFEGUARDING RESPONSIBILITIES

☐ Do not divulge, sell, or distribute GRAND JURY material except as authorized by presiding court official;

☐ Protect GRAND JURY material from unauthorized disclosure;

☐ GRAND JURY material must be maintained and worked on in an area equipped with an intrusion detection device (see security requirements) and,

☐ Kept in locked security container when not in use;

☐ Kept covered, turn face down, placed in storage containers, or otherwise protected when unauthorized persons are present;

☐ Use dedicated, stand alone office automation (desktop or laptop computer) equipment.

DISPOSAL RESPONSIBILITIES

☐ Return original documents, electronic media (tapes, thumb drives, etc.) to the USAO for disposal.

☐ May shred, burn or pulp (destroy beyond recognition) working papers and copies. (If shred, must meet the Level 6, P-7 High Security Shredder size of 0.8 x 5.0 mm.)

ACKNOWLEDGMENT OF BRIEFING

☐ Review Rule 6(e), Federal Rules of Criminal Procedure

☐ Security Approval and background investigation/checks, must be renewed every five years.

☐ The USAO will conduct an annual inspection of Grand Jury Court Reporter facility to review physical, personnel, computer, and storage elements to ensure compliance with security requirements.

_____ _____

USAO Official (Name and Title) Grand Jury Court Reporter (Name and Title)

_____ _____ _____

Signature Signature Date