

## Tribal Access Program: National Data Exchange (N-DEx) Audit Checklist

The N-DEx audit's purpose is to ensure information is being queried in compliance with policies and procedures and queries are conducted only by authorized personnel. Additionally, the audit ensures that N-DEx information is used in compliance with policies and procedures.

Applicable agencies: Law Enforcement, Courts, Prosecuting Attorneys, and Probation/Parole, Corrections

### System Administration: Persons Responsible for Administration of Systems

- ☐ Ensure each agency has a designated N-DEx Agency Coordinator (NAC)
- ☐ Ensure the N-DEx Agency Coordinator (NAC) Addendum is completed by the Terminal Agency Coordinator or designated NAC
- ☐ Ensure N-DEx data is only accessed by authorized agency personnel for authorized purposes from an established list of users (N-DEx can only be used by criminal justice agencies)
- ☐ Ensure N-DEx access is limited to only agency personnel who are performing duties involving the administration of criminal justice
- ☐ Ensure there is no instances of system misuse. If misuse is discovered, each agency must ensure appropriate follow-up to address internally and report misuse to DOJ
- ☐ Ensure N-DEx users (including contractors) meet the minimum screening requirements for access to CJJ
  - CJIS Security Awareness Training (CSAT)
  - Fingerprint based background check every 5 years
  - Security documentation signed by users

### System Administration: Training

- ☐ Encourage all N-DEx users to complete the computer-based training modules available through N-DEx
- ☐ Ensure basic CJIS Security Awareness Training (CSAT) is completed before access is granted and biennially thereafter for all personnel who have access to CJJ

### System Usage: Purpose for Which Agency Accesses N-DEx

- ☐ Ensure N-DEx is used for authorized criminal justice purposes only

### System Usage: Queries

- ☐ Ensure users provide a search reason for every N-DEx transaction
  - The search reason shall include information, (such as, but not limited to, incident number, arrest transaction number, booking number, project name, routine activity description, and if applicable the individual recipient/agency the search was made "on behalf of", etc.), to assist the user in accounting for appropriate system use for each transaction.
- ☐ Ensure the correct purpose code is used for N-DEx transactions
  - "A" for administrative file maintenance (for record-owning agencies only)
  - "C" for criminal justice investigations
  - "J" for criminal justice employment searches

### System Usage: Logging- Approval from Record Owning Agency Prior to Information Use

- ☐ Ensure advance permission is obtained from the record-owning agency prior to using N-DEx information in a case
- ☐ Ensure the agency has a procedure for requesting permission from the record-owning agency
- ☐ Ensure the agency verifies completeness, timeliness, accuracy and relevancy with the record-owning agency prior to using N-DEx information in a case
- ☐ Ensure the agency has documented procedures for advanced permission, verification, and data provision

Additional resources are located at: [www.justice.gov/tribal/onboarding-and-vetting/](http://www.justice.gov/tribal/onboarding-and-vetting/)