TRIBAL ACCESS PROGRAM

TAP

FOR NATIONAL CRIME INFORMATION
ENSURING THE EXCHANGE OF CRITICAL DATA

National Data Exchange (N-DEx)
Audit Overview
for TAP Agencies

- The N-DEx audit's purpose is to ensure:
    - Information is being queried in compliance with policies and procedures
    - Queries are conducted by authorized personnel
    - The information is used in compliance with policies and procedures

- Audit Requirement:
    - Continues as long as the agency has access
    - Occurs at least once in every three year audit cycle

- Tribe's Point-Of-Contact (POC), each criminal justice agency Terminal Agency Coordinator (TAC), N-DEx Agency Coordinator (NAC), and IT POC
    - are necessary to assist in the audit process
    - Individual users may be requested to participate as needed

- DOJ will walk agency through audit process by providing training and answer DOJ specific questions

What does the N-DEx Audit Cover?

- N-DEx audit covers four areas:

    - System Administration
    - System Usage
    - Training
    - Logging

N-DEx Audit: System Administration

- Focus on agency **personnel who are responsible for administration of the systems** that access N-DEx

- Covered areas include:

    - N-DEx Agency Coordinator who ensures:

        - No unauthorized access

        - Necessary security documentation is signed by users

        - Users meet minimum screening requirements for access to CJI

- Does agency have a designated N-DEx Agency Coordinator?

- Is N-DEx access restricted to agency personnel who are performing the duties of administration of criminal justice?

- Does agency employ contractors with access to N-DEx?

- Does agency ensure that minimum screening requirements are met for individuals accessing CJI, including contractors?

N-DEx Audit: System Usage

- Focus on agency's **proper usage** of N-DEx

- Covered area:

    - Purposes for which agency accesses N-DEx

- Does agency ensure that N-DEx is used for authorized purposes only?

- Are users required to provide a search reason for every N-DEx transaction?

- Are there specific requirements/direction for what must be entered into the "reason" field for every N-DEx transaction?

- Is advance permission obtained from the record-owning agency prior to using N-DEx information?

- Does agency verify completeness, timeliness, accuracy and relevancy with the record-owning agency prior to using N-DEx information?

- Focus on agency **training of personnel who are responsible for using the systems** that access N-DEx

- Covered areas include:

  - N-DEx modules

  - Security awareness training and records

- Does agency encourage all N-DEx users to complete the computer-based training modules available through N-DEx?

- Does agency ensure that basic security awareness training is completed before access is granted and biennially thereafter for all personnel who have access to CJI?

N-DEx Audit: Logging and Logging Question

- Focus on agency's **authorization requests and concurrence from the other agency to use information** obtained through N-DEx

- Question

  - As a user agency, are advanced permission, verification, and data provision procedures logged or documented within the agency? If yes, provide how this is accomplished.

- Improper use of Purpose Codes

- No search reason provided

N-DEx Best Practices

- **Searching in N-DEx**

  - DO remember to use the proper purpose code

  - DO use a specific search reason and enter specific information (i.e. case number) to complete your investigative reason for the search

  - DO NOT search yourself, family, neighbors, or otherwise make unofficial searches of the system

- **N-DEx System Information Usage**

  - DO feel free to discuss information found in N-DEx informally among staff assigned to the same case, investigation, etc.; it should only be discussed with staff who have authorized access and on a need to know basis

  - DO NOT use (make part of an official file or act upon) the information found within N-DEx without the permission of the record owner

  - DO NOT use (make part of an official file or act upon) the information found within N-DEx without verifying the completeness, timeliness, accuracy, and relevancy with the record owner

N-DEx Audit Resources

- ## DOJ JCIS Training and Learning Center
  https://nextest.just.jmd.usdoj.gov/cjin/index.php

  - ### National Data Exchange (N-DEx)

    - N-DEx for Law Enforcement

    - N-DEx General User's Guide

    - N-DEx Policy & Operating Manual

    - N-DEx Training Modules

DOJ TAP - CJIS Audit Support

- TAP team support and engagement continues beyond today's training:

  - Contact your Tribe's assigned Business Relationship Manager and cc: tribalaccess@usdoj.gov

  - Please place your Tribe's Name in the subject line of the email

- TAP team will continue to host additional audit webinars

  - IT

  - NICS

  - NSOR

  - NCIC

  - NIS (civil fingerprint)

Resources

- Training and reference materials can be found in the JCIS Training and Learning Portal

  - https://nextest.just.jmd.usdoj.gov/cjin/index.php

- Contact your Tribe's assigned Business Relationship Manager (BRM) by email with questions

  - Cc: tribalaccess@usdoj.gov

  - Please include your Tribe's name in the subject line of the email

- Technical questions and inquiries should be sent to the Idemia Help Desk
  - For urgent requests, please call 800-734-6241
  - Routine requests can be sent by email to CSCenter@idemia.com
    - Cc: tribalaccess@usdoj.gov
    - Please include your Tribe's Name in the subject line of the email