TAP TRIBAL ACCESS PROGRAM

FOR NATIONAL CRIME INFORMATION
ENSURING THE EXCHANGE OF CRITICAL DATA

National Crime Information Center (NCIC) Audit Overview for TAP Agencies

Department of Justice
Office of the Chief Information Officer
Office of Tribal Justice

Webinar Presenter:

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Webinar Housekeeping

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- **Attendance**
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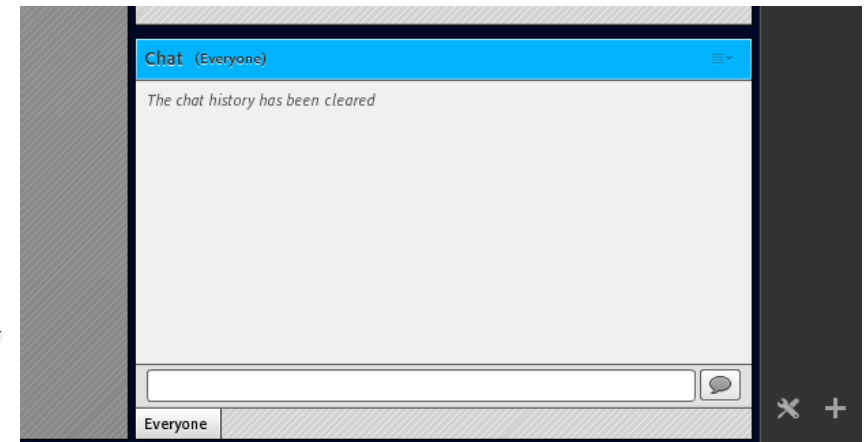
- **Questions**
  - Questions may be typed in the Chat window or verbally asked during the question and answer period of the webinar

- The NCIC audit's purpose is to ensure:

  - The integrity and reliability of data maintained in NCIC

  - Compliance with NCIC 2000 Operating Manual, CJIS Security Policy, Advisory Policy Board (APB) Bylaws, and applicable federal laws

- Audit requirements:

  - Continues as long as the Agency has access
  - Occurs at least once in every three year audit cycle

- Personnel needed:

  - Tribe's Point of Contact (POC)
  - Agency Terminal Agency Coordinator (TAC)
  - Information Technology POC
  - Individual users may be requested to participate as needed

- DOJ will walk Agency through audit process by providing training and answering DOJ specific questions

What does the NCIC Audit Cover?

- NCIC audit covers the following areas:

  1. System Integrity
  2. Security/Training
  3. NCIC/Interstate Identification Index (III)/Criminal History Record Information (CHRI)
  4. Record Integrity
  5. Record Validations
  6. Hit Confirmations
  7. Areas of Special Interest

     A. Wanted Person File

     B. Missing Person File

     C. Protection Order File

     D. Public Housing Authority Checks

NCIC Audit Area 1: System Integrity

- Focus on the **maintenance of criminal justice information systems**

- Covered Areas:

  - Performing services for other agencies

  - Use of correct ORI

  - Information Exchange Agreements

- Does your Agency perform inquiries for any other Agencies?

  - List the Agency names and ORIs in the space provided

  - What ORI is used for the inquiries?

- Does your Agency perform entries for any other Agencies?

  - List the Agency names and ORIs

  - What ORI is used for the entries?

- Does your Agency have a servicing agreement (i.e., Information Exchange Agreement) in place between your Agency and the serviced Agency?

NCIC Audit Area 2: Security/Training

- Focus on ensuring the Agency protects against **unauthorized access** and users **complete all training requirements** Covered areas:

    - Maintenance of training records

    - Minimum screening requirements

        - Fingerprint-based record check within the past 5 years

        - CJIS Security and Awareness Training (SAT)

        - NCIC Certification

    - Completion of CJIS SAT and NCIC training requirements initially and biennially thereafter

- Does your Agency ensure users meet the minimum screening requirements prior to being granted access to Criminal Justice Information (CJI)?

- Does your Agency conduct record checks of all users with access to CJI every five years?

- Does your Agency ensure all users have completed the required CJIS Security Awareness Training and Certification prior to being granted access to CJI, and biennially thereafter?

- Does your Agency ensure that all users have completed the required NCIC Training and Certification prior to being granted access to NCIC, and biennially thereafter?

- Are records maintained for all training? Who maintains the records?

- Focus on proper **purpose code use** and **dissemination and storage of criminal justice information**

- Covered areas include:

  - Use of proper Purpose Codes

  - Secondary dissemination

  - Policies outlining the proper procedures for the access, use, and dissemination of NCIC/III/CHRI

  - Local storage of CHRI

- What Purpose Code is used for the following types of inquiries:

  - Criminal justice investigation

  - Criminal justice employment

  - Firearm related investigations

  - Disposition of firearms (after case has concluded)

- Does your Agency disseminate NCIC/III information to other agencies? (secondary dissemination)

- Does your Agency log the secondary dissemination?

- Does your Agency have a written policy outlining the proper procedures for the access, use, and dissemination of NCIC/III/CHRI?

NCIC Audit Area 4: Record Integrity

- Focuses on the **accuracy, timeliness, and completeness** of records entered in NCIC

- Covered areas include:

  - **Accuracy** – Ensures that key searchable fields and other significant fields are accurate

  - **Timely Entry** - Must be entered immediately, not to exceed 3 days upon receipt of the document

  - **Completeness** - Complete records include all critical information that was available on the person or property at the time of entry

- Are records entered, modified, and removed in NCIC in a timely manner (within 3 days of receipt of the document)?

- Does your Agency ensure the appropriate supporting documentation is maintained in the case file prior to entry of records in NCIC (i.e., warrant, missing person report, order of protection)?

- When available, does your Agency enter caution information in the Caution and Medical Condition (CMC) Field for NCIC records? If your Agency uses "CMC/Other (explain in MIS Field)", is the reason for caution entered in the MIS Field?

- Does your Agency perform second-party checks on records entered in NCIC? Is there ever an instance when the person who entered the record is the same person that conducted the second-party check?

- Does your Agency have a written policy outlining the proper procedures for entering and maintaining accurate, complete and up-to-date records?

NCIC Audit Area 5: Record Validation

- Focus on ensuring the **record is valid, accurate, and complete**

- Covered areas include:

  - Procedures for validating records

    - Initial Validation

    - Annual Validation

  - Supporting documentation for entry and modification

- Who completes the monthly record validations?

- How does your Agency document the completion of validation of each record?

- Has your Agency developed formalized procedures for "how to validate" records?

- What are your Agency's procedures during the initial validation period (60-90 days after the date of entry)?

  - Does your Agency consult with the appropriate source and review the entry and current supporting documentation?

  - What are your Agency's procedures during the subsequent validation (yearly) cycles? Does your Agency consult with the appropriate source and review the entry and current supporting documentation?

- If your Agency enters records for other Agencies, how are the validations performed for serviced Agencies?

NCIC Audit Area 6: Hit Confirmations

- Focus on the requirements for an Agency to have a policy and procedure in place to provide **24x7 hit confirmation responses** on certain types of entries (wanted person, certain property files, missing persons, protection order and unidentified persons)

- Covered areas include:

  - Methods of meeting 24x7 hit confirmation requirement

  - Routine vs emergency hit confirmations

  - Hit confirmation process

- How does your Agency ensure hit confirmations are monitored 24/7?

  - If another Agency provides hit confirmation services, is there a signed written agreement delineating hit confirmation procedures between the two agencies?

- Does your Agency respond to hit confirmation requests within the designated timeframe?

- As the entering Agency, what is your process for hit confirmation?

- Does your Agency place a locate message on the corresponding record after confirming the hit?

  - If your Agency places a locate message on the corresponding record, is the appropriate code used in the Extradition Field (i.e., EXTR, NOEX, DETN)?

- Does your Agency keep hard copies of all hit confirmations on file?

- If your Agency enters records for other Agencies, what is the hit confirmation procedure for serviced Agencies?

NCIC Audit Area 7A: Wanted Person File

- Focus on the **record integrity of the wanted person file**

- Covered areas:

  - Extradition Procedures

- What types of warrants does the Agency enter into NCIC?

- After extradition limitations are determined, does the Agency use the appropriate EXL (Extradition Limitations) Field Code, as well as the corresponding details in the MIS (Miscellaneous) Field of the NCIC record?

- When does the Agency use the EXL Field Code E (Extradition Arrangements Pending)?

- When a subject is apprehended by another Agency and the entering Agency decides not to extradite, does the entering Agency modify the NCIC record to include the new extradition limitations?

NCIC Audit Area 7B: Missing Person File

- Focus on the **record integrity of the missing person file**

- Covered areas:

  - Entry and removal of the missing person record

  - Policies for updating records

- Does your Agency enter Missing Person records?

- Does your Agency enter records for missing persons under the age of 21 within 2 hours of receipt of the minimum, mandatory information?

- Does the Agency use the appropriate MKE (disability, endangered, involuntary, juvenile, catastrophe victim, or other) category when entering a missing person record?

- Has the Agency established any policy that requires the removal of a missing person record based solely on the age of the person?

- Does the Agency verify and update missing person records with any additional information (medical, dental, BLT (blood type), DCH (dental characteristics), etc.) within 60 days of entry?

Focus on the **record integrity of the protection order file**

- Covered Areas:

    - Entry and Removal

    - Protection order types

- Does your Agency enter Protection Order records?

- If a respondent has not been served (i.e., provided with reasonable notice and opportunity to be heard), what MKE is used to enter a Protection Order File record in NCIC – ETO (temporary) or EPO (permanent)?

- Does your Agency clear and/or cancel to remove a record from NCIC that has been entered erroneously, has been expunged, or is invalid?

- If a protection order has been canceled, how is the record removed from NCIC?

- Focus on Agency's process for **requesting III information for public housing agencies**

- Covered areas:

    - Type of III transaction

    - Purpose Codes

- Does your Agency request III information for Public Housing Agencies (PHA) for the purpose of applicant screening, lease enforcement, or eviction processes?

- Does your Agency use the "QH" transaction to retrieve the III information?

- Does your Agency use Purpose Code H for PHA transactions?

- What response is communicated to the PHA?

- Does the PHA receive a hard copy of the III?

Typical NCIC Audit Findings

- **Incorrect Purpose Code**
  - III – Purpose Code misuse
  - III – Attention Field misuse
- **Record Validations not completed in timely manner and/or not completing all the required steps (e.g. confirming outstanding warrants)**
- **Data Quality – records are invalid, inaccurate, incomplete**
- **Second Party Validation not completed**

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

DOJ TAP - CJIS Audit Support

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

- Contact the Tribe's assigned Business Relationship Manager and cc: tribalaccess@usdoj.gov; please include the Tribe's name in the subject line of the email

- TAP team will host topic-specific audit webinars

  - Information Technology (IT)

  - National Sex Offender Registry (NSOR)

  - National Instant Background Check System (NICS)

  - National Data Exchange (N-DEx)

  - Next Generation Identification (NGI)