

## Tribal Access Program: National Sex Offender Registry (NSOR) Audit Checklist

National Sex Offender Registry (NSOR) Audit ensures record integrity and maintenance of sex offender entries, training and certification of users, and proper Interstate Identification Index (III) and Criminal Justice Information (CJI) storage/disposal. It is important to develop policies and procedures for various scenarios (deported, deceased, absconded, pardoned; based on the Tribe's jurisdiction's policy).

### NSOR File Entry

- ☐ Ensure that all sex offenders required to register with the tribal jurisdiction, including those that live, work, or attend school in the tribal jurisdiction are entered into the NSOR file.
- ☐ Ensure that the Tribal Nation Code is used for NSOR Address STA Code for sex offenders that live within the tribal jurisdiction
- ☐ Ensure that non-sex offenders are **not** entered into NSOR (arson/violent felon offenders)
- ☐ Ensure that any sex offenders that have moved internationally are entered into NSOR using the 2-digit country code in the STA field which are found in the NCIC Code Manual

### NSOR Record Integrity and Maintenance

**Accuracy** – Ensure that key searchable fields and other significant fields are accurate. Key searchable fields are fields that can later be used to search and find a record. These include Name, Sex, DOB, FBI #, SID #, SSN and other fields. Significant fields are fields like height and eye color which cannot be searched on but can be used to further identify a person in a hit list.

- ☐ Ensure each agency performs second-party checks on records entered in the NSOR file by completing a Sex Offender query (QXS) and reviewing the results with the information maintained in the source documentation/case file. Second party checks cannot be completed by the same person who submitted the entry and must be performed after the record has been submitted to NSOR.
- ☐ Ensure each agency has a written policy outlining the proper procedures for entering and maintaining valid, accurate, complete and up-to-date records
- ☐ Ensure NSOR entries match the TTSORS or Offender Watch registry entries

**Timely Entry** - Must be entered immediately, not to exceed 3 days upon receipt of all the information needed for minimum mandatory fields

- ☐ Ensure records are entered, modified, and removed in the NSOR file in a timely manner

**Completeness** - Complete records include all information that was available at the time of entry

- ☐ Ensure the appropriate supporting documentation is maintained in the case file or electronic registry systems, such as TTSORS, prior to entry of records in NSOR
- ☐ Ensure the record contains ALL information that is currently available. This may mean running other NCIC or NLETS queries such as a QH to capture Aliases, Alternate SSNs, FBI # or SID#, Scars/Marks/Tattoos and other relevant information about the offender.
- ☐ Recommended that each agency has SORNA policy/procedures in place for clearing and canceling records and that the appropriate transaction is used for each
  - **Clear** used when an offender has relocated and another jurisdiction has registered the offender; when a previously valid record is removed from the jurisdiction's registry; or as otherwise defined by jurisdiction policy and procedures

- **Cancel** used when it is determined that the record is invalid (erroneously entered); based on the jurisdiction's law the original criminal offense is expunged or pardoned; or as defined by policy/procedures

How the agency should handle registrants/offenders who:

REGISTRANTS/OFFENDERS	CLEAR	CANCEL	MODIFY KEEP IN NSOR
<b>Move out-of-state/off tribal reservation to another state/tribal reservation and do not work or go to school on tribal land</b>	✓		✓
<b>Previously valid – removed from tribal registry</b> (i.e., previous laws required registration, but due to new legislation/laws, offense/conviction no longer meets current registration requirement)	✓		
<b>Relocated</b> from one location to another location within tribal reservation			✓
<b>Reached the end of the registration period</b>	✓		
<b>Determined record to be invalid or entered in error</b>		✓	
<b>Registering offense is pardoned based on innocence.</b> <ul style="list-style-type: none"> <li>• If pardon is not related to the merits of the underlying conviction, the offender may still be required to register</li> </ul>	✓		
<b>Registering offense is expunged based on the underlying conviction being overturned</b> <ul style="list-style-type: none"> <li>• If conviction or adjudication was never overturned it continues to be a valid basis for registration under SORNA.</li> </ul>		✓	
<b>Deceased</b>	✓		✓ Deceased
<b>Absconded</b>			✓ Absconder

- ☐ NCIC Validation Procedure – Ensure each entering agency has a validation procedure and process for maintaining supporting documentation in place
  - 90 days after the Offender Registration Date (ORD) and then every year after
  - Records that have been validated within the last 11 months, based on the Date of Last Validation (VLD) field, will not be selected for validation
  - Agency should validate NSOR record at same time as part of the offender's annual check in

### Training and Certification

Ensure SORNA Officers have completed:

- ☐ Fingerprint-based record check within the past 5 years

- ☐ CJIS Security and Awareness Training (prior to access to CJI and every two years after)
- ☐ NCIC training and certification (prior to access to NCIC every two years after)

#### Proper III and CJI handling/storage/disposal

- III is covered in the NCIC Audit materials
- CJI handling/storage/disposal is covered in the IT Audit materials

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