Tribal Access Program: National Crime Information Center (NCIC)/Interstate Identification Index (III) Audit Checklist

The NCIC/III audit ensures the integrity and reliability of data maintained in NCIC, appropriate usage of III and compliance with NCIC 2000 Operating Manual, CJIS Security Policy, Advisory Policy Board (APB) bylaws, and applicable federal laws.

The NCIC audit covers the following areas: System Integrity, Security/Training, NCIC/III/CHRI. Record Integrity, Record Validations, Hit Confirmations, and areas of special interest to include wanted person, missing person, protection order files and public housing authority checks.

Applicable agencies: Law Enforcement, Courts, Probation/Parole, Corrections, and Child Protective Services

System Integrity
❑ If your agency performs entries and/or inquiries for another agency, ensure there is a servicing agreement in place (e.g. Information Exchange Agreement)

System Administration and Training – focuses on personnel who are responsible for administration of systems that access NCIC
❑ Does the TAC ensure each agency complies with FBI CJIS Security Policy
❑ Does the TAC ensure all users with access to CJI meet the appropriate minimum screening, training, and certification requirements prior to access being granted?
❑ Does the TAC maintain and biennially validate each agency's Originating Agency Identifiers (ORI)?
❑ Does the TAC initiate, maintain, and annually validate user accounts?

Training and Certification
❑ User agencies should maintain a log of users and training certification history to ensure requirements re up-to-date and met
1) All personnel, including IT, with unescorted access to criminal justice information must have completed:
   ❑ Fingerprint-based record check within the past 5 years
      o HR Is Exempt
   ❑ CJIS Security and Awareness Training (every two years)

2) Ensure all NCIC Operators (who enter and query) have completed NCIC training and certification (every two years). Certification needs to be taken through the DOJ/TAP online test.

   ❑ Any CJA
   ❑ Civil Courts
   ❑ Child Protective Services

3) Ensure all sworn law enforcement personnel have completed NCIC training courses either through the DOJ/TAP online training courses or through other means.

NCIC/Interstate Identification Index (III)/Criminal History Record Information (CHRI)

- ❑ Ensure the correct Purpose Codes are used and Reason for Request is clearly described for all queries
- ❑ Ensure each agency has a policy for handling of NCIC/III/CHRI and secondary dissemination log if applicable

Record Integrity

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

- ❑ Ensure each agency performs second-party checks on records entered in NCIC
- ❑ Ensure each agency has a written policy outlining the proper procedures for entering and maintaining (valid, accurate, complete and up-to-date) records

Timely Entry, Modification, and Removal - Must be entered immediately

- ❑ Ensure records are entered, modified, and removed in NCIC in a timely manner (within 3 days of receipt)

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

- ❑ Ensure the appropriate supporting documentation is maintained in the case file before entering records in NCIC (i.e., wanted person, missing person report, order of protection)
- ❑ Best practices in use- Packing record with all available information and conducting additional queries to find missing info (e.g. Query Criminal History (QH) will provide aliases; alternative SSNs and birthdates; Scars, Marks, and Tattoos, FBI number and State ID numbers)

Record Validations

- ❑ Recommended best practice to ensure each entering agency has a validation procedure and process for maintaining supporting documentation in place. This shall be done once initially and then annually thereafter upon notification of the validation requirements, as long as the record remains active.
- ❑ Know who completes the monthly record validations in your agency
- ❑ If your agency enters records for other agencies, understand how the validations are performed for serviced agencies.

Hit Confirmations

- ❑ Ensure your agency has a [24x7 Hit Confirmation](#) policy in place if files being entered into NCIC require a hit confirmation response.

Wanted Person File

- ❑ Recommended best practice is to have a warrant/extradition policy in place
- ❑ What types of warrants does the agency 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?

Missing Person File

- ❑ 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?

Protection Order File

- ❑ 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?

Public Housing Authority Checks

- ❑ 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?

Additional resources are located at: www.justice.gov/tribal/onboarding-and-vetting/