

HOW TO ~~PASS~~ *HANDLE* A BCI COMPLIANCE AUDIT



Authority • CJIS Security Policy

- At a minimum, triennially audit all CJAs and NCJAs which have direct access to the state system in order to ensure compliance with applicable statutes, regulations and policies.
- Administrative Rule R722-900
 - All agencies and entities shall submit to audits conducted by the bureau.





**DEPARTMENT OF PUBLIC SAFETY (DPS)
BUREAU OF CRIMINAL IDENTIFICATION (BCI)
UTAH CRIMINAL JUSTICE INFORMATION SYSTEM (UCJIS)**

AGENCY USER AGREEMENT 2017-2018

I, _____ with _____
(AGENCY ADMINISTRATOR) (NAME OF AGENCY)

ORI Number _____ hereby acknowledges the need for security and training for operating personnel to access UCJIS file information. This agency agrees to comply with all state and federal statutes and regulations, and to use any information received from UCJIS, Palantir, and the Public Safety Alerts and Notifications System (PSANS) for criminal justice purposes, criminal justice employment and BCI approved Utah Right of Access only. This agency also agrees to adhere to the National Crime Information Center (NCIC) Operating Manual and the CJIS Security Policy.

QUALITY ASSURANCE: This agency acknowledges that these responsibilities have been developed and approved by the FBI and BCI in order to ensure the legality, reliability, confidentiality, completeness, and accuracy of all records contained in or obtained by means of UCJIS. This agency agrees to train the authorized agencies it disseminates UCJIS information to on the integrity of this information by familiarizing the agency with the laws, rules, policies, and procedures of the system.

USE OF SYSTEM: This agency agrees to allow the Terminal Agency Coordinator (TAC) sufficient time to perform all necessary duties and attend mandatory training related to UCJIS responsibilities. Attendance at the annual TAC Conference is mandatory. TACs are responsible for ensuring that changes to existing policies and procedures are trained on and implemented within their agency. The TAC must have a valid login identification in order to maintain TAC status.

SCREENING: Per Administrative Rule R722-900, this agency agrees to conduct thorough background screening of all personnel who may come in contact with any CJIS or UCJIS information and any person with unrestricted access to a location containing UCJIS records or a computer with UCJIS access. State and national warrant and criminal history record checks by fingerprint identification must be conducted for users, non-users, and other persons employed or utilized to effectuate access to/or initiate transmission of CJIS or UCJIS information. Once a user has been granted access to the UCJIS system, a fingerprint card must be submitted to BCI within 30 days or the user's access will be disabled.

AUDIT: This agency agrees to be audited by BCI and/or the FBI at least every three years as outlined in the CJIS Security Policy.

SECURITY: This agency is responsible for the following security measures: physical security of communication equipment; personnel security (to include background screening requirements); technical security; and data security (to include any criminal history record information).



laws, rules, policies, and procedures of the system.

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SECURITY: This agency is responsible for the following security measures: physical security of communication equipment; personnel security (to include background screening requirements); technical security; and data security (to include any criminal history record information).

TRAINING: This agency acknowledges that the TAC is responsible for training, testing, and affirming the proficiency of users in order to assure compliance with Utah and FBI policies and regulations. Proficiency testing is to be completed within six months of receiving a login identification and every two years thereafter.

DISSEMINATION: This agency acknowledges that dissemination of UCJIS information is governed by Utah Code Annotated 53-10-108. This information may be disseminated to criminal justice agencies for criminal justice purposes and criminal justice employment. If an agency has an approved Utah Right of Access contract on file with BCI, they may, when adhering to the guidelines of the contract, disseminate Utah Criminal History (UCH) records to properly identified individuals as acknowledged in the contract.



HOW WE AUDIT



New BCI Audit Information

After review by BCI management of the BCI Compliance Audit process, it has become necessary to make some changes in order to ensure uniformity and compliance with local, State, and Federal rules, laws, policies, and procedures. For the write-up, BCI Field Services has increased the number of questions that will be considered compliance issues if answered incorrectly. All agency and user documents that BCI should have on file will be considered issues of compliance if they have not been received. Justification logs, SWW, and NCIC case files will be reviewed with a **zero tolerance** for errors. Audit compliance responses will need to be formal, meaning they are written on agency letterhead and professionally address what the agency intends on doing right now to fix the issue(s) as well as in the future to ensure that the issue(s) does not occur again. Agency administrators will be carbon copied throughout the process. Missed deadlines will result in follow-up letters progressing towards access suspension. Any extensions will have to be approved by BCI management. Any questions may be directed towards your Field Services representative.



CJIS

LAUNCH PAD

POWERED BY
PEAK
PERFORMANCE
SOLUTIONS

APPLICATIONS

nextTEST



CJIS Manuals



CJIS Documents



CJIS Links



CJIS Validations



CJIS Training



NEWS & INFORMATION

2/1/2004

nextTEST Leads The Market With 12 Sites

nextTEST continues to be the standard in NCIC online testing. There are almost 1,000,000 users being tested with nextTEST. No competitor even comes close.

2/12/2004

Colorado Selects nextTEST

Colorado orders nextTEST! They will begin testing as early as March.

January 23, 2004

South Carolina Announces Online Testing

SLED will begin allowing operators to perform their certification testing online in February.

Full Admin



Agency Side

- Questionnaire
- Dissemination
- Auditing and training
- Personnel security
- Federal and state files



Agency Side

- Questionnaire
- Policy submission
- Misuse
- Validation
- AMBER Alert



Agency Side

- Questionnaire
- Policy submission
- LOGs justification

- Why was the transaction run?
- Was the correct purpose code used and if not, what should the code have been?
- Was the requestor the person who received the information?
- Is the auditing purpose a case number or specific phrase?
- If an inquiry is highlighted in RED indicating a Utah Right of Access inquiry, please provide the signed ROA Waiver Form.



Agency Side

- Questionnaire
- Policy submission
- LOGs justification
- Case files
- SWW: Copy the original document requesting the warrant, the court order issuing the warrant (signed by the judge), and any additional documents pertaining to the warrant.
- NCIC: Copy the entire case file from the original report to the last time it was updated or validated.



BCI Side

- On file agency documents
- Agency User Agreement
- ORI Validations



BCI Side

- On file agency documents
- Previous audit issues
- Compliance
- Recommendations



BCI Side

- On file agency documents
- Previous audit issues
- REPT
- User Security Agreement
- Current Testing Agreement
- Fingerprints
 - Retained prints
- Expired training



BCI Side

- On file agency documents
- Previous audit issues
- REPT
- NCIC reports
- \$P
- Missed hit confirmations



AUDIT WRITE- UP



Audit Report

- Questionnaire

Questions automatically calculate
your compliance decision.



Audit Report

- Questionnaire
- Review policies

Have required steps and language.



Audit Report

- Questionnaire
- Review policies
- Review logs justification

Purpose codes

Auditing purpose

Requestor

Validity

If one is wrong, this would be a compliance issue



Audit Report

- Questionnaire
- Review policies
- Review logs justification
- Review case files

Review entry/warrant

Review submitted documents

Review all available UCJIS files,
matched to agency access

***If something is invalid, inaccurate,
or incomplete, this would be a
compliance issue***



Audit Reminders

AUDITOR'S REMINDERS

USER SECURITY AGREEMENT: WITHIN 30 DAYS OF ASSIGNING A LOGIN ID TO A USER OR NON-USER, THE TAC SHALL SUBMIT TO THE BUREAU A UCJIS USER AGREEMENT FOR EACH USER AND NON-USER. (ADMIN. RULE 722-900) PLEASE ENSURE THAT EVERY USER/NON-USER SIGNS A SECURITY AGREEMENT AND THAT IT IS FORWARDED TO BCI FOR RETENTION. PLEASE REVIEW THE ATTACHED ON FILE USER/NON-USER DOCUMENT SHEET. THIS MAY BE A COMPLIANCE ISSUE IN THE FUTURE.

UPDATED TRAINING MATERIALS: THE TAC IS RESPONSIBLE FOR SUPPLYING UPDATED TRAINING MATERIALS TO AGENCY USERS. BCI RECOMMENDS THAT ALL OUTDATED MANUALS ARE REPLACED BY MOST RECENT VERSION RECEIVED AT TAC CONFERENCE.

AMBER, BLUE, EMA TRAINING: BCI RECOMMENDS THAT AGENCIES TRAIN USERS ON AMBER AND BLUE ALERTS AS WELL AS EMAS.

- Not compliance



Out of Compliance

COMPLIANCE SUMMARY

BCI COMPLIANCE AUDIT SUMMARY FOR UT0300100, GOTHAM CITY POLICE DEPARTMENT, 09/20/2017

BCI COMMENDS THIS AGENCY ON ITS ADHERENCE TO STATE AND FEDERAL POLICIES GOVERNING THE ACCESS AND USE OF THE INFORMATION OBTAINED FROM BCI SYSTEMS.

THESE AUDIT FINDINGS ARE BASED ON AREAS EXAMINED DURING THE COURSE OF THIS AUDIT.

THE FOLLOWING ITEMS NEED YOUR ATTENTION: (REFERENCE DETAILED SECTIONS ABOVE)

USER TESTING AGREEMENT

RETAINABLE PRINTS

BACKGROUND NEW HIRES/UNESCORTED

AUDITING PURPOSES



VALIDITY OF CH INQUIRIES

- Compliance issues are outlined at the end of the audit



BCI's Documentation

Audit Comments

| | Type ↑ | Date | Comment |
|--|------------------|------------|---|
|  | Compliance Issue | 06/01/2017 | User testing agreements, retainable prints, background on new hires and unescorted, auditing purposes, validity of CH inquiries |
|  | Recommendation | 06/01/2017 | User security agreements, updated training materials, amber alerts |



RESPONSE



Compliance Response

- Each issue must be responded to

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VALIDITY OF CH INQUIRIES



Compliance Response

- Address what the agency has, is, or will do to ensure that this issue is corrected and will not be a compliance issue in the future.
- Repeat issues?
 - Response needs to be more in depth, more specific, more aggressive.



Compliance Response

- Response needs to be formal.
 - Email or phone call will not suffice



- Addresses each issue
 - Action steps
 - Dates

**Audit responses have been used in court cases.





9/26/2017

> Karen Kener
Department of Public Safety
Bureau of Criminal Identification
3888 W 5400 S
Taylorsville, UT 84129

Dear Ms. Kener:

In reference to BCI Compliance Audit results dated 09/26/2017, please note the following response:

User Testing Agreements-It is our understanding that testing agreements are to be signed by all users within six months of hire and every two years afterwards. It had previously not been policy to submit these to BCI, but amendments have been made and current testing agreements will be submitted to BCI.

Retainable Prints-Non-users ZZJKENER and ZZDDUCK have been removed from this agency. Users CGORDON and BWAYNE have submitted their prints for retention as of 09/12/2017. The remaining users and non-users will have their prints submitted to BCI before 10/01/2017.

Background New Hires/Unescorted-Language has been added to our perspective employment applications to allow for name based background checks to be run on applicants.

Auditing Purpose-Mandatory training classes for all users will be held throughout the month of October to address the use of vague auditing purposes. TACs will monitor logs daily to catch and address any continued violations and address them as soon as possible.



HOW DO WE PASS?



REVIEW REPT



Validity

- Ensure all invalid users/non-users are removed
 - Their documents, fingerprints and training dates will counted as part of the audit



Access

- Know what your users have access to
 - Restrict access to the least amount of permissions necessary to do their job



Retained Prints

- All prints submitted after January 2014



Retained Prints

- ~~All prints submitted after January 2014~~
- All prints after July 2015



Retained Prints

- ~~All prints submitted after January 2014~~
- ~~All prints after July 2015~~
- Some prints submitted after January 2014 and all retainable prints submitted after July 2015



Retainable Prints

- Good quality
- In order

If not retainable:

- After two failed FP submissions, a name and DOB search is completed by the FBI.
- Biannual name and DOB search is required by agency.



Retained Prints

| User ID | View UCJIS Permissions | View Transaction History | Full Name | Status | UCJIS User Type | Rap Back | Fingerprint Date | Comments |
|----------|------------------------|--------------------------|----------------|--------|-----------------|----------|------------------|---|
| zzbbear | UCJIS Permissions | Transaction History | Baloo Bear | D | NON-USER | RAPBACK | 2017-07-20 | |
| bwayne | UCJIS Permissions | Transaction History | Bruce Wayne | A | UCJIS-USER | RAPBACK | 2017-08-29 | training ext 2 weeks 7/17/2017 kk prints due 08/05/2017 |
| dduck | UCJIS Permissions | Transaction History | Dark Wing Duck | D | UCJIS-USER | | 2014-01-10 | PRINTS Rejected E10001312165406498790, Email sent to TAC 8/27/2017 PRINTS DUE 9/27/2017 |
| kgordon | UCJIS Permissions | Transaction History | James Gordon | A | UCJIS-USER | | | agency admin |
| kkenert | UCJIS Permissions | Transaction History | KAREN KENER | A | UCJIS-USER-TAC | | 2017-08-01 | |
| zzmcgruf | UCJIS Permissions | Transaction History | SGT MCGRUFF | A | NON-USER | | | |



Retained Prints

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|----------|------------------------|--------------------------|----------------|--------|-----------------|----------|------------------|---|
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| dduck | UCJIS Permissions | Transaction History | Dark Wing Duck | D | UCJIS-USER | | 2014-01-10 | PRINTS Rejected E10001312165406498790, Email sent to TAC 8/27/2017 PRINTS DUE 9/27/2017 |
| jgordon | UCJIS Permissions | Transaction History | James Gordon | A | UCJIS-USER | | | agency admin |
| kkenert | UCJIS Permissions | Transaction History | KAREN KENER | A | UCJIS-USER-TAC | | 2017-08-01 | |
| zzmcgruf | UCJIS Permissions | Transaction History | SGT MCGRUFF | A | NON-USER | | | |



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| zzmcgruf | UCJIS Permissions | Transaction History | SGT MCGRUFF | A | NON-USER | | | |



Training Dates

- Users will be locked out if training expires
- Non-access and non-users



Agreements

User/Non-User Security Agreements

- Everyone should have one.



Agreements

User/Non-User Security Agreements

- EVERYONE should have one.

User Testing Agreement

- All users and non-access users need one.
 - Within 6 months of starting
 - Every two years
 - Should match with CERT date



LOGS



Basics

- The Privacy Act of 1974 requires that the FBI's CJIS Division maintain an audit trail of the purpose of each disclosure of a criminal history record and the recipient of that record



Purpose Codes

- Accidents
- Training opportunities
 - C vs J
 - Authorized uses of F, D, X, and P

| Agency | UserID | Transaction | ORI | Search Fields |
|--------|---------|-------------|-----------|---|
| GTHMPD | CGORDON | CHQ | UT0300100 | SID=00110011;PURPOSE_CODE=C;REQUESTER=CGORDON;AUDIT_REASON=SITE SECURITY,BRINKS |
| GTHMPD | BWAYNE | CHQ | UT0300100 | SID=0036851;PURPOSE_CODE=X;REQUESTER=BWAYNE;AUDIT_REASON=SEPT-007 CHILD ABUSE |
| GTHMPD | BWAYNE | CHQ | UT0300100 | SID=08365851;PURPOSE_CODE=C;REQUESTER=GOTHMPD;AUDIT_REASON=BACKGROUND, NEW HIRE |
| GTHMPD | HDENT | CHQ | UT0300100 | SID=00377851;PURPOSE_CODE=J;REQUESTER=HDENT;AUDIT_REASON=BACKGROUND, NEW HIRE |
| GTHMPD | CGORDON | CHQ | UT0300100 | SID=0SS65851;PURPOSE_CODE=C;REQUESTER=BROBIN;AUDIT_REASON=SEPT-0009 |



Requestor

- Should be the intended recipient
- Must be unique
- Must be a user


| |
|------------------|
| REQUESTER |
| RECORDS |
| LTs |
| RECORDS |
| KKENER |
| LT. DAN |



Agency Logs

| | TRANS TYPE | PURPOSE CODE | AUDIT PURPOSE | REQUESTOR | USER ID | ORI | DATE/TIME | SEARCH TYPE | SEARCH CRITERIA |
|---|---------------|-----------------|---------------|-------------|---------|-----------|---------------|----------------|-------------------------------|
| 1 | CHQ | C | 17-SEP005 | SGT MCGRUFF | jspence | UT0300100 | 8/28/17 16:40 | NAME | SWORDL,STONE (07/16/1968) |
| 2 | CHQ | C | 17-SEP006 | SGT MCGRUFF | jjones | UT0300100 | 8/13/17 8:18 | SSN | 5058994451 |
| 3 | CHQ | C | 17-SEP007 | SGT MCGRUFF | jspence | UT0300100 | 8/1/17 8:44 | NAME | AIKEN,CLAY (09/20/1922) |
| 4 | CHQ | C | 17-SEP008 | KKENER | ghuff | UT0300100 | 8/1/17 8:44 | NAME | GEORGE,RAGINA (10/07/1988) |
| 5 | CHQ | C | 17-SEP009 | LT. DAN | ghuff | UT0300100 | 8/2/17 8:44 | SSN | 505555555 |

BCI User Management Program

| | Login ID | Agency | Name |
|---|----------|--------|-------------|
|  | zzmcgruf | GTHMPD | SGT MCGRUFF |



Audit Purpose

- Unique
- Specific

| AUDIT PURPOSE |
|---------------|
| 17-SEP005 |
| 17-SEP006 |
| 17-SEP007 |
| 17-SEP008 |
| 17-SEP009 |

| AUDIT PURPOSE | SEARCH TYPE | SEARCH CRITERIA |
|-------------------------|-------------|-------------------------------|
| BACKGROUND-CUSTODIAL | NAME | SWORDL,STONE (07/16/1968) |
| 1756464 | SSN | 5058994451 |
| 1764798-SCREENING | NAME | AIKEN,CLAY (09/20/1922) |
| CITATION-PUB INTOX WINC | NAME | GEORGE,RAGINA (10/07/1988) |
| NEW HIRE-GREETER | SSN | 505555555 |



Validity

- Misuse
- Run under wrong ORI
- Should not have been run



LOGS by ORI

Message Parameters

Query Parameters

View Messages By:

Sort By:

View Messages By:

- AGENCY
- ORI
- USER**

Time Frame

Timeframe:

Start Date Time:

End Date Time:

Query Parameters

ORI:

User ID:

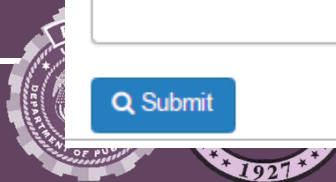
Transaction:

ORI:

User ID:

Transaction:

- UTBCI0000-UT BUREAU OF CRIM IDENT
- UT-NLETS BROADCASTS
- UTBCI00AM-UT BUREAU OF CRIM IDENT
- UTBCI00YQ-BCI
- UTBCI00SM-BCI NLETS SERVICE MSG
- UTBCI0002-UT BUREAU OF CRIM IDENT
- UXWEMONSF-WEBER MORGAN NARCOTICS STRIKE FORCE
- UT025025J-NULL



LOGS by Agency narrowed by ORI

If you have access to
multiple ORIs.

Hard codes agency
You choose the ORI



Query

Query Parameters

View Messages By:* AGENCY ▼

Sort By:* DATE DESC ▼

Time Frame

Timeframe: TODAY ▼

Start Date Time: 08/24/2016 0 ▼ 0 ▼

End Date Time: 08/25/2016 0 ▼ 0 ▼



Query Parameters

ORI: UXWEMONSF-WEBER MORGAN NARC ▼

User ID: ENTER USER ID

Transaction: ENTER TRANSACTION C#

LOGS by Agency narrowed by ORI

| Received Time |  Agency | UserID | Transaction | ORI  |
|---------------------|--|----------|-------------|---|
| 08/23/2016 16:10 | BCI | DPSBATCH | MFQ | UXWEMONSF |
| 08/23/2016 16:10 | BCI | DPSBATCH | JUV | UXWEMONSF |
| 08/23/2016 16:10 | BCI | DPSBATCH | QNP | UXWEMONSF |
| 08/23/2016 16:10 | BCI | DPSBATCH | CHQ | UXWEMONSF |
| 08/23/2016 16:10 | BCI | DPSBATCH | PO | UXWEMONSF |
| 08/23/2016 16:10 | BCI | DPSBATCH | QSW | UXWEMONSF |



LOGS by ORI

For agencies that
are dispatched
for or have other
agencies with
access to their
ORI.

Query Parameters

View Messages By:*

Sort By:*

Time Frame

Timeframe:

Start Date Time:

End Date Time:

Query Parameters

ORI:

User ID:

Transaction:



LOGS by ORI

Added ability to run
LOGS by ORI

| Received Time | Agency ✓ | UserID | Transaction | ORI 🔒 |
|------------------|----------|--------|-------------|-----------|
| 08/23/2016 13:42 | BCICIC | HDENT | QH | UTBCI0000 |
| 08/23/2016 12:01 | BCICIC | HDENT | QH | UTBCI0000 |
| 08/23/2016 12:00 | BCICIC | TSWIFT | QH | UTBCI0000 |
| 08/23/2016 11:48 | BCI | BSIMPS | QH | UTBCI0000 |
| 08/23/2016 09:45 | BCI | BSPACE | QH | UTBCI0000 |
| 08/23/2016 09:44 | BCI | BSIMPS | QH | UTBCI0000 |

– Useful for agencies that are dispatched for.

– Only able run on ORI logged in under.



DISSEMINATION



Dissemination Logs

- Who
- What
- When
- Why



POLICIES AND PROCEDURES



Misuse

- Official policy of the agency
 - Revision date
- Specifically mention notification of commissioner and director of BCI.
- Agency will abide by UCA 53-10-108.



Gotham Police Department

Misuse Policy

We will abide by UCA 53-10-108



POLICIES, PROCEDURES, DISSEMINATION LAWS and SANCTIONS

Dissemination Law as found in Utah Code Annotated (UCA)

53-10-108 Restrictions on access, use, and contents of division records -

- (1) Dissemination of information from a criminal history record or warrant of arrest information from division files is limited to:
 - (a) criminal justice agencies for purposes of administration of criminal justice and for employment screening by criminal justice agencies;
 - (b) noncriminal justice agencies or individuals for any purpose authorized by statute, executive order, court rule, court order, or local ordinance;
- (4) (a) Any criminal history record information obtained from division files may be used only for the purposes for which it was provided and may not be further disseminated.
- (10) Before providing information requested under this section, the division shall give priority to criminal justice agencies needs.
- (11) (a) It is a class B misdemeanor for a person to knowingly or intentionally access, use, disclose, or disseminate a record created, maintained, or to which access is granted by the division or any information contained in a record created, maintained, or to which access is granted by the division for a purpose prohibited or not permitted by statute, rule, regulation, or policy of a governmental entity.
(b) A person who discovers or becomes aware of any unauthorized use of records created or maintained, or to which access is granted by the division shall inform the commissioner and the director of the Utah Bureau of Criminal Identification of the unauthorized use.

ALL POLICIES AND PROCEDURES LISTED IN THE BCI AND NCIC OPERATIONS MANUAL.

Individual access codes and passwords are vital to the security of the information housed in UCJIS. Terminal operators must not share, post or otherwise divulge access codes or passwords.

Information will be disseminated to authorized personnel and non-terminal law enforcement agencies for the purposes of the administration of criminal justice and criminal justice agency employment.

POSITIVE HIT REQUIREMENTS

"If a record of any kind is found, access will not be granted. The agency to which the applicant has applied for employment and/or NCIC access will be formally notified indicating NCIC access will be delayed pending review of arrest and fugitive records." (Systems Security, CJIS Security Policy, Page 3).

Refer to your agency's employment policy before proceeding further with logon ID request until a determination of the applicant's criminal qualifications is made.



GOTHAM CITY POLICE DEPARTMENT
CRIMINAL INVESTIGATIONS & TECHNICAL SERVICES



POLICY AND PROCEDURE

| | | |
|------------------------------|--|---|
| Commissioner James Gordon | EFFECTIVE DATE June 1, 1990 | POLICY NUMBER GPD-90-101 |
| | SUBJECT Misuse of UCJIS (Utah Criminal Justice Information System) Information | REFERENCE BCI Operations Manual, UCA 53-10-108 |
| AMENDS May 1, 2017 | RE-EVALUATION DATE May 1, 2018 | NO. OF PAGES 1 |

I. PURPOSE

The Gotham City Police Department (GPD), as well as all city governmental agencies and individuals are strictly governed by state statutes/policies and federal statutes/policies from disseminating Utah Criminal Justice Information System (UCJIS) to unauthorized agencies or individuals. GPD follows state and federal law and promulgating policies and procedures, which protect an individual's right to privacy while maintaining a balance of fairness for which criminal history information is used and disseminated.

II. PROCEDURE

In accordance with UCA 53-10-108, Gotham City Police Department (GPD) will notify the commissioner and director of the Utah Bureau of Criminal Identification (BCI) upon the discovery of unauthorized access, use, disclosure, or dissemination of a record created, maintained, or to which access is granted by BCI.



NCIC Validation

- Validation is accomplished by
 - Reviewing the entry and current supporting documents
 - Recent consultation with complainant, victim, prosecutor, court or other appropriate source
- In the event the ORI is unsuccessful in its attempts to contact the victim, complainant, etc., the entering authority must make a determination based on the best information and knowledge available whether or not to retain the entry in the file.



NCIC Validation

GOTHAM CITY POLICE DEPARTMENT
CRIMINAL INVESTIGATIONS & TECHNICAL SERVICES



POLICY AND PROCEDURE

| | | |
|--|---|---------------|
| Commissioner James Gordon | EFFECTIVE DATE | POLICY NUMBER |
| | December 13, 1988 | GPD-88-101 |
| SUBJECT | REFERENCE | |
| Validation and Hit Confirmation Procedures | BCI Operations Manual, NCIC Operations Manual | |
| AMENDS | RE-EVALUATION DATE | NO. OF PAGES |
| May 1, 2017 | May 1, 2018 | 2 |

I. Validation

On the Monday after the first Saturday of each month, BCI will download the validation records from the FBI.

Upon receipt of these records, BCI will review to see if any records were entered under UTBCI0000.

If no records are found no further action is required. If records are found BCI will subsequently validate each record by doing the following:

Pull original case file and print the entry for review (if applicable you may need to consult with any appropriate complainant, victim, prosecutor, court, or other source/individual as well).

Modify, clear, or cancel entry when necessary.

Print out confirmation for each entry and place in original case file.

II. Hit Confirmation

Upon receipt of a hit confirmation request, BCI will conduct the following steps per the NCIC 2000 Operating Manual:

Ensure that the person or property inquired upon is identical to the person or property identified in the record;

Ensure that the warrant, missing person report, protection order, or theft report is still outstanding; and

Obtain a decision regarding: 1) the extradition of a wanted person when applicable, 2) information regarding the return of the missing person to the appropriate authorities, 3) information regarding the return of stolen property to its



NCIC After Hours Hit Confirmation

Hit Confirmation Agreement

This Agreement, dated November 7, 1989, shall satisfy the National Crime Information Center (NCIC) requirement to execute a HIT CONFIRMATION AGREEMENT in cases where one agency is conducting Hit Confirmations transactions through UCJIS/NCIC on behalf of another agency.

This Agreement is between Hudson County Sheriff's Office (Confirming Agency), whose ORI is UT0300000, and Gotham City Police Department (Record Entering agency), whose ORI is UT0300100.

Further, this Agreement delineates that the Confirming Agency shall be responsible for responding to all hit confirmation requests on behalf of the Record Entering Agency, for all records entered into the UCJIS/NCIC by the Record Entering Agency, between the hours of 4 PM and 9AM non-holiday weekdays, 24 hours weekends and holidays, to ensure 24/7 hit confirmation coverage. All responses to hit confirmation requests will be made according to UCJIS/NCIC Hit confirmation requirements as set forth in the BCI Operations Manual and the NCIC Operating Manual.

| | |
|----------------------------|---------------------------------------|
| _____ | <u>Gotham City Police Department</u> |
| (Signature) | (Agency) |
| <u>Commissioner Gordon</u> | _____ |
| (Printed name) | (Date) |
| _____ | <u>Hudson County Sheriff's Office</u> |
| (Signature) | (Agency) |
| <u>Sheriff Woody</u> | _____ |
| (Printed name) | (Date) |



SWW Validation

- The division is the agency responsible for the statewide warrant system and shall:
 - ensure quality control of all warrants of arrest or commitment and protective orders contained in the statewide warrant system by conducting regular validation checks with every clerk of a court responsible for entering the information on the system;



Other Policies

- Radio dissemination
- AMBER Alert



UTAH POLICE DEPARTMENT

Responding

ENDED 22 days ago



Ride along participant

COMPLETING THE AUDIT



Answering the Questionnaire

- Read through the question
 - What should... vs. what do you...
- If your agency doesn't access the files in question, don't answer the questions
- If your agency does access files in question, then you need to be able to answer questions
 - If one user has access, the agency has access
- If you don't understand, ask



TIME

- Watch your deadlines
- Respond on time
- Communicate



QUESTIONS?

