



Court Audit Walk Through and FAQ

2018 TAC Conference



Overview

- Agency audit process
 - Emails
 - Documents
 - Policies
 - Logs justification
 - Questionnaire
- BCI's assessment of agency
 - Agency documents
 - User documents
 - Fingerprints
 - Warrant quality control
- Audit response



Beginning the Audit





Karen Kener <kkener@utah.gov>

Jul 2 (8 days ago)



to TAC Admin FS Supervisor

Your message, protected by Virtru

No expiration date



Dear TAC,

Your agency has been selected for a BCI compliance audit. The attached Audit Information Request outlines the actions required to complete the audit.

Your agency administrator has also been copied on this message.

Your audit is due on **3 week deadline.**

Please contact us if you have any questions or concerns.

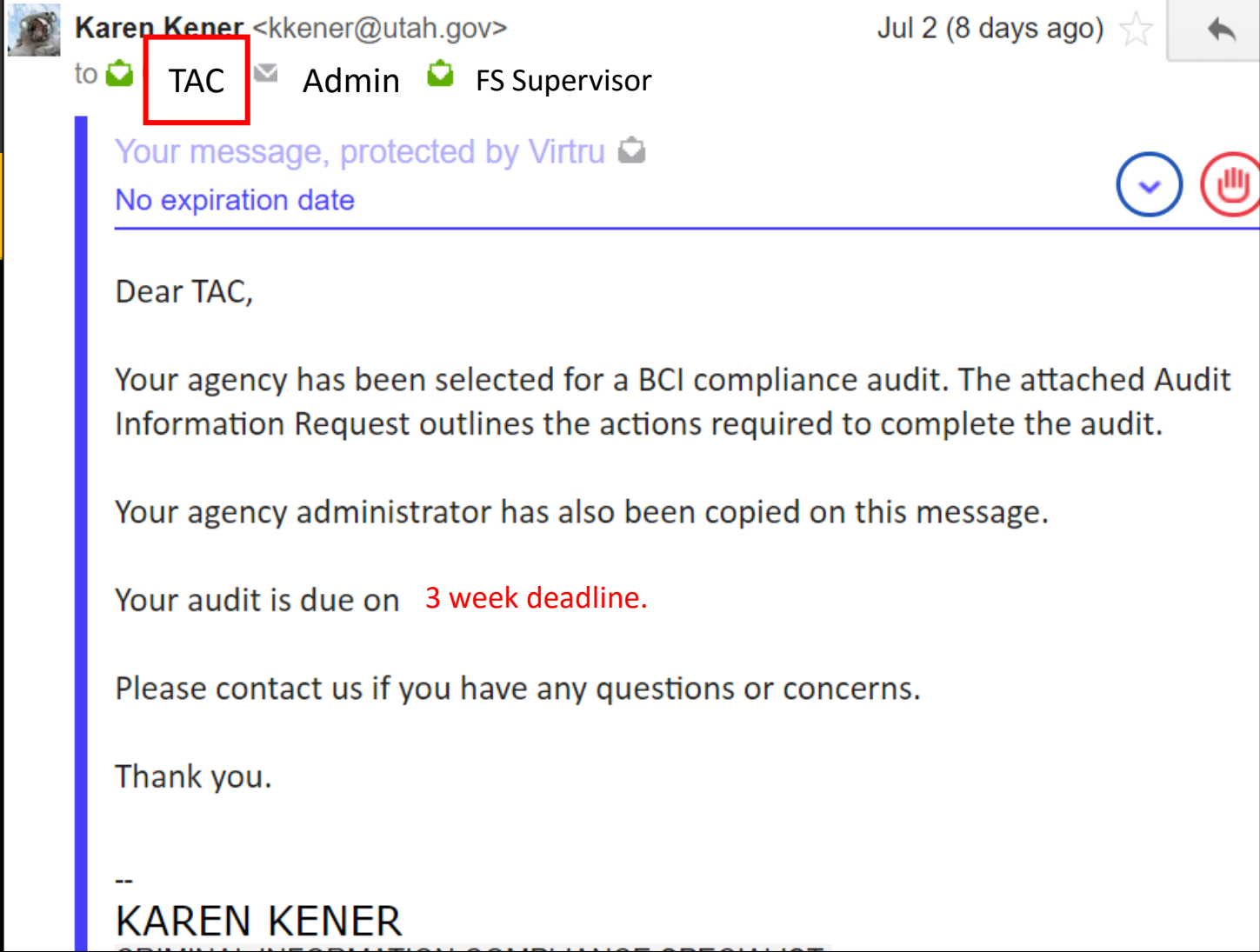
Thank you.

--

KAREN KENER

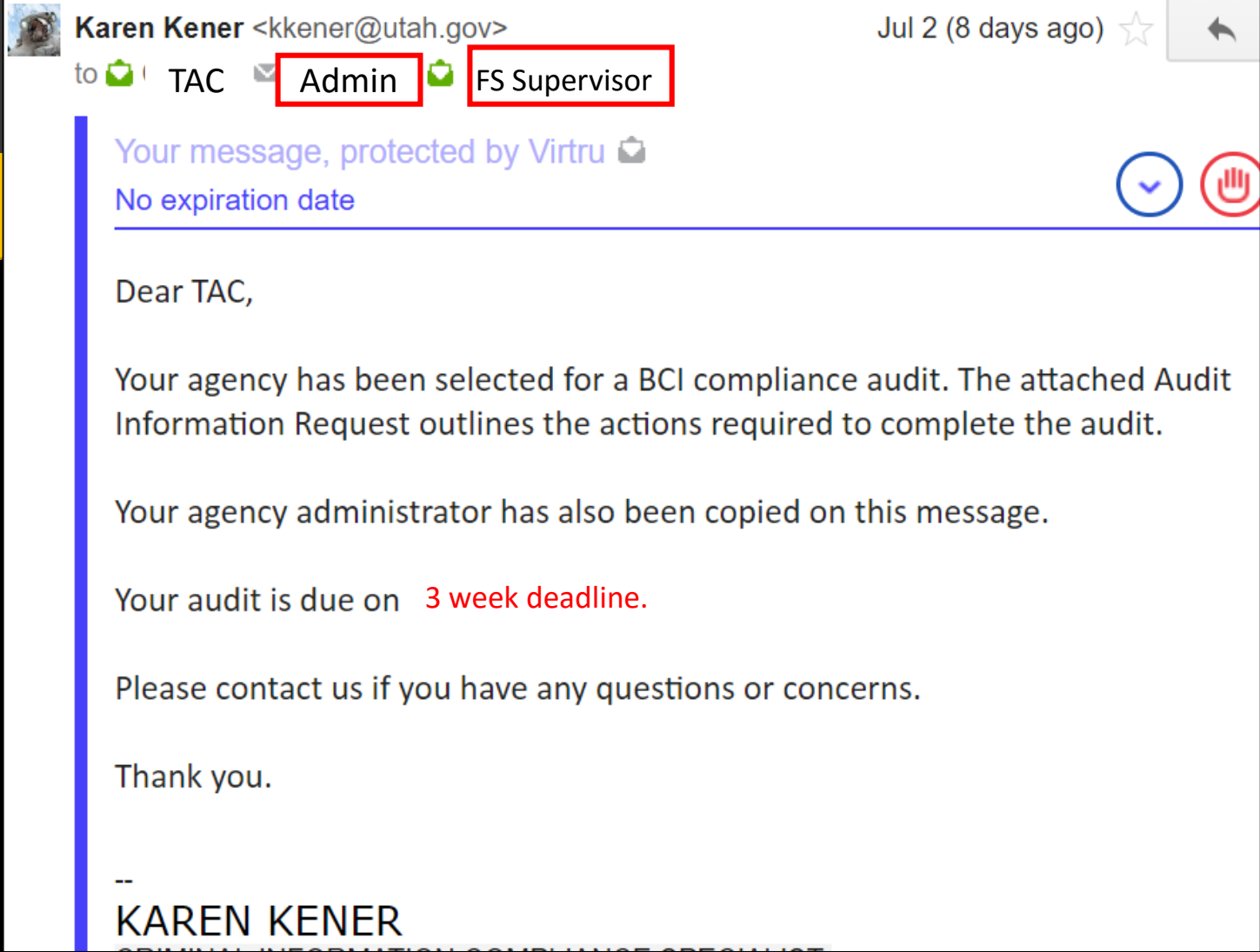
- Email sent around first of the month





- Email sent around first of the month
 - Sent to TAC





- Email sent around first of the month
 - Sent to TAC
 - CC Admin and FS Supervisor





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Thank you.

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KAREN KENER

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- Will contain a three week deadline





- Email will include four attachments

KAREN KENER
 CRIMINAL INFORMATION COMPLIANCE SPECIALIST
 UTAH BUREAU OF CRIMINAL IDENTIFICATION
 UTAH DEPARTMENT OF PUBLIC SAFETY



(385) 266-0190
 FAX (801) 969-7065

Monday-Thursday 7:00 AM to 5:00 PM

"You are braver than you believe, stronger than you seem, and smarter than you think"
 -A.A. Milne

If you need immediate assistance please call our Help Desk (CIC) at 801 965 4448

This e-mail and any attachments are confidential and may be protected by legal, professional or other privilege.

If you are not the intended recipient you should not store it, copy it, re-transmit it, use it or disclose its contents, but should return it to the sender immediately and delete your copy from your system.

-  [Audit Questionnaire 2018_UT0184000.xls.tdf](#) (171.5 kb)  
-  [UTA PD.pdf.tdf](#) (238.1 kb)  
-  [UTA PD.xls.tdf](#) (41.0 kb)  
-  [Audit Information Request_UT0184000.pdf.tdf](#) (767.1 kb)  





- Email will include four attachments
 - Audit Information Request



**Utah Department of Public Safety
Bureau of Criminal Identification**
2017-2020 Compliance Audit Information Request



Per the Agency User Agreement, each agency with an active ORI agrees to be audited by BCI and/or the FBI at least every three years. This audit is a way of assessing agency usage of state and federal files. If at any time the TAC or the Administrator has any questions about the compliance audit process, please contact BCI Field Services.

This document itemizes the Requested Documents needed, the Criminal History Logs Justification, and the Audit Questionnaire. Please submit these documents to BCI Field Services by the due date below.

Requested Documents- please provide a copy of each of the following:

- Misuse Policy: Per UCA 53-10-108, the agency Misuse Policy must state one of the following: 1) The "Commissioner and Director of BCI" will be notified if misuse of UCJIS information is suspected; or 2) The agency will abide by UCA 53-10-108.
- SWW Validation Policy/Procedure (if applicable).
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- Utah Statewide Warrants (if applicable): 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.

123456	234567	345678
456789	567890	678901

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- 5) If an inquiry is highlighted in RED indicating a Utah Right of Access inquiry, please provide the signed ROA Waiver Form.





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 - Audit Information Request
 - Criminal History Justification Logs
 - Excel
 - PDF

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Audit Information Request



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Policies

Misuse

- Official policy of the agency
 - Revision date
- Specifically mention notification of Commissioner and Director of BCI

OR

- Agency will abide by UCA 53-10-108

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	
AMENDS May 1, 2017		REFERENCE BCI Operations Manual, UCA 53-10-108
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.





Written Policy on Warrant Validation

From Booking Report

1. Clerk to print booking report daily
2. Warrant will be recalled from CORIS if defendant's name appeared from Booking Report
3. If defendant is in custody clerk to contact jail arrange video/transport.
4. If defendant is not in custody, clerk will hold case for 2 weeks (10 days)
5. If defendant does not contact the court during those 2 weeks, his/her case will be referred to judge for new warrant.
6. If defendant was to contact the court during the 2 weeks, matter will be set for hearing accordingly.

From Audit Report

1. Clerk to print Audit Report every Monday
2. Information from Audit Report will be clarified to information from CORIS system.
3. If warrant was recalled by court's order but defendant's name/warrant still appeared on Audit Report, clerk will recall warrant from the UCJIS

Policies

SWW Validation

- All agencies entering warrants
- Validation procedures must be formalized
 - Ensure quality control
 - Regular validation checks



ROA

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Hit Confirmation Agreement

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Court
issues PO



PO listed
on NCIC

MKE/PROTECTION ORDER
ORI/UT030015J NAM/TIGER, TONY THE SEX/M RAC/U
DOB/19961110 EYE/XXX HAI/XXX
SOC/565861255
PNO/212343 BRD/N ISD/20161025 EXP/20191024
PPN/SAM, TOUCAN PSX/U PPR/U PPB/01990228
PCO/02 - THE SUBJECT MAY NOT THREATEN A MEMBER OF THE PROTECTED PERSON'S
FAMILY
PCO/OR HOUSEHOLD.
OCA/180701999
VLD/20161224 VLN/FRENCH TOAST NOA/N
MIS/FOR LAW ENFORCEMENT CONFIRMATION AFTER HOURS, CONTACT GOTHAM
COUNTY SHERIFF'S OFFICE AT (385) 266-0190
DNA/N
ORI IS 3RD DISTRICT COURT GOTHAM CITY 801 965-0922
NIC/H188455771 DTE/20161025 1303 EDT DLU/20170105 0352 EDT



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  NCIC HIT CONFIRMATION AGREEMENT

This agreement is between _____ (Servicing Agency) and _____ (Recipient Agency).

All of the information acquired from any file accessed in UCJIS is governed by regulations and policies of the FBI and the State of Utah. Access to any of these files is restricted to criminal justice purposes only. Violation of dissemination, privacy, and security regulations may result in civil sanctions or criminal prosecution of the person(s). Utah Code Annotated 53-10-108(12)(a) states:

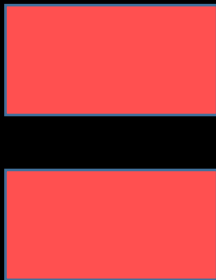
It is a class B misdemeanor for a person to knowingly or intentionally access, use, disclose, or disseminate a record created, maintained, or to which access is granted by the division or any information contained in a record created, maintained, or to which access is granted by the division for a purpose prohibited or not permitted by statute, rule, regulation, or policy of a governmental entity.

If the servicing agency is acting on behalf of the recipient agency with the handling of NCIC records, both agencies must abide by the following FBI CJIS Security Policy regulations:

- **Timeliness:** Both agencies acknowledge that both NCIC and Statewide records will be entered, modified, and removed promptly to ensure system integrity.
- **Validation:** Both agencies acknowledge that validation is required for the following records: NCIC (boas, license plate, vehicle, gun, securities, persons, selected article files) and Statewide (warrants and protective orders).
- **Hit Confirmation:** In the event that the recipient agency is not a 24-hour agency, the servicing agency will monitor and respond to any NCIC hit confirmations after business hours in accordance to the policies and procedures set forth by NCIC on behalf of the recipient agency. The servicing agency agrees to respond to a priority NCIC hit confirmation within ten (10) minutes or within one (1) hour on a routine NCIC hit confirmation. The servicing agency will be responsible for responding to all hit confirmation requests between the hours of _____ and _____, on the following days: _____.

This agreement is effective beginning _____.

This agreement may be terminated by either party based on a thirty day written notice. The servicing agency has the right to suspend furnishing information under this agreement when any rule, policy, procedure, regulation, or law described in the FBI CJIS Security Policy, the NCIC Operating Manual, the BCI Operating Manual, or UCA 53-10-108 is violated or appears to be violated. By signing this agreement, both parties agree to abide by all federal and state laws governing UCJIS information.



Warrants

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Warrant Doc.

Gotham City Justice Court
SALT LAKE COUNTY, STATE OF UTAH

Gotham City	:	ARREST WARRANT
Plaintiff,	:	Warrant No: 123456
	:	
vs.	:	Case No: 18001564 MO
	:	OTN No:
Joker, The	:	Judge: CARTWRIGHT, THAD
Defendant.	:	Date: March 7, 2014

CHARGES

1. UNLICENSED DRIVER - Class C Misdemeanor
2. OPERATING VEHICLE W/O INSURANCE - Class B Misdemeanor

To any Peace Officer in the State of Utah:
You are commanded to arrest and deliver the defendant to the Salt Lake County Jail.

A juvenile may not be confined in an adult facility.

Defendant may be transported within the county.
The defendant has failed to pay or appear as ordered.

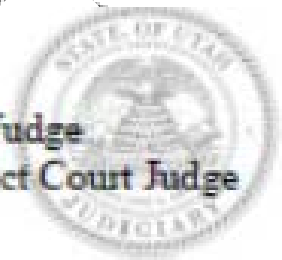
Bail is set at \$2000.00, and must be posted as cash only.

This warrant may be served any time, day or night
Issued: March 7, 2014

Law Enforcement Agency: UHP - SAL

Date: 3/7/14

/s/ Test Judge
District Court Judge



THE JOKER
93 W Plumtree LN

Citation No: **C12341564**
Date of Birth: **11/29/1967**
Driver License NO: **XXX**
Social Security No: **XXX-XX-**

MIDVALE UT 84047



Additional Documentation

Gotham City Justice
SALT LAKE COUNTY, STATE OF UTAH

Gotham City vs. The Joker

CASE NUMBER 1864546 Traffic Court Case

CHARGES

Charge 1 - 53-3-202 - NO VALID LICENSE - NEVER OBTAINED LICENSE
Class C Misdemeanor
Offense Date: October 14, 2008
Plea: November 19, 2008 Guilty
Disposition: November 19, 2008 Guilty Plea

Charge 2 - 41-12A-302 - OPERATING VEHICLE WITHOUT INSURANCE
Class B Misdemeanor
Offense Date: October 14, 2008
Plea: November 19, 2008 Guilty
Disposition: November 19, 2008 Guilty Plea

CURRENT ASSIGNED JUDGE
Thad Chadsworth

PARTIES

Defendant - The Joker
Plaintiff - Gotham City

DEFENDANT INFORMATION

Defendant Name: The Joker
Date of Birth: XXX
Law Enforcement Agency: UHP - SALT LAKE
Prosecuting Agency: Gotham City
Citation Number: C34646

ACCOUNT SUMMARY

REVENUE DETAIL - TYPE: FINE

Original Amount Due:	275.00
Amended Amount Due:	0.00
Amount Paid:	0.00
Amount Owed:	275.00

CASE NUMBER 1864546 Traffic Court Case

Judge: Thad Chadsworth
Issue reason: Failure to Pay as Ordered

02-27-09 ORDER TO SHOW CAUSE scheduled on April 06, 2009 at 10:30 AM
with Judge Chadsworth

02-27-09 Filed: Motion and order show cause
Filed by: INTERESTED PARTY,

02-27-09 FTC issued - February 27, 2009

06-30-09 Fee Account created Total Due: 0.00

02-27-14 Warrant recalled on: February 27, 2014 Warrant num: 18646546
Recall reason: Warrant recalled because of expiration date.

03-03-14 Note: Filed to Judge, need order on file.

03-07-14 Ruling Entry - ENTERED ORDER
Judge: Thad Chadsworth
COURT REISSUES WARRANT \$2,000.
00 CASH ONLY

03-07-14 Notice - WARRANT for Case 18646546 9179389

03-07-14 Warrant ordered on: March 07, 2014 Warrant Num: 18646546
Bail Only
Bail amount: 2000.00

03-07-14 Warrant issued on: March 07, 2014 Warrant Num: 1781357 Cash
Bail Only
Bail amount: 2000.00
Judge: Thad Chadsworth
Issue reason: The defendant has failed to pay or appear as ordered.



Criminal History Justification Logs



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Criminal History Justification Logs

TRANS TYPE	PURPOSE CODE	AUDIT PURPOSE	REQUESTER	USER ID	ORI	DATE/TIME	SEARCH TYPE	SEARCH CRITERIA
QH	C	18646746-001	FRENCH	KKAN	UT03011J	8/20/2018 1:56	SSN	9864564
QH	C	CRIMINAL JUSTICE	JUDGE BOB	KKAN	UT03011J	8/21/2018 1:46	SSN	5646564
CHQ	C	TRAFFIC CITATION	SAM	HQUINN	UT03011J	8/24/2018 3:56	NAME	WORLD,ERNEST
CHQ	C	TC 165856476	DUANE	NIGHT	UT03011J	8/28/2018 1:56	NAME	TRUNCHABLE, MRS
QH	J	BACKGROUND	HARLEY	MINOR	UT03011J	9/1/2018 1:56	SSN	54654646





Answer all 5 questions

Criminal History Logs Justification (if applicable)

Agencies that access Utah Criminal History (UCH) and/or Triple I (III) will be required to justify the purpose for the transactions. Please enter the justification next to each log entry by answering the following questions:

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





TRANS TYPE	PURPOSE CODE	AUDIT PURPOSE	REQUESTER	USER ID	ORI	DATE/TIME	SEARCH TYPE	SEARCH CRITERIA	Why?	Correct purpose code?	Correct requestor?	Specific auditing purpose?
QH	C	18646746-001	FRENCH	KKAN	UT03011J	8/20/2018 1:56	SSN	9864564				
QH	C	CRIMINAL JUSTICE	JUDGE BOB	KKAN	UT03011J	8/21/2018 1:46	SSN	5646564				
CHQ	C	TRAFFIC CITATION	SAM	HQUINN	UT03011J	8/24/2018 3:56	NAME	WORLD,ERNEST				
CHQ	C	TC 165856476	DUANE	NIGHT	UT03011J	8/28/2018 1:56	NAME	TRUNCHABLE,MRS				
QH	J	BACKGROUND	HARLEY	MINOR	UT03011J	9/1/2018 1:56	SSN	54654646				





TRANS TYPE	PURPOSE CODE	AUDIT PURPOSE	REQUESTER	USER ID	ORI	DATE/TIME	SEARCH TYPE	SEARCH CRITERIA	Why?	Correct purpose code?	Correct requestor?	Specific auditing purpose?
QH	C	18646746-001	FRENCH	KKAN	UT03011J	8/20/2018 1:56	SSN	9864564	Warrant validation	Yes	Yes	Yes
QH	C	CRIMINAL JUSTICE	JUDGE BOB	KKAN	UT03011J	8/21/2018 1:46	SSN	5646564	Protective order	Yes	Yes	No
CHQ	C	TRAFFIC CITATION	SAM	HQUINN	UT03011J	8/24/2018 3:56	NAME	WORLD,ERNEST	DUI	Yes	Yes	No
CHQ	C	TC 165856476	DUANE	NIGHT	UT03011J	8/28/2018 1:56	NAME	TRUNCHABLE,MRS	?	?	?	?
QH	J	BACKGROUND	HARLEY	MINOR	UT03011J	9/1/2018 1:56	SSN	54654646	New janitor	No	Yes	Yes



TRANS TYPE	PURPOSE CODE	AUDIT PURPOSE	REQUESTER	USER ID	ORI	DATE/TIME	SEARCH TYPE	SEARCH CRITERIA
QH	C Y	WARRANT VAL 18646746-001 ✓	FRENCH Y	KKAN	UT03011J	8/20/2018 1:56	SSN	9864564 VALID
QH	C	CRIMINAL JUSTICE	JUDGE BOB	KKAN	UT03011J	8/21/2018 1:46	SSN	5646564
CHQ	C	TRAFFIC CITATION	SAM	HQUINN	UT03011J	8/24/2018 3:56	NAME	WORLD,ERNEST
CHQ	C	TC 165856476	DUANE	NIGHT	UT03011J	8/28/2018 1:56	NAME	TRUNCHABLE,MRS
QH	J	BACKGROUND	HARLEY	MINOR	UT03011J	9/1/2018 1:56	SSN	54654646



TRANS TYPE	PURPOSE CODE	AUDIT PURPOSE	REQUESTER	USER ID	ORI	DATE/TIME	SEARCH TYPE	SEARCH CRITERIA
QH	C Y	WARRANT VAL 18646746-001 ✓	FRENCH Y	KKAN	UT03011J	8/20/2018 1:56	SSN	9864564 VALID
QH	✓ C	19-014 PROTECTIVE ORDER CRIMINAL JUSTICE	JUDGE BOB ✓	KKAN	UT03011J	8/21/2018 1:46	SSN	5646564 VALID
CHQ	C ✓	18-1111 TRAFFIC CITATION	SAM ✓	HQUINN	UT03011J	8/24/2018 3:56	NAME	WORLD,ERNEST VALID
CHQ	C	TC 165856476 ?	DUANE	NIGHT	UT03011J	8/28/2018 1:56	NAME	TRUNCHABLE,MRS ?
QH	G J	NEW JANITOR BACKGROUND	HARLEY ✓	MINOR	UT03011J	9/1/2018 1:56	SSN	54654646 VALID



Questionnaire





**Utah Bureau Of Criminal
Identification
Auditing and Training Staff**

**BCI Compliance Audit Agency Questionnaire
2017-2020**

Agency Name and ORI:

Administrator Name, Title
and Email:

TAC Name, Email and
Phone:

Date:

FILES ACCESSED BY AGENCY

<input checked="" type="checkbox"/> NCIC Entry	<input checked="" type="checkbox"/> CH	<input checked="" type="checkbox"/> Driver License/Motor Vehicle
<input checked="" type="checkbox"/> NCIC Inquiry	<input checked="" type="checkbox"/> Court	<input checked="" type="checkbox"/> Statewide Warrant





DISSEMINATION

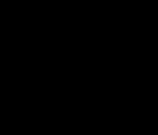
Does this agency store CJIS data in an RMS?



If so, what types of employees have access to the RMS?

What does this agency record in dissemination logs?

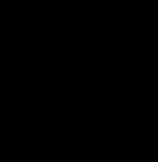
- Name of Requestor
- Type of Record Shared
- Intended Purpose
- Date
- Signature of Requestor
- Requesting Agency
- User ID





DISSEMINATION

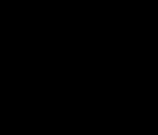
Does this agency store CJIS data in an RMS?	<input type="text"/>
If so, what types of employees have access to the RMS?	<input type="text"/> <i>Yes</i> <i>No</i>
What does this agency record in dissemination logs?	<input type="checkbox"/> Name of Requestor <input type="checkbox"/> Type of Record Shared <input type="checkbox"/> Intended Purpose <input type="checkbox"/> Date <input type="checkbox"/> Signature of Requestor <input type="checkbox"/> Requesting Agency <input type="checkbox"/> User ID





DISSEMINATION

Does this agency store CJIS data in an RMS?	
If so, what types of employees have access to the RMS?	
What does this agency record in dissemination logs?	<input type="checkbox"/> Name of Requestor <input type="checkbox"/> Type of Record Shared <input type="checkbox"/> Intended Purpose <input type="checkbox"/> Date <input type="checkbox"/> Signature of Requestor <input type="checkbox"/> Requesting Agency <input type="checkbox"/> User ID



DISSEMINATION

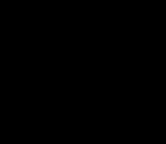
Does this agency store CJIS data in an RMS?	
If so, what types of employees have access to the RMS?	Type
What does this agency record in dissemination logs?	<input type="checkbox"/> Name of Requestor <input type="checkbox"/> Type of Record Shared <input type="checkbox"/> Intended Purpose <input type="checkbox"/> Date <input type="checkbox"/> Signature of Requestor <input type="checkbox"/> Requesting Agency <input type="checkbox"/> User ID





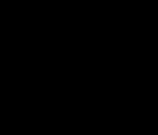
DISSEMINATION

Does this agency store CJIS data in an RMS?	
If so, what types of employees have access to the RMS?	Type
What does this agency record in dissemination logs?	<input type="checkbox"/> Name of Requestor <input type="checkbox"/> Type of Record Shared <input type="checkbox"/> Intended Purpose <input type="checkbox"/> Date <input type="checkbox"/> Signature of Requestor <input type="checkbox"/> Requesting Agency <input type="checkbox"/> User ID



DISSEMINATION

Does this agency store CJIS data in an RMS?	Yes
If so, what types of employees have access to the RMS?	Type
What does this agency record in dissemination logs?	<input type="checkbox"/> Name of Requestor <input checked="" type="checkbox"/> Type of Record Shared <input type="checkbox"/> Intended Purpose <input type="checkbox"/> Date <input type="checkbox"/> Signature of Requestor <input checked="" type="checkbox"/> Requesting Agency <input checked="" type="checkbox"/> User ID



Question Sections

- All agencies
 - Dissemination
 - Auditing and Training
 - Personnel Security
 - UCJIS Usage
- Depending on access
 - NCIC Inquiry
 - NCIC Entry
 - Utah Statewide Warrants
 - Driver License, Motor Vehicle

All Courts will be asked a special set of questions



UCJIS Usage Survey

List a purpose code only for those reasons that your agency would use UCJIS.

- Do not list a purpose code for those transactions that you don't run

UCJIS USAGE	
USAGE REASON	PURPOSE CODE
Adoption applicants	
Burglary investigation	
Business licensing	
Child custody/placement	
Ride along participants	
Criminal justice agency employment	
Jail visitors	
Volunteers working with children	
Dog catcher employment	
City or county employment (not with criminal justice agency)	
Domestic violence prevention advocates	
Fire department employment	
IT personnel with access to CJIS systems	
NCIC validations	
Right of access applicants	
Release of firearms from evidence	
Self-inquiries for training purposes	





- If your agency doesn't run adoption applicants, put don't run or leave it blank

UCJIS USAGE	
USAGE REASON	PURPOSE CODE
Adoption applicants	
Burglary investigation	C J D F X P A
Business licensing	
Child custody/placement	Don't Run
Ride along participants	
Criminal justice agency	



UCJIS USAGE

USAGE REASON	PURPOSE CODE
Adoption applicants	Don't Run
Burglary investigation	Don't Run
Business licensing	Don't Run
Child custody/placement	Don't Run
Ride along participants	Don't Run
Criminal justice agency employment	J
Jail visitors	Don't Run
Volunteers working with children	Don't Run
Dog catcher employment	Don't Run
City or county employment (not with criminal justice agency)	Don't Run
Domestic violence prevention advocates	Don't Run
Fire department employment	Don't Run
IT personnel with access to CJIS systems	J
NCIC validations	Don't Run
Right of access applicants	Don't Run
Release of firearms from evidence	Don't Run
Self-inquiries for training purposes	Don't Run





UCJIS USAGE

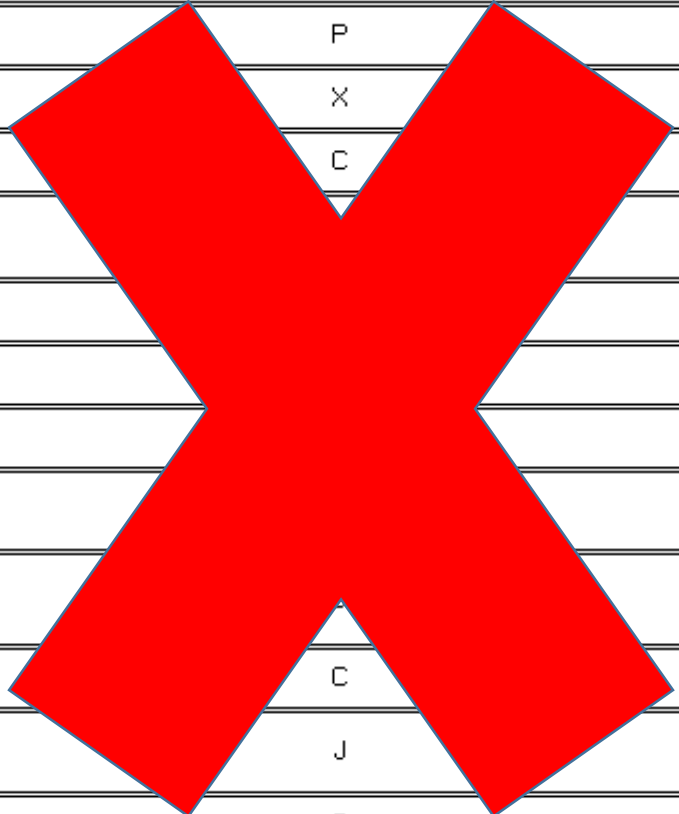
USAGE REASON	PURPOSE CODE
Adoption applicants	
Burglary investigation	
Business licensing	
Child custody/placement	
Ride along participants	
Criminal justice agency employment	J
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Volunteers working with children	
Dog catcher employment	
City or county employment (not with criminal justice agency)	
Domestic violence prevention advocates	
Fire department employment	
IT personnel with access to CJIS systems	J
NCIC validations	
Right of access applicants	P
Release of firearms from evidence	
Self-inquiries for training purposes	





UCJIS USAGE

USAGE REASON	PURPOSE CODE
Adoption applicants	C
Burglary investigation	C
Business licensing	P
Child custody/placement	X
Ride along participants	C
Criminal justice agency employment	
Jail visitors	
Volunteers working with children	
Dog catcher employment	
City or county employment (not with criminal justice agency)	
Domestic violence prevention advocates	
Fire department employment	C
IT personnel with access to CJIS systems	J
NCIC validations	C
Right of access applicants	P
Release of firearms from evidence	C
Self-inquiries for training purposes	J



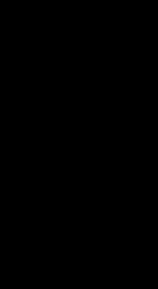
Additional Assessments





On-file Documents

- Agency User Agreement
- ORI Validation
- User/Non-User Security Agreement
- User Testing Agreement



On-file Documents

- Agency User Agreement
- ORI Validation
- User/Non-User Security Agreement
- User Testing Agreement

User ID	User Security Agreement	User Testing Agreement
faint	No	10/31/2017
fuzz	No	08-01-2016
man	No	
trap	Yes	
zz01	No	N/A
zz02	No	N/A
zz03	No	N/A
zz04	Yes	N/A
zz05	No	N/A
zz07	No	N/A
zz08	No	N/A
zzbest	No	



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zz05	No	N/A
zz07	No	N/A
zz08	No	N/A
best	No	



Fingerprints

- Has BCI received retainable fingerprints (after July 2015) for all users/non-users?



Fingerprints

User ID	Rap Back	Fingerprint Date	Comments
faint		2018-04-05	PRINTS REJECTED TWICE, NOT RETAINED BY FBI New prints due on 04/05/2020
fuzz	RAPBACK	2018-08-01	
man	RAPBACK	2015-08-05	AD';FGHAPERGAPHGA
trap			PRINTS DUE 09/24/2018
zz01		2015-06-01	
zz02		2018-01-01	
zz03			
zz04		2010-05-26	
zz05	RAPBACK	2015-12-10	
zz07		2003-12-10	
zz08	RAPBACK	2015-12-25	
zzbest			FP Rejected, new prints due 10/10/2018





Fingerprints

User ID	Rap Back	Fingerprint Date	Comments
faint		2018-04-05	PRINTS REJECTED TWICE, NOT RETAINED BY FBI New prints due on 04/05/2020
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trap			PRINTS DUE 09/24/2018
zz01		2015-06-01	
zz02		2018-01-01	
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zz05	RAPBACK	2015-12-10	
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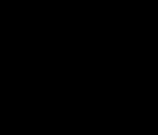
Warrant Quality Control





Warrant QC

- Is the warrant...
 - Valid?
 - Accurate?
 - Complete?



Valid?

SALT LAKE COUNTY, STATE OF UTAH

Plaintiff, : ARREST WARRANT
: Warrant No:
:
vs. : Case No
: OTN No:
: Judge: :
Defendant. : Date: March 7, 2014

CHARGES
1. UNLICENSED DRIVER - Class C Misdemeanor
2. OPERATING VEHICLE W/O INSURANCE - Class B Misdemeanor

To any Peace Officer in the State of Utah:
You are commanded to arrest and deliver the defendant to the Salt Lake County Jail.
A juvenile may not be confined in an adult facility.
Defendant may be transported within the county.
The defendant has failed to pay or appear as ordered.
Bail is set at \$2000.00, and must be posted as cash only.
This warrant may be served any time, day or night.
Issued: March 7, 2014

Law Enforcement Agency: UHP - SALT LAKE

Date: 3/7/14 By: [Signature]
CLINTON [Signature]
Justice
Defendant

Citation No:
Date of Birt
Driver Licen
Social Secur
Home Phone:
Vehicle Lice
Warrant Numh

Printed: 03/07/14 11:24:38 Page 1 (last)

- Is there a signed warrant from the Judge?



Valid?

SALT LAKE COUNTY, STATE OF UTAH

Plaintiff, : ARREST WARRANT
: Warrant No:
vs. :
: Case No
: OTN No:
: Judge: :
Defendant. : Date: March 7, 2014

CHARGES

1. UNLICENSED DRIVING

2. OPERATING VEHICLE WITHOUT INSURANCE

To any Peace Officer
You are commanded to take the defendant to the Salt Lake County Jail.

A juvenile may not be released from custody.

Defendant may be held in custody until the defendant has posted bail.

Bail is set at \$2,000.

This warrant may be issued on or after the date of the offense.

Law Enforcement Agency: _____

Date: 3/7/14

SALT LAKE COUNTY, STATE OF UTAH

vs.

CASE NUMBER: _____

CHARGES

Charge 1 - 53-3-202 - NO VALID LICENSE - NEVER OBTAINED LICENSE
Class C Misdemeanor
Offense Date: October 14, 2008
Plea: November 19, 2008 Guilty
Disposition: November 19, 2008 Guilty Plea

Charge 2 - 41-12A-302 - OPERATING VEHICLE WITHOUT INSURANCE
Class B Misdemeanor
Offense Date: October 14, 2008
Plea: November 19, 2008 Guilty
Disposition: November 19, 2008 Guilty Plea

CURRENT ASSIGNED JUDGE
CLINTON BALMFORTH

PARTIES
Defendant _____
Plaintiff - _____

Printed: 03/07/14

DEFENDANT INFORMATION
Defendant Name: _____
Date of Birth: _____
Law Enforcement Agency: _____
Prosecuting Agency: _____
Citation Number: _____

- Is there a signed warrant from the Judge?
- According to the docket, is the warrant still active?





Accurate?

- Are all names spelled correctly?
- Are all numbers entered correctly?



Complete?

- Any missing searchable information
 - Names, aliases
 - DL number
 - SSN
- Any missing descriptive information
 - DOB
 - Height/weight
 - Hair/eye color
 - Addresses



Subject: ANDY DUFRESNE

Index: 361536

[Add Info](#)

Alias: NONE

Cautions: NONE

DOB: 07/19/1987
Sex: null

Hgt: **Wgt:**

Eye: null **Hair:** null **Race:** null

Addresses: NONE

Phone: **Mobile Phone:**

E-mail Address: **Language:**

SSN: NONE

Driver License #: NONE

Driver License State: NONE

Vehicle Information: NONE

Booking Photos Available: NO

Physical Marking

Physical Marking Identifiers: NONE

Subject Comments: NONE

License Number: 190034066

ID Number: 214457145

Capture Date: 10-27-2017

[Click for ID Info](#)



Name: ANDY DUFRESNE

Date of Birth: 07/19/1978 **Age:** 40

License Status: DENIED
REINSTATEMENT
FEE

Expires: 11/18/2010

TYPE: TYPE:ORIGINAL

Class: D

Alternate Names (1)

Address: 4501 W 270

TABIONA UT 84125

COUNTY: DUCHESNE

UPDATED: 08-11-2009

SSN/TIN: 798413213

Sex: MALE

Height: 502

Weight: 125

Eye: BLK

Hair: BAL



Subject ANDY DUFRESNE

Index: 361536

Add Info

Alias: NONE

Cautions: NONE

DOB:

Sex: null

07/19/1987

Hgt:

Wgt:

Eye: null

Hair: Race:

null null

Addresses: NONE

Phone:

Mobile Phone:

E-mail Address:

SSN: NONE

Language:

Driver License #: NONE

Driver License State: NONE

Vehicle Information: NONE

Booking Photos Available: NO

Physical Marking

Physical Marking Identifiers: NONE

Subject Comments: NONE

License Number: 190034066

ID Number: 214457145

Capture Date: 10-27-2017

Click for ID Info



Name: ANDY DUFRESNE

Date of Birth: 07/19/1978

Age: 40

License Status: DENIED REINSTATEMENT FEE

Expires: 11/18/2010

TYPE: TYPE:ORIGINAL

Class: D

Alternate Names (1)

Address: 4501 W 270
TABIONA UT 84125
COUNTY: DUCHESNE
UPDATED: 08-11-2009

SSN/TIN: 798413213

Sex: MALE

Height: 502

Weight: 125

Eye: BLK

Hair: BAL



Warrant

Warrant Status: ACTIVE

Add Warrant C

Last Service Status:

Offense: MURDER

Class: F1

DV:

Statute: 76-5-203

Agency: BCI

Violation Date: 03/10/1947

Warrant Number: 471234564

Warrant Type:
ARREST

OTN: 475664

Serve Warrant

Bail: \$1000007

Court:

Court Case #: 18654654

D3065 GOTHAM CITY JUSTICE COURT

Issue Date: 11/27/2012

Judge: DMC

Expiration Date:

Originating Agency:

Agency Case #:

Mandatory Appearance: YES

Transportation:

HOLD FOR TRANSPORT STATEWIDE

Procedure: PROCEDURE - * FELONY - CHECK NCIC * ARREST AND NOTIFY ORIG AGENCY ABOVE



Message Details

ORI:

UT0300100

Message Type:

SW

Message:

Served Warrant Notify
2018-08-27T13:30:00-06:00
A Warrant has been served on the Statewide Warrants System
Name of wanted person is: ANDY DUFRESNE
Originating agency ORI is: UT0300100
Originating agency case number is: 47-346454
Court issuing warrant is: D3065
Court case number is: 4897676
Court warrant number is: 4897676
Offense is: MURDER
Agency ORI that served warrant: UT030013C
County Jail code is: 30
END OF MESSAGE

Start Date:

08-27-2018 13:31



Audit Response



Compliance Response

- Each issue must be responded to

COMPLIANCE SUMMARY

BCI COMPLIANCE AUDIT SUMMARY FOR UT030015J, GOTHAM CITY JUSTICE COURT, 09/24/2018

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 SECURITY AGREEMENT

USER TESTING AGREEMENT

VALIDATION PROCEDURES

PURPOSE CODES

VALIDITY/ACCURACY OF SWW ENTRIES



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.



Reminders

- Before
 - Review your REPT
 - Submit all Security and Testing Agreements
 - Submit or re-submit any non-retained fingerprints
 - Review your policies
- During
 - Answer all questions
- After
 - Formally respond
 - Address all compliance issues



Questions?



