

## N-DEx: Law Enforcement National Data Exchange

### Local Agency Self-Audit Questionnaire

#### System Users

- |   |     |    |     |
|---|-----|----|-----|
| 1. Confirm the N-DEx Agency Coordinator (NAC).  | YES | NO |     |
| 2. Confirm that N-DEx access is limited to agency personnel who perform the administration of criminal justice.   | YES | NO |     |
| 3. If the CSA has delegated user management to the agency, confirm that the agency ensures the minimum screening requirements for individuals requiring access to criminal justice information are met. |     |    |     |
| National fingerprint-based record checks  | YES | NO | N/A |
| State of residency check  | YES | NO | N/A |

#### System Usage

4a. Confirm that the agency accesses N-DEx only for the following:

- |   |     |    |
|---|-----|----|
| Law enforcement investigations          | YES | NO |
| Pretrial release investigations         | YES | NO |
| Intake investigations                   | YES | NO |
| Correctional institution investigations | YES | NO |
| Pre-sentence investigations             | YES | NO |
| Supervision investigations              | YES | NO |
| Data administration/management          | YES | NO |
| Training                                | YES | NO |

4b. Confirm that the agency DOES NOT access N-DEx for the following:

- |                                   |     |    |
|-----------------------------------|-----|----|
| General background investigations | YES | NO |
| General licensing                 | YES | NO |
| Employment purposes               | YES | NO |

Background or security clearance investigations YES NO

Benefit eligibility checks YES NO

*If the agency queries N-DEx for any other reason not listed, please contact your state program to ensure compliance.*

5a. Determine if the agency relies on (use or include in publications or presentation of charts, presentations, official files, analytical products) N-DEx information.

YES NO

(1) If yes, confirm that the agency obtains advanced permission.

YES NO

(2) If yes, confirm that the agency verify completeness, timeliness, accuracy, and relevancy with the record-owning agency.

YES NO

5b. Determine if the agency takes action upon (use in judicial, legal, administrative, or other criminal justice process) N-DEx information?

YES NO

(1) If yes, confirm that the agency obtains advanced permission.

YES NO

(2) If yes, confirm that the agency verify completeness, timeliness, accuracy, and relevancy with the record-owning agency.

YES NO

5c. Determine if the agency secondarily disseminate N-DEx information outside the agency.

YES NO

(1) If yes, confirm that the agency obtains advanced permission.

YES NO

(2) If yes, confirm that the agency verify completeness, timeliness, accuracy, and relevancy with the record-owning agency.

YES NO

6. Determine if the agency secondarily disseminate CHRI obtained through N-DEx.

YES NO

a. If yes, and that agency is not part of the releasing agency's primary information exchange agreement, confirm that the agency logs the dissemination.

YES NO

### **III Maintenance and Disposal**

(Applicable ONLY if agency accesses III via the N-DEx)

7. Determine if the agency maintains hard copy CHRI obtained via the N-DEx.

YES NO

a. If yes, confirm that the hard copies are maintained in a secure location.

YES NO

8. Confirm that the disposal of hard copy CHRI obtained via the N-DEx is by either shredding or burning.

YES NO

### **NCIC Hit Confirmation**

(Applicable ONLY if agency accesses NCIC via the N-DEx)

9. Confirm that when the agency has taken action (i.e. arrest, detain, seize property) based on an N-DEx/NCIC hit, that the agency confirmed the hit with the NCIC entering agency.

YES NO N/A

10. Ensure that after hit confirmation a locate was placed.

YES NO

### **Training**

11. Confirm that all N-DEx system operators are trained on policy matters and data use rules on a biennial basis.

YES NO

12. Confirm that basic security awareness training is conducted within 6 months of initial assignment and biennially thereafter for all personnel who have access to criminal justice information.

YES NO

13. Confirm that users of leveraged CJIS Systems (NCIC, III) are trained in accordance with leveraged system training requirements (Applicable only if NCIC and/or III are accessed through N-DEx).

YES NO N/A

14. Confirm that all individuals with physical and logical access to N-DEx information (IT staff, etc.) are trained on N-DEx data use.

YES NO

15. Confirm that training records are maintained (applicable ONLY if the local agency is responsible for training).

YES NO N/A

### **User Agreement**

(Applicable ONLY if agency accesses the N-DEx through the CSA network)

16. Confirm that the agency has executed a User Agreement with the CSA that outlines the agency's N-DEx responsibilities.

YES NO N/A