National Crime Information Center Audit

Audit Objective(s)/Scope

The objective of the NCIC Audit is to review every state and federal CSA with access to NCIC every three years to ensure the integrity and reliability of data maintained in FBI CJIS systems. The audit assesses the performance of the CSA in administering NCIC access and services. This is accomplished through a review of administrative policies and data quality procedures at the CSA and local agencies within the jurisdiction of the CSA. Assessments are made based on policies set forth in the *NCIC 2000 Operating Manual*, *CJIS Security Policy*, Advisory Policy Board (APB) Bylaws, and applicable federal laws.

Overview of the Process

Pre-audit

Prior to the on-site audits, the CAU auditors contact the CJIS Systems Officer (CSO) and local agency representatives to schedule the audit date and to give an overview of the audit process. They also gather basic audit information and discuss pre-audit responsibilities.

The CSA pre-audit questionnaire is used to assist the audit manager in gathering pertinent information prior to the on-site visit. Information gathered from the pre-audit questionnaire is used to formulate additional questions to be answered during the on-site visit and to assist in determining policy compliance. Additionally, the pre-audit questionnaire is used as a tool by audit managers to prepare information sheets for local auditors, outlining/summarizing the CSA's audit program and procedures.

The local pre-audit packet is used to assist local auditors in determining the agency's compliance with NCIC policies and procedures. This information is mailed prior to the audit and reviewed during the on-site visit.

Assessment

During the CSA visit, the audit manager interviews the CSO and CSA personnel to determine the CSA's adherence to NCIC policies and procedures.

During local audits, auditors conduct interviews with local agency representatives to determine the agency's adherence to NCIC policies and procedures. Additionally, an on-site data quality review is conducted. The validity, accuracy, completeness, and timely entry/removal of records are verified during the data quality review. Auditors compare NCIC records against agency case files and document audit findings. Upon completion of the on-site interviews and data quality reviews, auditors determine compliance with FBI NCIC policies and procedures.

Post-audit

After the audit, a draft FBI NCIC audit report is forwarded to the CSO for review and comment. The report includes findings from the interviews with the agency personnel, the data quality reviews, and required actions for compliance.

CSOs are requested to review the draft report and respond to required actions, if any, by indicating corrective actions. The CSO's response is incorporated into the Executive Summary of the report. Once the response is added to the report, a final report is prepared and sent to the CSO.

The CAU provides the Executive Summary of the final report, which includes the CSO's response to the required actions, to the CJIS APB's CES for review and appropriate action. The CES will continue to monitor the audit corrective actions until appropriate remedial action has been taken.