

Noncriminal Justice Agency (NCJA) Audit

SECTION: Agency Information

Agency ORI

Mailing Address

Physical Address

Primary Phone Number

Agency Contact Name and E-mail Address

SECTION: Instructions

Please read carefully and answer each question. If there is a question that does not apply to your agency, please indicate DNA (Does Not Apply). Your response should indicate the agency procedure as it relates to the different areas of the Noncriminal Justice use of CHRI. If you need assistance please contact the CJIS Compliance Staff at cjistraining@ky.gov.

SECTION: Authorization

1. What is the specific Kentucky Revised Statute (KRS) which authorizes your agency to obtain fingerprint-based Criminal History Record Information (CHRI)? *fill in the blank*

SECTION: Access & Training

1. At your agency, who is authorized to access/view the CHRI? *fill in the blank*
2. At your agency, do you submit fingerprints, for the required background check, on all person with access to CHRI? *yes/no*
3. At your agency, have your personnel completed Security Awareness Training (SAT) within 6 months of authorization for CHRI access? *yes/no*
4. At your agency, are authorized personnel completing SAT recertification every 24 months? *yes/no*

SECTION: Security of CHRI

1. At your agency, is there a policy regarding security of CHRI? *yes/no*
 - a. If Yes – Provide your Auditor a copy of your agency CHRI Security Policy.
2. Does your agency store CHRI results? *yes/no*
 - a. How is CHRI results stored? *choose all that apply*
 - i. Electronically
 - ii. Secured storage area
 - iii. Both electronically and in a secured storage area
 - iv. Other
 - b. How is CHRI destroyed? *fill in the blank*
3. Are only authorized personnel allowed access to stored CHRI results? *yes/no*

4. How does your agency prevent unauthorized CHRI access? *fill in the blank*
5. How long does your agency retain CHRI results? *fill in the blank*
6. Is Secondary Dissemination allowed at your agency? *yes/no*
 - a. If Yes – Provide your Auditor a copy of your agency's Secondary Dissemination log?

SECTION: Fingerprint Submission

1. At your agency, explain the process for verifying the identity of the applicant at the time of fingerprinting. *fill in the blank*
2. At your agency, do you ensure the applicant's fingerprint card is complete and accurate? *yes/no*
3. According to FBI regulations, are you notifying the applicant that their fingerprints will be used to check the criminal history records of the FBI? *yes/no*
 - a. Is your agency providing notification in writing? *yes/no*
4. According to FBI regulations, are you notifying the applicant of the CHRI review and challenge process? *yes/no*
 - a. If Yes - Is your agency providing notification in writing?
5. What steps does your agency take to protect the integrity of the fingerprints card and to prevent tampering with the card prior to submission to KSP? *fill in the blank*