

Show with Compliance Responses

## IL CJA Admin Audit

### Section: A. Management Control and Agreements

#### 1). Which of the following describes your agency?

» (Choose One Answer Only)

Criminal justice agency under the management control of a criminal justice administrator (chief, sheriff, director, state's attorney, etc.)

Non-criminal justice communications/dispatching center

Non-criminal justice agency (DCFS, IDOT, NICB, etc.)

» Primary question answer 2 selected

#### 1). Has an Inter-Agency Agreement been signed by the *current* agency heads?

Yes

No

#### 2). Has a LEADS Agreement with applicable addenda (CHRI, CHF), signed by the current agency head, been submitted to LEADS Administration?

Yes

No

#### 3). Does your agency provide LEADS/NCIC service to other agencies?

Yes

No

» Primary question answered Yes

#### 1). Please list the agencies to which your agency provides LEADS services (inquiry, entry, messaging, etc.).

#### 2). Have Message Service and/or Holder of the Record agreements been executed when applicable, reflecting the signatures of the current agency heads?

Yes

No

### Section: B. Security Enforcement

#### 1). Does your agency have within its rules and regulations a policy that addresses LEADS/NCIC misuse (i.e., unauthorized use, unauthorized access and/or dissemination, selling of data, etc.)?

Yes

No

**2). Has your agency had an instance of LEADS misuse since your last LEADS audit?**

» (Choose One Answer Only)

- Yes
- No
- N/A

» Primary question answer 1 selected

**1). Was written notification sent to LEADS Administration detailing the investigation, findings, and corrective action taken?**

- Yes
- No

**3). Have all agency personnel who directly or indirectly access LEADS/NCIC been fingerprinted on the Criminal Justice Applicant fingerprint card and been assigned a State Identification (SID) number by the ISP Bureau of Identification?**

- Yes
- No

**Section: C. Certification and Training**

**1). Is the LEADS Agency Coordinator (LAC) certified at the appropriate level?**

- Yes
- No

**2). Are users who access LEADS/NCIC directly or indirectly certified or trained at the appropriate level?**

- Yes
- No

**3). Are users who fail to recertify by their expiration date taking the initial certification course rather than the recertification course?**

- Yes
- No

**Section: D. LEADS Daily Briefing**

**1). Does your agency have a process to ensure that all LEADS users (including MDC and handheld users) read and understand the Daily Briefing contents?**

» (Choose One Answer Only)

- Yes
- No
- N/A

**2). If your agency provides LEADS service to another agency that only accesses LEADS via an MDC, do you provide copies of the LEADS Daily Briefing to these agencies/officers?**

» (Choose One Answer Only)

- Yes

No  
N/A

**Section: E. Registry Maintenance and Agency Information (Please remember to send your Agency Contact Sheet to your auditor, if you have not done so already).**

**1). Is agency information in the NLETS ORION and NCIC ORI files correct for not only your own agency, but also for those agencies to which you provide LEADS service (MDC only or non-terminal agencies)?**

Yes  
No

**2). Does your agency have LEADS 2000 access?**

Yes  
No

» Primary question answered Yes

**1). Are the LEADS 2000 Departmental and User Registries properly maintained by the LAC or delegate?**

Yes  
No

**Section: F. LEADS Dissemination**

**1). Is information obtained through LEADS/NCIC provided to any non-criminal justice individuals, organizations, government agencies, corporations, etc.?**

Yes  
No

**1). Please list agency name(s), what information is provided, and how that information is provided.**

**Section: G. Criminal History Record Information (CHRI)**

**1). Does your agency access CHRI data via LEADS/NCIC?**

Yes  
No

**1). Please review the most recent CHRI monthly report your agency received from ISP. Do the REQ and ATN fields uniquely identify the person requesting the information (i.e., name, badge, etc.)?**

Yes  
No

**2). How long are the CHRI monthly reports sent by ISP to your agency retained?**

» (Choose One Answer Only)

- Not Retained
- 1 Month
- 6 Months
- 1 Year or Longer

**3). If your agency makes CHRI inquiries for any other authorized agencies (secondary dissemination), what method is used to log the dissemination? (Select all that apply)**

» (Choose All That Apply)

- N/A
- Other agency's ORI is used in the inquiry
- Secondary Dissemination log is maintained
- No logging is done

**4). Are all criminal history inquiries made by your agency related to a criminal justice purpose?**

- Yes
- No

**5). Is the correct Purpose (PUR) code used when making CHRI inquiries?**

- Yes
- No

## Section: H. Broadcast Messages

**1). Has your agency had any broadcast message violations since your last LEADS audit?**

» (Choose One Answer Only)

- Yes
- No
- N/A

**2). Have personal, unofficial messages been transmitted over LEADS/NLETS since your last LEADS audit?**

» (Choose One Answer Only)

- Yes
- No
- N/A

## Section: I. Computerized Hot File (CHF) - File Specific Questions

**1). Does your agency enter Computerized Hot File (CHF) records?**

**OR**

**Does your agency have CHF entries made on its behalf by another agency?**

- Yes
- No

**1). When taking a missing person report on someone 18 years of age and over, does your agency have the complainant sign a statement authorizing entry into LEADS/NCIC and taking full responsibility for the entry?**

» (Choose One Answer Only)

- Yes
- No
- N/A

**2). When taking a missing person report on someone under the age of 21 or considered "high risk", is the record entered into LEADS/NCIC within two (2) hours of the report?**

» (Choose One Answer Only)

- Yes
- No
- N/A

**3). Upon successful entry of a missing child into LEADS/NCIC, does your agency notify the parent or guardian when the entry has been made?**

» (Choose One Answer Only)

- Yes
- No
- N/A

**4). Does your agency make all necessary efforts to obtain dental record information for any missing person record in LEADS/NCIC for 30 days or longer and enter results in NCIC whether or not records are available?**

» (Choose One Answer Only)

- Yes
- No
- N/A

**5). When your agency has contact with someone entered in the Caution file or Gang file, is an Add-on documenting the contact attached to the LEADS entry?**

» (Choose One Answer Only)

- Yes
- No
- N/A

**6). If your agency encounters the Respondent of an unserved Order of Protection (OP) and serves the OP using the Short Form Notification (SFN) process, is an Add-on attached to the OP?**

» (Choose One Answer Only)

- Yes
- No
- N/A

**7). Does your agency perform address verification at least once a year for Sex Offenders registered with your agency and attach an Add-on documenting the address verification?**

» (Choose One Answer Only)

- Yes
- No
- N/A

**8). If your agency has CHF entries made on its behalf by another agency, please list the agency that provides this service.**

## Section: J. CHF maintenance

**1). Does your agency enter records into the Computerized Hot Files (CHF)?**

- Yes
- No

**1). Prior to CHF entry, does your agency conduct prerequisite inquiries to obtain additional identifiers and information and include it in the CHF record?**

- Yes
- No

**2). Does your agency ensure CHF records are complete (record "packed"), i.e., data fields completed with proper coding, correct message key used, all available identifiers (alias names and DOBs, numeric identifiers, etc.) included?**

- Yes
- No

**3). Are caution indicators included with the message key (MKE) when supportive documentation and/or CHRI indicates caution should be used and is the reason for caution entered as the first item in the MIS field?**

- Yes
- No

**4). Does your agency ensure all CHF records are checked for accuracy and completeness by a second party within 24 hours of entry?**

- Yes
- No

**5). Are all CHF entries supported by a case report, warrant, order of protection, etc.?**

- Yes

No

**6). Is supportive documentation for CHF records available 24/7 either by direct access, telephone access, or computer access?**

Yes

No

**7). Does your agency maintain a file of active CHF entries, separated by entry category and agency serviced, that is available to LEADS operators 24 hours a day?**

Yes

No

**8). Does your agency promptly cancel records when notified or become aware that the legal intent has been satisfied or the record is no longer valid?**

Yes

No

**9). Is the reason for cancellation documented?**

Yes

No

**10). Is the LEADS cancellation acknowledgment retained?**

Yes

No

**11). When an entry is cancelled, is the record retained for at least one (1) year?**

Yes

No

**12). During the validation process, does your agency inquire on the LEADS/NCIC records to review for accuracy and completeness, compare to the case file, etc. and modify the entries as necessary?**

Yes

No

**13). Does your agency contact the complainant of each record on the monthly validation listing to verify if the record should remain active?**

Yes

No

**14). Does your agency contact the court during the monthly validation process to verify the validity of all warrants and other court orders (protection orders, civil no contact orders, stalking no contact orders, etc.)?**

» (Choose One Answer Only)

Yes  
No  
N/A

**15). Does your agency perform the LEADS computer transaction necessary to validate the LEADS/NCIC entry?**

Yes  
No

## Section: K. Wanted Person Records

**1). Does your agency enter wanted person records into LEADS/NCIC?**

Yes  
No

**1). When your agency receives a warrant from the court, is the LEADS entry made within 24 hours?**

Yes  
No

**2). Are geographic limits (GEO) included in the entry determined by the court?**

Yes  
No

**3). Are out of state extradition limitations determined prior to entry and are the limits indicated in the EXL (Extradition Limitation) field using the appropriate code?**

» (Choose One Answer Only)

Yes  
No  
N/A

**4). If out of state extradition limitations are not determined prior to entry is the record entered using code 6 or F (pending extradition determination)?**

» (Choose One Answer Only)

Yes  
No  
N/A

## Section: L. Order Of Protection Records

**1). Does your agency enter Order of Protection, Civil No Contact order, and/or Stalking No Contact order records into LEADS/NCIC?**

Yes  
No

**1). Are all orders entered into LEADS/NCIC on the same day they are issued by the court?**



Yes  
No

**2). Using Federal criteria, does your agency determine Brady firearm disqualification status?**

Yes  
No

**3). Prior to entry, does your agency make a FOID inquiry to determine if the Respondent has a valid FOID card and if he/she does, is a LEADS administrative message sent to ISP Firearms Services Bureau (CDC/KYW) advising the subject has a valid FOID card?**

Yes  
No

**4). When entering a Civil No Contact order into LEADS using the Order of Protection entry format, is "N" entered in Remedy 17/Other?**

» (Choose One Answer Only)

Yes  
No  
N/A

**5). When entering a Stalking No Contact order into LEADS using the Order of Protection entry format, is "K" entered in Remedy 17/Other?**

» (Choose One Answer Only)

Yes  
No  
N/A

## Section: M. Sex Offender Records

**1). Does your agency enter/modify sex offender records in LEADS/NCIC?**

Yes  
No

**1). Is the LEADS sex offender record entered or modified within three (3) days of the sex offender's registration date?**

Yes  
No

## Section: N. Hit Confirmation

**1). Does your agency send or receive hit confirmation messages?**

Yes  
No

**1). Does your agency respond to urgent hit confirmation requests within ten minutes and routine hit confirmation requests within one hour?**

» (Choose One Answer Only)

Yes  
No  
N/A

**2). Are computers that receive hit confirmation requests monitored 24/7?**

» (Choose One Answer Only)

Yes  
No  
N/A

**3). After confirmation by the entering agency, does your agency place a locate on the record?**

Yes  
No

**4). Are valid hits retained by your agency or the agency to which you provide LEADS service?**

Yes  
No

**5). In addition to the original hit response, what additional information, if any, is retained? (Check all that apply)**

» (Choose All That Apply)

Confirmation request/response messages  
How provided  
When disseminated  
To whom disseminated  
Locate transaction

**6). Is the hit information retained for a minimum period of seven (7) years?**

Yes  
No