VALIDATIONS

What is Validation?

Validation is the process of comparing the accuracy of computerized hot file (CHF) records against the supportive documentation

and

Verifying the status of the information with the complainant.

The purpose of validation is to correct or remove inaccurate, incomplete, or unsupported CHF records, reducing future civil liability for entering agencies resulting from false arrest or detention.

Validation is required by regulation for all agencies maintaining records in the LEADS and NCIC CHF records.

The following rules of validation apply to all agencies:

A record is valid if the CHF data in the agency's LEADS records are supported by documentation maintained by the agency.

CHF records in LEADS must be removed **immediately** when no longer valid. Promptness in entering, modifying, and clearing/cancelling records is essential to maintaining the integrity of the LEADS files.

All agencies having records in the LEADS CHF shall participate in the LEADS record quality control activities initiated by the department.

Validation of Records

- Accomplished by reviewing the original entry and current supporting documentation.
- Contacting the appropriate complainant, victim, prosecutor, court, motor vehicle registry files, or any other appropriate source or individual to determine record status.
- If the originating agency is unsuccessful in attempts to contact the victim, complainant, etc., the ORA shall make the determination, based on the best information and knowledge available, whether to retain or remove the entry. This decision should be documented in the hard copy of the record.

NOTE: It is recommended that **stolen gun** and **missing person** entries should be validated even when contact with the complainant cannot be made. Both files have an indefinite retention period. Furthermore, missing person entries are cross-checked by NCIC against all active unidentified person entries, which could produce a match and close an open case.

Validation Procedure

On or about the first Saturday or Sunday of the validation month, the Open Fox switch will generate an initial notification transaction to each ORI that has records in the system requiring validation.

It shall be the responsibility of the LEADS Agency Coordinator (LAC) to ensure each record is processed, any errors or omissions are corrected, inactive records are removed, and active records are being kept in the system by making the appropriate validation transaction.

Any record not appropriately validated within the authorized time period will be removed automatically from LEADS/NCIC.

Note: The Batch Validation function that was included with the launch of LEADS 3.0 has since been removed, records must be validated individually.

Validation Schedule

On a monthly basis, the NCIC System extracts active records on file for validation purposes. The validation includes a portion of each file and includes those records 60-90 days old. In addition, it includes any records 14-15 months old, 26-27 months old, 38-39 months old, etc. The validation schedule is as follows:

Example: October entries will be validated in January; November entries will be validated in February

Validation Month Queried	Month to be Validated	Month Overdue	Month Purged
JANUARY	OCTOBER	SEPTEMBER	AUGUST
FEBRUARY	NOVEMBER	OCTOBER	SEPTEMBER
MARCH	DECEMBER	NOVEMBER	OCTOBER
APRIL	JANUARY	DECMBER	NOVEMBER
MAY	FEBRUARY	JANUARY	DECEMBER
JUNE	MARCH	FEBRUARY	JANUARY
JULY	APRIL	MARCH	FEBRUARY
AUGUST	MAY	APRIL	MARCH
SEPTEMBER	JUNE	MAY	APRIL
OCTOBER	JULY	JUNE	MAY
NOVEMBER	AUGUST	JULY	JUNE
DECEMBER	SEPTEMBER	AUGUST	JULY

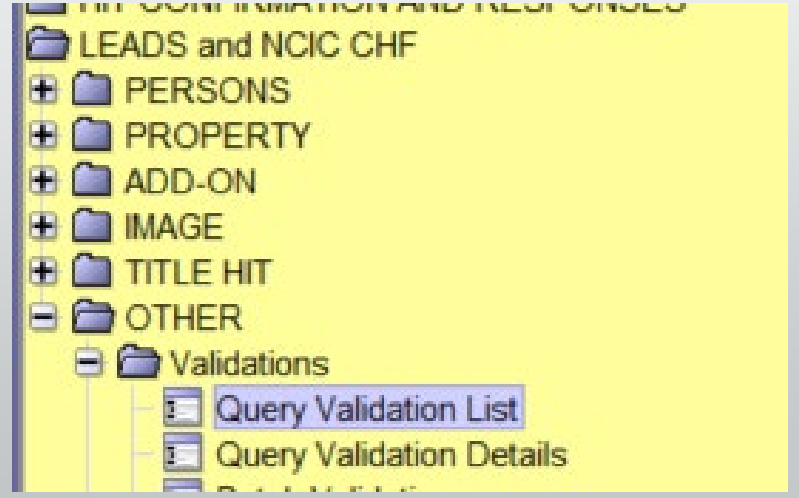
Step 1: Query Validation List (QVAL)

The QVAL transaction will return a summary of records that require validation by an ORI. This can be used at any time after the validations have been disseminated by LEADS and NCIC.

The QVAL form is found in the FORMS Tree:

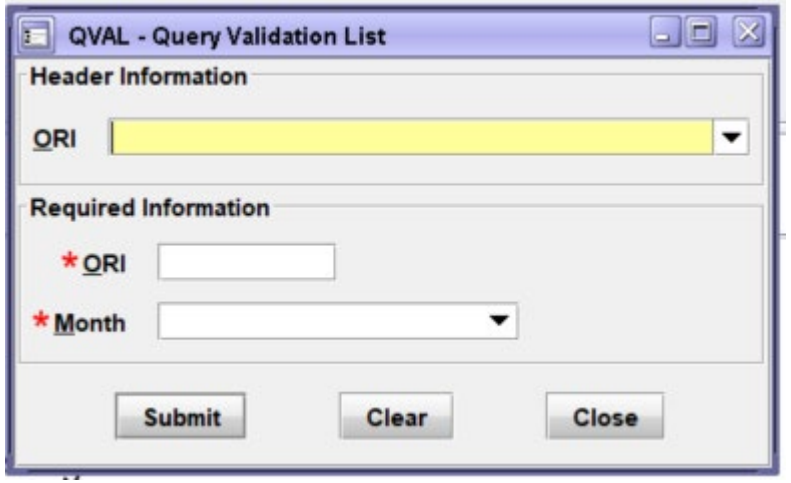
LEADS and NCIC CHF>>Other>>Validations>>Query Validation List

Note: **Only one agency/ORI can be queried at a time**. Consolidated agencies or those that service other agencies must make **separate queries for each agency.**



Required information:

- Agency ORI
- Validation Month



QVAL Response Example:

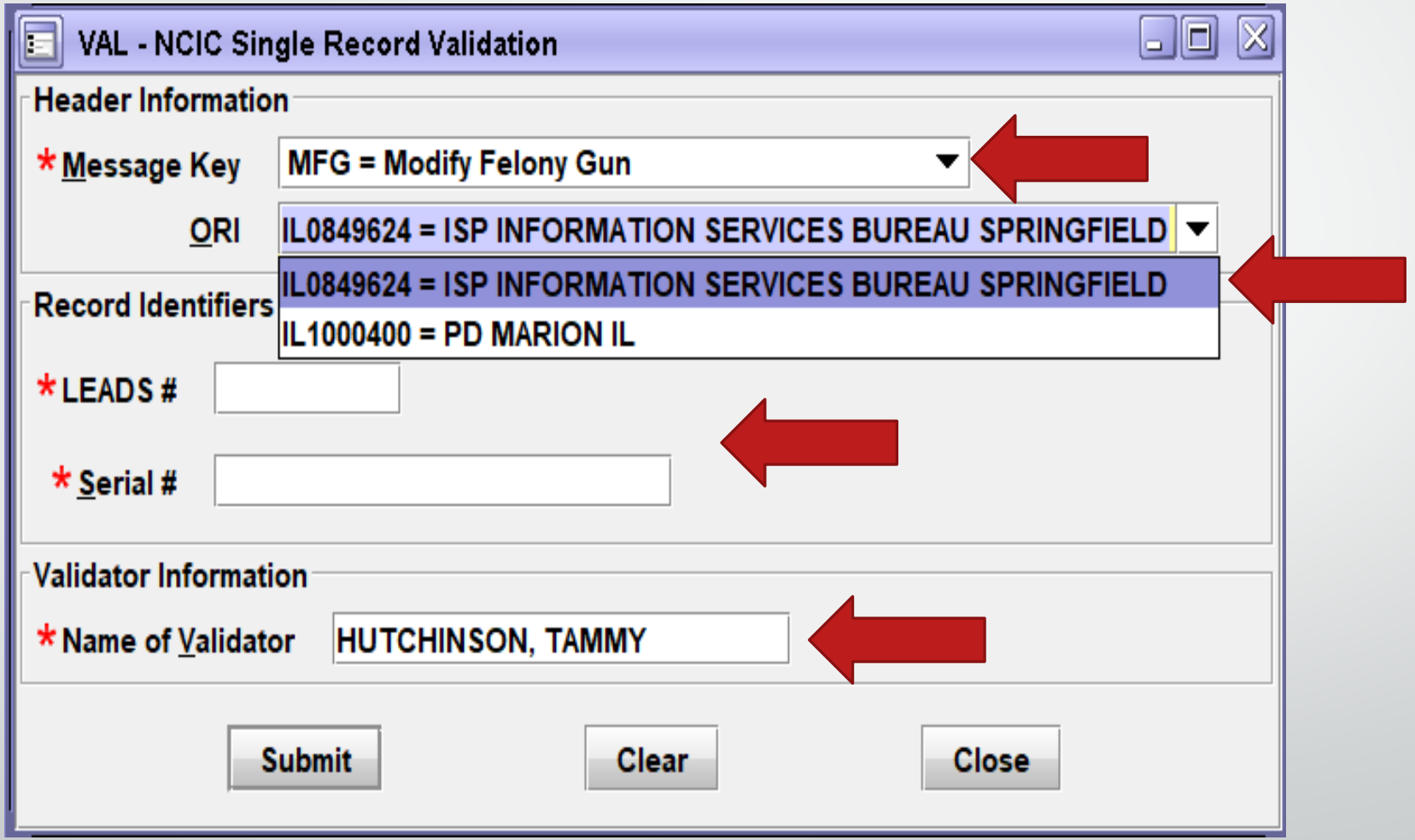
- The blue categories list how many of each record type need to be validated for the month and ORI queried.
- The categories are hot links, selecting will open the Query Validation Details Form (QVAD).

THE FOLLOWING IS A SUMMARY OF APRIL RECORDS REQUIRING VALIDATION BY AGENCY ORI/[redacted]

ARTICLES 2
FNP 42
GUNS 43
PLATES 5
VEHICLES 5
WANTED PERSON 7

TOTAL 104

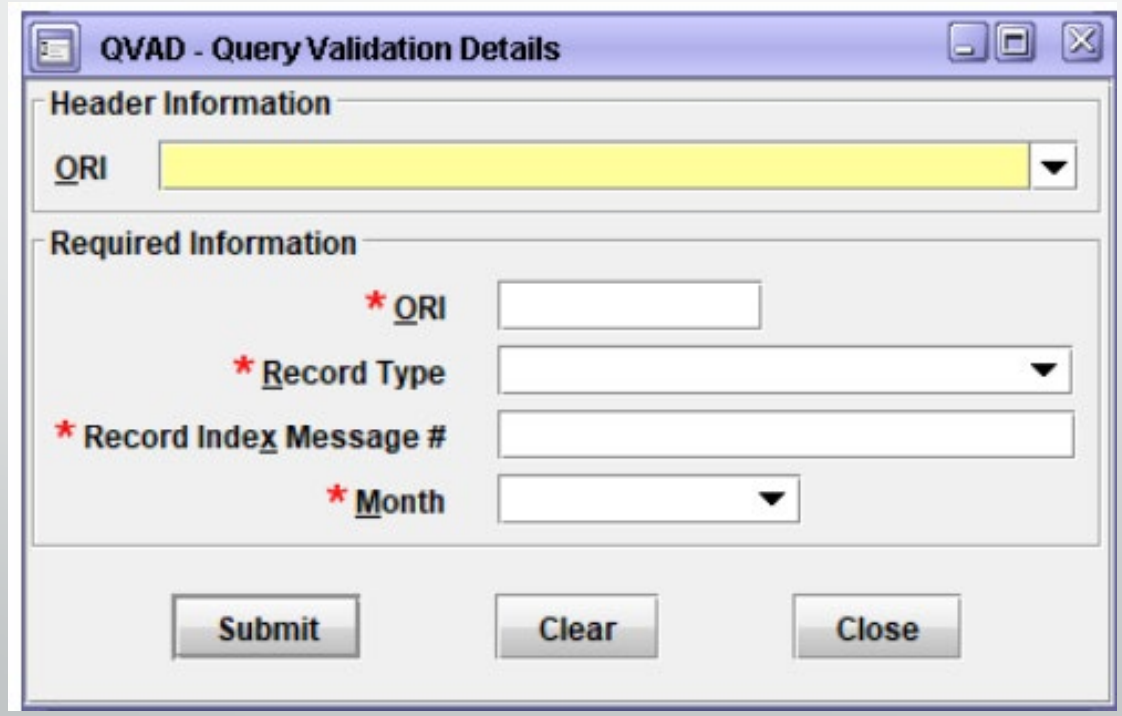
VALIDATION FORMAT SHOWING ORI DROP DOWN



Step 2: Query Validation Details (QVAD)

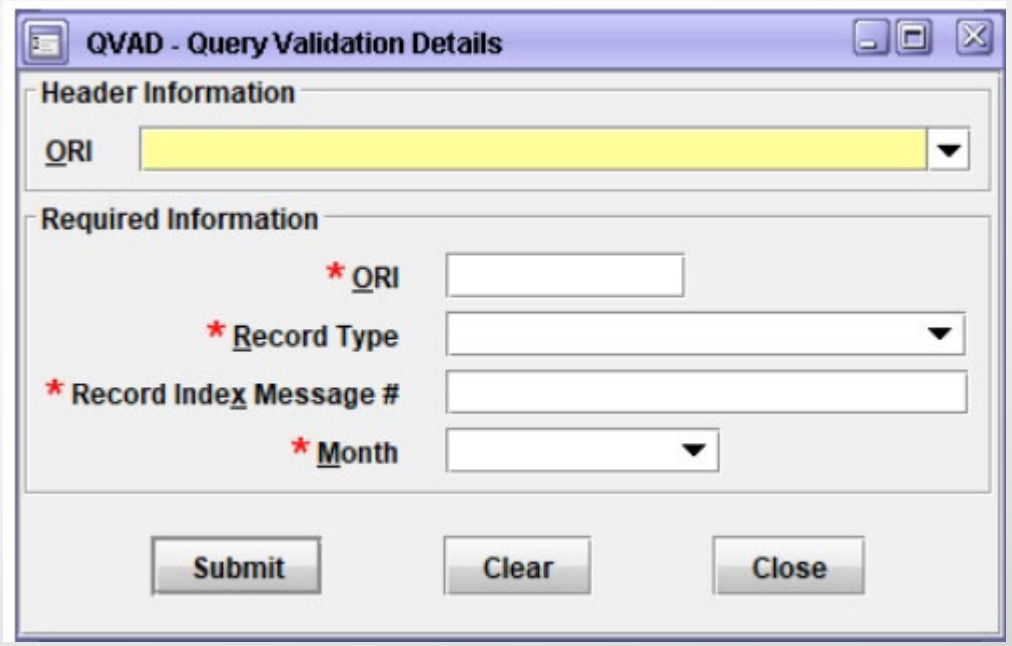
- The QVAD transaction is utilized to specify the type and number of records to be returned for validation processing.

- The QVAD form can be accessed via the menu tree or by using the blue hot link after querying the Validation List:

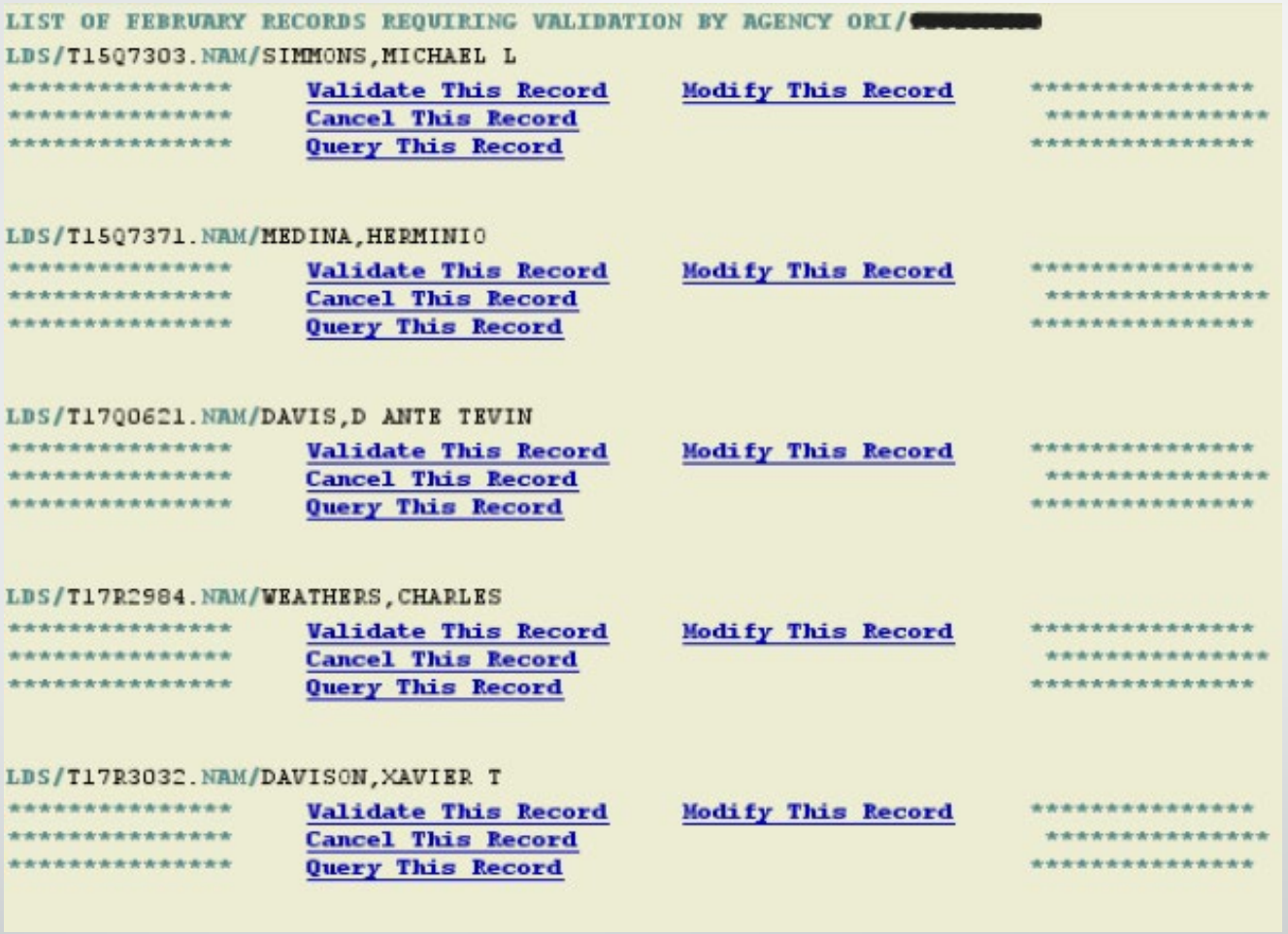


Required Information:

- ORI – Originating Agency Identifier
- Record Type: Select record type from drop down menu
- Record Index Message # - Range of record indexes to retrieve, up to 100. Example: 001-099. Note: if a record category has more than 100 records requiring validation you will have to search in 100 record increments until the list is exhausted
- Month – Validation file month



QVAD Response Example


LIST OF FEBRUARY RECORDS REQUIRING VALIDATION BY AGENCY ORI/[redacted]

LDS/T15Q7303.NAM/SIMMONS,MICHAEL L

********** Validate This Record Modify This Record **********
********** Cancel This Record **********
********** Query This Record **********

LDS/T15Q7371.NAM/MEDINA,HERMINIO

********** Validate This Record Modify This Record **********
********** Cancel This Record **********
********** Query This Record **********

LDS/T17Q0621.NAM/DAVIS,D ANTE TEVIN

********** Validate This Record Modify This Record **********
********** Cancel This Record **********
********** Query This Record **********

LDS/T17R2984.NAM/WEATHERS,CHARLES

********** Validate This Record Modify This Record **********
********** Cancel This Record **********
********** Query This Record **********

LDS/T17R3032.NAM/DAVISON,XAVIER T

********** Validate This Record Modify This Record **********
********** Cancel This Record **********
********** Query This Record **********

Each of the Blue categories are hot links that open the appropriate form with information auto-filled.

Step 3: Check Supporting Documentation

- Obtain supportive documentation for records being validated and compare to the record being validated.
- Agencies will also need to query the record to complete the comparison.

Step 4: Check Entry Acknowledgment

- Check the entry acknowledgement against the validation listing to:
  - Verify the LEADS number
  - Verify OCA and ORA information

Step 5: Second Party Quality Check

- Check the entry acknowledgement to ensure a second party quality check was done within 24 hours of the original entry being made.

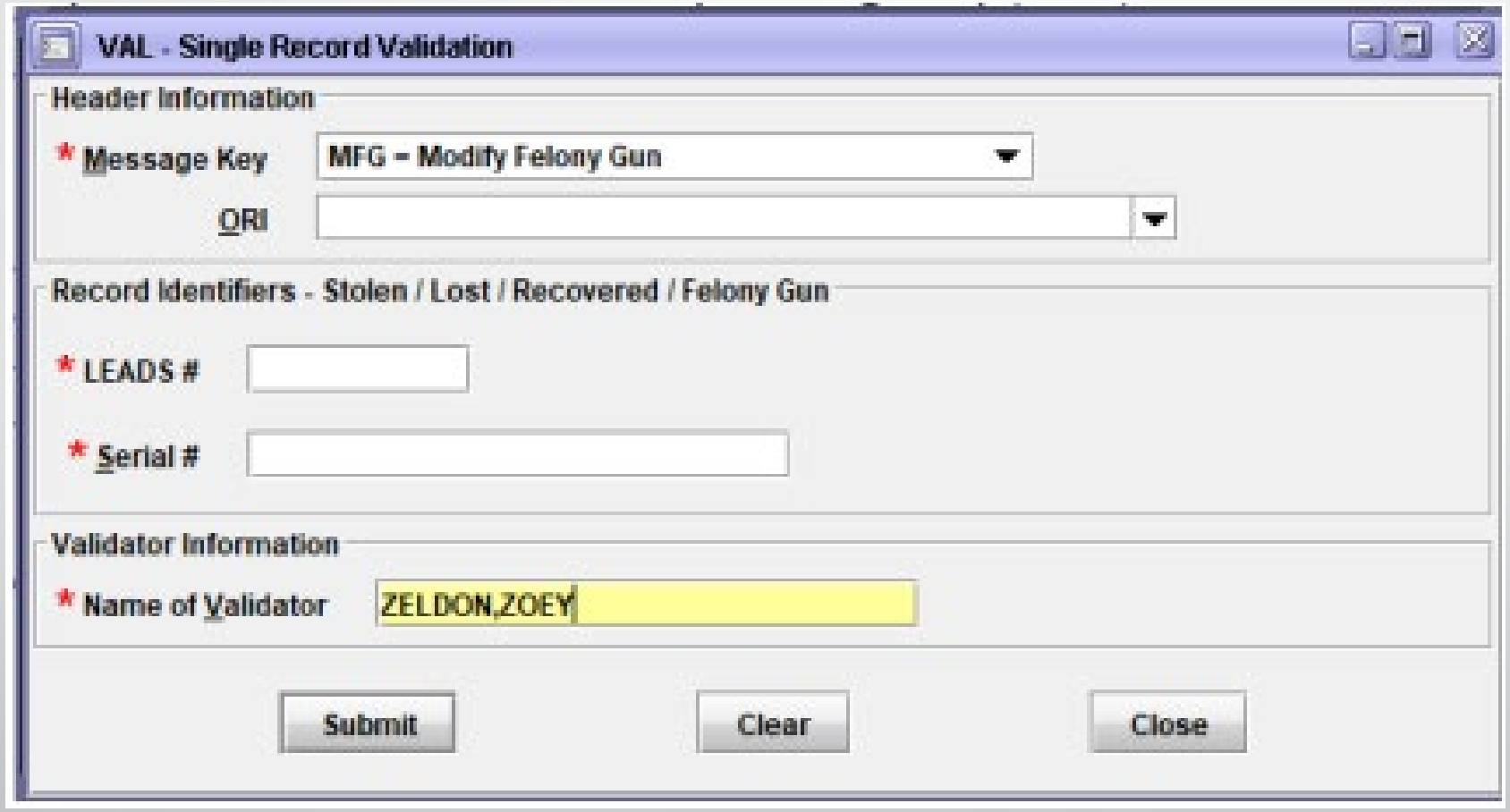
Step 6: Verifying the Entry

- Query the entry to:
  - Verify necessary information is maintained in the record (check against documentation).
  - Verify the accuracy of any data added, changed, or deleted since the entry was made.
  - For persons records, make pre-requisite (CHRI Summary, FBI III, etc.) inquiries to determine if any **new** identifiers (alias names, DOBs, SOCs, SID numbers, etc.) or **new** reasons for caution have been added since the time of the original entry or the time the record was last validated.
    - For example, a wanted subject may have new charges filed or new alias data in their criminal history since your agency's wanted entry was made (the subject may have been arrested in a jurisdiction that is outside the geographic limits of your warrant). Any new data that will help facilitate identifying or locating the subject should be added to the record at this time.

Step 7: Contact the complainant (via telephone, letter, in-person):

- Vehicles, Stolen Property, Missing Persons: contact is generally the original complainant or an insurance company.
- If unable to make contact, the ORA must determine whether to cancel or retain the record in LEADS/NCIC. Computerized Hot File records in both LEADS and NCIC must be removed immediately when no longer valid.
- Wanted Persons/Protection Orders: contact is the circuit clerk's or state's attorney's office.
- **Note:** Missing Persons and Stolen Guns **should remain active** even if contact with the complainant cannot be made. Agencies must continue to make attempts to contact the complainants.

Step 8: Validate/Modify/Cancel the Record Accordingly



Validation Rejects

In the event the validation transaction is rejected, check the following:

- Message Key: Ensure the message key selected matches the entry (Example: Stolen Gun vs. Felony Gun).
- Check that the ORI selected matches the ORI the record is entered under.
- Check that all required identifiers are an exact match (Name and DOB, VIN, Serial Number, etc.).

Validation of Protection Orders

Protection Order Records will be listed to validate within each month's validation query. Records listed will be:

- Those that have zeros in the Date of Expiration Field (EXP).
- Those that have a Date of Expiration greater than 2 years from the date issued (ISS).
- Those that do not have a date in the Date Served (SRV) Field.

Validation of Protection Orders

When validating these records, you should be reviewing those with zeros in the Date of Expiration Field (EXP) and those with Date of Expiration greater than two years from the date issued to determine if an actual Date of Expiration has been assigned.

- Check to see if an event prescribed by the court has occurred to cause the order to no longer be in effect. Date of Expiration should be modified accordingly, or the record should be removed.
- If the record is on the report due to not having a valid date in the Date Served Field (SRV), the field should be modified to reflect when the Order was served.
- It is not appropriate to take no action on Protection Orders if the record indicates that the Order has not been served. The file should be researched to determine if the served information was placed in an Add-On File. If this is the case the record should be modified with the date served placed in the SRV Field of the Master Record.
- As part of the validation process, **even if you modify the record to add dates, you must still validate the record**. As with other records on the validation report, failure to validate Order of Protection Records in the allotted time will result in the records being purged from the LEADS/NCIC Files.

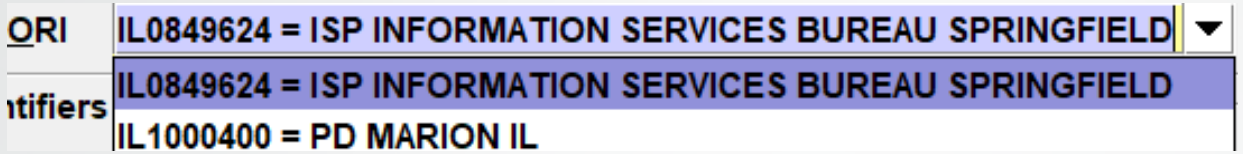
Step 9: Supporting Documentation for CHF Record

- Ensure each CHF record has documentation, including notes and printouts regarding all action taken since the establishment of the record.
- Retain the printout of the validation transaction modification with the record.

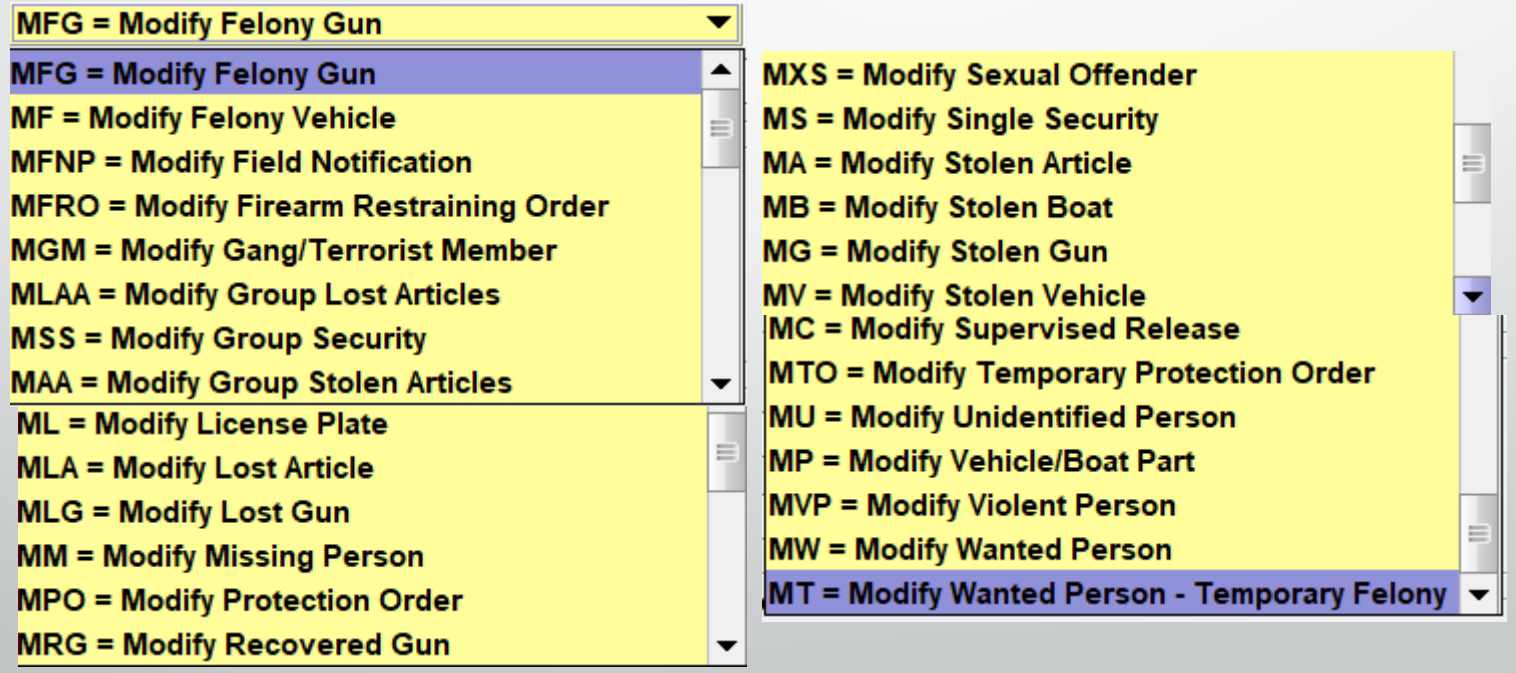
Step 10: Record Retention

- Retain the validation listing in your agency's files for at least 18 months.
  - This may be accomplished using either a paper print-out or the computerized version – agencies choice.

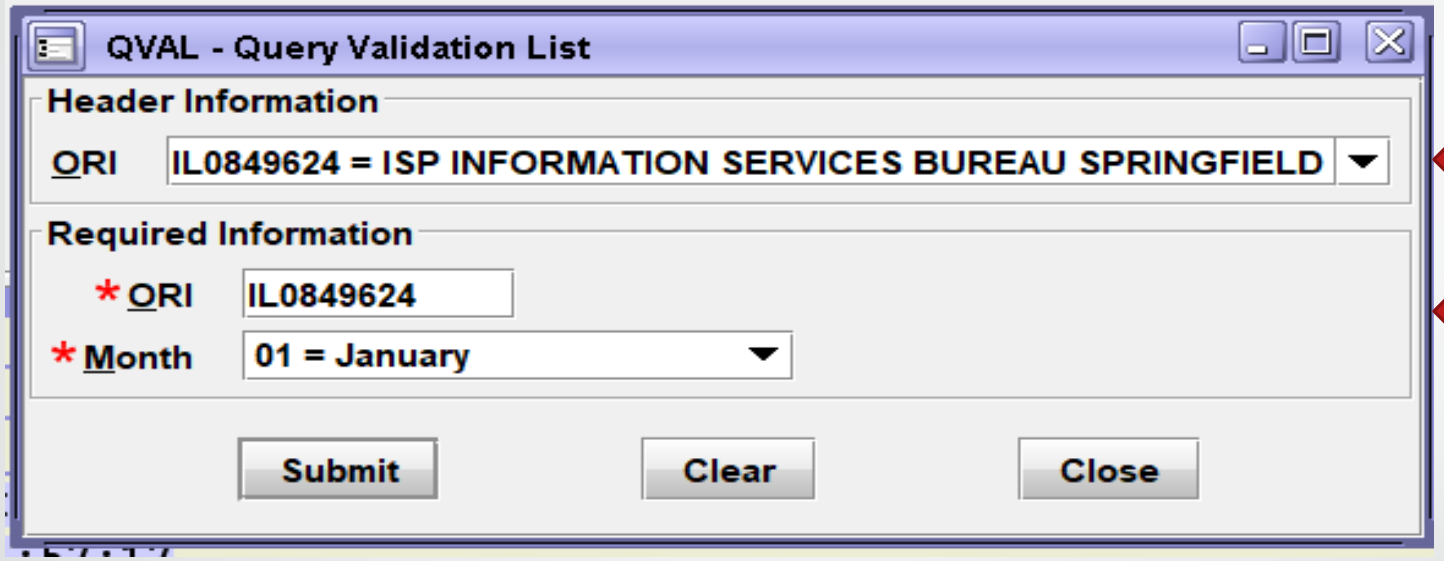
ORI DROP DOWN WHICH ALLOWS FOR VALIDATING RECORDS FOR OTHER AGENCIES YOU ENTER FOR



MKE's FOR VALIDATING RECORDS

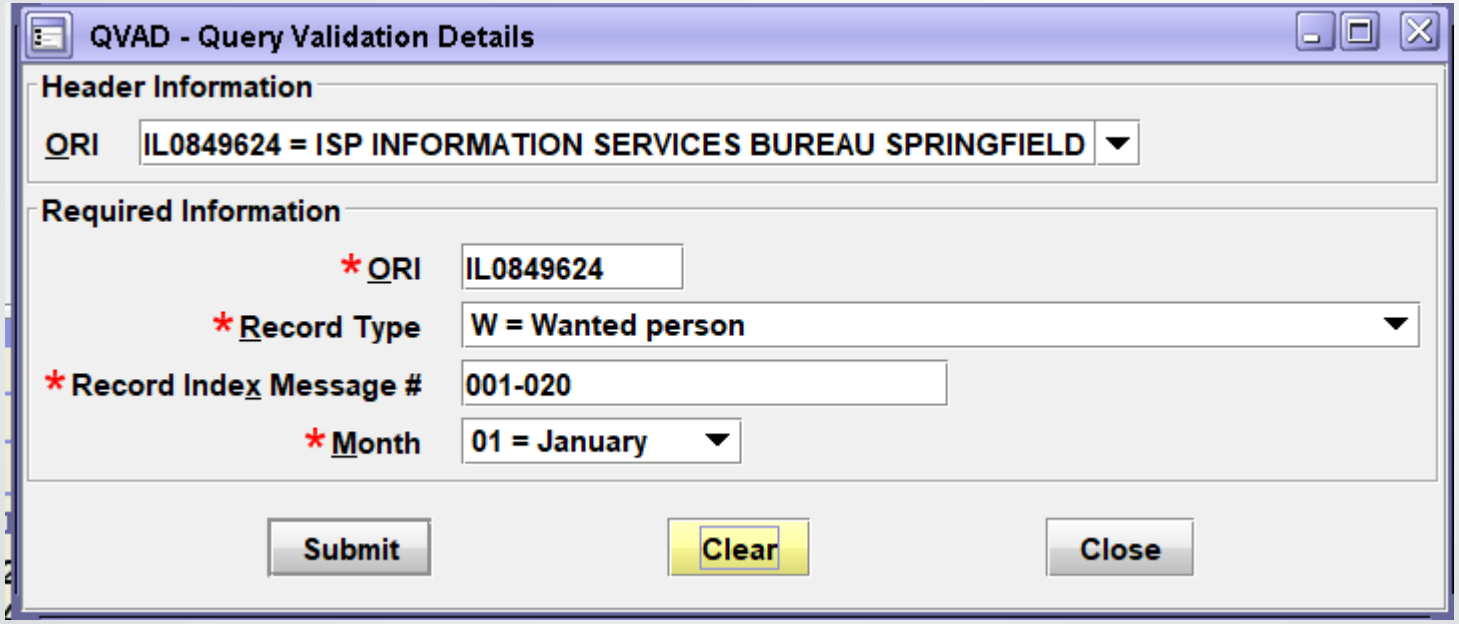


List of all records needing validated by ORI and month




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NO JANUARY RECORDS PENDING FOR VALIDATION BY AGENCY ORI/IL0849624
MRI 610 IN: FHFS 54 AT 02JUN2021 12:02:24
OUT: DZY 3 AT 02JUN2021 12:02:24
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Validation list by ORI, Record Type, Record Index Message # and Month




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LIST OF JANUARY RECORDS REQUIRING VALIDATION BY AGENCY ORI/IL0849624
MRI 617 IN: FHFS 56 AT 02JUN2021 12:04:24
OUT: DZY 4 AT 02JUN2021 12:04:24
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