Chapter 5

AUDITING AND ACCOUNTABILITY

5-1. **Purpose.** This chapter provides CJIS requirements for FDLE and FBI criminal justice compliance, technical, and non-criminal justice audits and related internal department processes and responsibilities.

5-2. **Scope.** This chapter is applicable to all Department of Children and Families employees and department contractors who are criminal justice information users and/or who are authorized for access to systems, applications, or devices containing criminal justice information.

5-3. **Purpose Code X Reviews.**

   a. Every month, FDLE reviews the Purpose Code “X” checks completed by the Hotline and attempts to match them to fingerprint livescan submissions that are submitted by the Circuits.

   b. FDLE creates a list of names it was unable to match and sends it to the TAC for a department review.

      (1) Each Circuit’s NCIC Point of Contact assists the TAC with completing the review, including obtaining information from child protective investigators and contract providers.

      (2) For errors or violations, the TAC may be required to detail what corrective action took place.

   c. FDLE may use the review results to determine when it will conduct on-site compliance audits. Failure to complete audits or audits that lack complete information may alert FDLE to the need for an on-site audit. FDLE reserves the right to conduct compliance audits at any time.

5-4. **Criminal Justice Compliance Audits.**

   a. FDLE conducts regularly scheduled compliance audits of every agency accessing the FCIC AND/OR NCIC systems to ensure network security, conformity with state and federal law, compliance with CJIS Security Policy (CSP), CJIS Advisory Board (APB) policies, and requirements detailed in the department’s user agreement with FDLE.

   b. FDLE and FBI compliance audits are normally scheduled triennially. However, compliance audits may be conducted at any time by FDLE or FBI CJIS audit staff.

   c. These audits are conducted on-site at the Hotline Physically Secure Location.

   d. The TAC is the department’s point of contact with FDLE concerning criminal justice compliance audits.

      (1) Notification of the audit will provided to the TAC in advance by FDLE or the FBI CJIS Audit Offices.

      (2) A preliminary audit package will be sent to the TAC who will be required to complete and return by a specified date.

      (3) Results of the audit will be provided by FDLE or the FBI in writing to the department’s agency head.
5-5. **Non-Criminal Justice Compliance Audits.**

   a. FDLE conducts regularly scheduled compliance audits of every agency obtaining Florida and/or National criminal history records via the Civil Workflow Control System (CWCS) to ensure conformity with state and federal law, compliance with National Crime Prevention and Privacy Compact Council policies, and all applicable rules, regulations and operating procedures.

   b. These audits are conducted triennially in the Circuits and are scheduled by each department non-criminal justice Originating Agency Identifier (ORI).

   c. The Office of Child Welfare Operations director of background screening and the TAC should be notified by the Circuit when a non-criminal justice audit is scheduled by FDLE or the FBI.

   d. The FBI may additionally conduct a non-criminal justice compliance audit which will include the Hotline triennially. This audit is separate from the criminal justice compliance audit.

5-6. **Technical Audits.**

   a. FDLE and/or the FBI conducts regularly scheduled technical audits of every agency accessing the FCIC AND/OR NCIC systems to ensure technical compliance with the Federal CJIS Security Policy.

   b. These audits are conducted triennially and normally take place at the Northwood location or at the Hotline.

   c. The LASO is the department’s point of contact with FDLE and the FBI concerning technical audits.

5-7. **Off Line Searches.**

   a. FDLE and the FBI logs and archives information for completed transactions in the FCIC and NCIC systems. The archived information contained in these logs can be used for criminal investigations of suspected misuse, system compliance, public record requests, and administrative purposes.

   b. Transaction Archive Reports (TAR) stores and logs the complete text of all FCIC AND/OR NCIC transactions to offline storage. Requests can be submitted via email to tarrequest@fdle.state.fl.us or contact the TAC for assistance.

5-8. **DAVID Audits.** Requirements for DAVID audits are detailed in chapter 7 of this operating procedure.