



Oregon

John A. Kitzhaber, MD, Governor

January 23, 2015

Department of State Police
Criminal Justice Information Services Division
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Oregon Department of Justice
Criminal Justice Division
Attn: Chief Counsel Darin Tweedt
610 Hawthorne Ave. SE Suite 120
Salem, OR 97301

Re: LEDS/NCIC Triennial System Use Audit – ORI OR024015A

The Law Enforcement Data System is designated as Oregon's CJIS Systems Agency (CSA) for the Federal Bureau of Investigation's National Crime Information Center (NCIC). As such, we are required to conduct an audit of each agency in the state with a terminal accessing LEDS and NCIC at least once every three years. The goal of our audit program is to improve the quality of records in LEDS and NCIC and assist your agency in reducing potential problem areas relating to the use of these systems.

On December 16, 2014, we conducted an audit of your agency's systems used to access LEDS and NCIC records. The audit also included an assessment of your agency's compliance with LEDS and NCIC policy and procedures in the areas of administration, training, security, quality control, record maintenance, and access to and use of criminal history information. The Oregon DOJ Criminal Justice Division was found to be in compliance with LEDS and NCIC policies and procedures.

An audit assessment is attached which provides information on all areas covered during the audit. I would like to thank you and especially John Jenkins for the assistance and cooperation provided in conducting the audit. Please contact me at [REDACTED] or e-mail [REDACTED] if you have any questions.

[REDACTED]
[REDACTED]
Law Enforcement Data System
OSP CJIS Division





Oregon

John A. Kitzhaber, MD, Governor

Department of State Police

Law Enforcement Data Systems

PO Box 14360

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January 9, 2012

Oregon Department of Justice
Criminal Justice Division
Attn: Chief Counsel Darin Tweedt
610 Hawthorne Ave. SE Suite 120
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Re: LEDS/NCIC Triennial System Use Audit – ORI OR024015A

The Law Enforcement Data System is designated as Oregon's CJIS Systems Agency (CSA) for the Federal Bureau of Investigation's National Crime Information Center (NCIC). As such, we are required to conduct an audit of each agency in the state with a terminal accessing LEDS and NCIC at least once every three years. The goal of our audit program is to improve the quality of records in LEDS and NCIC and assist your agency in reducing potential problem areas relating to the use of these systems.

On December 14, 2011 we conducted an audit of your agency's systems used to access LEDS and NCIC records. The audit also included an assessment of your agency's compliance with LEDS and NCIC policy and procedures in the areas of administration, training, security, quality control, record maintenance, and access to and use of criminal history information. The Oregon DOJ Criminal Justice Division was found to be in compliance with LEDS and NCIC policies and procedures.

The attached audit assessment provides information on all areas that were covered in the audit. I would like to thank you and especially John Jenkins for the assistance and cooperation provided in conducting the audit. Please contact me at [REDACTED] or e-mail [REDACTED] if you have any questions.

[REDACTED]
[REDACTED]
[REDACTED]
Law Enforcement Data System





Oregon

Theodore R. Kulongoski, Governor

December 17, 2008

Department of State Police
Law Enforcement Data System

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DOJ Criminal Justice Division
Attn: Chief Counsel Steve Briggs
610 Hawthorne Ave SE, Ste 210
Salem, OR 97301

Re: LEDS/NCIC Triennial System Use Audit – ORI OR024015A

The Law Enforcement Data System is designated as Oregon's CJIS Systems Agency (CSA) for the Federal Bureau of Investigation's National Crime Information Center (NCIC). As such, we are required to conduct an audit of each agency in the state with a terminal accessing LEDS and NCIC at least once every three years. The goal of our audit program is to improve the quality of records in LEDS and NCIC and assist your agency in reducing potential problem areas relating to the use of these systems.

On November 6, 2008 we conducted an audit of your agency's systems used to access LEDS and NCIC records. The audit also included an assessment of your agency's compliance with LEDS and NCIC policy and procedures in the areas of administration, training, security, quality control, record validation, hit confirmation and use of criminal history information. The DOJ Criminal Justice Division was found to be in compliance with LEDS and NCIC policies and procedures, with the following exceptions:

ORI USE WITH CRIMINAL HISTORY CHECKS: Criminal histories are being run by the DOJ Cooperative Disability Investigation Unit (OR0242200) under your ORI. I think this was just an oversight when their WebLEDS was set up, and I think this is a recent change, because in the 2006 audit, [REDACTED] criminal history inquiries appeared under OR0242200. When a criminal history is run and especially when NCIC III inquiries are run, they must be under the ORI of the agency that is running the record.

NECESSARY ACTION: Ask your Criminal Justice Division technical support staff to change the accounts so CDIU's transactions [REDACTED] appear under their agency ORI. Insure personnel accessing CCH information review the LEDS Manual areas pertaining to access to CCH information. Pay particular attention to LEDS Manual section 19.5.4, ORI use.

SHARED LEDS REPRESENTATIVE: During the audit of CDIU, there was a question as to whether [REDACTED] could be their LEDS Representative. They had not assigned a LEDS Representative since [REDACTED] left. The LEDS Training records for the three CDIU LEDS Users already appear under OR024015A, so it is not a difficult change. We just need to know at LEDS who will be responsible for monitoring LEDS training at OR0242200.

RECOMMENDED ACTION: If the parties agree, forward an ORI change request form, available on our website, appointing [REDACTED] as the LEDS Representative for OR0242200. If not, [REDACTED] will have to name a LEDS Representative at CDIU.

OPERATOR/REQUESTOR IDENTIFICATION: During the course of the audit, [REDACTED] explained that your watch center routinely runs LEDS and NCIC transactions, including criminal histories for officers and investigators throughout Oregon at the federal, state and local levels, to assist in their investigations. One issue with this practice where NCIC policy is being violated is the criminal history checks are to be run under the agency's ORI. A second issue is the requesting officer's name must be entered in the Requester ID or ATN field of the criminal history query. The current practice is your watch center staff run these queries and enter their names as the requester. The "Requestor" or "ATN" field must be completed with a unique identifier that will positively identify the requestor/recipient of the record. If the requester has a DPSST number, it is preferred. If that number is not available the last name with either the first initial or the full name should be used.

RECOMMENDED ACTION: I think we are OK on the question of the ORI use because [REDACTED] explained that these requests are entered into a database which contains agency information, and they are primarily conducted for officers or investigators who have completed your OSIN training. I asked [REDACTED] to start the practice of entering the officer's name in the Requester ID or ATN field, as we already have the terminal identifier and the operator's initials in the query. This should satisfy the NCIC auditors. As a reminder, the LEDS Helpdesk at 503 378-5565 is staffed 24/7 and they have the capability of using the requesting agency's ORI. Insure personnel accessing CCH information review LEDS Manual areas pertaining to the access of CCH information and ORI use. Pay particular attention to LEDS Manual 19.5.5, requestor identification.

SEPARATED EMPLOYEE QUESTION: [REDACTED] mentioned that you had an employee who may have been terminated for cause, and she changed the LEDS training record status to Separated, which is correct. If [REDACTED] was terminated for cause, please notify LEDS by letter so that we may change that status to Terminated. This will ensure that [REDACTED] does not regain access to LEDS at another agency.

I would like to thank you and especially [REDACTED] for the assistance and cooperation provided in conducting the audit. For questions, please call [REDACTED] or email to [REDACTED]

[REDACTED]
[REDACTED]
Law Enforcement Data System



Oregon

Theodore R. Kulongoski, Governor

Department of State Police
Criminal Justice Information Services
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February 9, 2007

Oregon Department of Justice
Criminal Justice Division
Attn: Chief Counsel Steve Briggs
610 Hawthorne Ave SE, Suite 210
Salem, OR 97301

Re: LEADS/NCIC Biennial System Use Audit

The Law Enforcement Data System (LEADS) is designated as Oregon's CJIS Systems Agency for the Federal Bureau of Investigation's National Crime Information Center (NCIC). As such, we are required to conduct an audit of each agency in the state with a terminal accessing LEADS and NCIC at least once every two years. The goal of our audit program is to improve the quality of records in LEADS and NCIC and assist your agency in reducing potential problem areas relating to the use of the LEADS and NCIC systems.

On September 28, 2006 we sent your agency a self-audit packet to be completed and returned to LEADS. The audit included a questionnaire covering administration, training, and access and security of criminal history information. In addition your training records were reviewed, and a sample of records accessed by your agency was audited. The Oregon Department of Justice, Criminal Justice Division, ORI OR024015A, was found to be in compliance with LEADS and NCIC policies and procedures with the following exceptions:

MINIMUM TRAINING: Oregon Administrative Rules (OAR) 257-015-0050 (3) states; "Minimum Training" Each agency employee who operates a terminal to access the LEADS network must complete a LEADS System Training Guide at a level consistent with the employee's duties. Pursuant to procedures outlined in the LEADS Operating Manual, the agency LEADS Representative must issue a Training Guide to such employees within ten (10) calendar days of the person beginning to access LEADS via a terminal. The Training Guide must be completed within 60 calendar days from the date of issue. **Each employee who operates a terminal to access LEADS must be re-certified by the agency every two years per schedules and procedures as prescribed by LEADS.** As part of the audit process your agency's training files were reviewed. Training records indicate that the following persons have incomplete or expired certifications: [REDACTED], [REDACTED] and [REDACTED]

NECESSARY ACTION: Have your LEADS Representative reissue the Inquiry Level Training Guide so the above persons may become recertified. If they no longer require LEADS access in the course of their duties, change their status to Inactive. Contact [REDACTED] at the LEADS Training office, (503) 378-3055, extension [REDACTED] if there are any questions.

EIP RECORD QUALITY CONTROL: I would recommend that you ask your staff to use the supplemental data entry feature that became available last March when we launched the new version of our system, CrimeVue 3. A review of your EIP records shows multiple record entries for the same person, which accommodate AKAs, or AKA dates of birth or SSNs, as well as different vehicles associated with a person. All of this supplemental information can be added to a single EIP record with the EN transaction. This will result in a reduction in the overall records in LEDS, will have no effect on the record hits, and will enhance the completeness and accuracy of the records. I have attached an excerpt from the LEDS Manual that describes how to use the EN feature, and an example of the multiple entries for [REDACTED] for your review and information.

I would like to thank you and your staff, and especially [REDACTED] for the assistance and cooperation provided in conducting the audit. Please contact me at [REDACTED] ext. [REDACTED], or e-mail [REDACTED] if you have any questions regarding the audit procedures or findings.

[REDACTED]
[REDACTED]
Law Enforcement Data System



Oregon

John A. Kitzhaber, M.D., Governor

January 16, 2002

Department of State Police
Law Enforcement Data System
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Mr. Charles Pritchard, Chief Counsel
Oregon Attorney General – Criminal Division
610 Hawthorne Avenue, Suite 210
Salem, OR 97310

Re: LEDS/NCIC Biennial System Use Audit

The Law Enforcement Data System (LEDS) is designated as Oregon's Control Terminal Agency for the Federal Bureau of Investigation's National Crime Information Center (NCIC). As such, we are required to conduct an audit of each agency in the state with a terminal accessing LEDS and NCIC at least once every two years. The goal of our audit program is to improve the quality of records in LEDS and NCIC and assist your agency in reducing potential problem areas relating to the use of the LEDS and NCIC systems.

On January 15, 2002 an audit of your agency's LEDS and NCIC system use and records maintained by your department in LEDS and NCIC was conducted. The audit also included an assessment of your agency's compliance with LEDS and NCIC policy and procedures. The Oregon Attorney General's Criminal Division was found to be in compliance with LEDS and NCIC policies and procedures except in the following area.

COMPUTERIZED CRIMINAL HISTORY (CCH): All CCH inquiries made on your terminals during the month of November 2001 were reviewed. The following violation of LEDS/NCIC procedures were noted.

Requestor Identification: Many inquiries made from your terminals identified the requestor by last name and title only. (██████████). The "Who Requested" field must be completed with a *unique* identifier that will positively identify the requestor/recipient of the record. If the requestor's name is used, a first initial should be used. If the requestor has a DPSST number it is preferred.

RECOMMENDED ACTION: Insure all personnel accessing CCH information review your departmental policy and LEDS Manual areas pertaining to the access, use, dissemination and disposal of CCH information. Pay particular attention to LEDS Manual Section 19.5.5 referring to requestor identification.

I would like to thank you and your staff for your assistance and cooperation in conducting the audit. Please feel free to contact me at ██████████ if you have any questions regarding the audit procedures or findings.

██████████
Law Enforcement Data System

cc: Paul Regimbal, Deputy Director
File