

Helpful Tips to Being Organized and Prepared for a Law Enforcement Information Network Audit *“As simple as a 3-ring binder”*

The sense of panic or apprehension is the first reaction to the Michigan State Police (MSP) Law Enforcement Information Network (LEIN)/National Crime Information Center (NCIC) Auditor’s phone call when being scheduled for an audit, but auditing is not something that should cause panic, anxiety, or fear. The agency LEIN/NCIC audit is a snapshot of what and who the agency is, depicts where they are at, and what is required in order to meet LEIN/NCIC requirements and the FBI’s Criminal Justice Information Service (CJIS) Security Policy compliance.

The purpose of the LEIN/NCIC audit is to assist agencies with policy compliance and understanding, avoid potential liability, and maintain officer safety. They are required and unavoidable. The Auditors want agencies to be successful. If you have questions, need assistance, or are interested in additional training opportunities, contact your Auditor; they are there to help.

Knowing what is expected for the audit and required for LEIN/NCIC security and compliance is the first step in the process. MSP provides training to agency Terminal Agency Coordinators (TAC) through an eight (8) hour training opportunity. These trainings are free of charge and are held once a month at various locations throughout the state. Incorporating and implementing this information and the required paperwork into a practical application is the next step. Lastly, getting the paperwork organized and keeping it maintained in a current status is the ultimate goal.

Being organized and prepared for the audit is the best way for the agency TAC to avoid LEIN audit apprehension. Being organized and prepared is very important for the audit process, but more important is being prepared and in compliance all the time. The audit and training staff understand that agency TACs have many duties and responsibilities associated with their position. Many have been assigned additional duties in these times of consolidations, financial restraints, and limited resources. LEIN responsibilities and requirements are a small part of the agency’s TAC responsibilities, but is something that is crucial to the agency functionality and compliance.

A simple organizational mechanism to being organized and maintaining orderliness is the use of a three-ring notebook binder. This simple tool has been suggested to many TACs. This LEIN reference resource book will help to keep the TAC organized and up-to-date with required agreements, policies, and information required for an audit. By dividing the binder into sections that follow the audit process and make sense to the needs of the agency will help to provide the foundation to being prepared and better organized.

This is from a TAC who adopted the three-ring notebook binder suggestion for his agency:

“A short time after taking over as the department TAC Officer, I received a notice that a LEIN audit was to be conducted. The task of preparing for an audit and collecting all of the documentation required was daunting. Files were located in different locations within the office and several were outdated or incomplete. Countless hours were spent to locate and prepare all necessary documentation for the LEIN audit. At the conclusion of the audit, the auditor suggested using a 3-ring binder to organize the required documentation, and provided a simple outline with 4 main tabs. Since completing the binder, I have found it necessary to update policies and required LEIN files. The process of updating has been streamlined tremendously. I also shared this book with our agency’s second TAC officer and am confident that the new TAC

could handle a full LEIN audit without any difficulty, utilizing the organized binder.” Lt. Randall Weston, Petoskey Department of Public Safety.

The three-ring notebook resource book can be set up and/or modified any way an agency sees fit. What is most important is the inclusion of the required audit documentation. Having the necessary paperwork consolidated in one place provides the TAC with one resource location, giving them better control on keeping the information current.

Sample 3-Ring Notebook Set-Up for LEIN

ADMINISTRATIVE

- Verification of Agency Information in LEIN
- List of all agency Originating Agency Identifiers (ORIs)
- List of all ORIs/Agencies serviced by your agency
- Executive Level Training Supplement
- Previous Audit Reports

AGREEMENTS

- LEIN User Agreement (Agency/MSP) (may be a copy)
- Management Control Agreement(s)
- CJIS Security Addendum(s) (non-governmental contractors) if applicable
- Holder of the Record Agreement(s)
- Hit Confirmation Agreement(s) – Courts
- Fire Department Access Agreements
- School Access Agreements
- LEIN ORI Agreements

POLICIES AND PROCEDURES

- Technical Security Review Required:
 - User Account-Access Validation Policy and Procedures
 - Unique Identifier Policy and Procedures – Resource
 - Password Policy and Procedures – Resource
- Disciplinary Policy and Procedures
- Personnel Security Policy and Procedures – Resource
- Acceptable Use Policy and Procedure – Resource
- Notice of Criminal Penalties Form – Resource
- Rules of Behavior Form – Resource
- Media Protection/Transportation/Disposal Policy and Procedures
- Malicious Code/Anti-virus/Spam and Spyware Protection Policy and Procedures – Resource
- Media Sanitization and Destruction Policy and Procedures
- Physical Protection Policy and Procedures
- Personally Owned Device Policy and Procedures (if applicable)
- Monthly Validation Policy and Procedures
- Secondary Dissemination Policy and Procedures/ Written Log
- Other suggested technical security policies/procedures as deemed necessary by agency

CERTIFICATION/TRAINING

- List of all terminal operators' certification and re-certification dates and graded tests (Copy of Operators List from LEIN)
- List of all personnel completing MSP Security Awareness Training/Log of Names, documentation and/or signed presentation page
- Notification of Criminal Penalties signed forms (if applicable)
- Rules of Behavior signed forms (if applicable)
- Your TAC Certificate (may be a copy)

TAC MANUAL (Current Copy)

HISTORY

** Older LEIN information that you may wish to hold on to, i.e., past LEIN Audit Reports