

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>71-065-06-5</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>3.17.2006</i>	
1. FROM (Agency or establishment) <b>DEPARTMENT OF JUSTICE</b>		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION <b>FEDERAL BUREAU OF INVESTIGATION</b>		In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION <b>CRIMINAL JUSTICE INFORMATION SERVICES (CJIS)</b>			
4. NAME OF PERSON WITH WHOM TO CONFER <b>Teresa C. Sharkey, CRM</b>	5. TELEPHONE NUMBER <b>202-324-1613</b>	DATE <i>10/2/06</i>	ARCHIVIST OF THE UNITED STATES <i>Allen Wanda</i>
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>3</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,  <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>3/14/06</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>William L. Hooten</i>		TITLE Assistant Director
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	The attached pages provide disposition instructions for records relating to the Criminal Justice Information Services Division's Law Enforcement System Audits and Supporting Records.		
<i>cc Agency DB NARA NARA</i>			

## **Criminal Justice Information Services (CJIS) Division's Law Enforcement System Audits and Supporting Records**

### **CJIS Law Enforcement System Audits and Supporting Records**

The Federal Bureau of Investigation's (FBI's) Criminal Justice Information Services (CJIS) Division's Audit Unit conducts on-site audits of federal, state, local law enforcement, and other government agencies participating in or deriving data from CJIS systems and networks. Audits are currently conducted on a triennial cycle, and over the past cycle, 54 state and 17 federal audits were completed. The audits include, but are not limited to the following systems and related subsystems and processes: the Integrated Automated Fingerprint Identification System (IAFIS) audit, the National Instant Criminal Background Check System (NICS) audit, the National Crime Information Center (NCIC) System audit, the Uniform Crime Reporting (UCR) Program audit. The scope of each audit includes an examination of data quality and a review to determine compliance with applicable laws, policies and procedures.

#### **A. Audit Program Administration Records**

Administrative records include, but are not limited to: audit contact information and communications related to scheduling and the audit process.

DISPOSITION: TEMPORARY. Cut-off files upon issuance of the related Final Audit Report.

DELETE/DESTROY after file cut-off.

#### **B. Audit Program Planning Records**

Audit planning and development records include, but are not limited to: plans, audit methodologies and audit criteria.

DISPOSITION: TEMPORARY. Cut-off files upon the initial development or revision to an audit or the audit program.

DELETE/DESTROY three (3) years after file cut-off or when no longer needed for agency business, whichever is later.

#### **C. Audit Related Committee and Meeting Records**

Audit related committee and meeting records are committee and meeting records the Audit Unit creates or receives due to participation in a committee or meeting related to a system that CJIS audits. Examples of committees and meetings include: the Advisory Policy Board (APB) meetings, the National Crime Prevention and Privacy Compact Council (Compact Council) meetings, the Association of State Uniform Crime Reporting Programs (ASUCRP) meetings, the Law Enforcement National Data Exchange (N-DEx) System meetings, and National Instant Criminal Background Check System (NICS) users conferences. Records include, but are not limited to: original meeting notes and copies of meeting minutes, agendas, meeting presentations and handouts, and communications related to meeting attendance.

DISPOSITION: TEMPORARY. Cut-off files upon the last date of the committee's cycle, or if there is no regular cycle on the last day of the fiscal year.

DELETE/DESTROY when three (3) years old. (GRS 26, Item 3)

#### **D. Audit Training and Procedure Records**

Training and procedure records related to specific audits, the audit program, and the CJIS Audit Database. Records include, but are not limited to: training guides, procedure manuals, and Standard Operating Procedures (SOPs).

DISPOSITION: TEMPORARY. Cut-off files upon the finalization of the product.

DELETE/DESTROY three (3) years after the records become obsolete or when superseded, whichever is sooner.

#### **E. Audit Working Papers and Supporting Documentation Records**

Audit working papers and supporting documentation records include, but are not limited to: pre-audit questionnaires; research, such as applicable laws, regulations, policies, and procedures; interview notes; and copies of documentation, reports and other information reviewed in conjunction with the audit; and typed or handwritten notations or summaries regarding the records and data quality of the audited system.

DISPOSITION: TEMPORARY. Cut-off files upon issuance of the related Final Audit Report.

DELETE/DESTROY three (3) years after the file cut-off or when no longer needed for agency business, whichever is later.

**F. CJIS Audit Database**

The CJIS Audit Database is an MS Access database utilized by the Audit Unit to track various information related to audits, such as general audit information and post-audit results. In addition to its tracking capabilities, the database is also used as a repository for data samples that are audited for data quality. The database holds sample data for conducting audits, and after the data is audited, the data is deemed as either Supporting Audit Findings Data (containing compliance issues, risk assessments, survey results, training data, response times, record errors or untimely record data) or Non-Supporting Audit Findings Data (e.g. containing no errors).

**1. Inputs**

There are four types of inputs into the CJIS database: source records, audit-related data, tracking of data related to special projects, and contact information.

**a. Source Records**

DISPOSITION: TEMPORARY.

DELETE/DESTROY three (3) years after related Final Audit Report is issued.

**b. Audit Data Inputs**

DISPOSITION: See Item F, 2a and 2b for disposition.

**c. Data Tracking, Special Projects Inputs**

For example NCIC data inputs include but are not limited to: third hit data, improper locates data, and improper extradition data.

DISPOSITION: See Item F, 2c.

**d. Agency Contact Inputs**

Examples include, but are not limited to: agency contact information (e.g. agency name, agency head's name, mailing address, phone number, fax number, audit date/time, and the name of who made the contact call).

DISPOSITION: See Item F, 2d.

**2. Data Files**

Data files include data described in Inputs section and data that has been reviewed by the Audit Unit and deemed to be either supporting or non-supporting to the Final Audit Report and related metadata.

~~**a. Supporting Audit Findings Data**~~

~~DISPOSITION: TEMPORARY.~~

~~DELETE/DESTROY three (3) years after related Final Audit Report is issued.~~

see next page

**b. Non-Supporting Audit Findings Data**

DISPOSITION: TEMPORARY.

DELETE/DESTROY upon issuance of the Final Audit Report.

~~**c. Data Tracking, Special Projects Data**~~

~~The Audit Unit tracks data that shows trends of audited systems having potential non-conformance or non-compliance issues. The data the Audit Unit tracks is generated from the audited systems, via system generated "flags" that show potential trends, and the data is then input and tracked in the CJIS Audit database.~~

~~DISPOSITION: TEMPORARY.~~

~~DELETE/DESTROY two (2) years after the data's date of occurrence, which is the date the "flag" was generated.~~

see next page

~~**d. Agency Contact Data**~~

~~DISPOSITION: TEMPORARY.~~

~~DELETE/DESTROY upon issuance of the related Final Audit Report.~~

see next page

**3. Outputs**

System outputs include, but are not limited to: reports that are typically attached to the Final Audit Report, for example: report of data quality errors relating to the untimely removal of convicted sexual offender registry records; report of untimely convicted sexual offender registry data; report of untimely removal of protection order records; and reports related to wanted persons, e.g. the Timely Entry Assessment report, the Error Sheet report, and the Court List report.

DISPOSITION: See Final Audit Report and Response Records (Item H) and Statistical Reports and Audit Program Reports (Item I).

**4. Documentation**

System documentation includes, but is not limited to: system specifications, file specifications, and output specifications.

DISPOSITION: TEMPORARY.

DELETE/DESTROY when superseded or obsolete, whichever is sooner. (GRS 20, Item 11a)

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Superseded by job / item number:

N1-065-11-19 item 1

Date (MM/DD/YYYY):

06 | 07 | 2012

Superseded by job / item number:

N1-065-10-10 item 1+2

Date (MM/DD/YYYY):

06 | 13 | 2011

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## G. CJIS Audit Program Survey Results Database

The CJIS Audit Program Survey Results Database is an MS Access database used as a management tool by the Audit Unit to track customer-service type survey results from agencies that participate in CJIS audits.

### 1. Inputs

Information input into the database includes: source record data (from hard copy surveys), audit-related data, tracking of data related to special projects, and contact information.

#### a. Source Records

DISPOSITION: TEMPORARY.

DELETE/DESTROY upon verification of successful data entry.

#### b. Survey Results and Related Data

Data input includes, but is not limited to: date survey was mailed, survey-tracking number, and survey data.

DISPOSITION: See Item G, 2. for disposition

### 2. Data Files

Data as described in Inputs section along with related metadata.

DISPOSITION: TEMPORARY.

DELETE/DESTROY three (3) years after related Final Audit Report is issued.

### 3. Outputs

System outputs include, but are not limited to: statistical reports that calculate mean and median averages of responses and other information related to survey results.

DISPOSITION: TEMPORARY.

DELETE/DESTROY three (3) years after related Final Audit Report is issued.

### 4. Documentation

System documentation includes, but is not limited to: system specifications, file specifications, and output specifications.

DISPOSITION: TEMPORARY.

DELETE/DESTROY when superseded or obsolete, whichever is sooner. (GRS 20, Item 11a)

## H. Final Audit Report and Response Records

Audits are performed on various agencies, in accordance with various audit cycles. A final audit report records the outcome of an audit and any report attachments, which are typically reports from the database that may have handwritten notes. Response records relate to any communications in the form of a report or other type of communication, which respond to the audit findings.

TEMPORARY. Cut-off files upon formal closure of the audit.

DELETE/DESTROY ten (10) years after the file cut-off.

*see next page*

## I. Statistical Reports and Audit Program Reports

Statistical reports record audit results, statistics, and advice regarding audit findings. Records include, but are not limited to: reports, attachments, and related supporting documents.

TEMPORARY. Cut-off files upon issuance of the report.

DELETE/DESTROY ten (10) years after file cut-off or when no longer needed for agency business, whichever is later.

*see next page*

## J. Electronic Records

Copies of records that are created on electronic mail and word processing systems and used solely to generate a record keeping copy of the records covered in this schedule.

TEMPORARY.

DELETE/DESTROY within 60 days after the record keeping copy has been produced.

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Superseded by job / item number:

N1-065-10-10 item 3

Date (MM/DD/YYYY):

06/13/2011

I

Superseded by job / item number:

N1-065-10-10 item 4

Date (MM/DD/YYYY):

06/13/2011

J