




Utah Bureau of Criminal
Identification

New Cycle,

New Audit

TAC Conference 2024

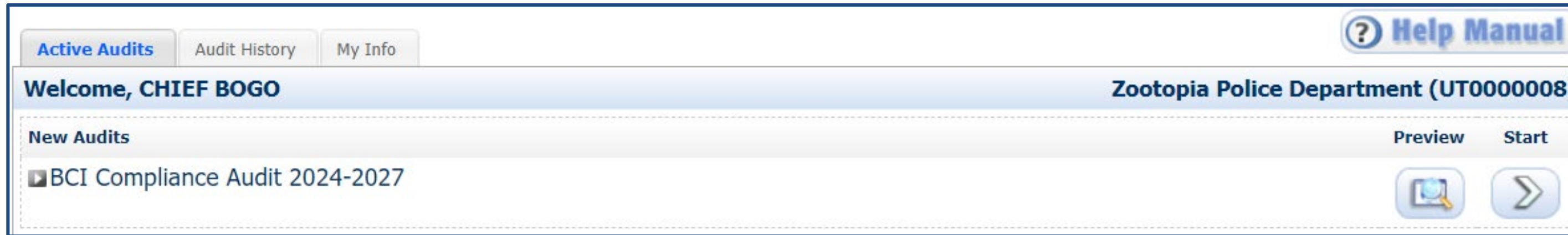
Out with the Old

	Utah Bureau Of Criminal Identification Auditing and Training Staff
BCI Compliance Audit Agency Questionnaire 2021-2024	
Agency Name and ORI:	
Administrator Name, Title and Email:	
TAC Name, Email and Phone:	
Date:	



In with the New

Agencies will now be audited using Peak Performance



The screenshot shows a web application interface for audit management. At the top, there are three tabs: "Active Audits" (selected), "Audit History", and "My Info". A "Help Manual" link with a question mark icon is located in the top right corner. Below the tabs, a blue header bar displays "Welcome, CHIEF BOGO" on the left and "Zootopia Police Department (UT0000008)" on the right. The main content area is titled "New Audits" and contains a table with one entry: "BCI Compliance Audit 2024-2027". To the right of this entry are two buttons: "Preview" (with a magnifying glass icon) and "Start" (with a right-pointing arrow icon).




Audit Process



Email notification from CJIS Audit and from BCI Field Services Auditor that audit has been initiated. Emails are sent to TAC & Agency Administrator



Audit Assignment Notification External Inbox x

 **donotreply@cjisapps.com**
to alisalarson, me

11:30 AM (27 minutes ago) ☆ ↶ ⋮

Audit Name: BCI Compliance Audit 2024-2027
Audit Description: The BCI Compliance Audit is administered by BCI's Field Services section. This audit consists of assessing an agency's usage of state and federal files as well as verifying all user types and agency personnel are properly background checked, trained and tested, and using the system properly. This audit will evaluate agency policies to verify all required documents are in order for UCJIS and CJIS Security compliance.
Agency ORI: UT0000008
Agency Name: Zootopia Police Department

Please log in to CJIS Audit to begin completing your online audit questionnaire.

The web address for CJIS Audit is <https://utah.cjisapps.com/cjsaudit/>.

This audit questionnaire must be completed and submitted to your auditor, with any and all requested documentation, within 30 days. Failure to complete the audit questionnaire within the required time frame could put your agency's access to criminal justice information at risk.

To login to CJIS Audit please go to <https://utah.cjisapps.com/cjsaudit/> and click Agency Login. You will automatically be redirected to the Utah ID (id.utah.gov) login page.

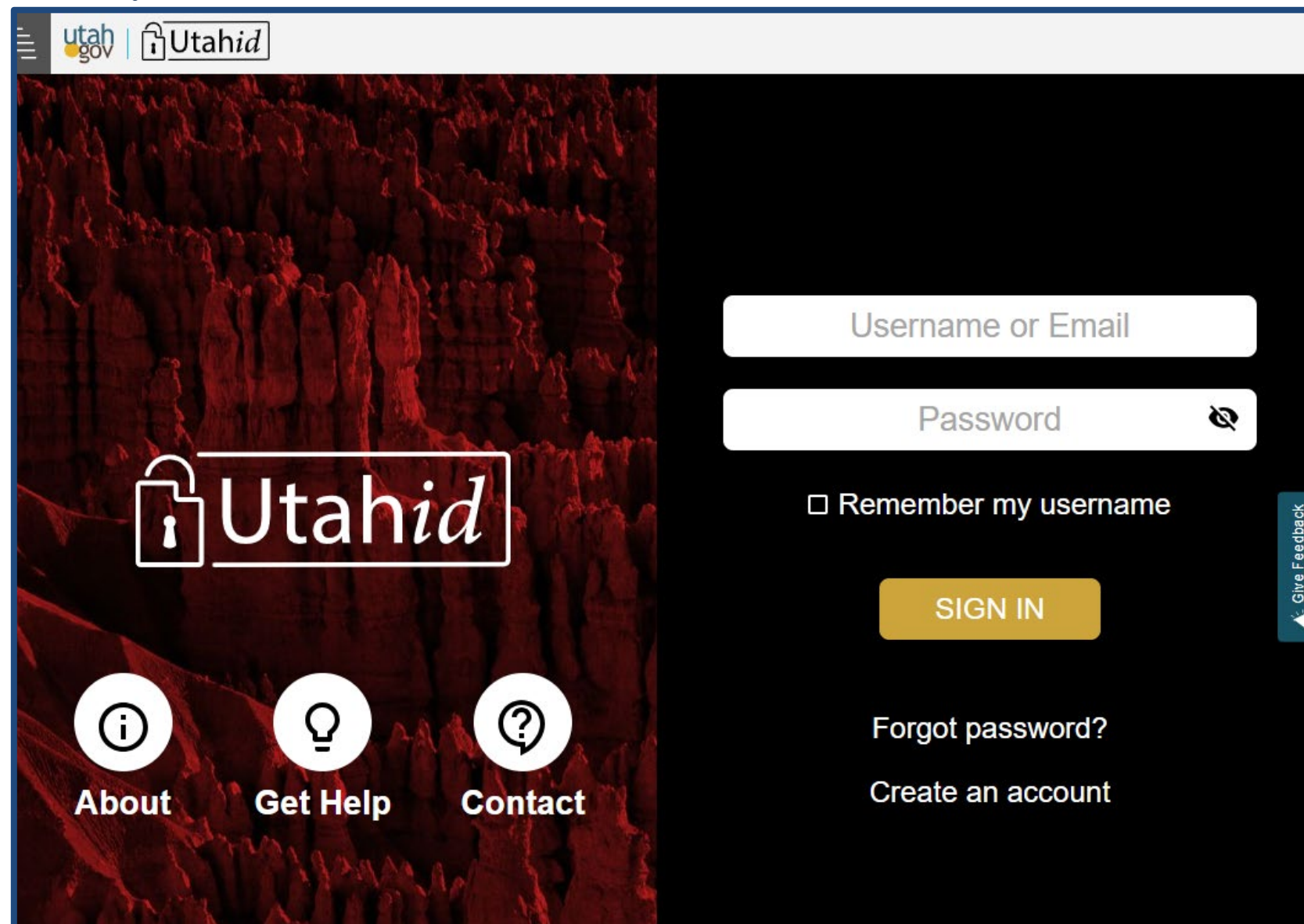
Field Service Representatives (BCI) may ONLY assist with the BCI Compliance Audit. Should you have any questions or concerns regarding the CJIS IT Security Audit, please reach out to cjsits@utah.gov.

↶ Reply ↶ Reply all ↷ Forward



Create Utah ID

- You will be asked to create a Utah ID
 - If you have gone through the IT audit and created a Utah ID account, you won't need to make another account

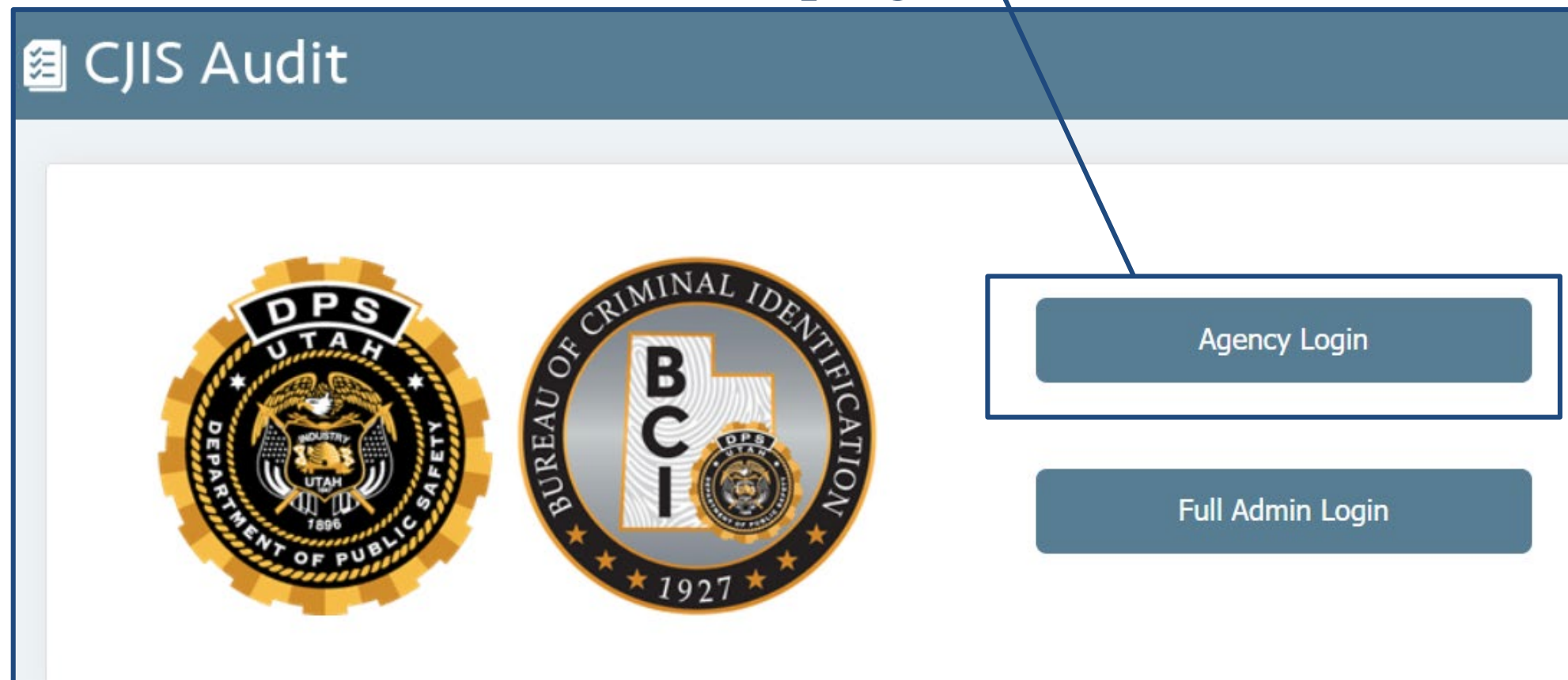


The screenshot shows the Utah ID login interface. At the top left, there is a navigation menu icon, the 'utah gov' logo, and the 'Utahid' logo. The background features a red-toned image of a canyon. On the left side, there is a large 'Utahid' logo with a padlock icon. Below it are three circular icons: an information icon labeled 'About', a lightbulb icon labeled 'Get Help', and a question mark icon labeled 'Contact'. On the right side, there are two input fields: 'Username or Email' and 'Password' (with an eye icon for visibility). Below the password field is a checkbox labeled 'Remember my username'. A yellow 'SIGN IN' button is positioned below the checkbox. At the bottom right, there are links for 'Forgot password?' and 'Create an account'. A vertical 'Give Feedback' button is located on the far right edge of the page.



Audit Login

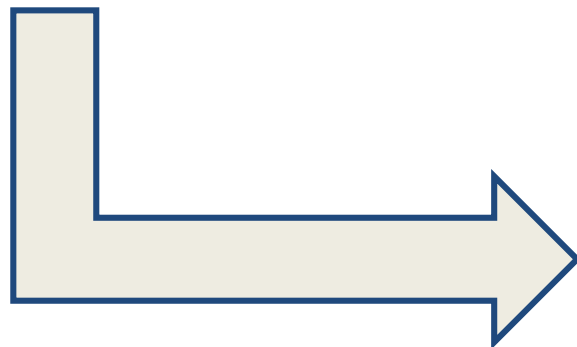
Agency will select “Agency Login” and it will open up the audit
home page



Audit Process



Email notification from CJIS Audit and from BCI Field Services Auditor that audit has been initiated. Emails are sent to TAC & Agency Administrator



Dear TAC,

Your agency has been selected for a BCI compliance audit. The attached Audit Information Request outlines the actions required to complete the audit.

Your agency administrator has also been copied on this message.

Your audit is due on **November 1, 2024**.

Please contact us if you have any questions or concerns.

Thank you.

--

Ofa Vaisima
Field Services
Utah Bureau of Criminal Identification
ovaisima@utah.gov
[385-499-1421](tel:385-499-1421)
Monday-Thursday 7am-5pm

If immediate assistance is needed, please contact our Help Desk (CIC - available 24/7) [801-965-4446](tel:801-965-4446) Fax: [801-969-7065](tel:801-969-7065)

This e-mail and any attachments are confidential and protected by legal, professional, or other privileges. Do not disseminate without expressed permission by the original sender.
If you are not the intended recipient do not store, copy, re-transmit, use, or disclose any of its contents. Return it to the sender immediately and delete the email from your system.

- [Audit Information Request.pdf.tdf](#) (352.3 Kb)
- [SP Messages.pdf.tdf](#) (487.2 Kb)
- [Missed Hit Confirmations.pdf.tdf](#) (281.4 Kb)
- [Criminal History Justification Logs.pdf.tdf](#) (224.1 Kb)

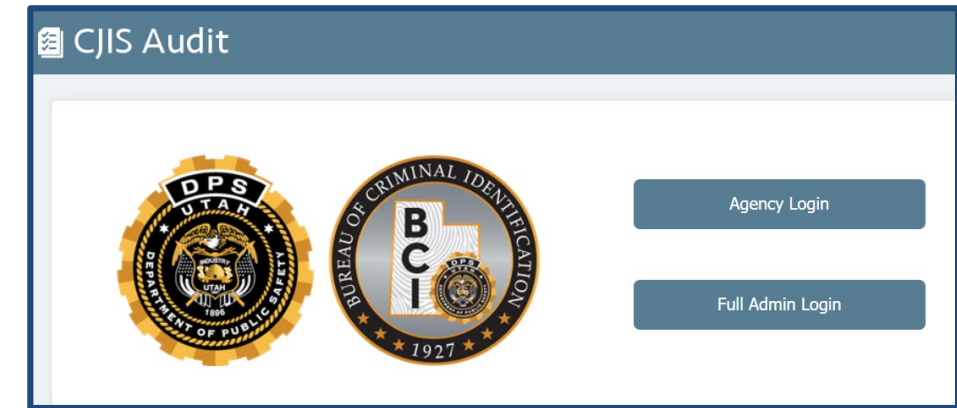
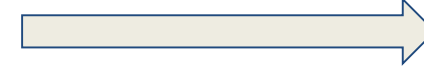
Email from BCI will include an Audit Information Request and any applicable documents that your agency will need to review and answer questions on in the audit



Audit Process Review



Email from CJIS Audit

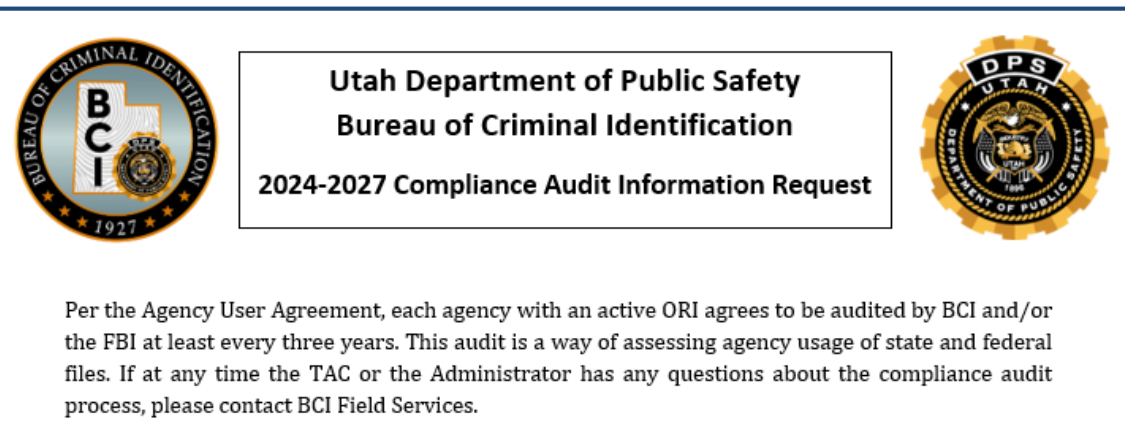
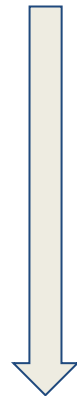


Email notification from CJIS Audit and from BCI Field Services Auditor that audit has been initiated. Email is sent to TAC & Agency Administrator

Agencies will be directed to create a Utah ID

Once created, agency will be able to login and complete the audit

Email from FS Auditor

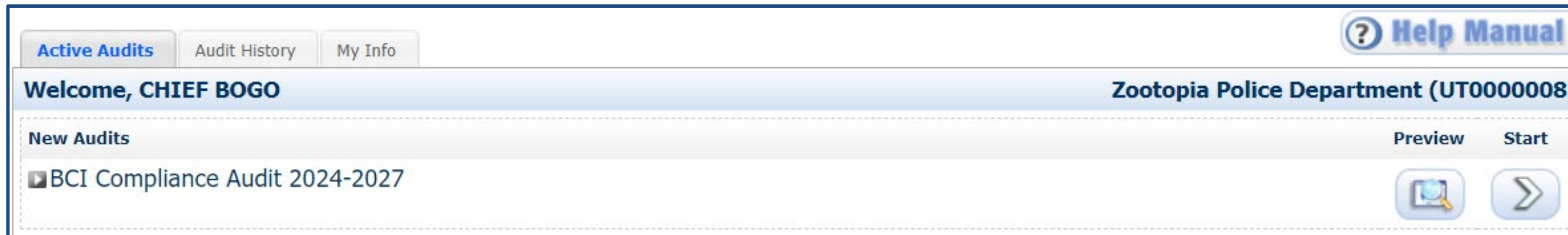


Email from FS Auditor will include the Audit Information Request outlining what documents BCI will be requesting in the audit along with additional attachments that apply to your agency



What does it look like?

- TAC & Agency administrator will be able to login and view audit



The screenshot shows a web application interface for managing audits. At the top, there are three tabs: "Active Audits" (selected), "Audit History", and "My Info". A "Help Manual" link is visible in the top right corner. Below the tabs, a welcome message reads "Welcome, CHIEF BOGO" and the agency name "Zootopia Police Department (UT0000008)" is displayed. A section titled "New Audits" contains a table with one entry: "BCI Compliance Audit 2024-2027". To the right of this entry are two buttons: "Preview" (with a magnifying glass icon) and "Start" (with a right-pointing arrow icon).



What does it look like?

- TAC & Agency administrator will be able to login and view audit

The screenshot displays a web browser window titled "CJS Audit & Survey - Google Chrome" with the URL `utah.cjisapps.com/cjisaudit/audit/index.pl?cmd=PREVIEW_SURVEY&SURVEY_ID=68&SID=1722281489293971708546907&TM=1722282975&SS_I...`. The main content area shows a "View as PDF" button at the top, followed by the title "BCI Compliance Audit 2024-2027" and a "Preview" link. Below this, the agency name "Zootopia Police Department (UT0000008)" and the report creation date "Report Created: Mon July 29 2024 15:56:15 GMT-0500 (Eastern Standard Time)" are displayed. The section title is "Section: On File Documents with BCI". The main content consists of four numbered questions, each with "Yes" and "No" options:

- 1). Has your agency submitted the most recent Criminal Justice Agency Agreement to BCI?
Yes
No
- 2). Has your agency submitted the most recent ORI Validation Form to BCI?
Yes
No
- 3). Has BCI received Security Agreements for all Users, Non-Access Users, and Non-Users for your agency?
Yes
No
- 4). Has BCI received User Training and Testing Agreements for all Users and Non-Access Users in your agency?
Yes
No

On the right side of the interface, there is a "Help Manual" button and a "Police Department (UT0000008)" label. Below these are two buttons: "Preview" (with a magnifying glass icon) and "Start" (with a right arrow icon). A blue box highlights the "Preview" button, with a line pointing to the "Preview" button in the main content area.

The sidebar navigation menu includes two tabs: "Active Audits" and "Audit Hist". Below the tabs is a "Welcome, CHIEF BOGO" message. Underneath is a "New Audits" section with a list item "BCI Compliance Aud".

The sidebar navigation menu includes a "Help Manual" button with a question mark icon. Below it is the label "Police Department (UT0000008)". At the bottom of the sidebar are two buttons: "Preview" (with a magnifying glass icon) and "Start" (with a right arrow icon).



What does it look like?

- TAC & Agency administrator will be able to login and view audit

Active Audits | Audit History | My Info | [Help Manual](#)

Web | Zootopia Police Department (UT0000008)

Audit User: CHIEF BOGO **Audit Name: BCI Compliance Audit 2024-2027** **Questions in Audit: 48**

Audit Progress: 0% Answered: 0 of 48 questions [View/Edit Audit](#)

Audit Section: On File Documents with BCI

1 Has your agency submitted the most recent Criminal Justice Agency Agreement to BCI?

Yes

No

[Save and Continue »](#) [Close and Finish Later](#) [Skip Question](#)

[Preview](#) [Start](#)



Must select “Confirm” to start audit

- You will receive a pop up message asking if you would like to start the audit, you must select “Confirm” to start

The screenshot shows the CJIS Audit web application interface. A confirmation pop-up is displayed in the center, asking the user to confirm starting a new audit. The pop-up text reads: "utah.cjisapps.com says Please confirm you wish to start this new audit." with "OK" and "Cancel" buttons. The background interface includes a navigation bar with "CJIS Audit" and a user profile for "CHIEF". Below the navigation bar, there are tabs for "Active Audits", "Audit History", and "My Info". A welcome message for "CHIEF BOGO" at "Zootopia Police Department (UT0000008)" is visible. The main content area shows a list of audits under "New Audits" and "Saved Audit(s)".

Audit Name	Answered	Unanswered	Progress	Preview	Continue
BCI Compliance Audit 2024-2027					
CJIS IT Security Audit Questionnaire 2023-2026	2	58	3% Complete		



Can I exit out & pick it back up later?


- Yes, it will save your progress as you answer questions

The screenshot displays the 'CJS Audit' web application interface. A modal dialog box is open, titled 'utah.cjisapps.com says', with the message: 'Please confirm you wish to Close and Finish the Audit Later. Please note you may return at any time and pickup where you left off.' The dialog has 'OK' and 'Cancel' buttons. The background interface shows the user is 'CHIEF BOGO' and the audit progress is 6%. The current section is 'Requested Documents' with one question: 'Please upload your Misuse Policy. Per UCA 53-10-108, the agency Misuse Policy must state one of the following: 1) The "Commissioner and Director of BCI" will be notified if misuse of UCJIS information is suspected; or 2) The agency will abide by UCA 53-10-108.' Below the question is a checkbox for 'I don't have this document.' and an upload section with a 'Document Title' field, a 'File Upload' button, and an 'Upload' button. At the bottom of the question area are three buttons: 'Save and Continue >>', 'Close and Finish Later', and 'Skip Question'.



Can I exit out & pick it back up later?

- When you login again to answer more audit questions, you will select “Continue”



Utah Department of Public Safety

CJIS Audit

Be sure to check out the CJIS Audit Tutorial! [View Tutorial](#) [Dismiss](#)

Active Audits | Audit History | My Info | [Help Manual](#)

Welcome, CHIEF BOGO | Zootopia Police Department (UT0000008)

Audit Name	Answered	Unanswered	Progress	Preview	Continue
<input checked="" type="checkbox"/> CJIS IT Security Audit Questionnaire 2023-2026	2	58	3% Complete		
<input checked="" type="checkbox"/> BCI Compliance Audit 2024-2027	4	63	6% Complete		

Click here to continue



CJIS Audit Information

- Agencies will receive a weekly reminder email from the CJIS Audit system
- Agencies will have one month to complete the audit
- Agencies can edit questions before submitting
 - Use the “View/Edit” Audit button
- Audit can potentially hit an agency 3 times
 - Initial
 - Response Required
 - Final Review



Uploading Documents

- Agencies will be able to upload the requested document
- Anything with CJI, cannot be uploaded in the audit system

Utah Department of Public Safety

CJS Audit

CHIEF

Zootopia Police Department (UT0000008)

Audit User: CHIEF BOGO Audit Name: BCI Compliance Audit 2024-2027 Questions in Audit: 67

Audit Progress: 6% Answered: 4 of 67 questions View/Edit Audit

Audit Section: Requested Documents

1 Please upload your Misuse Policy. **Per UCA 53-10-108**, the agency Misuse Policy must state one of the following: 1) The "Commissioner and Director of BCI" will be notified if misuse of UCJIS information is suspected; or 2) The agency will abide by UCA 53-10-108.

I don't have this document.

-- Or --

Please do not upload documents that contain CJI.

Document Title:

File Upload:

Select "Choose file" to select file you would like to upload



Uploading Documents

- Select the file that your agency will be uploading

The screenshot shows a file selection dialog box with the following table of files:

Name	Date modified	Type	Size
NCIC Manuals	7/29/2024 9:09 AM	File folder	
Word Versions of the Manuals	7/18/2024 2:09 PM	File folder	
Alerts Manual	7/18/2024 2:09 PM	Adobe Acrobat D...	1,630 KB
Missing Persons Manual	4/3/2024 11:45 AM	Adobe Acrobat D...	420 KB
UCJIS Basics Manual	4/11/2024 2:37 PM	Adobe Acrobat D...	2,662 KB

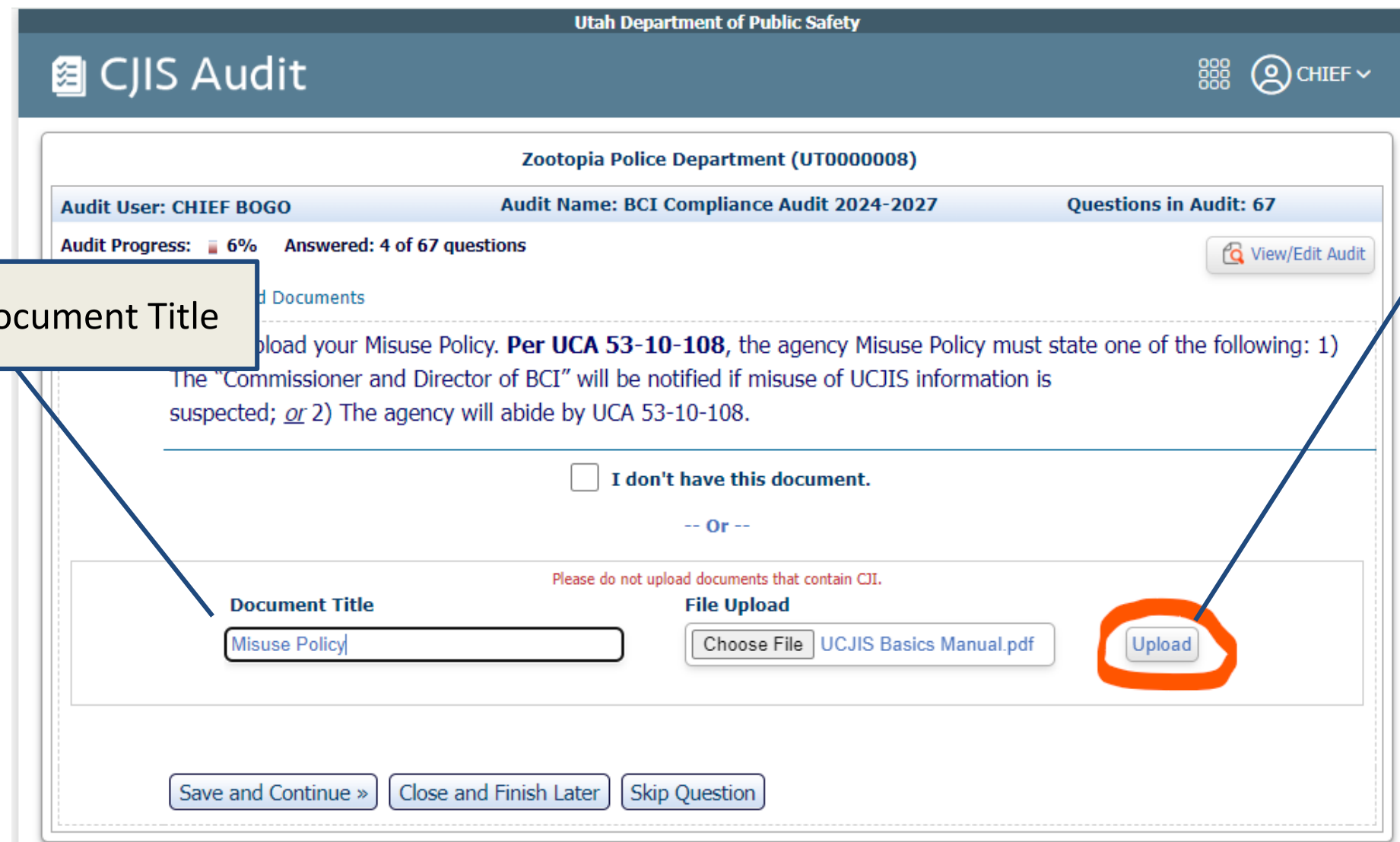
The dialog box also includes a search bar, file type filters (set to 'All Files'), and buttons for 'Open', 'Cancel', 'Choose File', 'No file chosen', and 'Upload'. The 'Choose File' button is circled in orange. A callout box with the text 'Select the file that you would like to upload' points to the 'UCJIS Basics Manual' file in the list.

Select the file that you would like to upload



Uploading Documents

- Name the document and select “Upload” to complete the process



The screenshot shows the 'CJS Audit' interface for the Utah Department of Public Safety. The audit is for the Zootopia Police Department (UT0000008) and is titled 'BCI Compliance Audit 2024-2027'. The user is CHIEF BOGO, and the audit progress is 6% (4 of 67 questions answered). The current question asks for a document related to the agency's Misuse Policy. The user has entered 'Misuse Policy' in the 'Document Title' field and selected 'UCJIS Basics Manual.pdf' in the 'File Upload' section. The 'Upload' button is highlighted with an orange circle.

Utah Department of Public Safety

CJS Audit

CHIEF

Zootopia Police Department (UT0000008)

Audit User: CHIEF BOGO Audit Name: BCI Compliance Audit 2024-2027 Questions in Audit: 67

Audit Progress: 6% Answered: 4 of 67 questions View/Edit Audit

Upload Documents

Upload your Misuse Policy. **Per UCA 53-10-108**, the agency Misuse Policy must state one of the following: 1) The "Commissioner and Director of BCI" will be notified if misuse of UCJIS information is suspected; or 2) The agency will abide by UCA 53-10-108.

I don't have this document.

-- Or --

Please do not upload documents that contain **CJI**.

Document Title: Misuse Policy

File Upload: Choose File UCJIS Basics Manual.pdf

Upload

Save and Continue » Close and Finish Later Skip Question

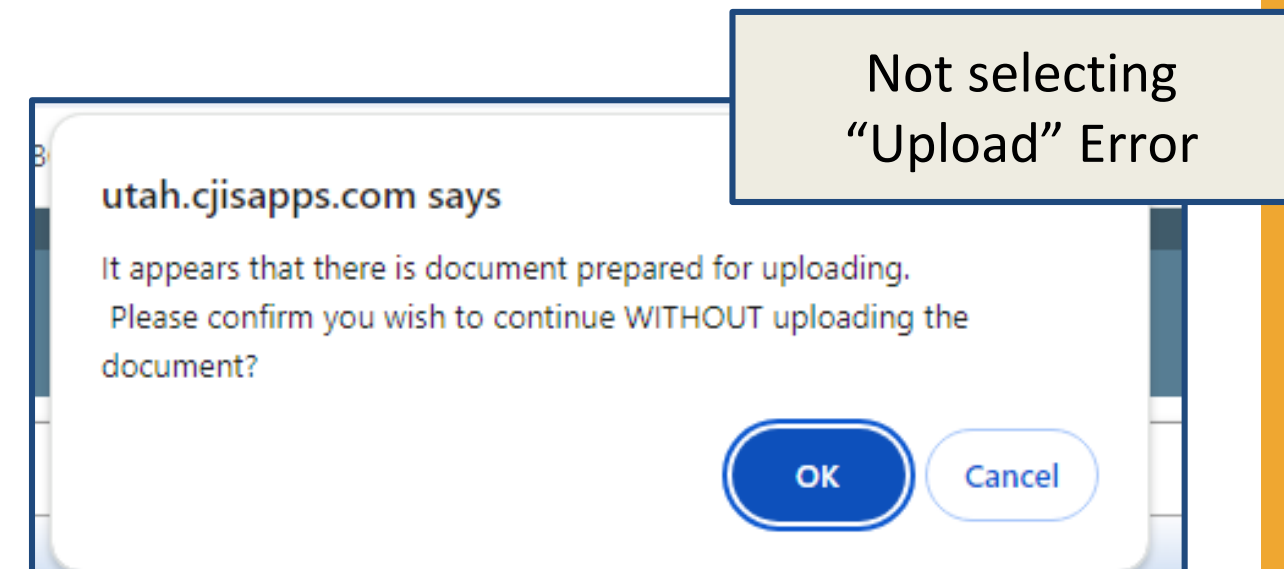
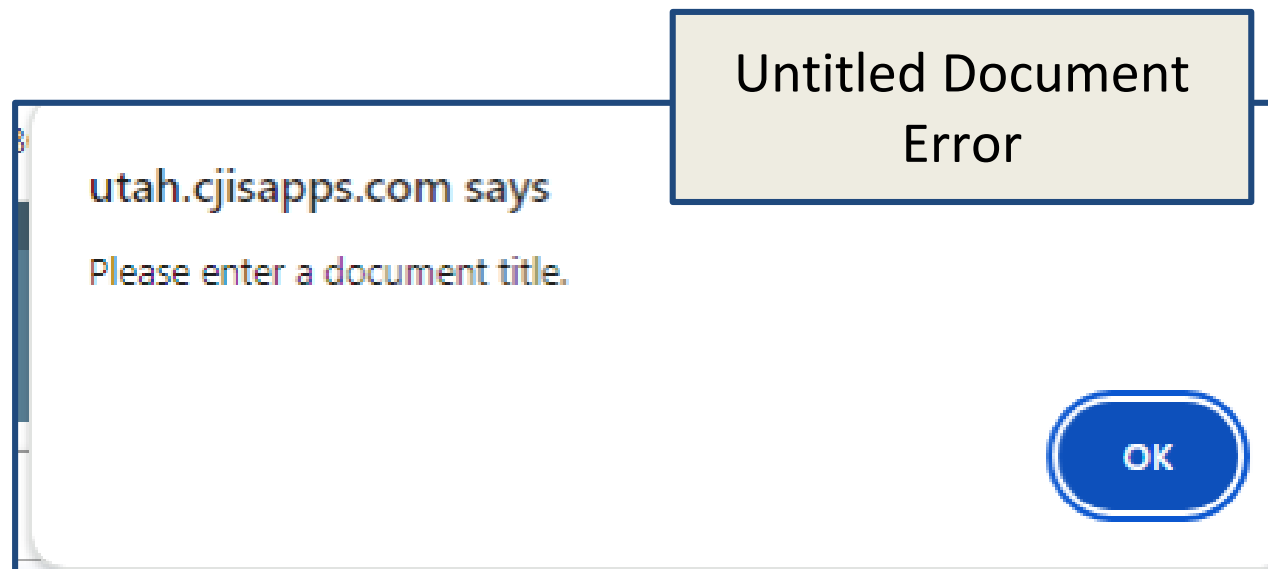
Type the Document Title

Select “Upload” to complete the uploading process



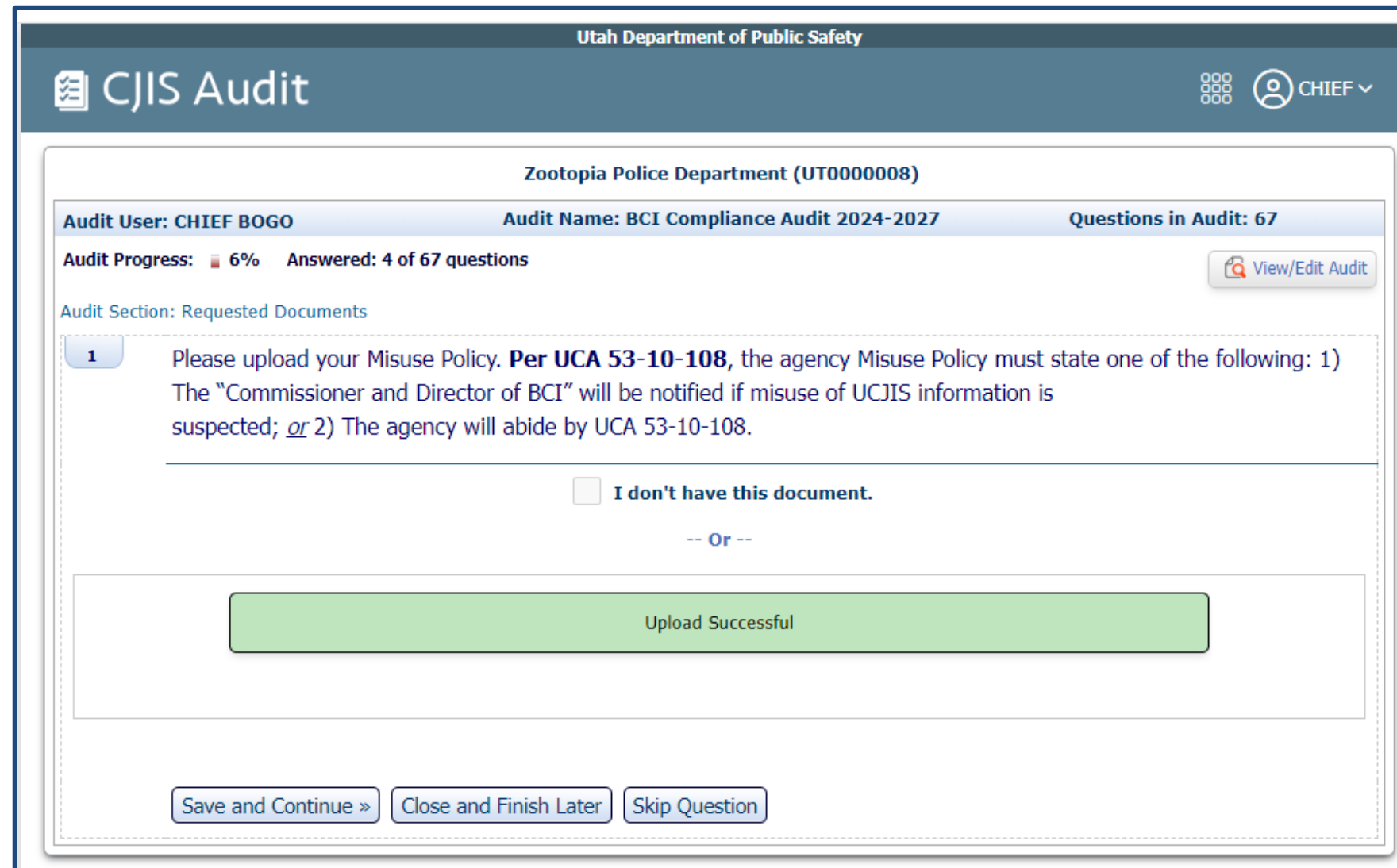
Uploading Documents

- Not naming the document or not selecting upload will give you the following errors



Uploading Documents

- Once it is uploaded, it will give you a successful response



The screenshot displays the 'CJIS Audit' interface for the Utah Department of Public Safety. The audit is for the Zootopia Police Department (UT0000008) and is titled 'BCI Compliance Audit 2024-2027'. The audit user is 'CHIEF BOGO' and there are 67 questions in total. The progress is 6%, with 4 questions answered. The current section is 'Requested Documents'. Question 1 asks for the upload of a Misuse Policy, citing UCA 53-10-108. Below the question text is a checkbox labeled 'I don't have this document.' and a separator '-- Or --'. A green box with the text 'Upload Successful' is centered on the page. At the bottom, there are three buttons: 'Save and Continue >', 'Close and Finish Later', and 'Skip Question'.



Uploading Documents

- You will be able to upload more than one document, if needed & you will be able to replace existing documents or remove them altogether

Utah Department of Public Safety

CJIS Audit

Zootopia Police Department (UT0000008)

Audit User: CHIEF BOGO Audit Name: BCI Compliance Audit 2024-2027 Questions in Audit: 67

Audit Progress: 6% Answered: 4 of 67 questions [View/Edit Audit](#)

Audit Section: Requested Documents

1 Please upload your Misuse Policy. **Per UCA 53-10-108**, the agency Misuse Policy must state one of the following: 1) The "Commissioner and Director of BCI" will be notified if misuse of UCJIS information is suspected; or 2) The agency will abide by UCA 53-10-108.

I don't have this document.

-- Or --

Please do not upload documents that contain CJL.

Document Title	File Upload
<input type="text"/>	<input type="button" value="Choose File"/> No file chosen <input type="button" value="Upload"/>

Edit	Document Title	Filename	Replace	Remove
<input type="button" value="✎"/>	Misuse Policy	ucjis_basics_manual.pdf	<input type="button" value="🔄"/>	<input type="button" value="✖"/>



Uploading Documents

- If you upload multiple documents, it will look like this

Utah Department of Public Safety

CJIS Audit

Zootopia Police Department (UT0000008)

Audit User: CHIEF BOGO Audit Name: BCI Compliance Audit 2024-2027 Questions in Audit: 67

Audit Progress: ■ 7% Answered: 5 of 67 questions [View/Edit Audit](#)

Audit Section: Requested Documents

2 Please upload a copy of the first page of your REPT report.

I don't have this document.

-- Or --

Please do not upload documents that contain CJII.

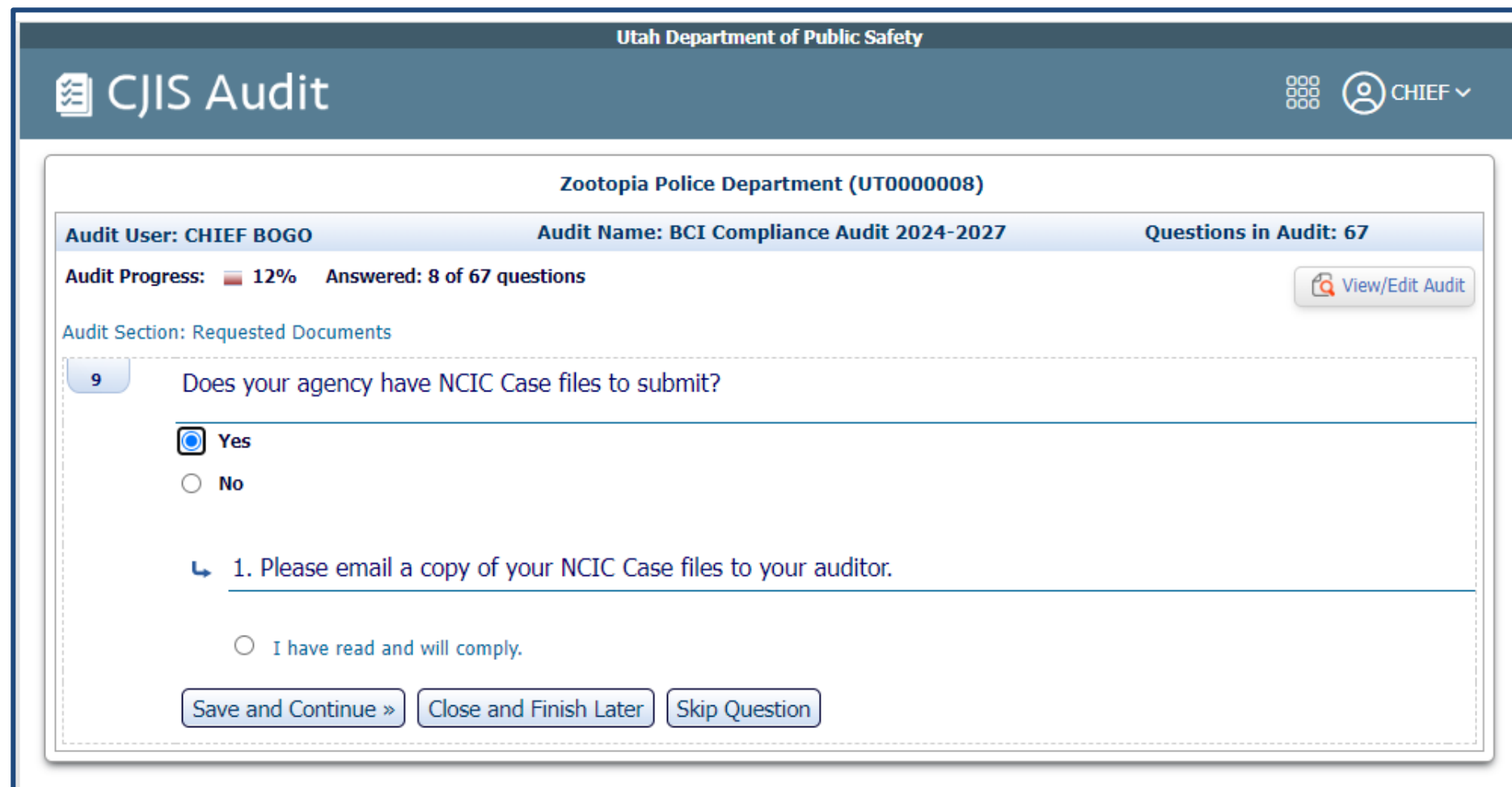
Document Title	File Upload
<input type="text"/>	<input type="button" value="Choose File"/> No file chosen <input type="button" value="Upload"/>

Edit	Document Title	Filename	Replace	Remove
<input type="checkbox"/>	REPT	2024 tac conference final...	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Test Two Documents	bci logo_art_(4).png	<input type="checkbox"/>	<input type="checkbox"/>



Submitting Documents with CJI

- CJI cannot be uploaded in the system. When CJI is requested, you will be asked to verify that you read the question and you comply to send the documents to your auditor

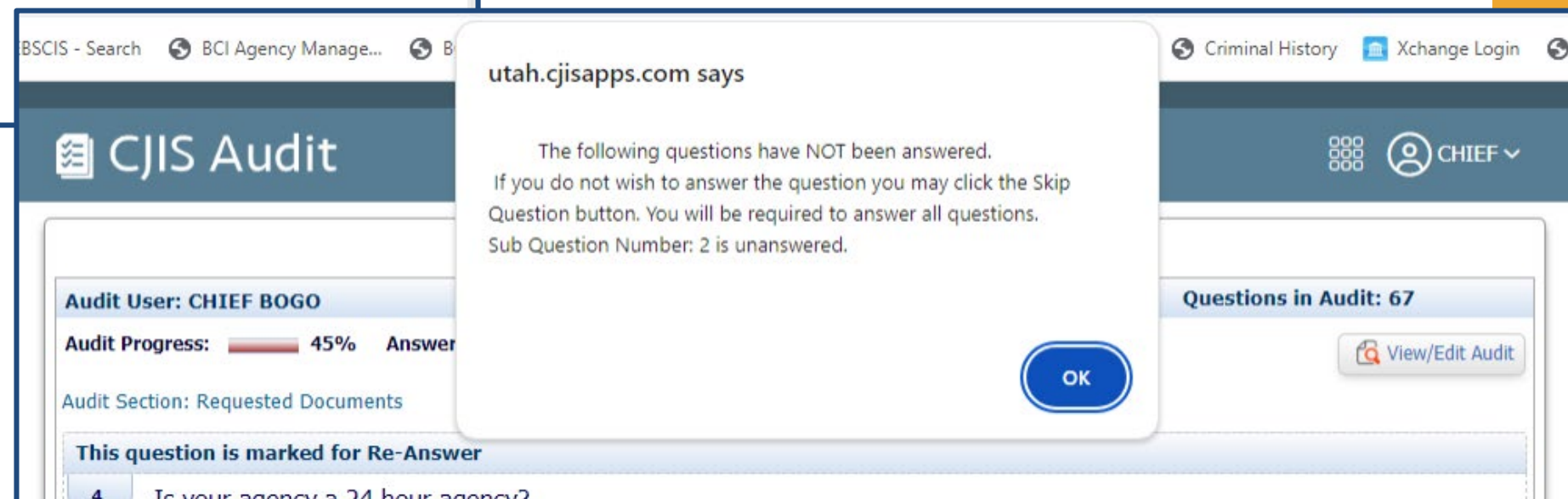
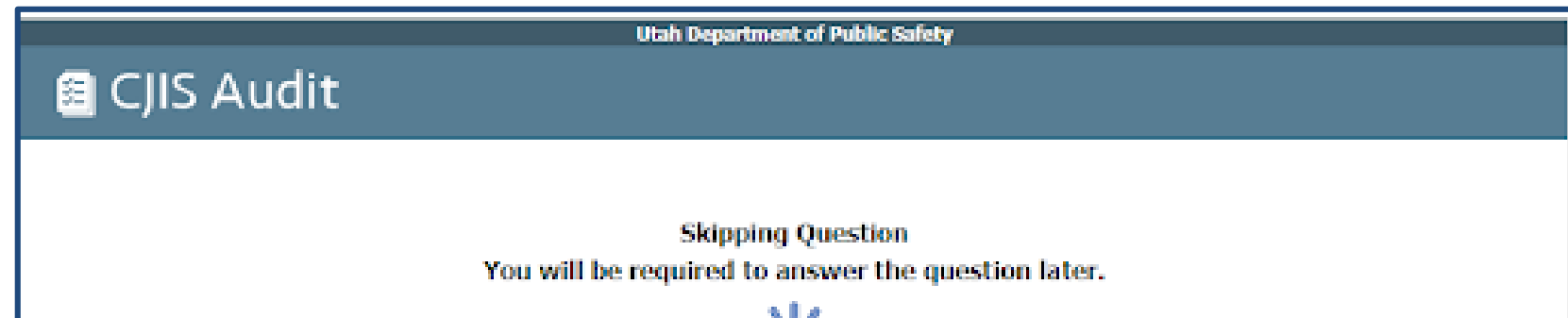


The screenshot shows the 'CJIS Audit' interface for the Utah Department of Public Safety. The user is 'CHIEF BOGO' and the audit is for 'Zootopia Police Department (UT0000008)'. The audit name is 'BCI Compliance Audit 2024-2027' and there are 67 questions in total. The progress is 12% with 8 of 67 questions answered. The current section is 'Requested Documents'. The question is 'Does your agency have NCIC Case files to submit?' with 'Yes' selected. Below the question, there is a sub-question: '1. Please email a copy of your NCIC Case files to your auditor.' with the option 'I have read and will comply.' selected. At the bottom, there are three buttons: 'Save and Continue >>', 'Close and Finish Later', and 'Skip Question'.



Skipping Questions

- Agencies cannot submit audits when a question is skipped. This screen will pop up when you skip a question. If an agency tries to submit and a question is skipped, it will kick you back to the skipped question



Progress

- Agencies can view their progress on the main audit page

The screenshot shows the 'CJIS Audit' interface for the Utah Department of Public Safety. It displays a table of saved audits with columns for 'Audit Name', 'Answered', 'Unanswered', 'Progress', 'Preview', and 'Continue'. Two audits are listed: 'CJIS IT Security Audit Questionnaire 2023-2026' and 'BCI Compliance Audit 2024-2027'. The first audit is 3% complete with 2 answered and 58 unanswered questions. The second audit is 12% complete with 8 answered and 59 unanswered questions. A callout box points to the 'Audit Name' and 'Progress' columns.

Audit Name	Answered	Unanswered	Progress	Preview	Continue
<input checked="" type="checkbox"/> CJIS IT Security Audit Questionnaire 2023-2026	2	58	3% Complete		
<input checked="" type="checkbox"/> BCI Compliance Audit 2024-2027	8	59	12% Complete		

If you are assigned more than one audit, carefully review the Audit Name to ensure you are completing the correct audit. You will be able to see how many questions in the audit have been answered and what percentage of the audit is complete



Progress

- Agencies will also be able to view which questions have been answered and which ones haven't. It will be color coded similar to this

Utah Department of Public Safety

» Sub Questions

1 Please upload your Criminal History Justification Logs. Document Not Provided

Agencies that access Utah Criminal History (UCH) and/or Triple I (III) will be required to justify the purpose for the transactions. Please enter the justification next to each log entry by answering the following questions:

- Why was the transaction run?
- Was the correct purpose code used and if not, what should the code have been?
- Was the requestor the person who received the information?
- Is the auditing purpose a case number or specific phrase?
- If an inquiry is highlighted in **RED** indicating a Utah Right of Access inquiry, please provide the signed ROA Waiver Form.

9	Does your agency have NCIC Case files to submit?	No	Re-Answer
10	Does your agency have Utah Statewide Warrant files to submit?	No	Re-Answer
11	Does your agency have personnel that access UCJIS data from a mobile device?	Yes	Re-Answer

» Sub Questions



Submitting Audit

- When you are ready to submit, you will be taken to this page where you can complete & submit, Save it for later, or Review the audit

Utah Department of Public Safety

CJIS Audit

CHIEF

Finalize Audit

ORI: UT0000008

Ready to submit the following audit: **BCI Compliance Audit 2024-2027**

To complete and finalize the audit click the following button:

Complete Audit

To Save the audit for later click the following button:

Save For Later

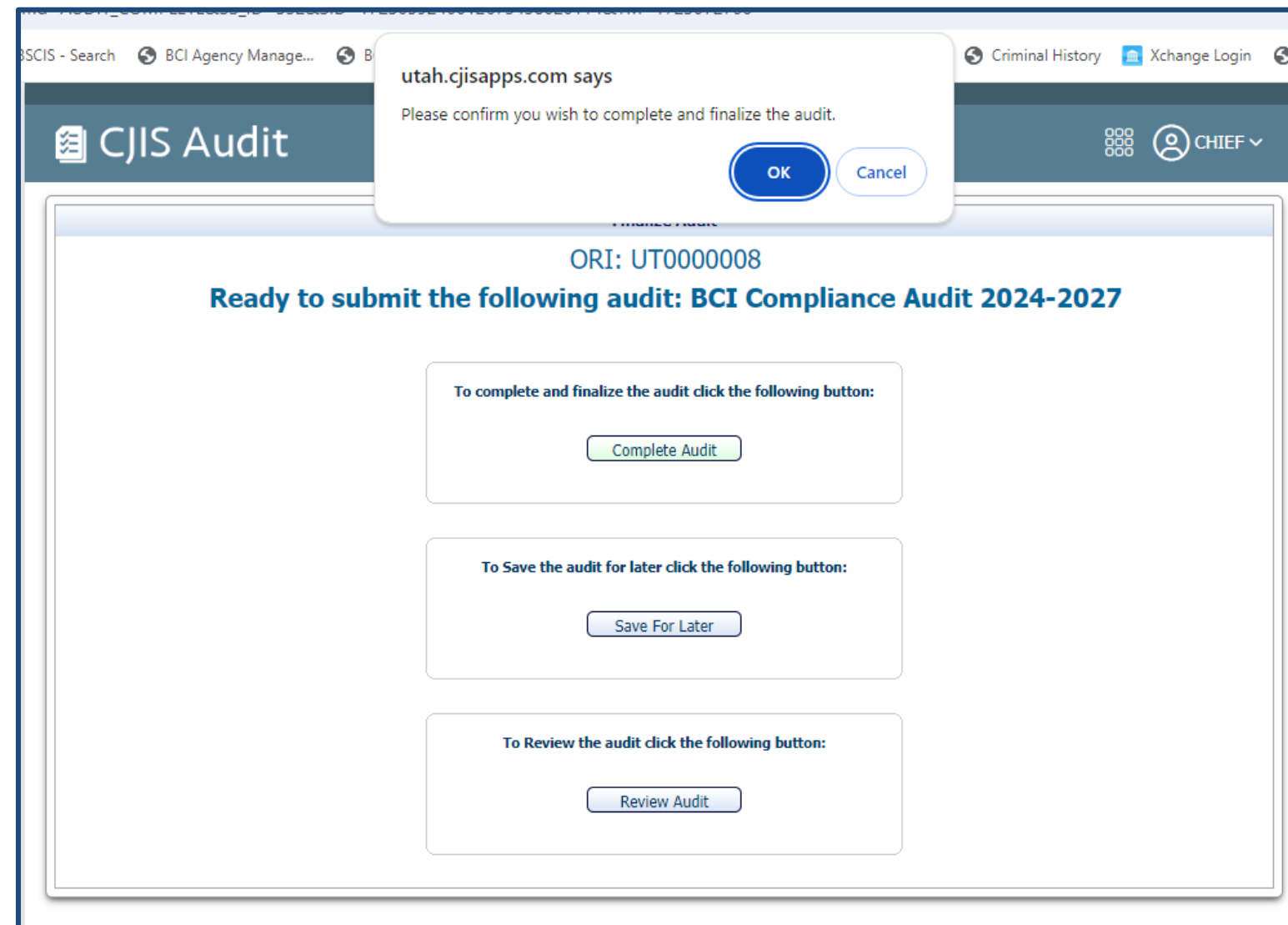
To Review the audit click the following button:

Review Audit




Submitting Audit

- If you are ready to submit, you will receive this pop up message when you click “Complete Audit”. Select “Ok” to confirm



Audit Submitted

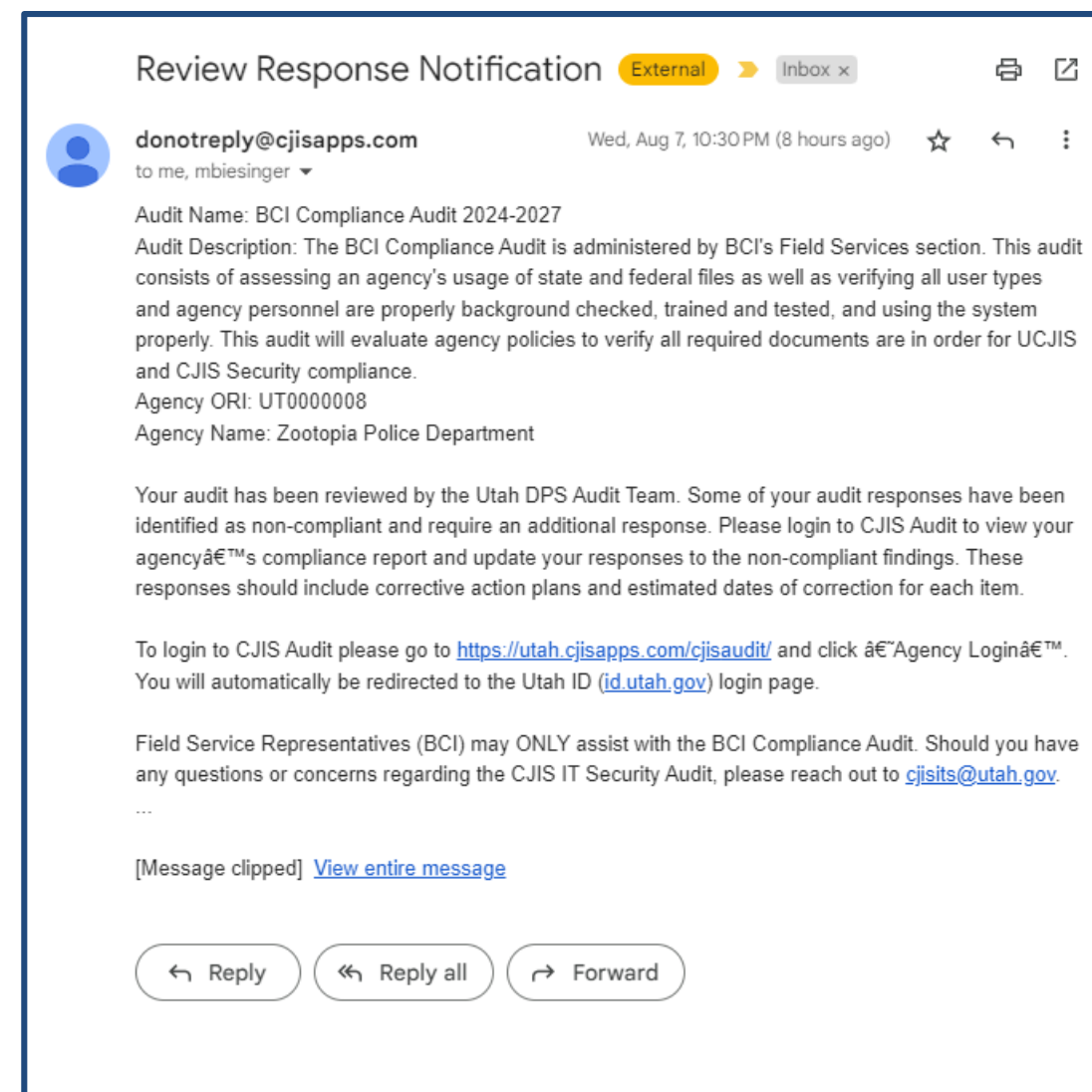
- Once audit is submitted, the status will change to “Pending Review”. This means it has been sent back to your auditor at BCI Field Services

Pending Audit(s)			
Audit Name	Date Completed	Compliance	Status
<input checked="" type="checkbox"/> BCI Compliance Audit 2024-2027	August 7, 2024	Audit Report N/A	 Pending Review



Response Notification Email

- Once the audit has been reviewed by the auditor, your agency TAC and Administrator will receive an email notifying you of a response



Response

- You will log into CJIS Audit to review the audit and respond. Your home screen will look like this once you log in. Please pay close attention to this especially if you have multiple audits you are working on (IT & BCI Compliance Audit)

Audit Name	Answered	Unanswered	Progress	Preview	Continue
CJIS IT Security Audit Questionnaire 2023-2026	1	59	2% Complete		

Audit Name	Date Completed	Compliance	Status
BCI Compliance Audit 2024-2027	August 7, 2024	N/A	Response Required

You will be able to view the Audit Report and Respond to the audit



Response

- When you select “Response Required” a new window will pop up. You will enter your agency response by selecting “Add”

The screenshot shows a web browser window titled "CJIS Audit - Edit Notes - Google Chrome" with the URL "utah.cjisapps.com/cjisaudit/audit/index.pl?cmd=AGENCY_RSP&SID=172374596018215472639031&SS_ID=352&TM=1723746358". The main heading is "BCI Compliance Audit 2024-2027". Below this, it displays "Agency Information: Zootopia Police Department - (UT0000008)", "Submitted By: CHIEF BOGO - On: August 7, 2024", and "Compliance Report with Agency Responses:". A logo for the Bureau of Criminal Identification (BCI) is shown next to the address: "BCI, 4315 S 2700 W, Ste 1300, Taylorsville, UT 84129".

The "Compliance Report with Agency Responses" section contains a disclaimer: "Per the Criminal Justice Agency Agreement, each agency with an active ORI agrees to be audited by BCI and/or the FBI at least once every three years. If at any time the TAC or Agency Administrator has any questions about the compliance audit process, please contact your agency's BCI Field Services Representative."

The main question is: "Item: 1, Section Name: Court, Question: Was this agency provided Warrant number(s) to submit files for?". Below this is a "Sub Question(s)" section with the following details: "Item: 1.1, Section Name: Court, Question: After reviewing these files for these warrants, were all statewide warrant listings valid and accurate?, User Answer: No, Compliance Response: Please review the QC sheet sent to your agency, Agency Response: Add Your Response By Clicking the Add button »". A blue "Add" button is located at the bottom right of the response area.


At the bottom of the page, there is a message: "BCI appreciates the efforts your agency displays in complying with state and federal regulations and policies." and two buttons: "Save For Later" and "Save For Final Review".



Response

BCI Compliance Audit 2024-2027

Agency Information: Zootopia Police Department - (UT0000008)
Submitted By: CHIEF BOGO - On: August 7, 2024
Compliance Report with Agency Responses:



BCI
4315 S 2700 W
Ste 1300
Taylorsville, UT 84129

Compliance Report with Agency Responses




Per the Criminal Justice Agency Agreement, each agency with an active ORI agrees to be audited by BCI and/or the FBI at least once every three years. If at any time the TAC or Agency Administrator has any questions about the compliance audit process, please contact your agency's BCI Field Services Representative.

Item:	1
Section Name:	Court
Question:	Was this agency provided Warrant number(s) to submit files for?

↳ Sub Question(s)

Item:	1.1
Section Name:	Court
Question:	After reviewing these files for these warrants, were all statewide warrant listings valid and accurate?
User Answer:	No
Compliance Response:	Please review the QC sheet sent to your agency
Agency Response:	Editing... Add

Editing Agency Response

B I U   

Save Response Cancel Edit

BCI appreciates the efforts your agency displays in complying with state and federal regulations and policies.

Save For Later Save For Final Review



Response

BCI Compliance Audit 2024-2027

Agency Information: Zootopia Police Department - (UT0000008)

Submitted By: CHIEF BOGO - On: August 7, 2024

Compliance Report with Agency Responses:



BCI
4315 S 2700 W
Ste 1300
Taylorsville, UT 84129

Compliance Report with Agency Responses

Per the Criminal Justice Agency Agreement, each agency with an active ORI agrees to be audited by BCI and/or the FBI at least once every three years. If at any time the TAC or Agency Administrator has any questions about the compliance audit process, please contact your agency's BCI Field Services Representative.

Item:	1
Section Name:	Court
Question:	Was this agency provided Warrant number(s) to submit files for?
↳ Sub Question(s)	
Item:	1.1
Section Name:	Court
Question:	After reviewing these files for these warrants, were all statewide warrant listings valid and accurate?
User Answer:	No
Compliance Response:	Please review the QC sheet sent to your agency
Agency Response:	This is where I enter my response to this question. Edit

BCI appreciates the efforts your agency displays in complying with state and federal regulations and policies.

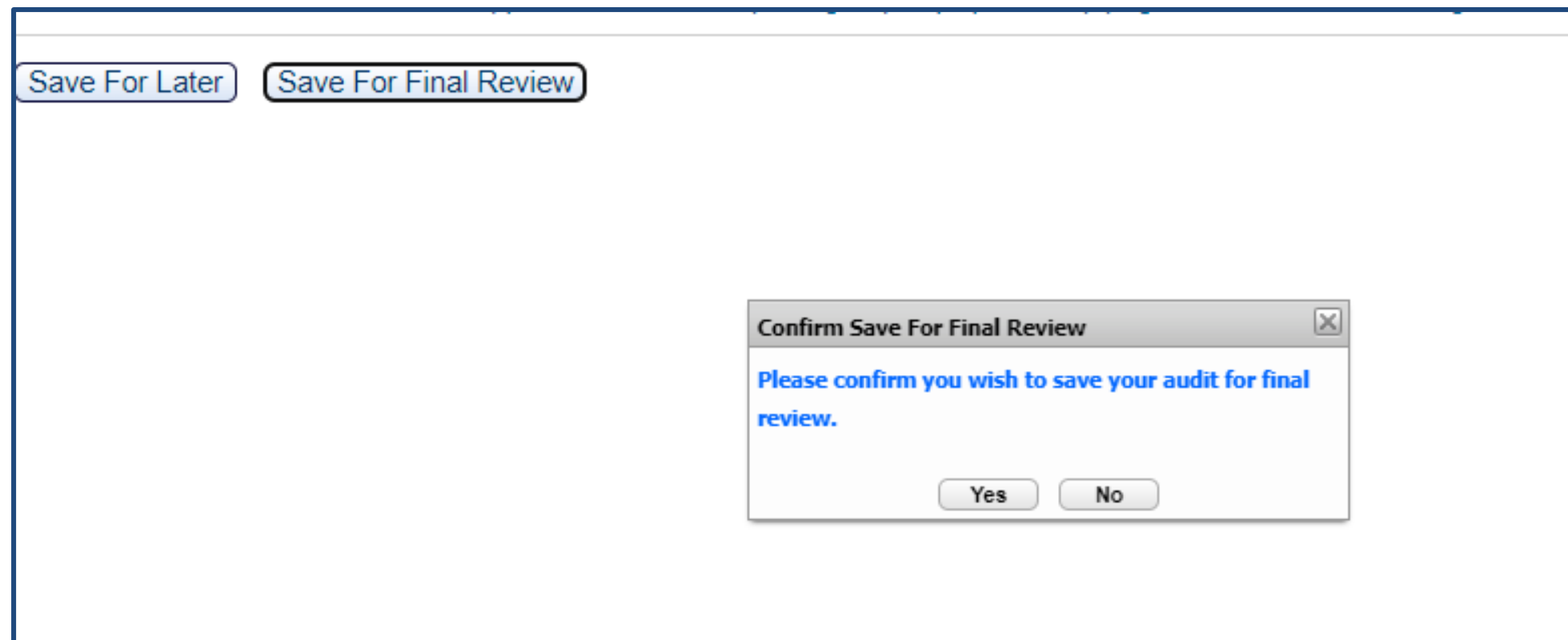
[Save For Later](#)

[Save For Final Review](#)



Save for Final Review

- You will be asked to confirm saving your response for final review



Save for Final Review

- The window will close and redirect you to the main screen where the status will now show “In Final Review”

The screenshot displays the 'CJIS Audit' interface for the Utah Department of Public Safety. The user is identified as 'CHIEF' at the 'Zootopia Police Department (UT0000008)'. A yellow banner at the top encourages viewing a tutorial. The interface is divided into sections: 'New Audits' (none available), 'Saved Audit(s)', and 'Pending Audit(s)'. The 'Saved Audit(s)' section shows a 'CJIS IT Security Audit Questionnaire 2023-2026' which is 2% complete. The 'Pending Audit(s)' section shows a 'BCI Compliance Audit 2024-2027' completed on August 7, 2024, with a status of 'In Final Review' highlighted by a red box. A red box also highlights the 'Help Manual' link in the top right corner.


Audit Name	Answered	Unanswered	Progress	Preview	Continue
CJIS IT Security Audit Questionnaire 2023-2026	1	59	2% Complete		

Audit Name	Date Completed	Compliance	Status
BCI Compliance Audit 2024-2027	August 7, 2024	N/A	In Final Review



Final Response Notification Email

Final Response Notification External Peak Performance

 **donotreply@cjisapps.com**
to jarrelbeal, me

Thu, Aug 15, 1:15 PM (11 days ago)

Audit Name: BCI Compliance Audit 2024-2027
Audit Description: The BCI Compliance Audit is administered by BCI's Field Services section. This audit consists of assessing an agency's usage of state and federal files as well as verifying all user types and agency personnel are properly background checked, trained and tested, and using the system properly. This audit will evaluate agency policies to verify all required documents are in order for UCJIS and CJIS Security compliance.
Agency ORI: UT0000008
Agency Name: Zootopia Police Department

Thank you for completing your audit. An audit report is available for your review in CJIS Audit. Please log in to confirm and complete your audit.

To login to CJIS Audit please go to <https://utah.cjisapps.com/cjisaudit/> and click "Agency Login". You will automatically be redirected to the Utah ID (id.utah.gov) login page.

Field Service Representatives (BCI) may ONLY assist with the BCI Compliance Audit. Should you have any questions or concerns regarding the CJIS IT Security Audit, please reach out to cjisits@utah.gov.



Final Response Notification

- The final portion will always be “Compliant”. The main page should look like this in the final stage

The screenshot shows the 'CJIS Audit' interface for the Utah Department of Public Safety. The user is identified as 'CHIEF BOGO' at 'Zootopia Police Department (UT0000008)'. A yellow notification bar at the top says 'Be sure to check out the CJIS Audit Tutorial! View Tutorial Dismiss'. Below this, there are tabs for 'Active Audits', 'Audit History', and 'My Info', along with a 'Help Manual' link. The main content area is divided into three sections: 'New Audits', 'Saved Audit(s)', and 'Pending Audit(s)'. The 'New Audits' section shows 'No New Audits Available'. The 'Saved Audit(s)' section contains a table with one entry: 'CJIS IT Security Audit Questionnaire 2023-2026', which is 2% complete with 1 answered and 59 unanswered items. The 'Pending Audit(s)' section shows a table with one entry: 'BCI Compliance Audit 2024-2027', which is completed on August 7, 2024, with a 'Compliance' status of 'Compliant' (indicated by a green checkmark) and a 'Status' of 'Review Final Notes'. A footer indicates 'Showing 1 - 1 of 1'.

Audit Name	Answered	Unanswered	Progress	Preview	Continue
CJIS IT Security Audit Questionnaire 2023-2026	1	59	2% Complete		

Audit Name	Date Completed	Compliance	Status
BCI Compliance Audit 2024-2027	August 7, 2024		Review Final Notes



Review Final Notes

- BCI will provide any further notes in this section along with a compliance response. You will have to confirm that you read these notes

The screenshot shows the 'CJIS Audit' interface for the Utah Department of Public Safety. The user is identified as 'CHIEF'. A yellow banner at the top says 'Be sure to check out the CJIS Audit Tutorial! [View Tutorial](#) [Dismiss](#)'. Below this, there are tabs for 'Active Audits', 'Audit History', and 'My Info', along with a 'Help Manual' link. The main content area is titled 'Welcome, CHIEF BOGO' and 'Zootopia Police Department (UT0000008)'. It displays 'New Audits' (None available), 'Saved Audit(s)' (CJIS IT Security Audit Questionnaire 2023-2026, 2% Complete), and 'Pending Audit(s)' (BCI Compliance Audit 2024-2027, August 7, 2024, Compliant). A 'Final Review Notes' section is highlighted with a blue box, containing a text area for notes and a 'Click Here to Confirm You Have Read the Final Review Notes' button. The interface also shows 'Audit Report' and 'Review Final Notes' buttons for the pending audit.



History

- Once you exit out of the window, the audit will now appear in the Audit History tab

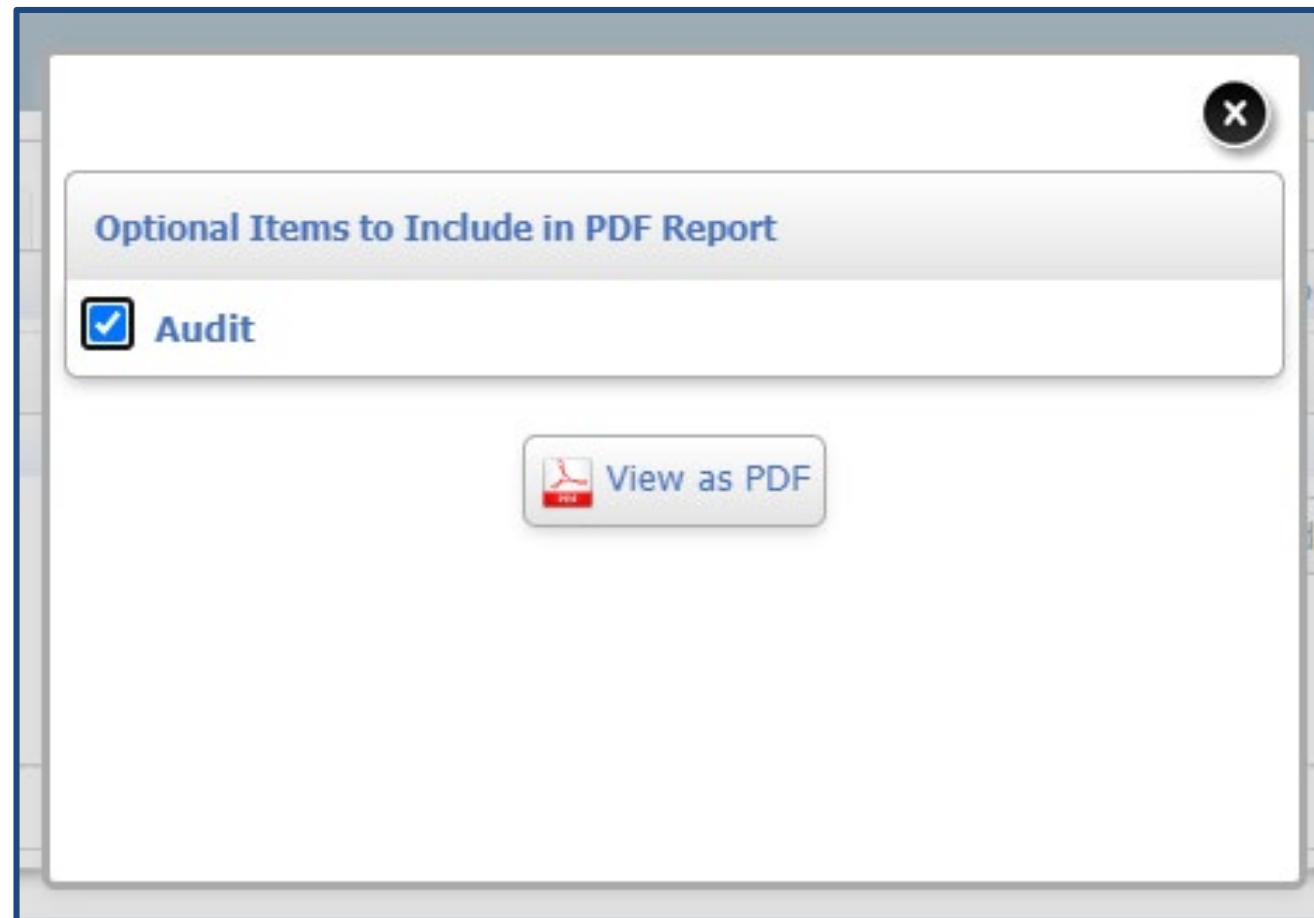
The screenshot displays the 'CJIS Audit' interface for the Utah Department of Public Safety. The user is logged in as 'CHIEF' at the 'Zootopia Police Department (UT0000008)'. The 'Audit History' tab is active, showing a table of completed audits. One audit is listed: 'BCI Compliance Audit 2024-2027', completed on 'August 7, 2024'. The 'Compliance' status is 'Done' with a green checkmark, and the 'Status' is 'Done' with an information icon. An 'Audit Report' button is visible next to the audit entry. The interface also includes a 'Help Manual' link and a 'Showing 1 - 1 of 1' indicator.

Audit Name	Date Completed	Compliance	Status
BCI Compliance Audit 2024-2027	August 7, 2024	Audit Report	Done



History

- You will be able to download a PDF of the audit to store for your records



What documents will BCI request?



Policies

- BCI will request the following policies from agencies:
 - Misuse Policy
 - Per UCA 53-10-108, the agency Misuse Policy must state one of the following:
 - 1) The “Commissioner and Director of BCI” will be notified if misuse of UCJIS information is suspected; or
 - 2) The agency will abide by UCA 53-10-108
 - NCIC Validation Policy and Procedures (if applicable)
 - SWW Validation Policy and Procedures (if applicable)
 - AMBER Alert Procedures/EMA Policy (if applicable)
 - MDM Policy (if applicable)



Misuse Policy

- Misuse Policy
 - Per UCA 53-10-108, the agency Misuse Policy must state one of the following:
 - 1) The “Commissioner and Director of BCI” will be notified if misuse of UCJIS information is suspected;
 - or
 - 2) The agency will abide by UCA 53-10-108



Gotham Police Department Misuse Policy

Commissioner James Gordon	EFFECTIVE DATE June 1, 1990	POLICY NUMBER GPD-90-101
SUBJECT Misuse of UCJIS (Utah Criminal Justice Information System) Information		REFERENCE BCI Operations Manual, UCA 53-10-108
AMENDS May 1, 2017	RE-EVALUATION DATE May 1, 2018	NO. OF PAGES 1

I. PURPOSE

The Gotham City Police Department (GPD), as well as all city governmental agencies and individuals are strictly governed by state statutes/policies and federal statutes/policies from disseminating Utah Criminal Justice Information System (UCJIS) to unauthorized agencies or individuals. GPD follows state and federal law and promulgating policies and procedures, which protect an individual's right to privacy while maintaining a balance of fairness for which criminal history information is used and disseminated.

II. PROCEDURE

In accordance with UCA 53-10-108, Gotham City Police Department (GPD) will notify the commissioner and director of the Utah Bureau of Criminal Identification (BCI) upon the discovery of unauthorized access, use, disclosure, or dissemination of a record created, maintained, or to which access is granted by BCI.



NCIC Validation Policy & Procedure



Gotham Police Department NCIC Validation Policy & Procedures

Procedure

1. TAC will log into UCJIS and download the validations for the current month using the NVAL transaction the first Monday following the first Saturday of the month
2. TAC will search all available UCJIS files and all available records (CAD, Court files, reporting party, social media, etc.) and add missing information to the record
3. TAC will validate each record using the modify transaction of the file type (MW for Wanted Persons, MG for Guns, etc.) and add any information found to the record
4. TAC will have the record checked by a second party

Policy

A second party check will be performed on all entries

This agency will follow NCIC protocol in confirming that the record is complete, accurate and still outstanding or active.

Per NCIC Policy 3.4, this agency will accomplish validation by reviewing the entry and current supporting documents, and by recent consultation with any appropriate complainant, victim, prosecutor, court, nonterminal agency, or other appropriate source or individual.

Revised 8/22/2024



SWW Validation Policy & Procedure



Gotham Justice Court SWW Validation Policy & Procedures

From Booking Report

1. Clerk will print booking report daily
2. Warrant will be recalled from CORIS if defendant's name appeared in the Booking Report
3. If defendant is in custody, clerk will contact jail and arrange video/transport
4. If defendant is not in custody, clerk will hold case for 2 weeks (10 days)
5. If defendant does not contact the court during those 2 weeks, their case will be referred to judge for new warrant
6. If defendant was to contact the court during the 2 weeks, matter will be set for hearing accordingly

From Audit Report

1. Clerk will print audit report every Monday
2. Information from audit report will be clarified to information from CORIS system
3. If warrant was recalled by court's order, but defendant's name/warrant still appeared on Audit Report, clerk will recall the warrant from UCJIS

Revised 8/22/2024



Documents

- ROA Contracts and Waivers (If applicable)
- Copy of the first page of your REPT
- Hit Confirmation Agreement
 - If your agency owns NCIC records but is not a 24-hour agency, you should have an agreement in place (e.g. with a dispatch center) outlining roles for after-hours hit confirmation
- NCIC Case Files (if applicable)
- SWW Documents (if applicable)



Criminal History Logs Justification

- Agencies that access Utah Criminal History (UCH) and/or Triple I (III) will receive a PDF file with logs for their agency

	TRANS TYPE	PURPOSE CODE	AUDIT PURPOSE	REQUESTER	USER ID	ORI	DATE/TIME	SEARCH TYPE	SEARCH CRITERIA
1	QH	C	17-1425441	jjones	jjones	UT030021	10/29/17 12:12	NAME	Smith, John (11/30/1979)
2	CHQ	C	65201110	jjones	jjones	UT030021	11/14/17 13:25	NAME	Doe, John (07/26/1982)
3	CHQ	J	New hire	LK7766	LK7766	UT030021	11/31/17 9:44:5	SID	24115511
4	QH	J	17-2544874	C	jjones	UT030021	12/18/17 9:34	NAME	Doe, Jane (02/07/1981)
5	QH	C	Investigate	Sgt. Jones	LK7766	UT030021	1/1/18 11:27	NAME	Mars, Bruno (05/05/1978)
6	QH	C	18-1525584	me	bmerrill	UT030021	1/14/18 10:50	SSN	1111111111



Criminal History Logs Justification

- Agencies that access Utah Criminal History (UCH) and/or Triple I (III) will be required to justify the purpose for the transactions
 - 1) Why was the transaction run?
 - 2) Was the correct purpose code used and if not, what should the code have been?
 - 3) Was the requestor the person who received the information?
 - 4) Is the auditing purpose a case number or specific phrase?
 - 5) If an inquiry is highlighted in RED indicating a Utah Right of Access inquiry, please provide the signed ROA Waiver Form.



Criminal History Logs Justification

Criminal History Log 1: EW Entry: Purpose Code is correct. Yes, the requestor received the information. Audit Purpose is a valid Incident number.

Criminal History Log 2: Disorderly Arrest: Purpose Code is correct. Yes, the requestor received the information Audit Purpose is a valid Incident number.

Criminal History Log 3: EW Entry: Purpose Code is correct. Yes, the requestor received the information Audit Purpose is a valid Incident number.

Criminal History Log 4: Traffic Offense / Drugs: Purpose Code is correct. Yes, the requestor received the information Audit Purpose is a valid Incident number.



Criminal History Logs Justification

	TRANS TYPE	PURPOSE CODES	AUDIT PURPOSE	REQUESTER	USER ID	ORI	DATE/TIME	SEARCH TYPE	SEARCH CRITERIA	
Crim. Justice	CHQ	①② - correct C	4 - case number	3 - yes			10/27/2020 12:38	NAME		OK
Crim. Justice	QH	1+2 - correct C	③ - requestor these are reversed ←→	④ case number			12/3/2020 15:46	SSN		mistake 3+4 reversed
Crim. Justice	CHQ	1+2 - OK C	4 - case number	3 - yes			10/22/2020 19:54	SID		OK
Crim. Justice	CHQ	1+2 - OK C	4 - case number	3 - yes			10/30/2020 12:37	SID		OK
ROA	CHQ	1+2 - OK P	4 - Phrase ROA - [redacted]	3 - yes			8/13/2020 9:05	SSN		OK
Weapon check	CHQ	1+2 - OK F	4 - case number	3 - yes			10/5/2020 8:32	SID		OK
Crim. Justice	QR	1+2 - OK C	4 - case number	3 - yes			10/16/2020 16:03	FBI N		OK
Crim. Justice	QH	1+2 - OK C	4 - case number	3 - yes			12/20/2020 17:48	NAME		OK
Crim. Justice	CHQ	1+2 - OK C	4 - case number	3 - yes			9/13/2020 13:36	DL		OK
Crim. Justice	QH	1+2 - OK C	4 - case number	3 - NO			9/9/2020 21:45	SSN		mistake - Requester incomplete



\$P Messages

- Agencies that have \$P messages for failure to validate will receive a PDF file with the NIC and OCA of the purged record

Purged Records	
NIC	OCA
G123456789	GTEST123
W123456789	WTEST123
G012345678	GTEST012
B123456789	BTEST123
M123456789	MTEST123



\$P Messages

- Your agency will need to review the purged records and answer the following question:
 - Please explain in detail the changes this agency has implemented to ensure NCIC Validations are validated in a timely manner and to prevent future records from purging



Missed Hit Confirmations

- If your agency had any missed hits, you will receive a PDF file with the NIC and OCA of the record(s) with a missed hit

Missed Hit Confirmations	
NIC	OCA
G123456789	GTEST123
W123456789	WTEST123
G012345678	GTEST012
B123456789	BTEST123
M123456789	MTEST123



Missed Hit Confirmations

- Your agency will also need to answer the following question:
 - Please explain in detail what changes your agency has implemented to ensure hits are confirmed within the specified times



What files will you be audited on?



Files

**UCH/
III**

If your agency accesses and runs criminal history in CHQ or III, you will be provided criminal history logs to justify

NCIC

If your agency owns records that are listed in NCIC, you will be audited on entering records, validating records, and dealing with any hits and missed hits

DL/MV

If your agency is able to query into the DL file, your agency will be audited on the use of those files and dissemination of those files



Files

Courts

If your agency is a court, you will be audited on packing warrants with searchable information, accessing booking reports, and warrant validation processes

SWW

Agencies that are able to query into the SWW system will be audited on adding warrant comments, serving warrants and when agencies query into the system



Auditing & Training

All agencies will be audited on training and testing users,
non-access users and and training non-users

All agencies will be audited on the implementation of Security Awareness
training that was presented at TAC Conference 2023. You can find this
information in the CJIS Policy

All agencies will be audited on training and testing agreements
and security agreements being submitted to BCI



Audit Reminders/Information

- The end result of your agency's audit will always be "Compliant"
 - Your audit will not close until it is in compliance
- Your agency will receive weekly reminder emails when an audit is still incomplete/not submitted
- Your agency will have 30 days to submit your audit to your auditor
- Your agency will receive an email from your auditor if there is anything missing in your audit response
- If you have any questions, please contact your auditor



THANK YOU

