

4501:2-10-07 **LEADS audits.**

- (A) Each agency shall, upon notice, submit to a periodic and at least biennial audit conducted by members of the LEADS staff. The audit shall include the elements of compliance; economy and efficiency; and effectiveness. The audit will have two basic objectives:
- (1) To provide reasonable assurance appropriate control systems have been established by the agency administrator to ensure compliance with law and rules; and
 - (2) To provide reasonable assurance the terminal agency has instituted sufficient controls to guarantee their entries provide reliable and accurate information.
- (B) To ensure these two objectives are being met, the audit will examine five basic areas:
- (1) Type of, and reasons for, access to both the "Hot" files and III by users;
 - (2) Disposition of information provided by the LEADS;
 - (3) An examination of the quality assurance measures in effect;
 - (4) Security; and
 - (5) Training.
- (C) Prior to the biennial on-site audit, the agency will be contacted by LEADS staff to schedule an audit date. The agency must complete and retain a pre-audit questionnaire, terminal operator's list, and agency self evaluation for review at the time of the audit.
- (D) The agency administrator must make every effort to be available to the auditor for an exit interview.
- (E) Agencies requested to modify operations to be in compliance will receive correspondence detailing deficiencies. The agency must respond in writing within the time period specified in the correspondence. This response must document detailed actions taken to correct the deficiencies.
- (F) Intrastate regional systems are responsible for auditing agencies participating in their intrastate regional system. The audit plan must be approved by the LEADS staff. The intrastate regional administrator will be responsible for the certification of

audits within the regional system. The LEADS will audit the regional agency and a sample representation of their agencies on a biennial basis in the same manner as is done for full access LEADS agencies.

(G) Each non-terminal agency shall, upon notice, submit to a periodic audit conducted by members of LEADS staff. The objective of this audit is to provide reasonable assurance that appropriate control systems have been established by the agency administrator to ensure compliance with law and rules. The audit will examine three basic areas:

(1) Disposition of LEADS information

(2) Training issues

(3) Validation procedures

(H) LEADS will incorporate technical security inspections into the LEADS agency audit program. Inspections will also be conducted as needed to evaluate new networks and interface systems, and to investigate allegations or indications of LEADS security violations, computer security incidents, or criminal activity.

Effective:

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Certification

Date

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