



DEPARTMENT OF JUSTICE
CLIENT SERVICES PROGRAM
CLETS POLICY AND
SECURITY REVIEW (May 2009)

COPY

Agency Name: SANDRA YOUNG ORI Number: _____ County: _____

ACC: CA0373200 Alternate: _____ Email Address: _____ Telephone Number: _____

County: 37

CSU San Marcos Police Department
Ronald Hackenberg Chief
441 La Moree Road
San Marcos CA 92096
760-750-4567 FAX 760-750-3012

PO/Mailing Address: _____

Appointment Date: _____

Number: _____

1. Please provide a copy of the following documents:

- Agency CLETS Coordinator (ACC) Responsibilities
- CLETS Subscriber Agreement Dated: 5-25-07

2. How does your agency access CLETS?

- Direct interface to CLETS
- County interface ESUN
- DOJ hosted Law Enforcement Agency Intranet (LEAWEB)
- Other interface or host server (Specify: _____)

3. Number of fixed CLETS terminals two, number of wireless/MDT CLETS terminals none?

- List of fixed terminal locations available. (PPP 1.6.4)
- List of wireless terminal locations available. (PPP 1.6.4)

4. Have there been any upgrades since your last CLETS approved application?

- Yes
- No

4a If yes, has the DOJ CLETS Administration Section (CAS) been notified?
(PPP 1.4.2 B.1.)

- Yes
- No

5. Does your agency pool Mnemonics?

Yes No

5a. If yes, did your agency submit the required documents to CAS? (PPP 1.6.2 B)

Yes No

Comments:

Y903 COPY

6. Does your agency enter your own records into CLETS?

Yes
 No What agency does? _____
Reciprocity Agreement provided? (PPP 1.5.4) Yes No
 N/A Inquiry Only Dated: _____

7. Does your agency respond to your own hit confirmation 24 hours a day?

Yes
 No What agency does? _____
Reciprocity Agreement provided? Yes No
 N/A Inquiry Only Dated: _____

7a. If yes, does your agency access the Master Case File for hit confirmation?
(CJIS/NCIC policy)

Yes No

8. Does your agency enter records into CLETS for another agency?

Yes What agency: _____
Reciprocity Agreement provided? Yes No
 No Dated: _____

9. Does your agency perform hit confirmation for another agency?

Yes What agency: _____
Reciprocity Agreement provided? Yes No
 No Dated: _____

9a. If yes, does your agency access their Master Case File for hit confirmation?
(CJIS/NCIC policy)

Yes No

Comments:

10. Does your agency release CLETS provided information to a non-subscribing agency (i.e., court, school police, railroad police, housing authority, code enforcement, etc.)?

Yes What Agency: _____
 No Release of CLETS Information provided? (PPP 1.5.3) Yes No
Dated: _____

Comments:

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11. Has your agency placed a CLETS terminal or mnemonic with another governmental agency (i.e., family services, code enforcement, etc.)?

Yes What agency: _____
 No Interagency Agreement provided? (PPP 1.5.2) Yes No
Dated: _____

Comments:

12. Does your agency allow authorized CLETS access to a private agency, or a public agency that is neither law enforcement nor criminal justice (i.e., system vendors, data processing unit, etc.)?

Yes What Agency: _____
 No Management Control Agreement or Yes No
Private Contractor MCA provided? (PPP 1.5.1) Dated: _____

Comments:

13. Does your agency record a "third-party release" when providing rap sheet information, including III, to individuals outside of your agency (i.e., district attorney, probation, etc.)? (PPP 1.6.1 D.)

Yes No

14. How does your agency dispose of CLETS information, both hard copy and electronic formats, when no longer needed? (PPP 1.6.4 G.)

Hard Copy: Shred
Electronic: delete

15. Has a unique user ID and password been assigned to each CLETS user? (PPP 1.6.7 B.)

Yes No

16. Are any User ID's being reassigned within six-months of their last use? (PPP 1.6.7 B.)

Yes No

17. Are all devices with CLETS access and the information obtained over CLETS secure from unauthorized access? (This includes physical location of fixed terminals, MDT's, etc.) (PPP 1.9.1)

Yes No

18. Does your agency have a written policy regarding the security of wireless devices, such as MDT's in patrol vehicles? (Not PPP mandated)

Yes No

19. Has your agency conducted fingerprint security background checks (DOJ and FBI) on all sworn/non-sworn personnel, including volunteers, maintenance/janitorial personnel, vendors, etc. who have ongoing access to CLETS, CORI, and/or III Information? (PPP 1.9.2 A. & B.)

Yes No *janitors are escorted*

20. Are personnel allowed to operate CLETS terminals or equipment, or access CLETS information, CORI or III, before a fingerprint security background investigation is completed and approved by the agency head? (PPP 1.9.2 A. & B.)

Yes No

21. Has each employee or volunteer signed an Employee/Volunteer Statement prior to operating or having access to CLETS terminals, equipment, or information? (PPP 1.9.3 A.)

Yes No Reviewed Renewed *subject biennially*

22. Are all logons (successful/unsuccessful) being logged and retained for three-years? (PPP 1.9.3 B.)

Yes No

23. Do repeated failed log-on attempts to the CLETS system disable the user's account? (PPP 1.9.3 B.)

Yes No

24. When a person with CLETS access is no longer a CLETS user within your agency, what is your procedure for deleting the person's CLETS access account information? (PPP 1.6.9 A. 4 and 1.9.3 C.)

ACC deletes CLETS account

25. If your terminal with CLETS access is connected to the internet, is that access protected by a firewall or appropriate proxy server? (PPP 1.9.4 B.)

Yes No

26. Does that firewall meet all of the conditions specified in PPP 1.9.4 C.?

Yes No

27. Did your agency file a CLETS Misuse Investigation Reporting Form by February 1 for the previous calendar year? (PPP 1.10.1 D.)

Yes No



28. Does your agency have the current CLETS Policy, Practices, Procedures (and Statutes)?

Yes No

29. Does your agency have access to the DOJ California Law Enforcement Web (CLEW) site? (<http://clew.doj.ca.gov>)

Yes No Is ACC subscriber?:

TRAINING (PPP 1.8.2)

30. Have all Full Access Operators completed the required lecture and the Full Access Workbook/Proficiency Exam?

Yes No

31. Have all Full Access Operators been biennially re-certified?

Yes No

32. Does your agency maintain, for audit purposes, detailed individual training records on all Full Access Operators regarding the date of training, date of workbook/exam completion, and dates and scores of biennial re-certification?

Yes No Records Reviewed

33. Are Full Access Operators provided timely access to DOJ Information Bulletins, CLETS/NCIC manuals and updates?

Yes No

Comments:

34. Have all Less Than Full Access Operators completed the required lecture and the Less Than Full Access Workbook/Proficiency Exam?

Yes No

35. Have all Less Than Full Access Operators been biennially re-certified?

Yes No

36. Does your agency maintain, for audit purposes, detailed training records on all Less Than Full Access Operators regarding the date of training, date of workbook/exam completion, and dates and scores of biennial re-certification?

Yes No Records Reviewed

37. Are Less Than Full Access Operators provided timely access to DOJ Information Bulletins, CLETS/NCIC manuals and updates?

Yes No

Comments:

38. Have all practitioners received the basic training in CLETS/NCIC system, policy, and regulations?

Yes No

39. Does your agency maintain records on practitioners reflecting their CLETS training?

Yes No Records Reviewed

40. Have your agency administrators read the "Areas of Liability for the Criminal Justice Information System Administrator"?

Yes No Records Reviewed

41. Are all sworn law enforcement personnel and other practitioners with CLETS access provided with updated information concerning CLETS/NCIC systems, using methods such as roll call, in service training, etc.?

Yes No Other Methods: _____

Comments:

FIREARMS

42. Are users aware the Mental Health Firearms Prohibition System can only be used to determine if a subject of a criminal investigation involving the use or possession of a firearm, explosive or destructive device by that subject, is eligible to possess such a device?

Yes No NA

43. Does your agency inquire into the Automated Criminal History System for record checks on individuals applying for CCWs, destructive devices and explosive permits?

Yes No NA

44. Does your agency require the Law Enforcement Gun Release Application (FD119) prior to the release of a weapon to the rightful owner?

Yes No NA

CAL-PHOTO

45. Does your agency access Cal-Photo?

Yes No

- 45a. If yes, is a copy of the Users Agreement available?

Yes No Dated: 6-1-07

46. Is Cal-Photo equipment and information secure from unauthorized access?

Yes No

47. Does each Cal-Photo User have a unique User-ID and password?

Yes No

48. Are users aware that Cal-Photo information or images are not to be released to the media, except for DMV information or images which may be released for public safety purposes?

Yes No

49. How is Cal-Photo information destroyed?

Shredded / deleted

AUTOMATED ARCHIVES

50. Does your agency access the Automated Archive System?

Yes No

100% - Great Work !!

RESULTS:

COMPLIANT (A signed copy of this document serves as the formal Letter of Compliance)

COMPLIANT PENDING: (The following items must be completed within two weeks.)

Date completed: _____ Field Representative: _____

NON-COMPLIANT: (Agency will be notified in writing by DOJ of the following issues.)

As the Agency CLETS Coordinator or designee, I certify that the above responses are true and correct to the best of my knowledge.

Sandra J. Young, Communications Manager

(Please print) FIRST NAME LAST NAME TITLE

Sandra J. Young 06/12/09
SIGNATURE DATE

As a Field Representative for the Department of Justice, I certify that the above inspection is complete to the best of my knowledge.

CAROL HOFFMAN
(Please print) FIRST NAME LAST NAME

Carol Hoffman 6/12/09
SIGNATURE DATE