This TAC meeting was created to add emphasis to the quality of records that are being entered by NC law enforcement agencies.

The purpose is to enter records that aid in officer safety, the apprehension of wanted persons, recovery of stolen property and locating missing persons.

It is important that each agency perform a self-evaluation in the area of record entry to determine if your current processes only create minimally compliant records, or if agencies are actively seeking identifiers to thoroughly pack a record, with the expectation that this extra effort will enhance the likelihood that apprehension or recovery will occur.
This information is also intended to assist with NCIC record management. The intent is to assist agencies in ensuring their record entries, modifications, locates, clears, and cancels are completed in a timely manner, and that all records are accurate and complete with all available data.
DEFINITIONS – NCIC RECORD INTEGRITY

Record Timeliness & Removal:

The DCIN/NCIC Systems provide information to investigators, patrol officers, judges, prosecutors, and corrections officials for making decisions. The law enforcement and criminal justice community rely on the accuracy of the information being evaluated along with other facts prior to an individual being detained or a piece of property being seized.

No System can be expected to produce results unless it is properly used. The standards and procedures set forth should be strictly followed as every exception tends to degrade the System and the integrity of the data stored in the System.
First, we are going to review how Record Timeliness & Removal are important to NCIC Record Transactions.

Agencies should establish in-house policies and procedures concerning the entry of NCIC records, record maintenance and validation procedures as required by the CJIS Security Policy.
Locate Exception: Missing Person
If the missing person has been positively identified by partial body parts, the locating agency should determine if the entering agency wants the record to be located. The record may remain in NCIC for future positive identification in the event additional body parts are subsequently recovered.
First, we are going to review how Record Timeliness & Removal are important to NCIC Record Transactions.
DEFINITIONS – NCIC FILES

Record Timeliness & Removal:

- Article, Boat, Gun, License Plate, Securities, Vehicle/Boat Part, and Vehicle Files – Entry is made as soon as possible, not to exceed 3 days, once the minimum data required for entry (i.e., all mandatory fields) and the record documentation are available. Information about stolen license plates and vehicles should be verified through DMV Registration files prior to record entry if possible.

- NSOR Record Timeliness – Timeliness in entering and modifying data in the NC Sex Offender Registration file and the NCIC SOR file is essential and required by NCIC. The entering agency must account for all fields in the NSOR record format. Missing data obtained at a later time should be promptly added through the use of a Modify (MSOR) transaction. Records must be modified as soon as possible after the information is available, not to exceed 3 days. When a NC SOR record is modified, the information is also updated in NCIC.

- All Other Files – Entry is made as soon as possible, not to exceed 3 days, once the minimum data required for entry (i.e., all mandatory fields) and the record documentation are available.
Agencies should be aware there are risks associated with the accuracy of a record. Inaccurate records could expose the agency to a civil suit due to lack of sufficient care in entering and maintaining records. Inaccurate information could result in an erroneous hit, prevent an agency from obtaining a “positive hit”, and could lead to a negative effect on officer safety.

**What This Means to Your Agency**

Accurately entered records prevent the possibility of an erroneous hit, a wanted person from going free, or an officer from being injured. Agencies should establish in-house policies that outline approved procedures concerning the accuracy of NCIC record entries.
The time has come to move from “passive” entry to “active” entry.

Active entry means that operator’s should be using their online resources to actively seek out identifiers on the subject of the entry, rather than simply typing information obtained from a form, presented by an officer or detective.
Think about your agency. Do you attach images to entries to ensure the record is packed? If not, why?
ENTERING IMAGES

- **Why are images important?**
  - Provide correct identification on Persons:
    - Wanted Persons/Suspects
    - Missing Persons
    - Sex Offender Registry
  - Provide correct identification on Property:
    - Articles
    - Vehicles
    - Parts
  - Investigations
All NCIC files (except Guns & Securities) allow images to be attached to record entries. An image must be in a jpg format and must be less than 32,000 bytes in order to be attached to the record entry.

**Mugshot Image:**
The first image attached must be classified as a Mugshot. This will ensure the image will be returned on the NCIC response. A Mugshot is considered to be a frontal face view from the shoulders to the top of the head. An arrest photograph, driver’s license, DOC record, CJLEADS & a school picture are all resources where Mugshot images can be found.

**Signature Image:**
It is important to attach a Signature Image for Identity Theft/Credit Card Fraud entries. A driver’s license, personal check, receipt, and a Social Security Card provide examples where signature images may be found.

**Identifying Image:**
You can attach a sketch or an aged photograph of a missing juvenile or person as an Identifying Image. It should **not** be attached as a Mugshot.

An Identifying Image for the Person files would include images of scars, marks, tattoos or any other distinguishing characteristics.

An Identifying Image for the Property files would include images of the vehicle, parts, articles, etc.
ENTERING IMAGES

- **Attaching Images:**
  - Utilize Image Entry (EIM) transaction
    - Forms/Utilities/Imaging/Enter
  - **Date of Image (DOI) field** – The date the photograph was taken and **not** the date it was attached to the NCIC record.
    - If the year is known, but not the month & day, then indicate 0000 for month & day.
    - For an aged progressed image, the DOI should be the individual's DOB, and the year for the DOI should represent the time at which the subject's appearance should match the image.
With today’s technology, there is a tremendous amount of information and identifiers available on individuals, especially in cases of repeat offenders.

Operators should be permitted to self-initiate those inquiries that will help pack the record. This would include operator-initiated criminal history transactions, when these inquiries are run to specifically locate additional identifiers for the “pre-entry” process.

Agencies are encouraged to update their entry policies and procedures to keep pace with a changing law enforcement world.
This is not an inclusive list. Each agency should develop entry guidelines, specific to their department. Agencies should consider what shared databases are being utilized by their department.

<table>
<thead>
<tr>
<th>Sources</th>
<th>Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>NC DMV</td>
<td>can provide License &amp; Vehicle Descriptors for Vehicle entries and Customer ID Number (OLN), Dates of Birth and Physical Descriptors can be added to Person entries</td>
</tr>
<tr>
<td>NCIC/III</td>
<td>the CCH Identification record can provide Physical Descriptors (Race, Height, Weight, Eye, Hair Color, Scars, Marks &amp; Tattoos, etc.) and Numerical Identifiers (SOC, FBI #, SID #, Dates of Birth, etc).</td>
</tr>
<tr>
<td>NC AOC</td>
<td>can provide information such as the Court File Number (WNO) for a Wanted entry.</td>
</tr>
<tr>
<td>RMS</td>
<td>your Records Management System could also provide Physical Descriptors and Numerical Identifiers for record entries also, a check of departmental records may indicate there is a digital mugshot that can be attached to the record entry</td>
</tr>
</tbody>
</table>
Agencies need to determine what additional resources will be utilized to obtain information. It is important to become familiar with all available resources.
As agencies begin to run pre-entry transactions it is important that identifiers subsequently used in the entry be documented in the case file.

This means that operators should print responses from RMS, DMV, CCH, etc., and add these printouts to the case file.

**DEFINITIONS**

**Mirror Images:**

- The source document, and supporting inquiry responses (vehicle registration, driver’s license, etc.) should exactly match the entry response.
  - If it is in the case file it should be in the entry. If it is in the entry it should be in the case file.
Documentation to support your record entry, modification, etc., must be maintained in the case file as long as the record is active in NCIC.
All NCIC records are divided by the **ORI Translation line**.

Above this line is considered the base record. Changes to the base record must be completed through the use of a Modify transaction.

Below this line is where all supplemental data is located. Changes in this area must be completed through using additional Supplement transactions to add data, or cancel supplement to remove data.

Operators who do not understand this process become frustrated when they can’t remove data located below the ORI Translation line.

Instead of using a modify, the separate “Cancel Supplement” transaction is required. In this transaction, go to the field that you wish to remove data from and type the data to be removed.

This functions very differently from the “Modify” transaction, which replaces the data already there, or you must right-click and select “mark for deletion” to remove data.

When completing annual validations of agency records, patterns of completeness will be readily evident.
Failure to note Second Party Checks in the case file is a fairly common finding in biennial audits.

Agencies can resolve this issue with a change in their entry protocol.

Although non-certified personnel can complete Second Party Checks, it is better if these are completed by another certified operator, since they will understand what to look for.

If a Second Party Checks is going to be completed by a non-certified person, the certified operator should offer some guidance, so the person completing the check will know what to look for.
SECOND PARTY CHECKS

- **Common methods of recording Second Party Checks include:**
  - Handwritten notation on the copy of the entry screen/print off.
  - Stamped with an ink stamp created for this purpose.
  - Attaching additional documentation usually through an agency created form that captures which operator entered and which operator completed the Second Party Check.

<table>
<thead>
<tr>
<th>Image Printed By</th>
<th>Date of Image (DD/MM/YYYY)</th>
<th>Image Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>GR/T Image NC Number</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Data/Time Submitted</td>
<td>Requesting Officer</td>
<td>Data/Time Entered</td>
</tr>
<tr>
<td>Entered By</td>
<td>NC Number</td>
<td>Verified By (Second Party Check)</td>
</tr>
<tr>
<td>Data/Time Removed from NCIC</td>
<td>Reason Removed</td>
<td>Removed By</td>
</tr>
</tbody>
</table>
SECOND PARTY CHECKS – HELPFUL QUESTIONS

- Are all **Wanted Person** identifiers included in the entry? (alias name, alias DOB, SOC, scars, marks and tattoos, additional numerical identifiers)

- Have extradition limitations been addressed and entered appropriately?

- Are numerical identifiers or aliases entered on a Supplemental Transaction or inappropriately entered into the Miscellaneous field?

- Are all names spelled correctly and all numerical identifiers entered correctly?

This is not an inclusive list.
SECOND PARTY CHECKS – HELPFUL QUESTIONS

- Does the Missing Person entry contain all the physical descriptors, including a photograph?
- Have all the conditions been entered on a Protection Order?
- Has a caution indicator been added, if applicable?
- Does the VIN in the Stolen Vehicle entry match the VIN listed in DMV?
- Are both the license plate and VIN entered in the Stolen Vehicle entry when applicable?

This is not an inclusive list.
SECOND PARTY CHECKS

- By identifying issues early, Second Party Checks prevent the possibility of an erroneous hit, or a Wanted Person from going free, or an officer from being injured.

- Agencies should establish in-house policies that outline approved procedures for Second Party Checks.
Our state audit results consistently show the need to more fully pack records with identifiers. This was also a recent pattern revealed during the FBI audit.

In order to successfully pack record entries, agencies must use additional transactions to prepare for record entry.
You are encouraged to take this information back and incorporate it into existing entry policies that you already have in place. If you do not have formal entry procedures, this document will provide you a source document to begin with.

In addition, operators should know that it is acceptable for them to self initiate Criminal History inquiries and other transactions as needed when they are preparing to make an entry into NCIC.
AGENCY DISCUSSION

- **NCIC** allows the entry of all warrants, regardless of extradition limitations or seriousness of the offense. Both misdemeanor and felony warrants may be entered, as well as civil warrants (such as child support warrants).

- NCIC requires the source document to be either a warrant or an order for arrest.

- Items that **DO NOT QUALIFY** for entry are:
  - Criminal Summons
  - Orders to Show Cause
  - Grand Jury Indictments
IDENTIFYING INFORMATION

Key points to remember:

* When a Wanted Person entry contains a **FBI Number**, the wanted information is posted in the subject’s Criminal History record and the FBI will notify the entering agency when subsequent fingerprints are received on the individual.

* When a Wanted Person entry contains a **SOC Number**, it is compared against other federal databases to determine if the person is receiving federal benefits, such as Veterans Administration, Social Security Commission or Housing and Urban Development.
AGENCY DISCUSSION

- **Wanted Person file is critical to several areas:**
  - **Officer Safety** – Officers are made aware of warrant and can take appropriate safety measures, even if they may not be able to arrest due to extradition.
  - **Warrant Service** – With more officers having mobile devices, it’s more likely the individual will be apprehended due to a routine inquiry from a traffic stop.
  - **Public Safety** – When a non-criminal justice background is conducted on applicants for job or licenses, a check of the Wanted Person file is also conducted.
  - **Prohibit Illegal Sale of Firearms** – The entry of a warrant into NCIC will prohibit an individual from being issued a Concealed Handgun permit or unlawfully purchasing a firearm.
MISSING PERSON

- **Pre-entry recommended transactions:**
  - Driver’s license inquiry
    - To verify name spelling, date of birth and to collect image for later use.
    - Train field personnel to collect pictures of minors so they can be added to the missing person entry.
  - If a vehicle is involved, conduct a vehicle registration inquiry for License Plate and VIN information. Add findings to the person record; especially in cases of an overdue motorist.
  - When entering a Missing Person remember to complete the [Missing Person Data Collection Packet](#) in order to pack the entry with additional identifying information.
All missing persons under the age of 21 must be entered into NCIC within 2 hours of the time the agency has obtained the minimum mandatory data. If an agency receives a phone call and verbally obtains the minimum mandatory data over the phone, the time clock begins when the minimum data is received via the phone call. If the agency receives a phone call and dispatches an officer to the scene to obtain the information, the time clock begins when the minimum mandatory data for entry is obtained by the officer on the scene.

For example, an officer begins writing a Missing Person report at 1:00 p.m., thus writes that time on the report. Due to a hysterical parent, it takes the officer 45 minutes to obtain all of the minimum mandatory data for entry. The officer should document 1:45 p.m. as the time of completion of the report to include the minimum mandatory data, so that for auditing purposes, the time clock for the 2-hour assessment will start at 1:45 p.m. instead of 1:00 p.m.

 Agencies should note that in the absence of documentation from a parent, legal guardian, next of kin, physician, or other authoritative source, including friend or neighbor in unusual circumstances, or when such documentation is not reasonably attainable, a signed report by the investigating officer will suffice for reports of missing juveniles.
PROTECTION ORDERS

- **Pre-entry recommended transactions:**
  - Driver’s license inquiry on both defendant and plaintiff
    - To verify name spelling, date of birth and to collect images for later use.
    - Do you know you can add images of both the defendant and plaintiff on DVPOs?
  - Criminal History
    - To obtain additional identifying information.
Entries into the Protection Order file must contain accurate and complete information.

Review the provisions and conditions to determine any changes in the PCO codes, adding new codes that were not part of the Ex Parte or removing codes, which were not included in the Protection Order.

Agencies must review the Miscellaneous field for changes and updates.
SEX OFFENDER

- **Pre-entry recommended transactions:**
  - Driver’s license inquiry
    - To verify name spelling, date of birth, etc.
  - Criminal History
    - Additional numeric identifiers and offenses to be added to the base record or to the supplement.
  - Query Sex Offender (QSO) & Sex Offender Query (SOQ)
    - To verify registration status, or verify if they were previously registered as a sex offender in another state.
Complete records include all critical information that was available on the person at the time of entry.

Critical information is defined as data fields that will:
1. Increase the likelihood of a positive hit on the subject or property and aid in the identification of a subject or property; or
2. Assist in compliance with applicable laws and requirements.
Intending to Move Out-of-State (EIOS) – This transaction is used to add, modify or delete out-of-state address information for Active registered offenders residing in NC if they have notified the Sheriff in their county of residence of their intent to reside in another state.

This transaction should be performed prior to the Modify Sex Offender Registration (MSOR) transaction. The Sheriff will receive an on-line notification through DCIN on the Date of the Intended Move as a reminder to check the status of the offender and to verify the intended move. This will be the only notification sent to the Sheriff.
AGENCY DISCUSSION

- Agencies must check the status of an offender to verify residency in the new state by running a Query Sex Offender (QSO) or an Out-of-State Sex Offender (SOQ) transaction.

- If registered in the new state and the NCIC response for NC is still showing Active, notify the Sex Offender Coordination Unit (SOCU).

- Contact the SOCU by email at SORHelp@ncdoj.gov and ask for the record to be removed.
Why do we validate records?
Ensure all entries maintained in NCIC files are complete, accurate, and still outstanding or active.

What is required to validate records?
1. Compare record entry with source documents (case file).
2. Verify information is entered correctly and completely.
3. Run additional transactions if necessary.
4. Verify with the appropriate complainant, victim, prosecutor, court, non-terminal agency, or other appropriate source or individual that the record is still valid.
5. The results of your validation must be documented and maintained for review in the case file.***
6. Use EVOLVE system to indicate the record(s) remain valid, or should be cancelled, or modified.
7. If record information should be removed, changed, or added you MUST complete the appropriate Modify transaction in NCIC.
8. When completing the appropriate Modify transaction in NCIC, you must add the name of the person validating the record in the Name of Validator (VLN) field.

***In the event the agency is unsuccessful in its attempts to contact the victim, complainant, etc., the entering authority must make a determination based on the best information and knowledge available whether or not to retain the entry in the file.
Agency Self Evaluation – What is your grade? (A,B or C)

Whose job is it to find all the additional information?
This is a big question. The answer is different in many departments. If you have questions, we recommend you discuss it with the appropriate individuals at your agency.

We would like to discuss the other side of this question, which is officer safety. We should always keep that in mind. We should never lose focus of our main goal even when entering records.

Instead of focusing on whose job it should be to obtain the information, instead lets focus on who can obtain the most information first to get the record enter for officer safety.

Why are mistakes found during the validation process?
There are a number of reasons why and they occur at all agencies. However, if you feel like you find a high number of mistakes, then your agency should take a moment to review your process. Keep in mind, if a Second Part Check is competed correctly, should there be any mistakes in the record entry? No, because they would have been found and corrected.