

STATE OF OHIO



DEPARTMENT OF REHABILITATION
AND CORRECTION

SUBJECT: LEADS Access and Control	PAGE <u>1</u> OF <u>6</u>
	NUMBER: 05-OIT-02
RULE/CODE REFERENCE:	SUPERSEDES: 05-OIT-02 dated 05/03/13
RELATED ACA STANDARDS:	EFFECTIVE DATE: April 22, 2015
	APPROVED: 

I. AUTHORITY

This policy is issued in compliance with Ohio Revised Code 5120.01 which delegates to the Director of the Department of Rehabilitation and Correction the authority to manage and direct the total operations of the Department and to establish such rules and regulations as the Director prescribes.

II. PURPOSE

The purpose of this policy is to establish procedures for the use of, access to, and reporting of violations in reference to the Law Enforcement Automated Data System (LEADS).

III. APPLICABILITY

This policy applies to all persons employed by or under contract with the Ohio Department of Rehabilitation and Correction. The procedures specifically apply to the DRC LASO, all LEADS computer administrators, terminal agency coordinators, LEADS computer operators, and any other employee having access to the data received over LEADS.

IV. DEFINITIONS

Data Privacy Point of Contact (DPPOC) - The DRC Chief of the Bureau of Information Technology Services (BITS) who is responsible for overseeing data privacy issues for the DRC enterprise.

Law Enforcement Automated Data System (LEADS) - A statewide computerized information system and network established for criminal justice agencies within the state of Ohio. LEADS is administered by the Ohio State Highway Patrol (OSHP).

LEADS Coordinator - The employee responsible for general oversight and supervision of LEADS within the department. The LEADS Coordinator in DRC shall be the Chief of the Bureau of Information Technology Services.

LEADS Steering Committee - A group that is responsible for preparing and publishing operating guidelines for users of the LEADS system. The committee is composed of representatives from the OSHP,

Buckeye State Sheriff's Association, the Ohio Association of Chiefs of Police, and the Bureau of Criminal Identification and Investigation.

LEADS Computer - (This designation replaces the LEADS TERMINAL naming convention.) A computer workstation which has a static IP address and has had the LEADS software client installed.

The connection to LEADS may be provided directly through the DRC network or through the Virtual Private Network (VPN) but still has a static IP address.

LEADS Computer Co-users - Ohio State Highway Patrol (OSHP), the National Crime Information Center (NCIC), the National Law Enforcement Telecommunications System (NLETS), the Bureau of Criminal Investigation and Identification (BCI&I) and various Intra-State systems, e.g., Northwest Ohio Regional Information System (NORIS).

LEADS Computer Operation - An employee who has successfully completed all LEADS tests, training, and certification requirements.

Local Agency Security Officer (LASO) - The DRC Chief of BITS who, in the capacity of the DRC DPOCC, is responsible for overseeing LEADS information security for the DRC enterprise which includes providing the appropriate secure computing hardware to DRC LEADS users; serving as the primary LEADS information security liaison with the FBI, Ohio State Highway Patrol, Ohio Chief Inspector's Office and other law enforcement or investigative agencies; distributing information security alerts and notifications to DRC LEADS users; and maintaining LEADS information security documentation and assisting, when requested, with LEADS information security audits.

Non-Terminal Agreement - An agreement between LEADS and a criminal justice agency that does not have a LEADS computer that will permit the non-terminal agency access to information in the LEADS through any LEADS Access agency.

Originating Agency Identifier (ORI) - A nine-character identifier assigned by LEADS and NCIC to electronically address each agency and terminal within the agency.

Records Destruction - Destruction that occurs in such a manner as to render it unreadable. Preferred method of destruction is shredding.

Terminal Agency Administrator (TAA) - The executive staff member responsible for the overall supervision of LEADS computers and operators, appointment of TAC, and the financial and physical security of the LEADS computers. The Terminal Agency Administrator(s) for DRC shall be the Managing Director of Operations and/or the Bureau Chief of Sentence Computation and Record Management and the institution Managing Officers.

Terminal Agency Coordinator (TAC) - The employee assigned the responsibility for supervision of the LEADS Computer at their facility. This position is appointed by the TAA.

V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction to follow all rules and regulations that govern the use of the LEADS computer(s) and the data received through the use of this computer(s).

VI. PROCEDURES

A. Training for LEADS

The Terminal Agency Coordinator (TAC) shall be responsible for the training of LEADS Computer operators and other affected personnel at their facility in all facets of LEADS Computer operation and the disposal of the hardcopy and below mentioned logs, criminal justice offense records and manuals when no longer needed. Each operator shall review training materials and be LEADS recertified every two years.

B. Location and Security of LEADS Computers

1. LEADS computers shall be placed in a secure location with limited employee access. Only authorized persons shall be allowed in this area. The Terminal Agency Coordinator shall provide a list of persons who have access to this location and this list shall be made available to the DRC LASO and LEADS computer operators.
2. When left unattended, inquiry computers shall be secured in a manner so that access cannot occur by unauthorized persons. The operator shall log off when leaving the computer area.
3. The LEADS computer must be available 24 hours a day, 7 days a week for the authority to enter records (Warrant/Wants/Stolen Vehicles/etc.) into the LEADS/NCIC files. Supporting documentation (copy of want, case file, etc.) for all entries into LEADS/NCIC databases shall be maintained in a location that is readily available to the LEADS computer operator and shall be entered in a timely manner.

C. Authorized Access to LEADS Computers and Related Information

1. A Terminal Agency Coordinator is to be assigned to monitor the use of each LEADS Computer and ensure that all rules and regulations are followed. LEADS, NCIC, NLETS, and BCI&I data files accessed through the LEADS Computer(s) is data made available for restricted distribution and use by criminal justice agencies for criminal justice purposes. Misuse of the LEADS Computer(s) and/or data could result in criminal charges, personnel action and/or the removal of the LEADS computer(s). Rules and regulations governing the use of the LEADS computer(s) must be followed in detail.
2. Access to data through the LEADS computer(s) is only for criminal justice agencies to be used for criminal justice purposes. A list of the ORI's permitted access is in a database maintained by LEADS. The LEADS computer operator must use the ORI of the non-terminal agency. If not authorized to receive data, the inquiry must be rejected.
3. All Computerized Criminal History (CCH) record checks shall only be conducted for the use of Criminal Justice Agencies. Non-Terminal Criminal Justice Agencies must have executed a non-terminal agreement with LEADS. A current copy of this agreement shall be maintained at LEADS. A current copy of the non-terminal Original Agency Identifier (ORI) shall be required upon request.

4. Access to data stored in LEADS, NCIC, & BCI&I files must be approved by a management level person. This approval must be in the form of an Inter-Office Communication (IOC) containing the names of the individuals who are permitted access. This form is to be presented to the DRC LASO and TAC or LEADS computer operator. The LEADS TAC and LEADS Computer operator(s) shall review and initial this list. The LEADS TAC is to review these lists with the TAA to ensure that each person is still authorized access through the LEADS Computer(s). This review shall be conducted bi-annually and the results of the review shall be provided to the DRC LASO.
5. Appropriate background investigations must be conducted on all LEADS computer operators including submission of a completed applicant fingerprint card to the FBI Identification Division through the state identification bureau. State and national arrest and fugitive files must be checked before system access is granted. If arrest and fugitive records of any kind are found, access shall be delayed pending a review by the Terminal Agency Coordinator.
6. The Terminal Agency Coordinators shall provide an official list of full time employees who are authorized to request Computerized Criminal History (CCH) record check to the auditing staff of the OSHP and to the DRC LASO. This list shall be reviewed bi-annually by the TAC to ensure that it is still accurate. This list shall be provided to the LEADS Coordinator and to the DRC LASO.
7. The Managing Officer or designee shall advise the effected Terminal Agency Coordinator when an employee's right to access has been terminated. Checks shall not be made unless the person making the request is on an authorized list.
8. All DRC employees, regardless of their LEADS certification / use status, are required to immediately report any incidents which indicate a violation or possible violation of LEADS/NCIC/BCI&I/NLETS rules and regulations or DRC policies and procedures to the DRC LASO, LEADS TAC and LEADS coordinator pursuant to Department Policy 01-COM-08, Incident Reporting and Notification. Verbal reports shall be immediately followed up with written notification, pursuant to DRC Policy 01-COM-08, Incident Reporting and Notification to the Department LASO, LEADS TAC and LEADS Coordinator. The LEADS Coordinator, in consultation with the DRC LASO, shall make appropriate notification to the LEADS steering committee and the DRC Chief Inspector. The Chief Inspector shall then determine the appropriate means of investigating the incident. Once an investigation is complete, a copy of the investigation shall be forwarded to the Managing Officer, Regional Director or designee, and the LEADS Coordinator.

D. LEADS Usage

1. Validations of entries into LEADS/NCIC shall consist of, but not be limited to, the following: (1) Review of the case material to insure it is still active; and (2) A check with the Adult Parole Authority to ensure the warrant/want is in proper order. All inactive record entries shall be canceled immediately. Documentation of validation efforts must exist.
2. Response to inquiries concerning records entered through the LEADS computer must occur in a timely fashion as described in the LEADS/NCIC manuals. Hits confirmation formats (HCS.1/HCS.2/HCS.3) must be utilized.

E. Manuals and Documentation of LEADS Information

1. LEADS, NCIC, and BCI&I manuals shall be placed in a location that is readily accessible to the TAC and all LEADS Computer operators. These manuals shall be maintained in a chronological order, including the most current updates and/or additions provided by LEADS/NCIC/BCI&I. They shall be kept neat, orderly, and in good condition. When these manuals are no longer of any use they are to be shredded.
2. An automatic log of all criminal history record checks is maintained and archived by the LEADS OMNIXX System. LEADS computer operators are to maintain a log of all criminal history record checks if a computerized criminal history record response is disseminated.
3. These log sheets are to be maintained in a file and placed by the month in which the inquiry was made. These logs shall be maintained for a period of one year at which time they may be destroyed.
4. These log sheets are to be maintained in a safe/secure location by the person making the request. All captions on the log sheets are to be completely filled out and must be typed or printed as follows:
 - a. Agency Name (Complete name of the agency with no abbreviations allowed);
 - b. ORI Number—A nine digit number assigned to the LEADS Computer;
 - c. Date the CCH inquiry is made;
 - d. Time the CCH inquiry is made in 24 hour time;
 - e. Place an “X” in the BCI&I/CCH column if the request is for an Ohio CCH record check;
 - f. Place an “X” in the FBI-III column if the request is for an FBI-III National Crime Information Center Record Check;
 - g. Name of the LEADS Computer Operator (first and last name). Operator name shall be recorded only when the inquiry is made;
 - h. Subject’s name and BCI&I or FBI Number - Other identifiers include Social Security Number, Date of Birth, etc. and may be entered in this caption;
 - i. If Disseminated: Officer Name and requesting Agency - Enter the full name of the person and requesting agency to which the information is disseminated;
 - j. PUR CODE C-J – Enter “C” when the inquiry is for Criminal Justice purposes. Enter “J” when the inquiry is for employment within the Criminal Justice Agency or licensing. BCI&I, CCH & FBI III—indicate which transaction;
 - k. Receiving Officer Signature - If the paper record is taken with the person making the request, he/she must sign in this caption. If the paper record is mailed to another criminal justice agency, the name of the person and agency must be entered in this caption. All paper copies must be sent “Certified Mail—Return Receipt requested.” Once the receipt is received, it shall be stapled to the original log sheet. A signature is not required if the paper record is not disseminated. Any exceptions to the above must be approved by the LEADS coordinator.
5. The rules and regulations of LEADS/NCIC/BCI&I/NLETS are to be reviewed by the TAC and all LEADS computer operators bi-annually to ensure compliance. As new rules and/or regulations are provided, the TAC, all LEADS computer operators and other appropriate

employees are to read, and initial the regulation. Documentation of this review shall be maintained by the TAC.

6. Though available in on online format, LEADS/NCIC newsletters are to be printed, read and initialed by the LEADS TAC computer supervisor and LEADS Computer operators. The newsletters are to be filed in sequential number and/or date order in order that each is readily available for reviewing.
7. All correspondence received or sent over the LEADS network shall be attached to existing manuals or directives or filed by month. The filed correspondence is to be maintained for a period of one year at which time it may be destroyed.