

APB Compliance Evaluation Subcommittee (CES) Recommended Correspondence Usage

1. The Subcommittee could initially address each audit with a Letter of Commendation or a Letter of Concern to the CJIS Systems Agency (CSA). The type of letter could be determined based on the following guidelines:

Letter of Commendation

A Letter of Commendation could be issued when minor or no policy violations are identified during the audit. The Letter of Commendation could be combined with a Letter of Closure to signify no further action required.

Letter of Concern

A Letter of Concern could be issued when:

- Serious violations and/or numerous minor violations are identified.
- Violations identified during the current audit were also identified in the two previous audits.
- No response to the audit findings were received by the CJIS Audit Unit
- The Subcommittee determines that the CJIS Systems Officer's (CSO's) response to the audit findings requires clarification or does not adequately address the findings.

2. The response to a Letter of Concern could result in a Follow-up Letter, Letter of Sanction, or Letter of Closure. The type of letter could be determined based on the following guidelines:

Follow-up Letter

A Follow-up Letter could be issued when:

- The Subcommittee determines that the CSA's response to the Letter of Concern/Letter of Sanction requires clarification or does not adequately address the findings.
- No response to the Letter of Concern/Letter of Sanction is received within the prescribed time frame.
 - Initially to head of CSA.
 - Ultimately to head of state agency with authority over the CSA.
- CSO responds that they are incapable of becoming compliant.
 - Initially to head of CSA.
 - Ultimately to head of state agency with authority over the CSA.
- Semi-annually to request status updates on violations with a projected completion date.

Letter of Sanction

A Letter of Sanction could be issued upon the Subcommittee's initial review of the audit when:

- There are numerous repeat serious violations.
- Audit response is inadequate.
- No audit response.

A Letter of Sanction could be issued due to escalating the sanctions process when:

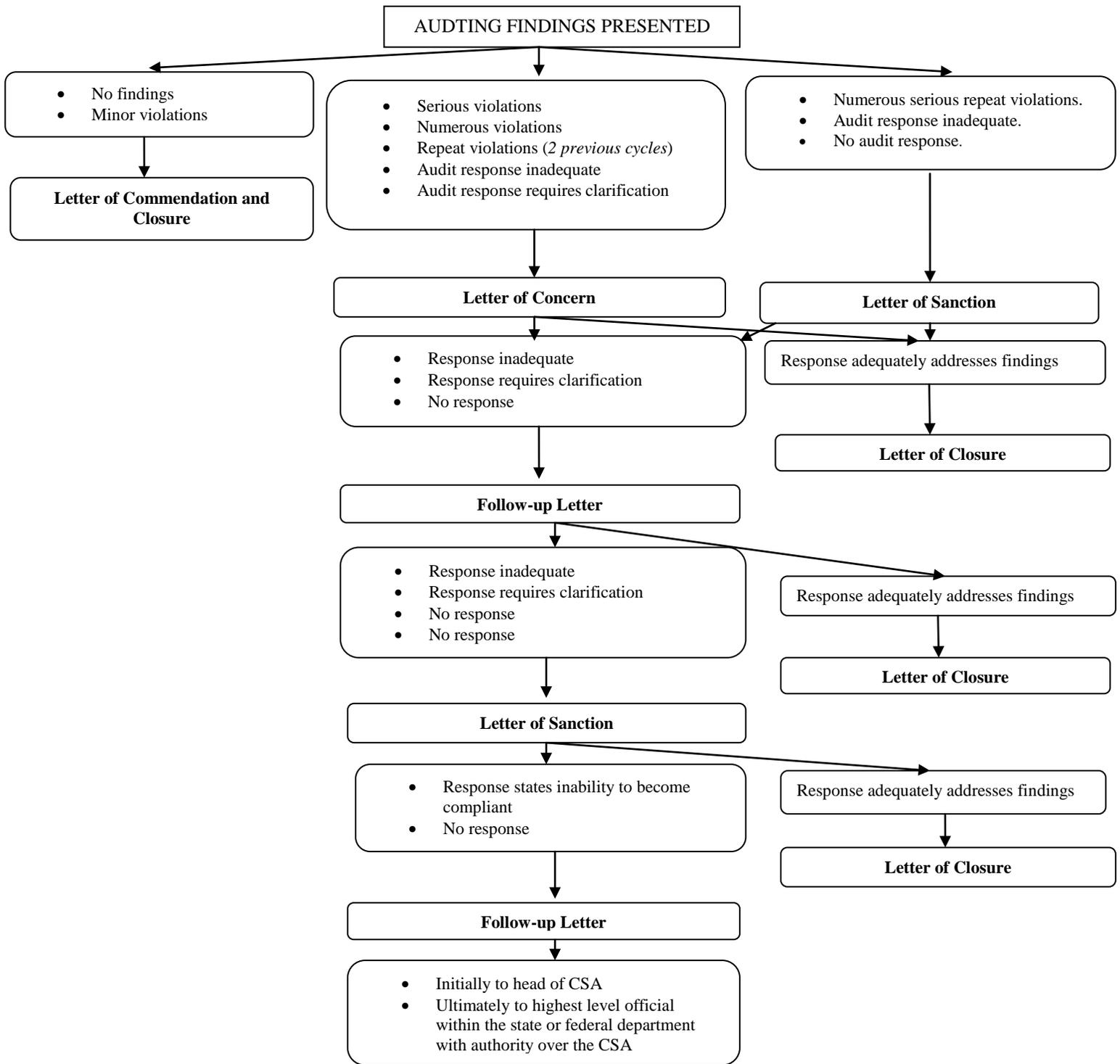
- The Subcommittee determines that the CSA's response to the Letter of Concern requires clarification or does not adequately address the findings.
- No response to the Letter of Concern/Follow-up Letter is received within the prescribed time frame.

Recipients of the Sanctions Letter will vary depending on whether the sanctions recommendation is a result of the Subcommittee's initial review of the audit or a result of escalating the sanctions process. These letters may go to either the CSO, CSA Head, State Attorney General, or Governor.

Letter of Closure

A Letter of Closure could be issued when the Subcommittee has determined the response received to the Letter of Concern/Follow-up Letter/Letter of Sanction adequately addresses all audit findings.

*The aforementioned procedures were developed as a general guideline. The Subcommittee reserves the right to either escalate or modify their recommendations based on extenuating circumstances.



NOTE: Follow-up Letters will be issued semi-annually to request status updates on violations with a projected completion date. Updated 6/25/15