

EXECUTIVE DIGEST

LAW ENFORCEMENT INFORMATION NETWORK AND CRIMINAL JUSTICE DATA CENTER

INTRODUCTION

This report, issued in December 1997, contains the results of our performance audit* of the Law Enforcement Information Network* (LEIN) and the Criminal Justice Data Center (CJDC), Michigan Department of State Police (MSP).

AUDIT PURPOSE

This performance audit was conducted as part of the constitutional responsibility of the Office of the Auditor General. Performance audits are conducted on a priority basis related to the potential for improving effectiveness* and efficiency*.

BACKGROUND

Michigan's LEIN is a Statewide computerized information system that enables participating law enforcement agencies to access and/or modify stored information. LEIN includes data bases containing sensitive criminal and law enforcement information accessible by remote terminals throughout the State. The LEIN data files contain a computerized index of documented criminal justice information concerning crimes and criminals of Statewide, as well as national, interest. LEIN provides access to the National Law Enforcement Telecommunications System* (NLETS), the National Crime Information Center* (NCIC), and various State data bases.

CJDC is responsible for access to and management of LEIN. CJDC manages this system in accordance with the regulations imposed by the LEIN Policy Council* and the Federal Bureau of Investigation (FBI), U.S. Department of Justice.

CJDC is also responsible for computer-related processing services for MSP. CJDC provides services to departmental management in the form of automated systems design, computer program development, and data processing.

CJDC was appropriated \$11.8 million for fiscal year 1996-97 and was authorized 93 full-time equated positions as of October 1, 1996.

**AUDIT OBJECTIVES
AND CONCLUSIONS**

Audit Objective: To assess the reliability of LEIN controls in ensuring accurate, complete, timely, and secure information for law enforcement agencies.

Conclusion: Our assessment disclosed that LEIN controls were reasonably reliable in ensuring accurate, complete, timely, and secure information for law enforcement agencies. However, we noted four reportable conditions* regarding strategic plans, LEIN audits, timeliness of records, and authentication* of LEIN users (Findings 1 through 4).

Audit Objective: To assess the effectiveness of CJDC's internal control structure in providing reliable and secure information.

Conclusion: Our assessment disclosed that CJDC's internal control structure was reasonably effective in providing reliable and secure information. However, we

noted 11 reportable conditions related to CJDC's internal control structure over the data center. These conditions involved system access controls and security administration, separation of duties, network security, and disaster recovery and file backup (Findings 5 through 8). The conditions also involved computer room access, user identification codes and station controls, production disk pack controls, and database security (Findings 9 through 12). In addition, conditions involved documentation standards, tape control procedures, and output distribution (Findings 13 through 15).

AUDIT SCOPE AND
METHODOLOGY

Our audit scope was to examine the Law Enforcement Information Network records and the data processing and other records of the Criminal Justice Data Center. Our audit was conducted in accordance with *Government Auditing Standards* issued by the Comptroller General of the United States and, accordingly, included such tests of the records and such other auditing procedures as we considered necessary in the circumstances.

We collected background information about LEIN and CJDC and obtained an understanding of the internal control structure. We examined records for the period October 1994 through May 1997, observed activities, and conducted interviews with agency and law enforcement personnel regarding LEIN application controls, management, security, systems software, system development, operations, and end-user computing. We then performed analysis and testing and verified the effectiveness of the internal control structure. Our final phase was to evaluate and report on the results of our data gathering phase and the detailed analysis and testing phase.

**AGENCY RESPONSES
AND PRIOR AUDIT
FOLLOW-UP**

Our audit report contains 15 findings and 25 corresponding recommendations. The agency's preliminary response indicated that MSP has complied or will comply with all of the recommendations.

We repeated 14 of the 20 prior audit recommendations included within the scope of our current audit.