California State University
NORTHRIDGE
Department of Police Services

POLICY/PROCEDURE NUMBER: 04-S.S.-002 Page 1 of 4 with three Appendices

SUBJECT: LIVE SCAN FINGERPRINTING SERVICES

EFFECTIVE DATE: January 7, 2015 REVIEW DATE: January 7, 2016

AMENDS/SUPERSEDES: January 20, 2004 version; July 8, 2005 version; February 20, 2007 version; December 18, 2007 version; January 27, 2010 version; February 16, 2011 version; January 8, 2014 version.

IACLEA STANDARDS: N/A

CSU POLICE DEPARTMENTS SYSTEMWIDE OPERATIONAL GUIDELINE – NO

APPROVED: Anne P. Glavin, Chief of Police

I. PURPOSE

The purpose of this policy is to establish responsibilities and procedures for the Live Scan fingerprinting process in the areas of fiscal management, processing, and submission of electronic applicant fingerprint data, forms, and cash receipts to the California Department of Justice ("DOJ").

II. POLICY

It is the policy of the Department of Police Services to accurately process and ensure the security of information provided by Live Scan fingerprint applicants for the appropriate Live Scan service being requested.

III. PROCEDURES

A. Areas of Responsibility

1. The Manager of Parking and Transportation is responsible for ensuring the Department is in compliance with the Department's and California DOJ policies. (See Appendix "A" – California DOJ Terms and Conditions for Operating an Applicant Live Scan Terminal – for further details.)

2. The Live Scan Coordinator is responsible for ensuring that all fingerprint operations and record transmissions meet DOJ data, image, and formal agreement requirements; ensuring the operators of the Live Scan

terminals are properly trained; and ensuring the proper handling and disposition of daily cash receipts. He/she will also maintain liaison with the DOJ Fingerprinting Office and coordinate any updates required of the unit's website, public information publications, and training program.

3. The Live Scan Operator is responsible for processing the applicant information correctly to the DOJ and ensures accurate fees are charged and collected.

4. The Department Financial Analyst is responsible for ensuring departmental fiscal policy and procedural compliance, and conducting audit checks on a quarterly schedule. He/she will also ensure that all cash receivables and expenditures are received / paid in a timely manner. An audit check report will be provided to the Chief of Police each quarter.

B. Operator Background Clearance

1. Each operator of the Live Scan terminal who may have contact with the public, as part of the operation of the Live Scan terminal, must be cleared by a DOJ & FBI Live Scan fingerprint background check.

2. All Live Scan terminal operators will undergo an in-depth background check, which will be conducted by a department approved background investigator.

C. Training

1. All operators of the department Live Scan terminals must be properly trained by either a DOJ fingerprinting unit trainer or by a Live Scan vendor. Training will include system operation, data entry procedures, and fingerprint capture techniques. Training may also be conducted by the department Live Scan Coordinator or experienced Live Scan operator.

2. All departmental employees authorized to use a Live Scan device must complete the department's Live Scan field training program.

3. All members of the Live Scan unit will undergo customer service and other training as directed by the Chief of Police or his/her designee.

4. See Appendix "B" – Live Scan Fingerprinting System Lesson Plan & Training Check Off Sheets – for further details of the University Police Department's Live Scan in-service training program.

D. Quality Control

1. A comprehensive internal audit will be conducted by the Manager of Parking and Transportation Services and department Financial Analyst once a year. Results of the audit will be forwarded to the Chief of Police. (See Appendices "C" – Annual Audit Checklist – for further details.)

2. The Financial Analyst will conduct a monthly verification of receipts and billings, with the assistance of the Live Scan coordinator. The Chief of Police will be advised of any irregularities.

3. The Live Scan Coordinator will conduct monthly accuracy checks in the processing of forms, logs, and other applicable paperwork within the Live Scan unit. The Manager of Parking and Transportation Services will be advised of any irregularities.

E. Security

1. Records

a. The Live Scan Coordinator will ensure strict compliance with applicable record security laws relative to the department's use, retention, and dissemination of Criminal Offender Record Information (CORI).

b. Only authorized Live Scan Operators and law enforcement management personnel with a "need to know" shall have access to Live Scan applicant record information. Live Scan applicant record information shall not be released to anyone without the approval of the Financial Analyst and a member of the Command Staff.

c. The Department of Police Services will retain Live Scan records for the current year and one year prior. Records shall be purged accordingly from departmental files and shredded by the Live Scan Coordinator or his/her designee with the appropriate Live Scan background clearance.

2. Devices and Data Line

a. The Live Scan Coordinator will be responsible for ensuring the proper and legal use of the Live Scan terminal and communication line.

b. Only authorized Live Scan (i.e., Biometrics4All Corporation) and telephone service technicians (ITR & AT&T) may repair/update device and line software and hardware components. All servicing of the Live Scan system must be authorized by the Live Scan Coordinator or Information Technology (I/T) prior to initiation of work.

F. Cash Management

1. All checks and money orders received by the Live Scan Unit shall be endorsed on the day they are received.

2. All cash receipts (including checks and money orders) shall be immediately placed into the live Scan cash register when received.

3. Daily receipts shall be counted and deposited into the Parking Division drop safe no later than the day.

4. A "two-person rule" shall be utilized when accounting for and depositing daily receipts. This process shall require the use of two department employees, excluding student assistants and one of whom must be a member of the Live Scan Unit, in the processing and depositing of daily receipts. The deposit slips shall list the names of the employees who accounted for the deposited receipts.

5. Refunds for services rendered are generally not allowed. State, federal, and other outside fees are non-recoverable once the service is provided. The Chief of Police or his/her designee must approve of any refunds. All granted refunds will be processed by the department's financial analyst. (See Department Policy/Procedure number 03-O.A-003 – Fiscal Management and Agency-Owned Property – for further details of departmental fiscal management policies, procedures, and responsibilities as they pertain to Live Scan Unit operations.)

V. APPENDICES

A. DOJ Agreement
B. Live Scan Training Lesson Plan and Check Off Lists
C. Live Scan Audit Form

Appendix "A"

CALIFORNIA DEPARTMENT OF JUSTICE
BUREAU OF CRIMINAL IDENTIFICATION AND INFORMATION

TERMS AND CONDITIONS FOR CALIFORNIA GOVERNMENTAL AGENCIES, SCHOOLS & UNIVERSITIES

Agencies in California, approved by the Department of Justice (DOJ) to establish and maintain a connection to the DOJ Network for purposes of transmitting non-criminal justice requests for criminal offender record information to DOJ, shall be required to comply with all requirements set forth in this document.

1. Definitions

For purposes of this document, terms are defined as follows:

1.01 **Applicant** - Any person who, as a condition of obtaining a license, certificate, permit, or employment, is required to submit his/her fingerprints to DOJ for a criminal background check.

1.02 **Applicant Information** - Personal and confidential information, regarding an Applicant, including fingerprint images, Social Security Number, California Driver's License, or any other personal identification numbers provided by or collected from an Applicant, which is relevant and necessary to accomplish an electronic fingerprint transaction for transmission to DOJ.

1.03 **Live Scan** - A computer-based device that allows for the capture of digitized fingerprint images and Applicant data, and the electronic transmission of fingerprint images and data to centralized computers at DOJ.

1.04 **Network** - The electronic communication system, established by DOJ to facilitate the transmission of requests for criminal offender record information from agencies in California.

1.05 **Operator** - Any person who operates a Live Scan device and/or provides Applicant fingerprinting services on behalf of a DOJ-approved Agency.

1.06 **Agency** – A contributing agency in California, approved by DOJ to establish a connection to the DOJ Network for purposes of transmitting electronic Applicant transactions for criminal offender record information to DOJ for employment, licensing, certification, or custodial child placement purposes.

1.07 **Agency Representative** - The person duly authorized to represent the Agency and act on its behalf, with defined authority for implementing and ensuring ongoing compliance with all requirements set forth in these Terms and Conditions. The Agency Representative must be a California resident and is subject to the Certification requirements set forth in section 3.02 of this document. For the purposes of the duties and responsibilities set forth in this document, the Agency Representative and the Agency shall be considered to be one and the same.

2. Scope

2.01 This document establishes the minimum internal controls deemed necessary by DOJ to adequately protect the security and stability of the Network, and the privacy rights of individual Applicants. The Agency may impose any additional, more stringent controls it deems necessary and/or appropriate.

2.02 The Terms and Conditions apply to all personnel, equipment, software, systems, networks, communication links, and facilities supporting and/or acting on behalf of the Agency.

2.03 Approval to establish and maintain connectivity to the Network, either directly or indirectly, shall be contingent upon full compliance at all times with all requirements set forth in this document. Failure or refusal to fully comply with all requirements herein may result in the temporary or permanent termination of the Agency's direct connection to the Network or ability to transmit electronic fingerprints to DOJ through an indirect Network connection.

3. Personnel Security

3.01 The Agency shall be responsible for the actions of any person or entity acting on its behalf and/or providing services in support of it.

3.02 Unless exempted under the provisions of section 11102.1(a) of the California Penal Code, the Agency, and every Operator providing services on an Agency's behalf, shall possess and maintain a valid Fingerprint Roller Certificate issued by DOJ. The Provider shall not allow any Operator to provide fingerprint services on its behalf unless he/she possesses a valid Fingerprint Roller Certificate.

3.03 The Agency shall maintain a current list of all Operators providing fingerprint services on its behalf. A copy of the list shall be provided to DOJ upon request.

4. Site Security

4.01 All hardware and software associated with the capture and/or transmission of Applicant fingerprints to DOJ shall be adequately secured at all times to reasonably protect against theft, damage, and/or unauthorized access or use by any person.

5. Information Security

5.01 Applicant information is confidential and the use of this information for any purpose other than the purpose for which it was expressly provided by the Applicant is strictly prohibited. Violation of an Applicant's absolute right to privacy may subject the Agency and/or its Operator(s) to criminal and/or civil liability, and may result in termination of the Agency's connectivity as cited in Section 2.03.

5.02 Except as expressly authorized by DOJ, Applicant information shall not be replicated, sold, shared, modified, archived, stored, or used to supplement any existing data base, file, record or report, or create any new data base, file, record or report.

5.03 An Agency forwarding electronic fingerprint records to DOJ on behalf of another DOJ-approved Agency is strictly prohibited from stripping or extracting any data from the records it forwards, except as expressly authorized in writing by DOJ.

5.04 Applicant information, as defined in Section 1.02, shall not be collected or transmitted outside of the State of California.

5.05 Applicant information, as defined in Section 1.02, shall be collected and verified by the Live Scan Operator conducting the transaction.

5.06 The Live Scan Operator shall reasonably verify the identity of each Applicant by comparison to a valid (unexpired) photo identification, presented at the time of fingerprinting, to the appearance of the Applicant, and to the information contained on the Request for Live Scan Services form. Fingerprint services shall not be provided to any Applicant who does not present proper and valid photo identification, and whose identity cannot be reasonably verified through this comparison.

5.07 Once a transaction has been transmitted, the Agency is strictly prohibited from using a previously captured fingerprint image for any purpose other than resubmitting a record that was rejected by DOJ due to faulty data.

5.08 Applicant fingerprint transaction records may be temporarily retained in an electronic storage medium, within the Live Scan device, pending successful transmission of the record to DOJ. In no event, however, may any Applicant fingerprint image or record be retained, in either electronic or hard copy form, for longer than 30 calendar days from the date of the initial transmission of the fingerprint record to DOJ or longer than one calendar day from the date the Agency is no longer conducting business.

5.09 Every person who, in the course of their normal duties, collects, processes, facilitates, or supports the transmission of Applicant fingerprints to DOJ, or who manages, administers, accesses, develops, or maintains the systems supporting the Agency, shall be required to sign a DOJ Security and Disclosure Certification form, appended hereto, acknowledging that they understand their responsibilities for protecting confidential Applicant information, the restrictions concerning the use of such information, and the penalties for misuse. Signed copies of the Certification forms shall be retained by the Agency and shall be made available to DOJ upon request.

6. System Security

6.01 A dedicated system shall be utilized for transmitting electronic Applicant fingerprints to DOJ. The Agency shall not use the system to run any other business application(s), unless expressly authorized by DOJ in advance.

6.02 The Agency shall obtain DOJ approval prior to establishing any network linkage to another DOJ-approved Agency (peer to peer), for the purpose of accomplishing an indirect connection to the Network.

6.03 Any network linkage authorized by DOJ pursuant to section 6.02, which allows electronic Applicant fingerprints to be transmitted from the Live Scan Agency, and forwarded to DOJ through another Agency's direct connection to the Network (peer to peer relationship) via WAN, LAN, or Internet, shall be secured by a firewall to provide a point of defense, and a controlled and audited access to servers, from both inside and outside of the network.

6.04 The DOJ-approved transmission path, which enables connectivity to the Network, originating from the Live Scan Agency, and transversing through any inter-connected systems, and ultimately terminating at DOJ, shall not be modified in any way without advance notice to, and express written approval from DOJ.

6.05 All equipment used for transmitting and/or forwarding electronic Applicant fingerprints to DOJ shall be segregated and screened against unauthorized use. Data integrity must be maintained in order to detect the unauthorized creation, alteration, or deletion of Applicant data or images.

6.06 All unused user or system accounts shall be removed or disabled.

7. Security Violations

7.01 All security violations, or suspected security violations shall be immediately reported to DOJ. Reports of security violations shall include the date of the incident(s), the parties involved (if known), the nature and scope of the incident, and any action(s) taken, including steps to protect against future violations.

7.02 DOJ reserves the right to investigate all reported or suspected security violations and to take any action it deems appropriate and/or necessary to protect the security and stability of the Network and the privacy rights of individual applicants, including termination of the Agency's connection to the Network as cited in Section 2.03.

8. Quality Controls

8.01 Remedial training may be required if, at any time, DOJ determines that the rate of

record rejects due to poor image quality, or data errors, exceeds acceptable levels. Failure to obtain appropriate training and resolve unacceptable fingerprint record reject levels in a timely manner may result in termination of the Agency's connectivity to the Network as cited in Section 2.03.

8.02 The Agency shall only utilize hardware and software that is currently certified and approved by DOJ for the Applicant software type, the National Institute of Standards and Technology, and the Federal Bureau of Investigation (FBI).

8.03 All equipment associated with the capture and transmission of electronic Applicant fingerprint records shall be maintained in good working condition at all times.

8.04 All manufacturer software upgrades, including the installation of any patches deemed necessary by the manufacturer, shall be applied in a timely fashion and shall remain current.

8.05 All DOJ customization software upgrades and DOJ validation table updates shall be applied in a timely fashion and shall remain current.

8.06 All Applicant fingerprint records shall be transmitted to DOJ within 24-hours from the time the fingerprints were obtained from the Applicant.

8.07 Except as specifically provided herein, an Agency shall not transmit or forward an applicant fingerprint transaction to the DOJ more than one time. The Agency shall be responsible for applicable DOJ and FBI processing fees associated with any duplicate transaction it transmits to the DOJ through its direct network connection, including any duplicate transaction that it allows to be forwarded on behalf of another DOJ approved Agency (peer to peer relationship).

8.08 Upon DOJ's request, a DOJ approved Agency forwarding electronic Applicant fingerprints on behalf of another Agency (peer to peer relationship) shall disable an Agency's connection to the Network as cited in Section 2.03.

8.09 The Agency shall maintain a log of all Applicant fingerprint transactions. The log shall clearly identify the name of the Operator who performed each transaction, the name of the Applicant fingerprinted, the date the Applicant was fingerprinted, the type of photo identification presented, and the Applicant Tracking Identifier (ATI) number associated with the transaction. The Agency shall maintain the log for a minimum of one year from the date of the oldest transaction, and shall make the log available to DOJ upon request. Access to the log shall be controlled by the Agency.

8.10 The Agency shall retain a copy of the "Request for Live Scan Service" form associated with each Applicant fingerprint transaction for a period of 12 months, for purposes of security audit review. The copies shall be stored in a locked

storage medium to reasonably protect against theft, damage, or access by any unauthorized person. The copies shall be destroyed by cross-cut shredding after the 12-month retention period has elapsed or immediately upon the Agency no longer conducting business, whichever one comes first.

9. Fees

9.01 The Agency shall establish a billing account with DOJ for purposes of collecting and remitting DOJ and FBI processing fees.

9.02 DOJ and FBI processing fees that are not billable to the requesting entity shall be collected by the Agency at the time fingerprint services are rendered to the Applicant. All processing fees shall be remitted to DOJ in a timely manner by the Agency. Failure to remit payment in a timely manner may result in termination of the Agency's Network connection as cited in Section 2.03.

9.03 The Agency may charge the Applicant a separate fingerprint rolling fee as compensation for its services. The amount of the fee, and acceptable method(s) of payment shall be determined by the Agency.

9.04 Any Applicant who returns to the Agency to be reprinted because his/her initial fingerprint submission was rejected due to poor fingerprint image quality, shall not be charged an additional rolling fee by the Agency. The Applicant may, however, be charged a rolling fee if the original fingerprint transaction was performed by a different service Agency.

10. Audits

10.01 The Agency shall be subject to periodic, unannounced, on-site visits by DOJ to audit for compliance with the provisions of the Terms and Conditions, and any applicable laws, regulations, policies, practices, or other requirements deemed necessary by DOJ. The audits shall be reasonable in both scope and length, and shall occur during the Agency's normal business hours. Audits will be conducted in a manner that is least disruptive to the Agency's business operations.

10.02 Failure to cooperate, and/or refusal to provide documents, logs, lists, files, records or any other information requested by DOJ, may result in the temporary or permanent termination of the Agency's connection to the Network as cited in Section 2.03.

11. Miscellaneous Provisions

11.01 These Terms and Conditions do not confer, grant, or authorize any rights or privileges to any entity or person other than the Agency and the Agency's

authorized representative.

11.02 All reports, notices, requests, and/or correspondence shall be forwarded by First Class Mail to:

Bureau Chief
Bureau of Criminal Identification and Information
Department of Justice
P.O. Box 903417
Sacramento, CA 94203-4170

Appendix "B"

California State University
NORTHRIDGE
Department of Police Services
Parking Transportation Services Division

SUBJECT: LIVE SCAN FINGERPRINTING SYSTEM TRAINING PROGRAM

DATE LAST REVIEWED: July 19, 2013

APPROVED BY: _____

DATE APPROVED: 7/19/13

I. Performance Objectives/Job-Related Objectives:

The purpose of this training is to enable operators to learn and use the Live Scan computer system effectively and efficiently, while also gaining knowledge of the Live Scan policies, procedures, fiscal management standards, and completion of daily Live Scan forms. With the knowledge of the above items the trainee will better understand the Department of Police Services (DPS) and California Department of Justice's (DOJ) requirements for processing an applicant's fingerprints.

II. Type of Instruction:

The coordinator will review the following with the trainee: DPS Live Scan policy and procedures, DOJ terms and conditions agreement, DPS fiscal management policy and procedures, all relative forms that pertain to Live Scan, and the program features/user controls to operate the Live Scan unit.

III. Course Outline:

1. DPS Live Scan policy and procedures 04-S.S.-002

1a. Purpose of Live Scan
1b. Live Scan Policy
1c. Live Scan Procedures
1d. Live Scan personnel responsibility
1e. Operators background clearance

Appendix "B – continued"

1f. Training of Live Scan personnel
1g. Quality control
1h. Security of records
1i. Device and data line
1j. Cash management

2. DOJ Terms and conditions for operating a Live Scan terminal

2a. Specific Live Scan responsibilities and liabilities
2b. Agency authorization
2c. Approved devices
2d. Scope of service
2e. Security
2f. Device operation
2g. DOJ oversight

3. DPS Fiscal management and agency owned property 03-O.A.-003

3a. Purpose and background
3b. Fiscal management
3c. Budget
3d. Purchasing
3e. Accounting
3f. Cash disbursement and receipt handling
3g. Handling cash and checks
3h. Reconciliation of receipts
3i. Audits of department fiscal activities
3j. Agency and signature

4. Completing a Live Scan request form

4a. ORI #
4b. Type of application and job title
4c. Contributing agency and mail code
4d. Name of applicant
4e. Date of birth
4f. Applicants height, weight, eye color, hair color
4g. Place of birth
4h. Social security number
4i. Drivers license #
4j. Billing #
4k. Phone # and address
4l. Facility #
4m. Level of service
4n. Resubmissions
4o. Employer address

4p. Name of the Livescan operator.
4q. Date of submission, and amount paid.
4r. ATI# (given by computer), and stamp of transmitting agency.

5. DPS Live Scan daily log, Trust deposit transmittal slip

5a. Name of applicant
5b. Phone number
5c. Driver's license #, ID #, or Passport #
5d. ATI #
5e. Fees charged
5f. Total amount charged
5g. Agency billing code or agency name
5h. Type of payment (Cash or Check#)
5i. Total amount paid
5j. Operator name
5k. Trust deposit transmittal slip
5l. Completion of deposit bag
5m. Stamp checks, number from smaller to larger, and count cash
5n. Attached receipt from the register

6. Live Scan computer system operation

6a. Log in with password
6b. Go to Utilities scroll down to table updates
6c. Update tables
6d. Enter ORI# in the system
6e Name of applicant
6f. Gender
6g. Applicants height, weight, eye color, hair color
6h. Place of birth
6h. Facility number
6i. Original ATI # if resubmission
6j. Applicant job type
6k. Contributing agency address
6l. Applicant address
6m. Social security number
6n. Date of birth
6o. Agency billing number
6p. Driver license number
6q. Hit F8 to start fingerprinting

7. Trouble shooting for Live Scan computer system

7a. Computer freeze
7b. if you see the letter I on the main screen

7c. fraudulent information given by the applicant
7d. Number to the help desk 1-888-435-7439 1-888-HELP IDX

IV. Practical exercises

1. Fill out two request forms

1a. Sample #1
Complete as though you are the applicant.

1b. Sample #2
Complete as though you are the operator.

2. Fill out DPS daily log, trust deposit slip, and deposit bag

2a. Sample #1
DPS daily log

2b. Sample #2
Trust deposit transmittal slip and deposit bag

3. For the introductory demonstration the trainee will be fingerprinted. After the trainee is fingerprinted the trainee will demonstrate competency by fingerprinting the instructor.

3a. Trainee

3b. Instructor

V. Closing

Questions & Comments

SECTION 1: TRAINING CHECK-OFF SHEET
LIVE SCAN FINGERPRINTING SYSTEMS

TRAINEE: _____

COORDINATOR: _____ DATE: _____

1. LIVE SCAN POLICY AND PROCEDURES 04-S.S.-002
Section one of the training process will allow the trainee to familiarize him or herself with the policy and procedures of Live Scan. Please see attached policy and procedure manual (04-S.S.-002).

1a. Purpose of Live Scan

1b. Live Scan Policy

1c. Live Scan Procedures

1d. Live Scan personnel responsibility

1e. Operators background clearance

1f. Training of Livescan personnel

1g. Quality control

1h. Security of records

1f. Device and data line

1j. Cash management

Discussed/ Demonstrated By Instructor (Initials & Date)	Competency Demonstrated By Trainee Via			Training Provided & Competency Demonstrated	
	Agency Constructed Knowledge Test		Scenario or Field Performance Test	Trainee Initials & Date	Instructor Initials & Date
	Written	Verbal			
			N/A		
			N/A		
			N/A		
			N/A		
			N/A		
			N/A		
			N/A		
			N/A		
			N/A		
			N/A		

SECTION 2: TRAINING CHECK-OFF SHEET
LIVESCAN FINGERPRINTING SYSTEMS

TRAINEE: _____

COORDINATOR: _____ DATE:_____

2. TERMS AND CONDITIONS FOR OPERATING A LIVE SCAN TERMINAL
Section 2 contains the terms and conditions set forth by the California Department of Justice. These terms and conditions must be met before an agency is allowed to provide Live Scan services. See attached terms and conditions application.

2a. Specific Live Scan responsibilities and liabilities.

2b. Agency authorization

2c. Approved devices

2d. Scope of service

2e. Security

2f. Device operation

2g. DOJ oversight

Discussed/ Demonstrated By Instructor (Initials & Date)	Competency Demonstrated By Trainee Via			Training Provided & Competency Demonstrated	
	Agency Constructed Knowledge Test		Scenario or Field Performance Test	Trainee Initials & Date	Instructor Initials & Date
	Written	Verbal			
			N/A		
			N/A		
			N/A		
			N/A		
			N/A		
			N/A		
			N/A		

SECTION 3: TRAINING CHECK-OFF SHEET
LIVE SCAN FINGERPRINTING SYSTEMS

TRAINEE: _____

COORDINATOR: _____ DATE: _____

3. FISCAL MANAGEMENT AND AGENCY OWNED PROPERTY 03-O.A.-003
Section three will give the trainee understanding of the fiscal management policy and procedures. See DPS fiscal management and agency owned property policy/procedure (03-O.A.-003). **(Items in bold pertain directly to Live Scan.)**

3a. Purpose and background

3b. Fiscal management

3c. Budget

3d. Purchasing

3e. Accounting

3f. Cash disbursement and receipt handling

3g. **Handling cash and checks**

3h. **Reconciliation of receipts**

3i. **Audits of departments fiscal activities**

3j. **Agency and signature**

Discussed/ Demonstrated By Instructor (Initials & Date)	Competency Demonstrated By Trainee Via			Training Provided & Competency Demonstrated	
	Agency Constructed Knowledge Test		Scenario or Field Performance Test	Trainee Initials & Date	Instructor Initials & Date
	Written	Verbal			
			N/A		
			N/A		
			N/A		
			N/A		
			N/A		
			N/A		
			N/A		
			N/A		
			N/A		
			N/A		

SECTION 4: TRAINING CHECK-OFF SHEET
LIVE SCAN FINGERPRINTING SYSTEMS

TRAINEE: _____

COORDINATOR: _____ DATE: _____

4. COMPLETING A LIVE SCAN REQUEST FORM

The Live Scan request form must be filled out completely before fingerprints can be completed. **(Items in bold ARE NEEDED on the form to complete fingerprints.)**

4a. **ORI #**

4b. **Type of application** (employment, vol.), **and job title** (teacher, salesperson)

4c. **Contributing agency (name, address, mail code) if mail code not provided use 00000.**

4d. **Applicant legal name (last, first, MI)**

4e. **Date of birth (DOB), and gender (M or F)**

4f. Applicants height, weight, eye color, hair color.

4g. Place of birth (POB)

4h. **Social security number (SOC)**

4i. Driver license # (California driver license)

4j. **Billing # (if not provided use 141731)**

Discussed/ Demonstrated By Instructor (Initials & Date)	Competency Demonstrated By Trainee Via			Training Provided & Competency Demonstrated	
	Agency Constructed Knowledge Test		Scenario or Field Performance Test	Trainee Initials & Date	Instructor Initials & Date
	Written	Verbal			

SECTION 4: TRAINING CHECK-OFF SHEET

(Continued)

4k. Phone # (misc. no.), and Home address.

4l. Facility # (OCA) only needed for Social Services applications.

4m. **Level of Service (DOJ and or FBI)**

4n. Resubmissions **must have original OATI# (original ATI#)**

4o. If employer address is blue in computer, it must be entered; therefore it must be on request the form.

4p. **Name of live Scan operator.**

4q. **Date of submission, and amount paid by applicant.**

4r. **ATI # (given by computer), and stamp of transmitting agency.**

PRACTICAL EXERCISE

The trainee will fill out two request forms. All applicable information will be provided by the Live Scan Coordinator for the completion of each exercise.

a. Form #1. Complete the form as though you are the applicant being fingerprinted.

b. Form #2. Complete the form as though you are the Live Scan operator.

Discussed/ Demonstrated By Instructor (Initials & Date)	Competency Demonstrated By Trainee Via			Training Provided & Competency Demonstrated	
	Agency Constructed Knowledge Test		Scenario or Field Performance Test	Trainee Initials & Date	Instructor Initials & Date
	Written	Verbal			

SECTION 5: TRAINING CHECK-OFF SHEET
LIVE SCAN FINGERPRINTING SYSTEMS

TRAINEE: _____

COORDINATOR: _____ DATE: _____

5. DPS LIVE SCAN DAILY LOG, DEPOSIT BAG, AND HOUR VARIANCE SLIP COMPLETION

Below you will find all the items that are needed to complete the daily Live Scan log and Trust deposit transmittal slip.

5a. Name of applicant (last, first).

5b. Phone number.

5c. Driver license #, ID #, or Passport #.

5d. ATI #

5e. Fees charged (Rolling, DOJ, FBI)

5f. Total amount charged.

5g. Agency billing code.

5h. Type of payment (Cash or Check #).

5i. Total amount paid.

5j. Operator name.

Discussed/ Demonstrated By Instructor (Initials & Date)	Competency Demonstrated By Trainee Via			Training Provided & Competency Demonstrated	
	Agency Constructed Knowledge Test		Scenario or Field Performance Test	Trainee Initials & Date	Instructor Initials & Date
	Written	Verbal			

SECTION 5: TRAINING CHECK-OFF SHEET

(Continued)

5k. Trust deposit transmittal slip.

5l. Completion of deposit bag.

5m. Stamp check, number from smaller to larger, and count cash.

5n. Attach receipt from the register.

Discussed/ Demonstrated By Instructor (Initials & Date)	Competency Demonstrated By Trainee Via			Training Provided & Competency Demonstrated	
	Agency Constructed Knowledge Test		Scenario or Field Performance Test	Trainee Initials & Date	Instructor Initials & Date
	Written	Verbal			

SECTION 6: TRAINING CHECK-OFF SHEET
LIVE SCAN FINGERPRINTING SYSTEMS

TRAINEE: _____

COORDINATOR: _____ DATE: _____

6. LIVE SCAN COMPUTER SYSTEM OPERATION
Section six will show the trainee how to use the Live Scan computer system from the off position to the end of fingerprinting an applicant. **(Items in bold ARE NEEDED to complete applicant's fingerprints.)**

6a. **Log in with your password.**

6b. **Go to Utilities and scroll down to table update.**

6c. **Update tables.**

6d. **Enter ORI# in the system.**

6e. **Name of applicant (last, first, MI).**

6f. **Gender (M or F).**

6g. Applicants height, weight, eye color, hair color.

6h. Place of birth (POB).

6i. **Facility number (OCA #) if applicable.**

6j. **Original ATI # if processing a resubmission.**

Discussed/ Demonstrated By Instructor (Initials & Date)	Competency Demonstrated By Trainee Via			Training Provided & Competency Demonstrated	
	Agency Constructed Knowledge Test		Scenario or Field Performance Test	Trainee Initials & Date	Instructor Initials & Date
	Written	Verbal			

SECTION 6: TRAINING CHECK-OFF SHEET

(Continued)

6k. Applicant **job type (teacher, salesperson, etc.)**

6l. Contributing agency address and/or mail code if applicable.

6m. Applicant address.

6n. Social security number (SOC)

6o. **Date of Birth (DOB)**

6p. **Agency billing number.**

6q. Driver license number.

6r. Hit F8 to start fingerprinting.

PRACTICAL EXERCISE

The trainee will then be fingerprinted under training mode. After the trainee is fingerprinted he or she will fingerprint one other department employee.

a. Department Trainee #1 Name: _____

b. Department Employee #2 Name: _____

Discussed/ Demonstrated By Instructor (Initials & Date)	Competency Demonstrated By Trainee Via			Training Provided & Competency Demonstrated	
	Agency Constructed Knowledge Test		Scenario or Field Performance Test	Trainee Initials & Date	Instructor Initials & Date
	Written	Verbal			

SECTION 7: TRAINING CHECK-OFF SHEET
LIVE SCAN FINGERPRINTING SYSTEMS

TRAINEE: _____

COORDINATOR: _____ DATE: _____

7. TROUBLE SHOOTING LIVE SCAN COMPUTER SYSTEM UNIT OPERATION

Common problems that arise while using the Live Scan computer, and the solutions to help solve them.

7a. If you are processing an applicant and the computer happens to freeze, do not worry, simply turn the computer system key to the off position. After computer shuts down, unplug computer for approximately 60 seconds. Plug computer back into wall and turn computer to the on position. Save all existing prints, re-enter applicants information into the computer and proceed to fingerprint.

7b. After processing applicant fingerprints, the computer will go to the main screen. If you see the letter "I" after the applicant's name, the fingerprints have not been received by the DOJ. Simply call the Identix help desk and see if there is a problem with your system. More times than not, the DOJ server will be down. When the server comes back on line you will see the applicants' prints begin to process automatically.

7c. If fraudulent activity by a Live Scan applicant is suspected (i.e. use of a false ID, fictitious information), contact university police immediately.

Discussed/ Demonstrated By Instructor (Initials & Date)	Competency Demonstrated By Trainee Via			Training Provided & Competency Demonstrated	
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	Written	Verbal			

SECTION 7: TRAINING CHECK-OFF SHEET

(Continued)

7d. Should problems arise that are not covered in training, the number to the Identix helpdesk is 1-888-HELP-IDX (1-888-435-7439). You will need the computer system LSID (Live Scan Identification) number: "S40"

Discussed/ Demonstrated By Instructor (Initials & Date)	Competency Demonstrated By Trainee Via			Training Provided & Competency Demonstrated	
	Agency Constructed Knowledge Test		Scenario or Field Performance Test	Trainee Initials & Date	Instructor Initials & Date
	Written	Verbal			

Appendix "C"

Appendices C

California State University, Northridge

LIVESCAN FINGERPRINTING SERVICES

AUDIT INSPECTION FORM

Type of Inspection / Audit
- ☐ ANNOUNCED
- ☐ UNANNOUNCED
- ☐ ANNUAL

Name of Person(s) Performing Inspection	Date of Inspection	Time of Inspection

Names of Personnel Interviewed

A _____ C _____

B _____ D _____

Administration and Operations - Audit Factors

	Yes	No	
1	☐	☐	Unit is in complete compliance with California DOJ Live Scan terms and conditions for terminal operation.
2	☐	☐	Operator background clearances are in proper order and compliance with department and state requirements.
3	☐	☐	Training programs for all operators and/or unit employees have been completed (or scheduled for completion) and are in compliance with department and state requirements.
4	☐	☐	Monthly verification of receipts and billings are being conducted with irregularities being properly reported as stated within department policy.
5	☐	☐	Monthly accuracy checks by the Live Scan Coordinator are being conducted with irregularities being properly reported as stated within department policy.
6	☐	☐	Strict compliance with device, data line, and record security is being maintained as stated within department and state requirements.
7	☐	☐	Compliance with record retention and purging processes as stated within department and state requirements.
8	☐	☐	All cash receipts are received, endorsed, handled, secured, and counted in compliance with department policy.
9	☐	☐	The "two-person rule" is being properly utilized in the accounting of and depositing of daily receipts, in addition to the proper completion of deposit slips.
10	☐	☐	Refund procedures, when applicable, are being conducted in compliance with department policy.
11	☐	☐	The Live Scan Coordinator conducts periodic reviews and coordination or applicable updates required of th unit's website, public information publications, and training program.
12	☐	☐	
13	☐	☐	
14	☐	☐	

Comments: [Any audit factor not meeting requirements shall be explained. Include discrepancies that were reviewed and actions taken.]

Audit Meets Requirements: Yes ☐ No ☐	Signature of Person(s) Performing Audit Inspection	Date	Number of Additional Pages Attached