

## Frequently Asked Questions Regarding the APPRISS Jail Inventory Project

**Q.:** **Can we disseminate the information needed by APPRISS?**

**A.:** **YES** - within the purview of the FBI /KCJIS Security policy.

You may want to consult your legal staff or other authorities regarding additional regulations or other privacy concerns.

The required data needed by APPRISS:

1. Can be obtained by other means outside of KCJIS systems (such as directly from the subject) and therefore is impossible to discern if it meets the policy definition of CJI in policy area 4.1.
2. Is not exclusive and therefore can be considered and used as unrestricted files according to FBI/KCJIS policy area 4.2.3.

Furthermore, **Title 28 CFR part 20** provides for a number of “allowances” for dissemination:

### **§ 20.20 Applicability.**

**(c) Nothing in these regulations prevents a criminal justice agency from disclosing to the public criminal history record information related to the offense for which an individual is currently within the criminal justice system.**

### **§20.21 (b) Limitations on dissemination.**

Insure that dissemination of nonconviction data has been limited, whether directly or through any intermediary only to:

- (1) Criminal justice agencies, for purposes of the administration of criminal justice and criminal justice agency employment;
- (2) Individuals and agencies for any purpose authorized by statute, ordinance, executive order, or court rule, decision, or order, as construed by appropriate State or local officials or agencies;
- (3) Individuals and agencies pursuant to a specific agreement with a criminal justice agency to provide services required for the administration of criminal justice pursuant to that agreement. The agreement shall specifically authorize access to data, limit the use of data to purposes for which given, insure the security and confidentiality of the data consistent with these regulations, and provide sanctions for violation thereof;

### **§ 20.33 Dissemination of criminal history record information.**

**(c) Nothing in these regulations prevents a criminal justice agency from disclosing to the public factual information concerning the status of an investigation, the apprehension, arrest, release, or prosecution of an individual, the adjudication of charges, or the correctional status of an individual, which is reasonably contemporaneous with the event to which the information relates.**

(K.S.A. 22-4708 contains similar language regarding state CHRI)

**Q.:** **So why is KCJIS involved?**

**A.:** KCJIS’ involvement is *based on the location of the information and its proximity to unencrypted CJI or CJI systems*. Although the information APPRISS is requesting can be disseminated, the data may be co-located within servers, computers, or networks that are used to process store, and transmit unencrypted CJI. When that is the case, the KHP CJIS technical security Audit unit must be involved in a review process<sup>1</sup> to ensure the method of access given APPRISS does not interfere or change the security structure to a point of non-compliance with the FBI and KCJIS security policies.

**Q.:** **Will your agency need to complete record checks and security awareness for APPRISS personnel?**

**A.:** **NO.** The KHP CJIS Unit has developed a process<sup>1</sup> with the cooperation of APPRISS to conduct all required record checks, ensure APPRISS personnel complete security awareness training, and that all Security Addendum certification pages are available for FBI audit review.

<sup>1</sup> A KHP review packet is attached. It includes the KHP CJIS unit’s security review questionnaire, and Memorandum of Understanding, and network use case scenarios. The packet is intended to explain when KHP CJIS needs to be involved, and gather the information for review when needed.

# APPRISS Access to Agency Network Security Questionnaire

Agency Name \_\_\_\_\_ ORI \_\_\_\_\_  
LASO Name \_\_\_\_\_ phone \_\_\_\_\_  
LASO email \_\_\_\_\_  
I.T. Contact \_\_\_\_\_ phone \_\_\_\_\_  
I.T. email \_\_\_\_\_ IT Agency / Company Name: \_\_\_\_\_  
Agency Contact regarding the APPRISS project \_\_\_\_\_

1. How will your agency provide jail information to APPRISS? (Check One)

- 1a. Secure File Transfer Protocol (SFTP) allowed by agency configuration  
 1b.. Manual entry via Appriss provided application



Access methods 1a and 1b do not affect your KCJIS security posture. No review is required.

- 1c. Security device and application services provided and managed by Appriss (AWACS)  
If 1c is checked, proceed to question 2.

2. Does the network being accessed by APPRISS store, process, transmit or otherwise contain Criminal Justice Information (CJI) as defined in FBI and KCJIS security policies?

- NO



Because NO CJI or connectivity to KCJIS is involved in this network, no review is required.

- YES. Check all that apply, and then proceed with rest of questionnaire.

- Livescan device for submission of fingerprints to KBI  
 OpenFox or other interface (Agency CAD, REJIS, etc.) devices used to access the Kansas message switch for queries, entries, modifications, etc. to NCIC records (Direct access).  
 Electronic Record Management System that is populated with CJI obtained from other applications (Indirect access).

*Also complete Memorandum of Understanding (Appendix A) indicating agency approvals.*

3. How does your agency connect to KCJIS? (Check all applicable boxes below.)

- State of Kansas Office of Information Technology Services (OITS)  
Does your agency Control a firewall between your network and the OITS network?  YES  NO

- Agency Procured Ground based Internet Service

- By way of another Agency or Entity Agency Name: \_\_\_\_\_  
Does your agency Control a firewall between your network and the other agency?  YES  NO

# APPRISS Access to Agency Network Security Questionnaire

4. Please provide name and contact information for anyone other than those listed above who manages your Agency's network security.

Name \_\_\_\_\_ email \_\_\_\_\_ phone \_\_\_\_\_

Name \_\_\_\_\_ email \_\_\_\_\_ phone \_\_\_\_\_

Name \_\_\_\_\_ email \_\_\_\_\_ phone \_\_\_\_\_

5. If personal firewalls are used, list brands and versions. \_\_\_\_\_

6. What network firewalls are used? List all models and versions. \_\_\_\_\_

7. Please provide a visual representation (schematic) of all wired networks containing CJJ and the logical location of where APPRISS (and any other remote access) will make entry into that network.

- Do not include any network resolvable addresses or device names.
- Show a logical summary (don't list all devices) of workstations and servers by physical location groups, VLANs, or virtualized environment (hypervisors), and their connectivity within your local network containing CJJ.
- Show all logical locations of access points to your network. Include connections to routers, firewalls, wireless access points, or any other device that provide a path in or out of your network containing CJJ.
- Indicate connections to non-criminal justice entities such as city or county departments or services like email.
- Mark "FOR OFFICIAL USE ONLY" on the diagram and include agency name, ORI, and date submitted.
- Appendix B contains some sample schematics for various scenarios. You may verify one of those scenarios or draw your own to depict your specific network environment.
  - SCENARIO 1: APPRISS device between agency firewalls.
  - SCENARIO 2: APPRISS device "vetted" by single agency firewall (requires firewall capable of applying rules to multiple physical ports on firewall device).
  - SCENARIO 3: Utilizing APPRISS device. Installed and configured personal firewalls on ALL KCJIS access devices inside your local network to provide separation from remote connection.
  - SCENARIOS 4-6: Do not need reviewed by the KHP CJIS unit.
  - SCENARIO 7: Is NOT ALLOWED for remote access.

## Memorandum of Understanding

It is understood by \_\_\_\_\_, a Criminal Justice Agency (CJA) with ORI \_\_\_\_\_, hereafter referred to as “the agency”, that:

- 1) Pursuant to K.S.A. 44-719 et seq and K.S.A. 75-5702(b)(1)(A), the Kansas Department of Labor (KDOL) has established a *Special Investigations Criminal Fraud Unit* that is recognized as a Criminal Justice Agency (CJA) with NCIC Originating Agency Identifier (ORI) of KS089045Y.
- 2) A database containing local jail inmate information from across the state of Kansas and beyond will benefit the State of Kansas and its citizens by providing:
  - a. Reporting options tailored to facilitate the KDOL objective to identify and reduce improper collection of benefits by claimants who are ineligible as a result of their incarceration;
  - b. A Victim Notification System for use by citizens on behalf of law enforcement and correctional agencies.
- 3) KDOL has contracted with *APPRISS Incorporated* (APPRISS), to provide information technology services to assist in their administration of criminal justice as described above.
- 4) It will be necessary for local CJAs and correction facilities to provide data to APPRISS and their associates. This may include access to electronic databases and information systems that may contain Criminal Justice Information (CJI) as defined in FBI and KCJIS security policies.
- 5) All data provided by agency remains the property of the agency.
- 6) As allowed by federal and state laws, regulations and policies, the information collected by APPRISS will become part of a national database with dissemination to criminal justice agencies and the public for similar uses as in Kansas.
- 7) To ensure compliance with FBI and KCJIS policies, the Kansas Highway Patrol (KHP), acting in capacity as the state CJIS Systems Agency, will perform services on behalf of all affected CJAs as follows:
  - a. Conduct all required record checks of APPRISS and third-party personnel.
  - b. Ensure completion of FBI and KCJIS required security awareness training of same personnel.
  - c. Conduct any audit functions of APPRISS as required by the FBI CJIS Security policy.
  - d. Maintain related records making them available to KDOL, affected CJAs and FBI auditors upon request.

The agency therefore agrees to:

- A. Make relevant incarceration information available for shared access as described herein.
- B. Provide information to APPRISS about subjects who are currently or recently been in the custody of the agency for the purpose of collecting data as called for in State of Kansas contract 40887 by:
  - i. Allowing APPRISS access to agency database application containing inmate information, such as a Jail Management System, and the network infrastructure utilized by such, or
  - ii. Utilize an interface provided by APPRISS to enter information regarding inmate population and their activities relating to custody status and location, etc. Entries and updates will be performed in a timely manner as possible to ensure the most current information is available to all program participants.
- C. Assist in the deployment of necessary hardware and software elements required for the success of the project, to the extent possible within their resource limitations.
  - i. The agency will respond in a timely manner to all reasonable requests from KDOL, APPRISS or their agents.
  - ii. If necessary, the agency will assist in coordination of setup and configuration between APPRISS and their local software vendor.
- D. Accept as complete and compliant the findings and results of the KHP's performance of services described in item 9 above.

All terms and conditions provided for in the FBI CJIS Security Addendum and State of Kansas Contract 40887 are included in this agreement by reference.

All parties agree to comply with all policies, rules and regulations of the Security Policies of FBI and Kansas CJIS (KCJIS); Title 28, Code of Federal Regulations, Part 20; NCIC; NLETS and all Federal and State laws regarding the use, dissemination and security of CJI, as included here by reference. These requirements include, but are not limited to, personnel screening, security awareness training, and other security programs be in place before personnel may access CJI or information systems that process, store, or transmit CJI.

The Agency may terminate this agreement for cause upon written notification to KDOL and APPRISS.

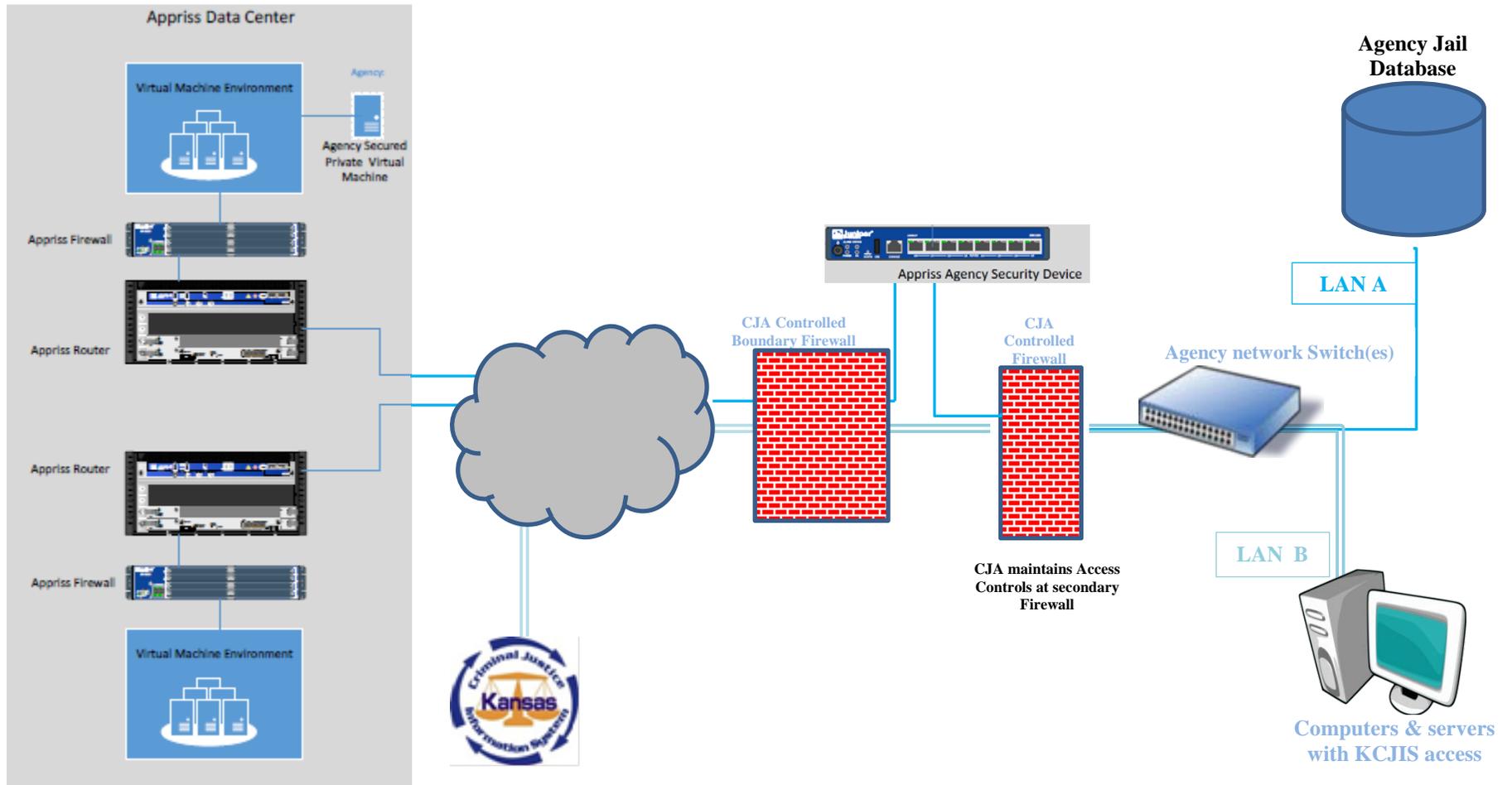
With these understandings, the agency enters into this agreement as a formal expression of its intent and is effective when signed. It is being executed in both an individual and representative capacity, and accordingly will remain in effect after the signatory vacates their position until it is affirmatively amended or terminated in writing.

\_\_\_\_\_  
Agency Authorized Signature

\_\_\_\_\_  
Agency authority name, title

\_\_\_\_\_  
Date

APPRISS CONNECTIVITY SCENARIO 1  
(MULTIPLE AGENCY FIREWALL APPLIANCES)



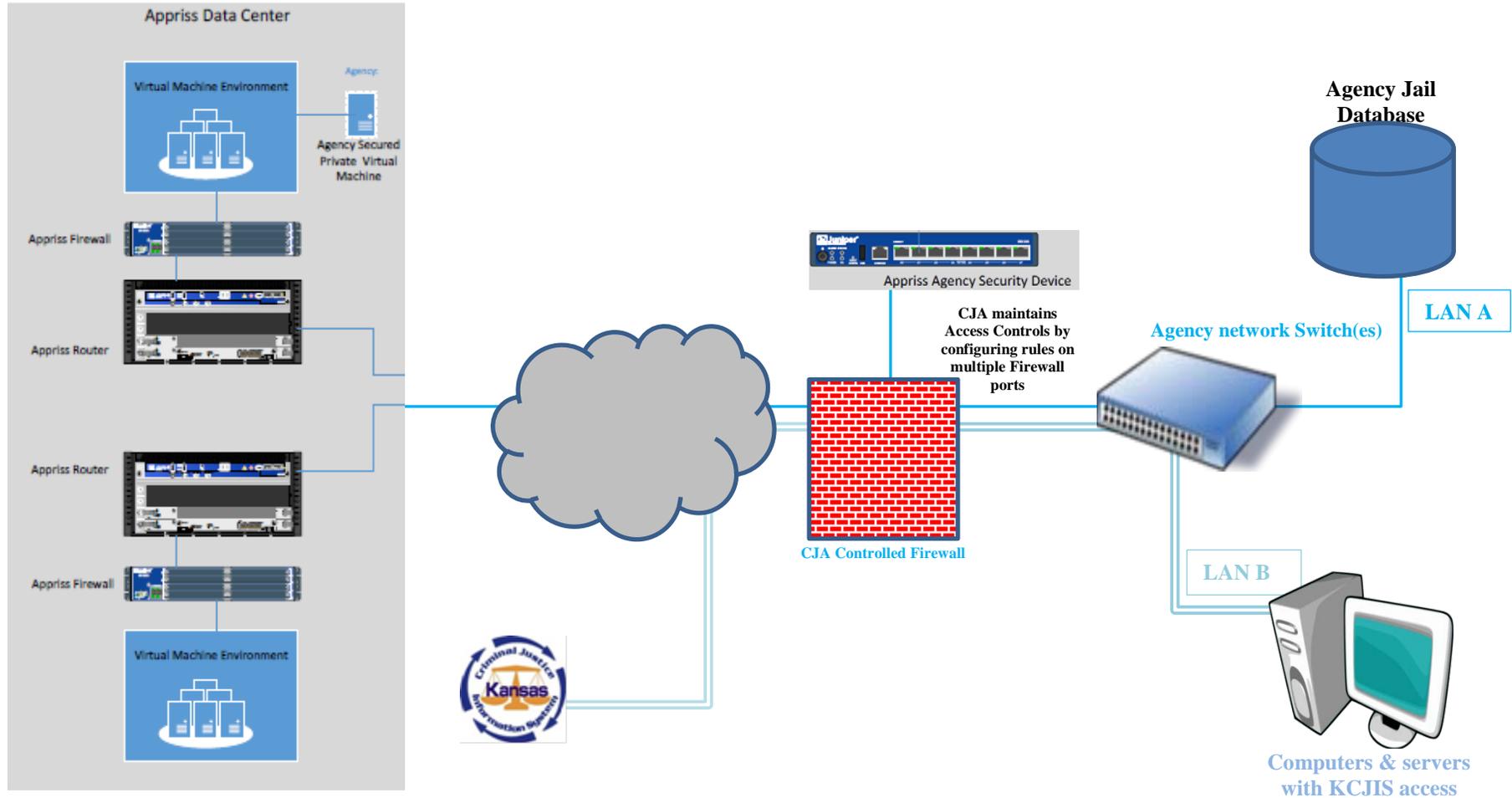
AGENCY: \_\_\_\_\_

ORI: \_\_\_\_\_

Date: \_\_\_\_\_

**FOR OFFICIAL USE ONLY**

APPRISS CONNECTIVITY SCENARIO 2  
(SINGLE AGENCY FIREWALL APPLIANCE)



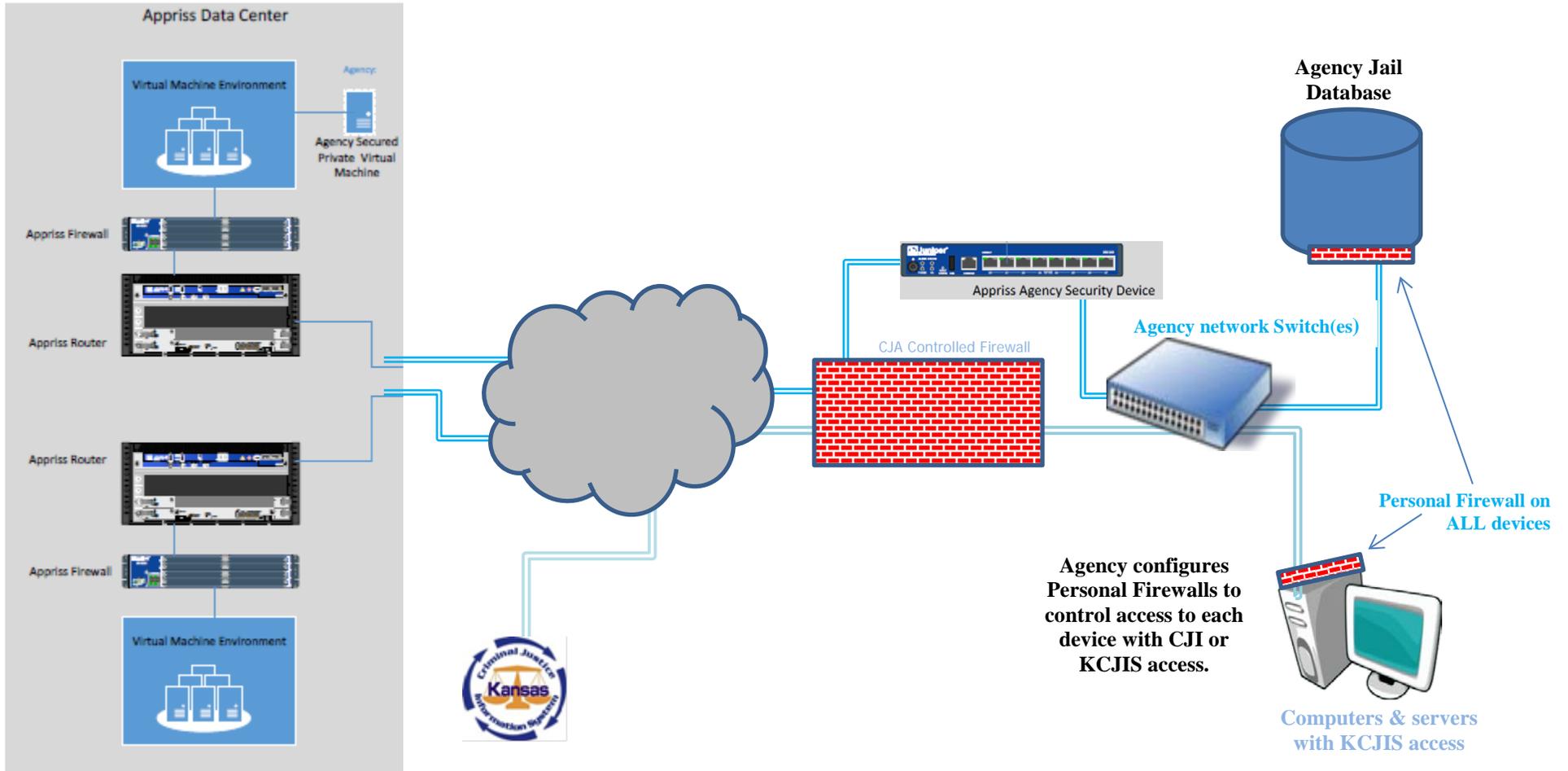
AGENCY: \_\_\_\_\_

ORI: \_\_\_\_\_

Date: \_\_\_\_\_

**FOR OFFICIAL USE ONLY**

APPRISS CONNECTIVITY SCENARIO 3  
(SINGLE AGENCY FIREWALL APPLIANCE  
+ PERSONAL FIREWALLS CONFIGURED ON ALL DEVICES)



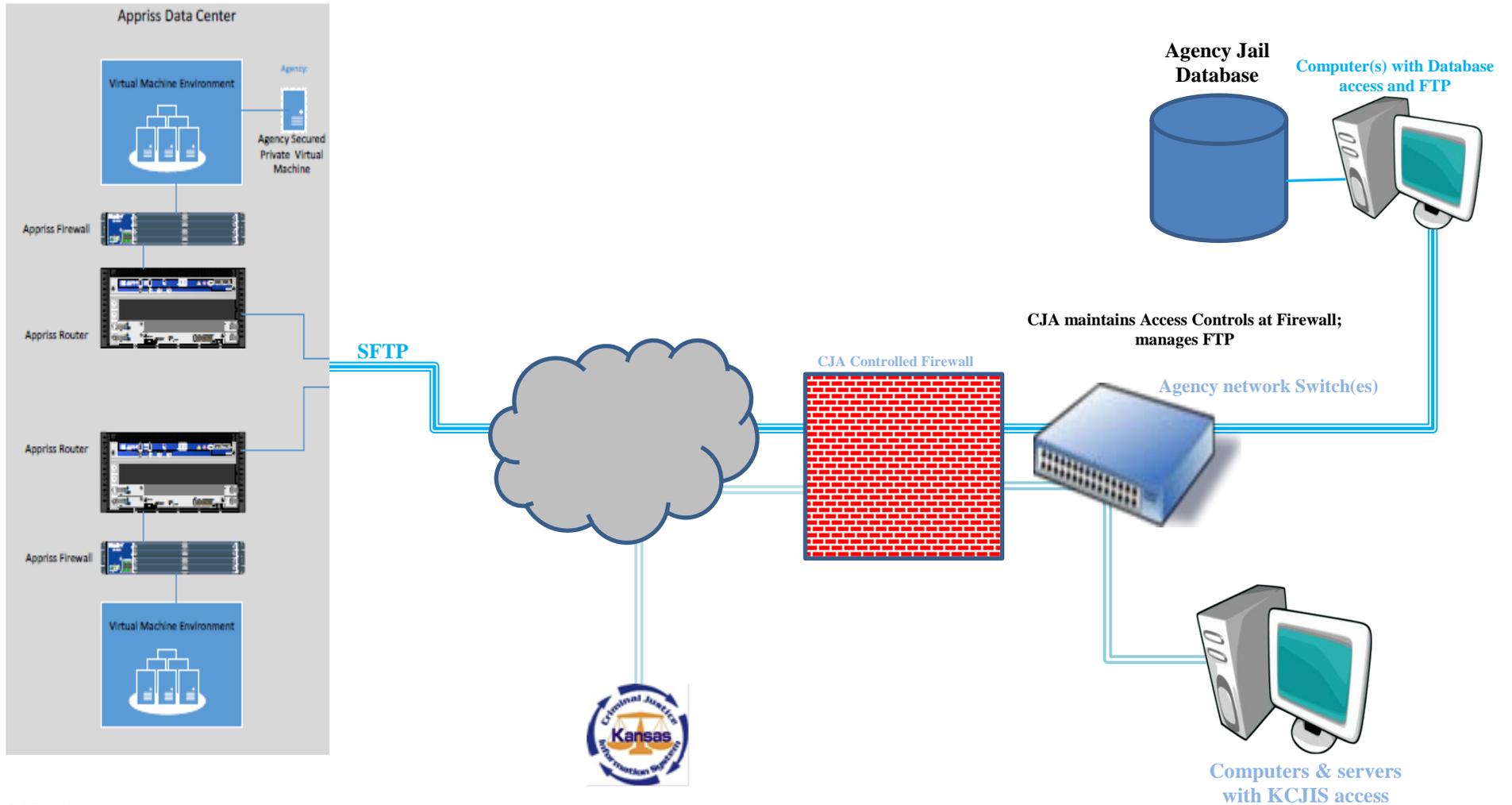
AGENCY: \_\_\_\_\_

ORI: \_\_\_\_\_

Date: \_\_\_\_\_

**FOR OFFICIAL USE ONLY**

APPRISS CONNECTIVITY SCENARIO 4  
(AGENCY SUPPORTED ENCRYPTED FTP)



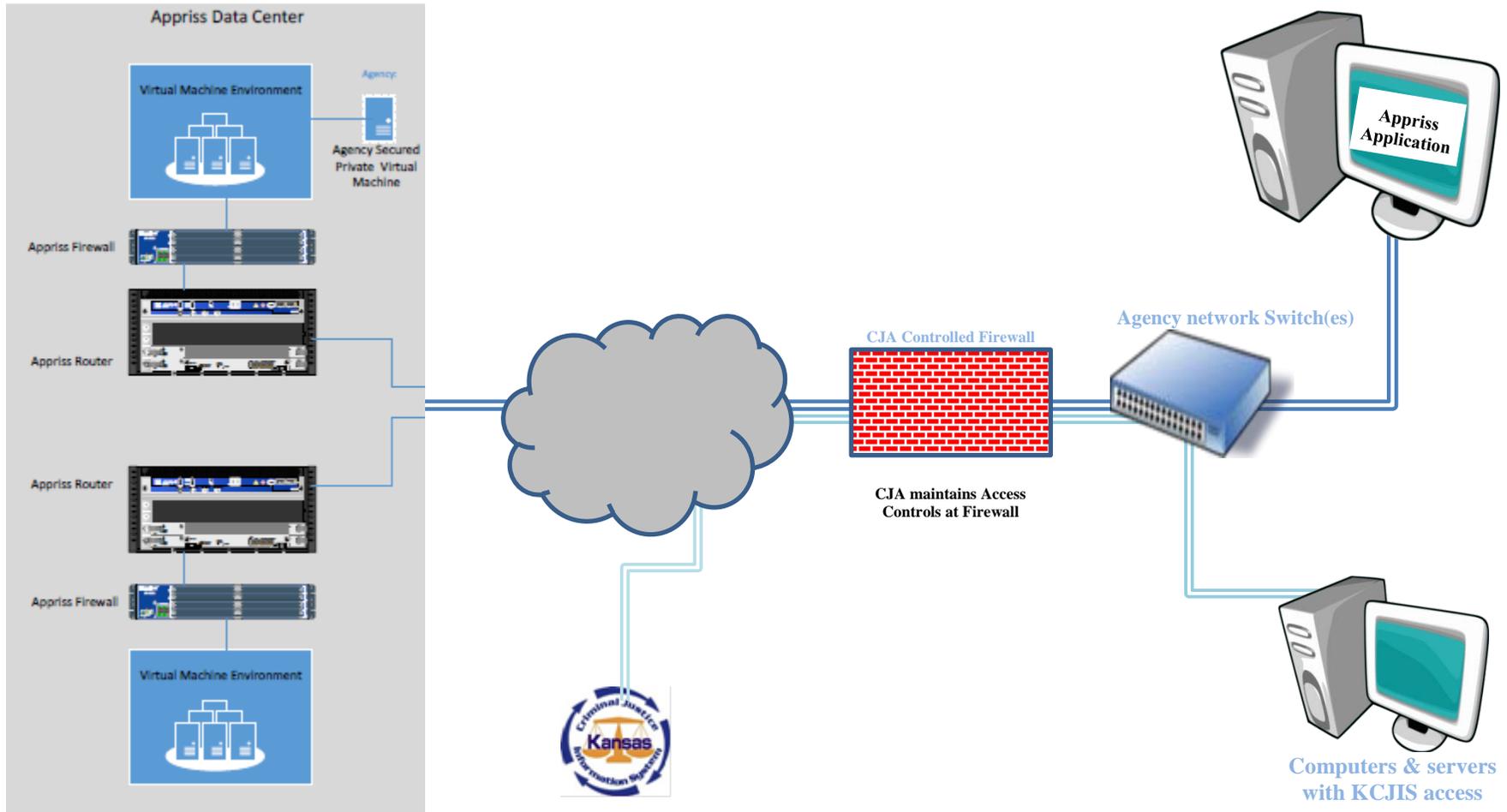
AGENCY: \_\_\_\_\_

ORI: \_\_\_\_\_

Date: \_\_\_\_\_

**FOR OFFICIAL USE ONLY**

APPRISS CONNECTIVITY SCENARIO 5  
(No Agency Database. - Utilizes APPRISS provided Web interface)



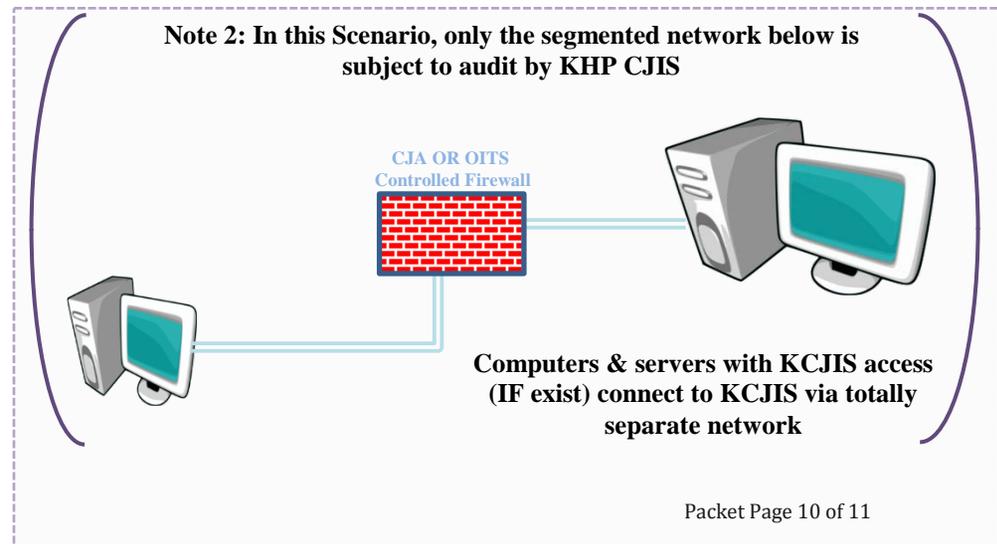
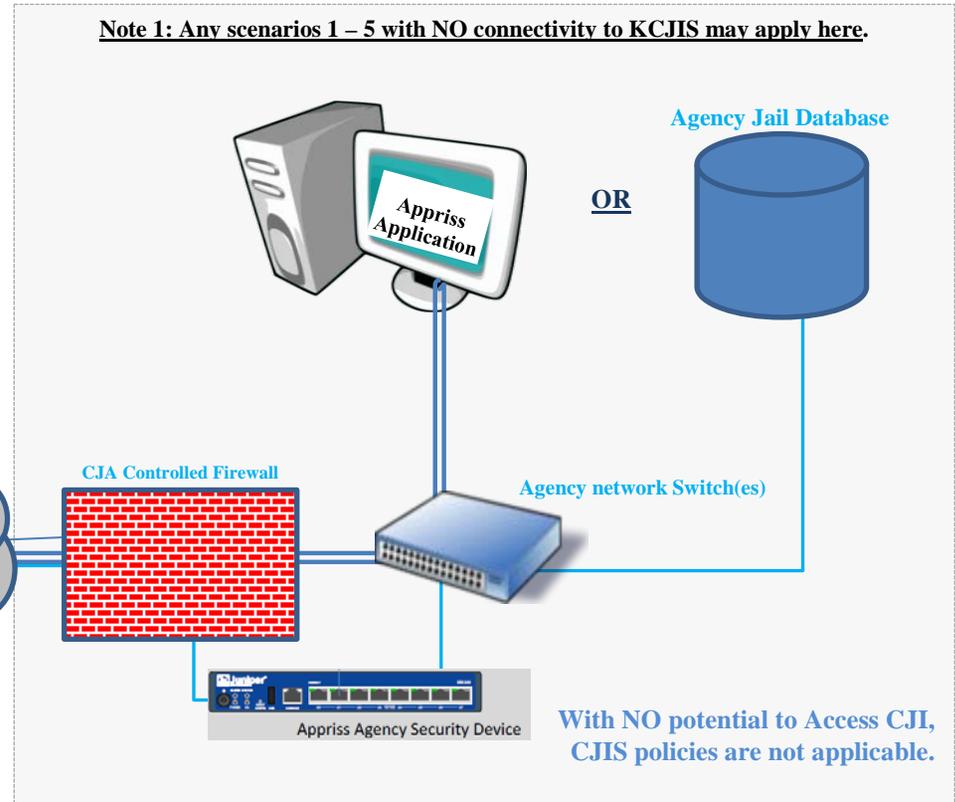
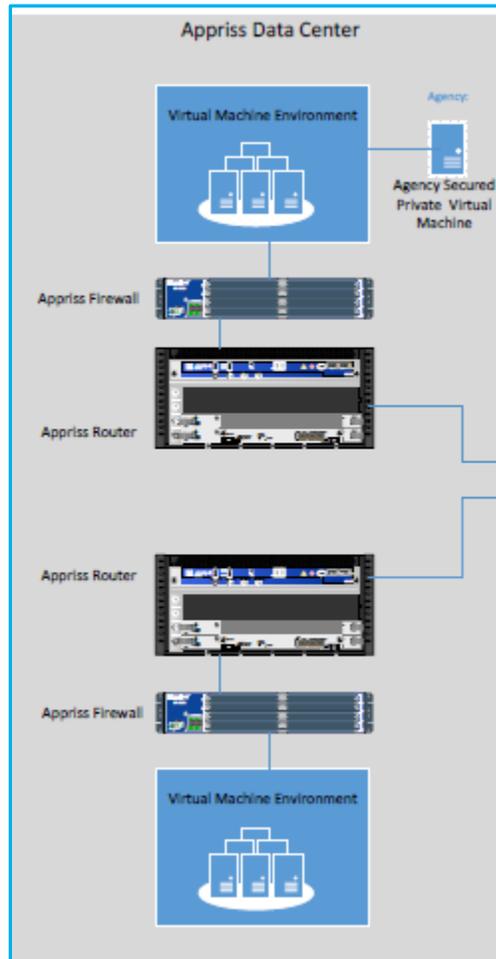
AGENCY: \_\_\_\_\_

ORI: \_\_\_\_\_

Date: \_\_\_\_\_

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APPRISS CONNECTIVITY SCENARIO 6  
 APPRISS TO CONNECT INTO NETWORK  
 WITH NO CJI OR ACCESS TO KCJIS



AGENCY: \_\_\_\_\_  
 ORI: \_\_\_\_\_  
 Date: \_\_\_\_\_

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APPRISS CONNECTIVITY SCENARIO 7  
APPRISS ATTEMPT TO CONNECT INTO NETWORK  
USING STATE PROVIDED BOUNDARY & SECURITY

**NOT ALLOWED!**



**FOR OFFICIAL USE ONLY**