

OHIO AUDITOR OF STATE KEITH FABER



From: Auditor of State's Center for Audit Excellence

To: All IPA Firms

Subject: NICS Testing – Amended Guidance

Date: September 27, 2019

In April 2018 Governor Kasich signed executive order 2018-03K requesting the Auditor of State include procedures in the annual/biennial audits. The premise of the order, and the resulting procedures, is to test the timeliness and accuracy of data submitted to the National Instant Criminal Background Check System (NICS) due to the importance of the information in firearms purchases.

Section 3-19 of the Ohio Compliance Supplement (OCS) contains guidance and procedures related to the NICS testing.

Effective September 20, 2019, OCS Section 3-19 was modified as follows:

Law Enforcement (County Sheriff, Municipal/Township Police):

1. Utilize the [NICS process form](#) to determine if there is an established method of fingerprint submission to BCI. If no process is in place, report ~~following guidance provided by the AOS by in the management letter.~~

Effective immediately, any issues noted during testing of NICS should be communicated, with detail, to the Center for Audit Excellence (CFAE). These issues should not be reported in the GAGAS report or Management Letter. CFAE will subsequently provide information to be included in the working papers along with specific information to be verbally communicated to the client.

Notification of any NICS issue should be communicated to IPAREPORT@ohioauditor.gov.

Please contact Brad Blake at 614-466-3597 with any questions.