

NGI pre-audit questionnaire



Preview

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Section - Use of CHRI - Authorized Requests

1. List the titles of the key employees and or primary management officials the Tribe or TGRA conducts fingerprint-based background checks on using FBI Criminal Justice Information Criminal History Record Information (CHRI) from the NIGC.

2. For what purposes are the background checks done?

2. Does the Tribe or TGRA use FBI CHRI from the NIGC for any other purpose or process other than background checks for licensing?

- Yes
- No

3. Please identify the current process or processes used by the Tribe or TGRA to submit noncriminal justice fingerprint-based requests to the NIGC.

- a. Live Scan
- b. Hard card

If the Tribe or TGRA utilizes Live Scan, please provide the name of the contractor, products purchased and specify if the contractor performs a noncriminal justice administrative function(s) [1] for the Tribe or TGRA.

[1]Noncriminal Justice Administrative Functions means the routine noncriminal Justice administrative functions relating to the processing of CHRI, to include but not limited to the following:1. Making fitness determinations/recommendations 2. Obtaining missing dispositions 3.Disseminating CHRI as authorized by Federal statute, Federal Executive Order, or State statute approved by the United States Attorney General 4. Other authorized activities relating to the general handling, use, and storage of CHRI.

4. Describe how and when the Tribe or TGRA becomes aware of an applicant requiring a CHRI background check.

5. Describe the processes for collecting key employee and or primary management official fingerprints as part of conducting a criminal history background check.

If the Tribe or TGRA utilizes a law enforcement agency or contractor for collecting fingerprints, please provide the name of the agency or contractor.

6. Describe the lifecycle processing of CHRI associated with the eligibility determination of key employees and/or primary management officials from the receipt of CHRI to the final maintenance action (i.e., processes the Tribe or TGRA uses to access, review, share, and retain CHRI). Include the following information:

- a. Names of internal offices or external agencies/entities (i.e., to whom CHRI is made available)
- b. Reasons for dissemination of CHRI (i.e. why CHRI is made available)
- c. Mechanisms used to disseminate CHRI (i.e., how CHRI is made available), to include formats and locations of products/applications containing CHRI or derivatives of CHRI, such as:
 - (i) forwarding copies of results
 - (ii) sharing hard copy case files
 - (iii) sending notification letters or e-mails
 - (iv) viewing electronic documents saved/scanned on a network
 - (v) retrieving information from databases or spreadsheets
 - (vi) accessing a website/internet-based portal or applicant clearinghouse
 - (vii) discussing information during meetings or teleconferences

Section - Dissemination of CHRI

1. Describe any processes by which the Tribe or TGRA disseminates CHRI to the individual of record (i.e., individual undergoing a fingerprint check).

2. Describe any processes used by the Tribe or TGRA to re-use CHRI, provide residual access to CHRI, or disseminate CHRI with other offices, agencies, or entities.