




<p>Slide 1</p>		<p>PARTICIPANT GUIDE</p> <p>Chairman Simermeyer promotes four emphasis areas in the Agency’s work. This training reinforces these four emphasis areas and the agency’s commitment to the Indian gaming industry and Indian Country.</p> <p>The NIGC Criminal Justice Information Services (CJIS) Audit Unit (CAU) is responsible for the implementation of the NIGC’s external and internal compliance strategies to achieve and demonstrate compliance with the Memorandum of Understanding (MOU) between the Federal Bureau of Investigation (FBI) and NIGC concerning Noncriminal Justice Fingerprint Submissions. CAU audit staff deliver trainings, technical assistance and conduct selective audits / investigations of those tribes with an executed, suspended, or terminated MOU with the NIGC regarding CHRI.</p>
<p>Slide 2</p>		<p>PARTICIPANT GUIDE</p> <p>3. Based on record examination, does the TGRA have written processes in place to notify the NIGC when it is made aware of inaccuracies in PII received from the NIGC that would impact the TGRA’s ability to assess employment or licensing eligibility?</p> <p>Standard: CHRI MOU V. B. 3</p> <p>Source: https://www.nigc.gov/images/uploads/2021CHRIMOUWithTribesfinal081021.pdf</p>
<p>Slide 3</p>		<p>PARTICIPANT GUIDE</p> <p>7. Based on inquiry and record examination, is FBI CHRI received from the NIGC used for IGRA and NIGC regulatory purposes? Such purposes are backgrounding and licensing key employees and primary management officials. Based on inquiry, observation and record examination, is FBI CHRI received from the NIGC used for any other purpose?</p> <p>Standards: CHRI MOU V. B. 6, CHRI MOU V.B.7</p> <p>Source: https://www.nigc.gov/images/uploads/2021CHRIMOUWithTribesfinal081021.pdf</p> <p>Footnote: Pursuant to the FBI-NIGC Memorandum of Understanding re: noncriminal justice fingerprint submissions (January 17, 2020) (hereinafter FBI-NIGC MOU), provision I, the NIGC will accept fingerprint submissions that are properly and adequately completed for purposes of 25 C.F.R. §§ 502.14(a) – (c) and 502.19(a) – (c). If the NIGC amends its regulations to permit the fingerprinting of new or additional categories of primary management officials and/or key employees, this MOU will apply to the NIGC’s acceptance of their fingerprints and the resulting CHRI upon the regulations’ effective date.</p>

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National Indian Gaming Commission

TGRA procedures to comply with Re-use



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8. Based on inquiry and record examination, has the TGRA established procedures to comply with the Next Generation Identification (NGI) Re-use standard? Does the TGRA comply with such procedures?

Standard: CHRI MOU V.B.7, CSP 5.1.1.1

Footnote: This standard prohibits sharing it with applicant’s spouse, household, other family members, tribal leadership, tribal agencies not involved in employing or licensing KEs or PMOs, human resource departments, potential employers, and state gaming or licensing agencies. Even if the use of CHRI may be necessary to satisfy state licensing requirements, CHRI from the NIGC cannot be used for such purpose – a new record request to the FBI through a non-NIGC process must be made in such instance.

Sources:

<https://www.nigc.gov/images/uploads/2021CHRIMOUWithTribesfinal081021.pdf>

<https://www.fbi.gov/services/cjis/cjis-security-policy-resource-center>

<https://www.nigc.gov/images/uploads/NGI-audit-policy-reference-noncriminal-justice-access-CHRI-031021.pdf>

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National Indian Gaming Commission

TGRA procedures to comply with Residual Access



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9. Based on inquiry and record examination, has the TGRA established procedures and controls to comply with the NGI Residual Access standard? Does the TGRA comply with such procedures?

Standard: CHRI MOU V.B.8, CSP 5.1.1.1

Footnote: This standard limits residual access to CHRI “to only the minimum level necessary to accomplish oversight responsibilities” by a state gaming agency (such as access to CHRI as part of an audit or review of licensing during a regulatory inspection) or by an inspector general’s office.

Sources:

<https://www.nigc.gov/images/uploads/2021CHRIMOUWithTribesfinal081021.pdf>

<https://www.fbi.gov/services/cjis/cjis-security-policy-resource-center>

<https://www.nigc.gov/images/uploads/NGI-audit-policy-reference-noncriminal-justice-access-CHRI-031021.pdf>

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National Indian Gaming Commission

NIGC access to CHRI obtained through the CHRI MOU



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11. Has the TGRA provided the NIGC representative access to CHRI that was obtained through this MOU for purposes of inspection and/or audit to ensure compliance with it? Is this Tribe self-regulated? If yes, does the TGRA provide NIGC representatives access to its Class II background investigation and licensing files for which CHRI was obtained through the MOU?

Standards: CHRI MOU V.B.10, CHRI MOU V.B.11

Source:

<https://www.nigc.gov/images/uploads/2021CHRIMOUWithTribesfinal081021.pdf>

<p>Slide 7</p>		<p>PARTICIPANT GUIDE</p> <p>13. Based on inquiry and record examination, does the TGRA have an auditable process to notify the NIGC, on a monthly basis, of the following licensing information associated with the dissemination of CHRI for a fingerprinted applicant that does not result in the submission of a NOR:</p> <p>a) the reason for the fingerprint submission and b) if the submission was in error, the steps taken to correct the process that created the error?</p> <p>Standard: CHRI MOU V.B.13 Source: https://www.nigc.gov/images/uploads/2021CHRIMOUWithTribesfinal081021.pdf</p>
<p>Slide 8</p>		<p>PARTICIPANT GUIDE</p> <p>17. Based on inquiry and record examination, does the TGRA have an auditable process to ensure that if and when the TGRA's LASO changes, the new LASO will review a copy of the MOU within ten business days of assuming the position as well as notify the NIGC Information Security Officer (ISO) (iso@nigc.gov) of their name and contact information within that timeframe?</p> <p>Standard: CHRI MOU V.B.16 Source: https://www.nigc.gov/images/uploads/2021CHRIMOUWithTribesfinal081021.pdf</p>
<p>Slide 9</p>		<p>PARTICIPANT GUIDE</p> <p>The NIGC has spent the past couple of years providing CJIS training and has a multitude of resources are available at https://www.nigc.gov/compliance/CJIS-Training-Materials</p> <p><u>Steven Steiner</u> Deputy CJIS Systems Officer steven.steiner@nigc.gov</p> <p><u>Amber McDonald</u> CJIS Auditor amber.mcdonald@nigc.gov</p> <p><u>Tamitra McClain</u> CJIS Auditor tamitra.mcclain@nigc.gov</p> <p><u>Derek Holbert</u> CJIS Auditor derek.holbert@nigc.gov</p>