



**TRIBAL
ACCESS
PROGRAM**

**FOR NATIONAL CRIME INFORMATION
ENSURING THE EXCHANGE OF CRITICAL DATA**

National Instant Criminal Background Check System (NICS) Audit Overview for TAP Agencies



Department of Justice
Office of the Chief Information Officer
Office of Tribal Justice

WEB: WWW.JUSTICE.GOV/TRIBAL/TAP
EMAIL: TRIBALACCESS@USDOJ.GOV



- NICS' audit purposes are to ensure that:
 - Entries are valid, accurate, and complete
 - Queries are in compliance with policies and procedures
- NICS record information must be maintained by the contributing agency and available upon **appeal, assessment or audit**
- Audit requirement continues:
 - as long as agency has access and;
 - will occur at least once in every three year audit cycle

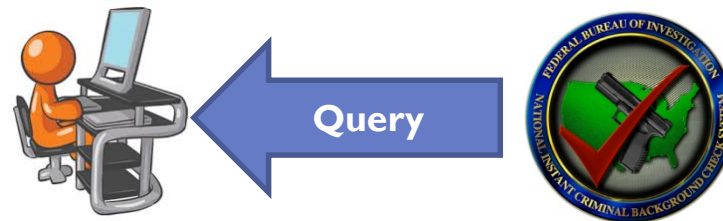


- Tribe's Point-Of-Contact (POC), each agency Terminal Agency Coordinator (TAC) and IT POC are necessary to assist in the audit process
 - Individual users may be requested to participate as needed
- DOJ will walk agency through audit process by providing training and answer DOJ specific questions

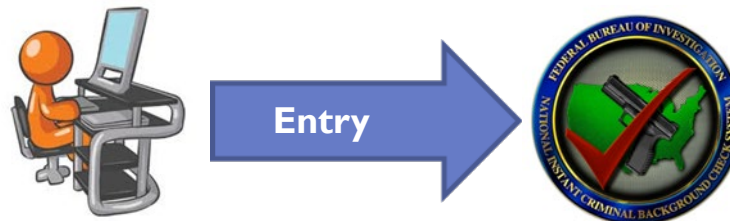
What Does the NICS Audit Cover?



- Agency's **queries** of NICS data



- Agency's **entries** of NICS data





- The query portion focuses on compliance of the **proper use** of NICS and the **training** of users
 - Proper use areas of focus
 - Authorized access
 - Purpose Codes
 - Evidence of misuse
 - Training areas of focus
 - Required training
 - Specialized NICS training



- Proper Use Area of Focus:
 - Does the agency ensure NICS data is only accessed by authorized agency personnel for authorized purposes?
 - What purpose code is used for:
 - gun permits of any type?
 - disposition of handguns?
 - disposition of long guns?
 - disposition of other (frame, receiver, etc)?



- Training Areas of Focus:
 - Does the agency ensure that all agency personnel complete NCIC training prior to being granted access to NICS?
 - Does the agency ensure that all agency personnel complete security awareness training prior to being granted access to NICS?
 - Does the agency provide NICS specific training to all agency personnel with access to NICS? If so, describe content and length of training and who provides the training (not required but recommended)



- The entry only portion focuses on NICS **record validity** and **data integrity**
 - Supporting Documents
 - Goal is that 100% of records are supported by documentation
 - Accurate Information Entered
 - Goal is 100% accuracy of information entered
 - Complete Information Entered
 - Name-based record check
 - More information entered increases likelihood of match
 - “Best practice vs. Compliance”



- Does the entering agency maintain a copy of the source document that supports the entry of the NICS record?
- Does the agency ensure that all of the information entered in the NICS record is accurate?
- Does the agency ensure that all available information is entered in the NICS record (e.g. all available names/aliases and numeric identifiers)?

Typical NICS Audit Findings



- Delegation of TAC responsibilities not documented
 - TAC needs to be documented in the User Agency Agreement
 - Any authority delegated by the TAC must also be documented
- Denials based on other than Federal denial criteria
 - When issuing firearm permits, denials can only be based on identified Federal prohibitors
- Misuse of NICS
 - NICS can only be used to aid in issuing of firearms permits and/or to manage seized firearms
 - Any other use of NICS is misuse
- NICS Index submission requirements not being met
 - Records not validated
 - Inaccurate records
 - Incomplete records



- DOJ JCIS Training and Learning Center
 - CJIS Manuals
 - CJIS Security Policy V5.6
 - Terminal Agency Coordinator (TAC) & User Resources



- TAP team support and engagement continues beyond today's training:
 - Contact the Tribe's assigned Business Relationship Manager and cc: tribalaccess@usdoj.gov
 - Place the Tribe Name in the subject line of the email
- Additional audit webinars hosted by the TAP team:
 - NSOR
 - IT Security
 - N-DEx
 - NCIC
 - NIS (civil fingerprint)



- Training and reference materials can be found in the JCIS Training and Learning Portal
 - <https://nexttest.just.jmd.usdoj.gov/cjin/index.php>
- Contact your Tribe's assigned Business Relationship Manager (BRM) by email with questions
 - Cc: tribalaccess@usdoj.gov
 - Please include your Tribe's name in the subject line of the email
- Technical questions and inquiries should be sent to the Idemia Help Desk
 - For urgent requests, please call 800-734-6241
 - Routine requests can be sent by email to CSCenter@idemia.com
 - Cc: tribalaccess@usdoj.gov
 - Please include your Tribe's Name in the subject line of the email