

U.S. Department of Justice
Federal Bureau of Investigation
Criminal Justice Information Services Division



*National Instant Criminal Background
Check System (NICS) Operations*

2011

Our Mission

FBI

The mission of the FBI is to protect and defend the United States against terrorist and foreign intelligence threats, to uphold and enforce the criminal laws of the United States, and to provide leadership and criminal justice services to federal, state, municipal, and international agencies and partners.

Criminal Justice Information Services (CJIS) Division

The mission of the CJIS Division is to equip our law enforcement, national security, and intelligence community partners with the criminal justice information they need to protect the United States while preserving civil liberties.

NICS Section

The mission of the NICS Section is to enhance national security and public safety by providing the timely and accurate determination of a person's eligibility to possess firearms and/or explosives in accordance with federal law.

Executive Summary

The FBI Criminal Justice Information Services Division's National Instant Criminal Background Check System (NICS) Section has processed firearm background checks since November 30, 1998. Since that time, the experience gained enhances national security and public safety by identifying, developing, and implementing improvements in support of the NICS Section's mission. Striving to provide effective and efficient service to its customers, highlights of the NICS operations in 2011 include the following:

- From the inception of the NICS on November 30, 1998, to December 31, 2011, a total of 140,882,399 transactions have been processed. Of these, 67,155,452 transactions were processed by the NICS Section and 73,726,947 transactions were processed by state users. Of the 16,454,951 background checks processed through the NICS in 2011, a total of 6,875,625 transactions were processed by the NICS Section and 9,579,326 were processed by state users.
- From November 30, 1998, to December 31, 2011, the NICS Section has denied a total of 899,099 transactions. Denials issued by the NICS Section in 2011 totaled 78,211.
- The NICS Section processed 110,686 explosives transactions. Denials issued by the NICS Section in 2011 totaled 2,558.
- The NICS Section processed 1,071,459 firearms and explosives transactions via the Internet-based NICS E-Check. This number is approximately a 96.67 percent increase over the number of NICS E-Check transactions processed in 2010.
- The number of records maintained in the NICS Index, as of December 31, 2011, totaled 7,310,638, which is an increase of 868,100 records over December 31, 2010.
- The NICS Section achieved a 91.52 percent Immediate Determination Rate, surpassing the U.S. Attorney General-mandated goal of 90 percent or better.
- The NICS Section staff obtained approximately 45,700 final dispositions which were posted to criminal history records and disseminated over 34,260 dispositions to state agencies to assist in updating state records. As of December 31, 2011, the NICS Section staff had obtained approximately 782,000 record-completing dispositions.
- The Voluntary Appeal File (VAF) permits the NICS Section to maintain information about persons to document their eligibility to receive firearms. As of December 31, 2011, the VAF maintained approximately 19,932 entries with an active Unique Personal Identification Number (UPIN). From VAF program inception through December 31, 2011, over 39,000 background checks have been processed using a UPIN.
- The NICS availability averaged 99.87 percent.
- There were 3,166 firearm retrieval referrals forwarded to the Bureau of Alcohol, Tobacco, Firearms and Explosives by the NICS Section.

Table of Contents

FBI, CJIS Division, and NICS Section Mission Statements	i
Executive Summary	ii
Welcome to the NICS Section	1
2011 NICS Operations	
-NICS Participation.....	3
-NICS Availability	4
-Answer Speed	5
-Transfer Process Abandonment Rate	6
-Immediate Determination Rate.....	7
-Transactions Created in the NICS	8
-NICS E-Check	9
-NICS Peak Season	10
-Federal Prohibitors	11
-Federal Denials	12
-Firearm Retrieval Referrals	14
-NICS Appeals	14
-VAF	14
-Explosives Background Checks	15
-NICS Index	16
-Success and Outreach	18

Welcome to the NICS Section...

As a result of the passage of the Gun Control Act of 1968, certain individuals, such as convicted felons, were prohibited from possessing firearms. To strengthen federal firearms regulations, the Brady Handgun Violence Prevention Act of 1993 (Brady Act) required the U.S. Attorney General to establish the National Instant Criminal Background Check System (NICS) for Federal Firearms Licensees (FFL) to contact by telephone, or other electronic means, for information to be supplied immediately as to whether the transfer of a firearm would violate Section 922 (g) or (n) of Title 18, United States Code (U.S.C.), or state law.

The FBI developed the NICS through a cooperative effort with the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF); the Department of Justice (DOJ); and local and state law enforcement agencies. On November 30, 1998, the NICS, designed to immediately respond to background check inquiries for prospective firearm transferees, was activated. For an FFL to initiate a NICS check, the prospective firearms transferee must complete and sign an ATF Form 4473, Firearms Transaction Record. The ATF Form 4473, which collects the subject's name and descriptive data (e.g., date of birth, sex, race, state of residence, country of citizenship), also elicits information that may immediately indicate to an FFL the subject is a prohibited person, thereby negating the need to continue the processing of the background check. When an FFL initiates a NICS background check, a name and descriptor search is conducted to identify any matching records in three nationally held databases managed by the FBI Criminal Justice Information Services (CJIS) Division. The databases searched during the background check process are:

Interstate Identification Index (III): The III maintains subject criminal history records. As of December 31, 2011, the III records accessed and searched by the NICS during a background check numbered 61,302,482.

National Crime Information Center (NCIC): The NCIC contains data on persons who are the subjects of protection orders or active criminal warrants, immigration violators, and others. As of December 31, 2011, the NCIC records searched by the NICS during a background check numbered 4,985,463.

NICS Index: The NICS Index, a database created specifically for the NICS, collects and maintains information contributed by local, state, tribal, and federal agencies pertaining to persons federally prohibited from receiving or possessing a firearm. Typically, the records maintained in the NICS Index are not available via the III or the NCIC. As of December 31, 2011, there were 7,310,638 records in the NICS Index.

Department of Homeland Security's U.S. Immigration and Customs Enforcement (ICE): The relevant databases of the ICE are searched for non-U.S. citizens attempting to receive firearms in the United States. In 2011, the NICS Section and the Point-of-Contact (POC) states (states that have implemented a state-based NICS program) sent 81,669 such queries to the ICE. From February 2002 to December 31, 2011, ICE conducted over 369,145 queries for the NICS.

2011 NICS Operations

III

Criminal History
Records of
Individuals

In the majority of cases, the results of a background check yield definitive information regarding a subject's eligibility while the FFL is on the phone. However, not all inquiries can be provided a final status during the FFL's initial contact with the NICS Section. Many transactions are delayed because of incomplete criminal history records, e.g., a missing disposition or a missing crime classification status (felony or misdemeanor), which is needed to determine if a transaction may be proceeded or must be denied.

NCIC

~Wanted Persons
~Protection Orders
~Immigration
Violators
~U.S. Secret Service
Protection
~Foreign Fugitive
~Supervised Release
~Sexual Offenders
~Gang File
~Missing Persons
~Known or
Appropriately
Suspected Terrorists

Where a validly matched record is potentially prohibiting but is incomplete, the NICS Section must search for the information needed to complete the record. This process often requires outreach to local, state, tribal, and/or federal agencies (e.g., arresting agencies, court systems). The Brady Act allows the FFL to legally transfer the firearm if the NICS transaction is not resolved within three business days. In some instances, the potentially prohibiting records are completed and the NICS transactions are determined to be denials. The NICS Section notifies the FFL of the denial and determines if the firearm was transferred to the buyer. If it was transferred, the NICS Section transmits this information to the ATF for further handling as a firearm retrieval referral.

Individuals who believe they are wrongfully denied the transfer of a firearm can appeal the deny decision. The "denying agency" will be either the FBI or the state agency serving as a POC for the NICS Section. In the event the denying agency is a POC state agency, the appellant can elect to appeal to either the FBI or the POC.

NICS Index

Individuals
Predetermined as
Federally
Disqualified

The provisions for appeals are outlined in Title 28, Code of Federal Regulations (C.F.R.), Part 25.10, and Subsection 103(f) and (g) and Section 104 of Public Law 103-159, Sections 103 and 104.

The Safe Explosives Act, enacted in November 2002 as part of the Homeland Security Act, requires that persons who export, ship, cause to be transported, or receive explosives material in either intrastate or interstate commerce must first obtain a federal permit or license after undergoing a NICS background check. The Safe Explosives Act became effective on

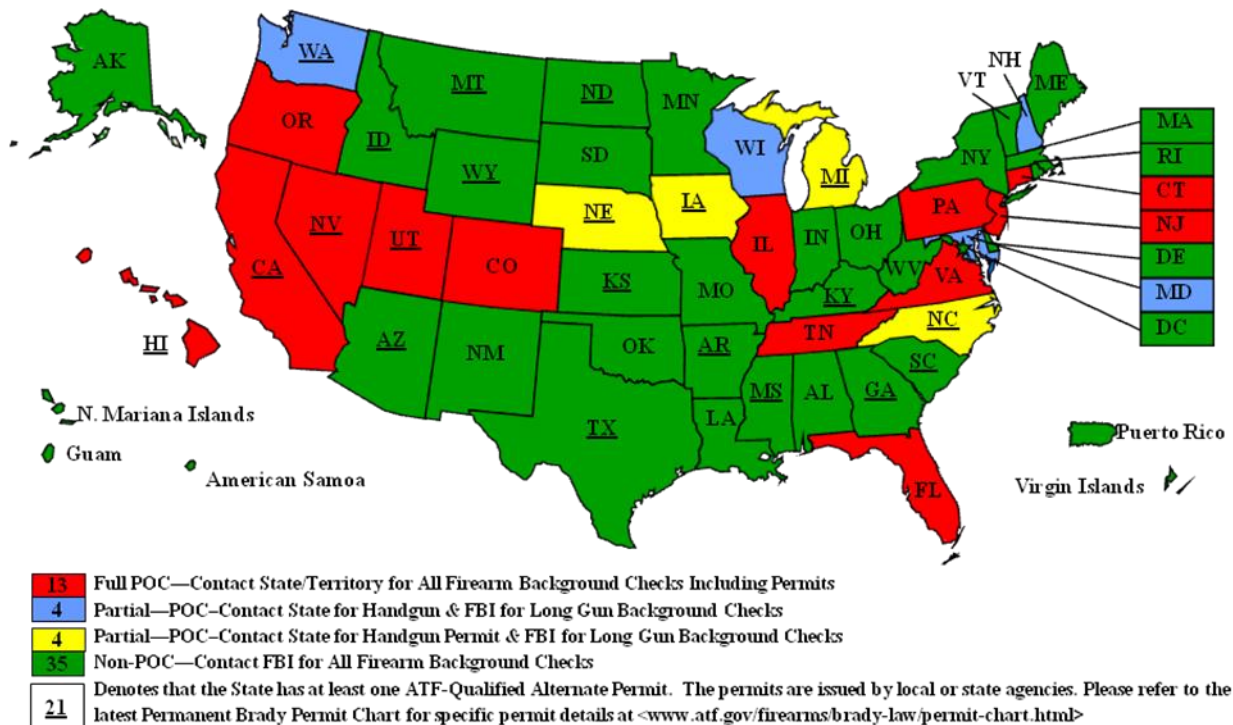
May 24, 2003. Background checks for explosives permits are initiated by the ATF; however, they are processed through the NICS by the NICS Section.

Extensive measures are taken to ensure the security and the integrity of NICS information. The U.S. Attorney General's regulations regarding the privacy and security of the NICS is available on the Internet at <www.fbi.gov/hq/cjisd/nics.htm>.

2011 NICS Operations

NICS Participation

Heading into 2012, the NICS Section provides service to 41,334 FFLs conducting business in 37 states, 5 U.S. territories, and the District of Columbia. The FFLs contact the NICS either telephonically or through the NICS E-Check via the Internet to initiate the required background checks. The majority of the calls from the FFLs are received and initially processed via one of the three NICS Contracted Call Centers. For 8 of the 37 states, the NICS Section processes all long gun transactions, while the states conduct their own background checks on handguns and handgun permits. Additionally, 13 states participate with the NICS in a Full-POC capacity by performing all background checks for their states' FFLs.

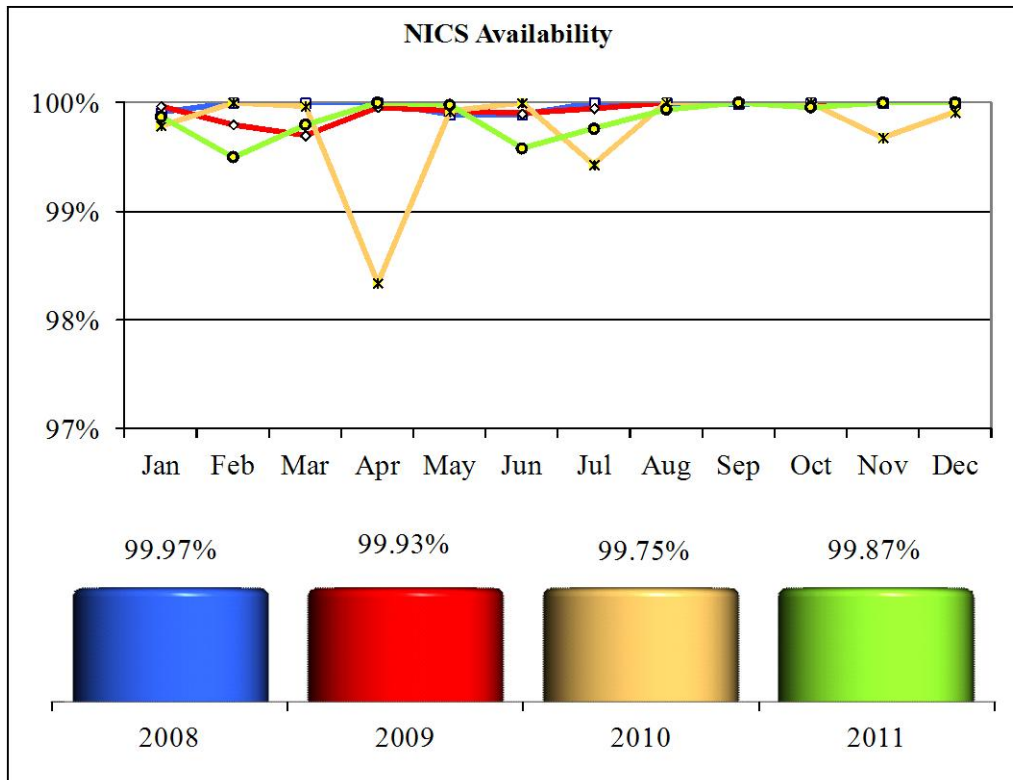


Alternate Permits

Certain state-issued firearms permits, such as carry concealed weapon permits and permits to purchase, may be qualified by the ATF as permits that suffice in lieu of a NICS background check at the point of sale/transfer. To qualify for an alternate permit, the applicant, in addition to meeting the conditions required by state law, must undergo a NICS background check as part of the permit-issuing/renewal process. The issuing state determines if the subject is eligible to receive a firearm permit, including those given alternate permit status by the ATF. An individual's presentation of an active alternate permit to an FFL when attempting to purchase a firearm precludes the need for the FFL to initiate the otherwise required NICS background check for the permit holder during the life of the permit. However, the renewal of an alternate permit requires a background check be conducted via the NICS as part of the permit renewal process. Permits that qualify in lieu of a NICS background check are required by regulation to be active for no more than a five-year period.

2011 NICS Operations

NICS Availability

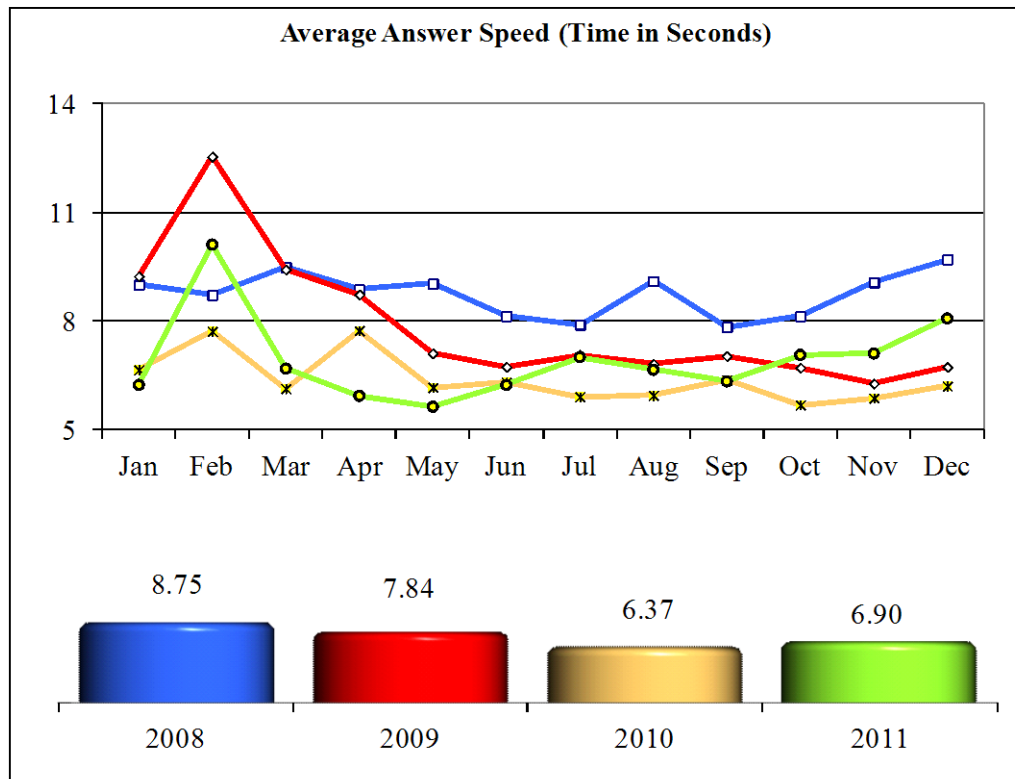


In order to operate as designed, the NICS is dependent on the availability of the NCIC and the III. The unavailability of either of these systems during the background check process can impact the performance of the NICS even though the NICS is fully operational. The NICS Section, with the ongoing assistance and technical support of the CJIS Division's Information Technology Management Section, works 24/7 to maximize the availability of the NICS in addition to the NCIC and the III.

For 7 of the 12 months in 2011, the NICS reported a 100 percent level of system availability. Factoring in the remaining 5 months of NICS service, the average system availability for the NICS in 2011 was 99.87 percent (see above chart).

2011 NICS Operations

Answer Speed

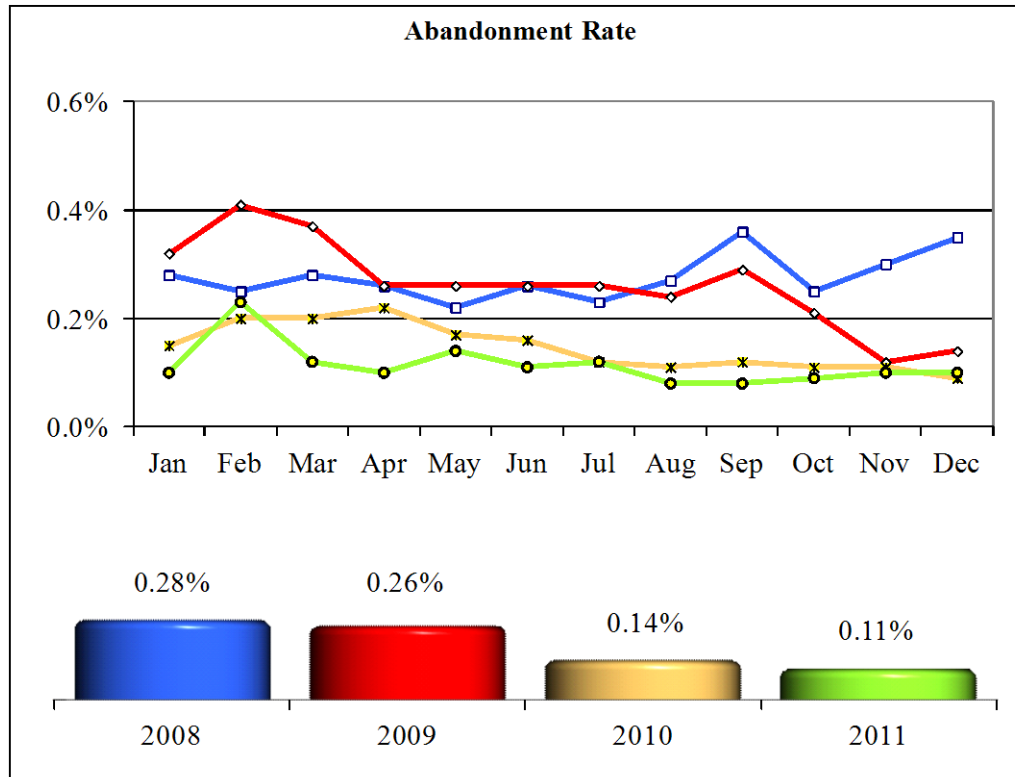


The FFLs serviced by the FBI connect with the NICS via one of the three NICS Contracted Call Centers. The customer service representatives at the NICS Contracted Call Centers enter the prospective firearm transferee's name and descriptive information provided by the FFL into the NICS to initiate the background check search. If no records are matched by the NICS, the NICS Contracted Call Center staff advises the FFL the transfer may proceed. If a background check search returns a match in any of the databases searched during the background check process, the FFL is placed on hold and the call is transferred to the NICS Section at the CJIS Division for review in an attempt to determine the subject's firearms eligibility status while the FFL is still on the telephone. With a continued focus on customer service, the NICS Section strives to address all calls transferred from the NICS Contracted Call Centers in an expeditious manner. Depending on various factors, such as the time of the day, week, or year, the demand placed upon the system and the resources of the NICS Section may all have a direct bearing on service levels.

Many types of call center operations have a target goal of answering 80 percent of calls within 20 seconds. However, the NICS Section's goal is to answer Transfer Process (firearm background check calls transferred from the NICS Contracted Call Center to the NICS Section's Legal Instruments Examiners) calls within 9 seconds. Based on historical data specific to transaction and call volumes, the NICS Section is able to forecast anticipated levels of staffing needed to effectively process incoming work. Accordingly, in 2011, the NICS Section's Transfer Process calls were answered on average in 6.90 seconds.

2011 NICS Operations

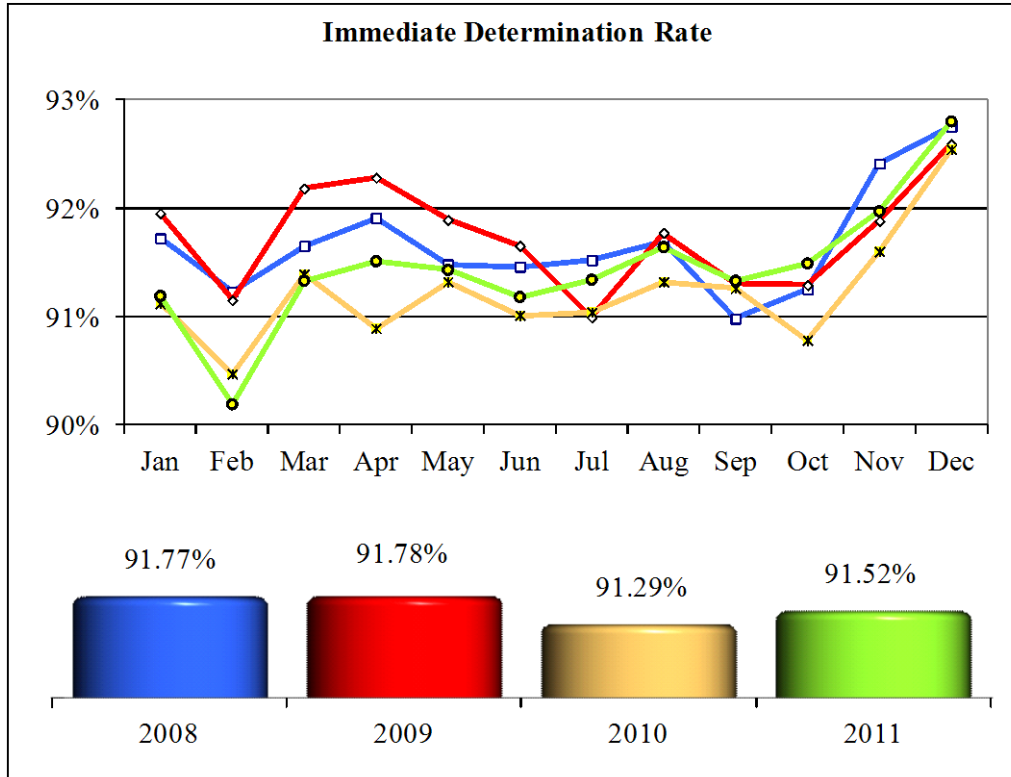
Transfer Process Abandonment Rate



As previously stated, the average time a caller waits for their call to be answered is 6.90 seconds. Depending on the level of incoming calls, the amount of time can fluctuate. As such, there are times when a caller will prematurely terminate or "abandon" a call. Many of the circumstances that prompt a caller to terminate a call are not within the control of the NICS Section. The NICS Section makes every effort to address each call as quickly as possible. Because all calls are valuable, the NICS Section endeavors to limit the level of abandoned calls to less than 1 percent. The NICS Section surpassed this goal and averaged a 0.11 percent abandonment rate in 2011.

2011 NICS Operations

Immediate Determination Rate (IDR)



The rate of calls immediately proceeded at the NICS Contracted Call Centers plus the rate of transaction determinations (proceed or deny) provided by the NICS Section's employees while the FFL is still on the telephone comprise the NICS IDR. The U.S. Attorney General requires the NICS Section to maintain a 90 percent or better rate of immediate determinations. The NICS IDR in 2011 averaged 91.52 percent.

2011 NICS Operations

Transactions Created in the NICS

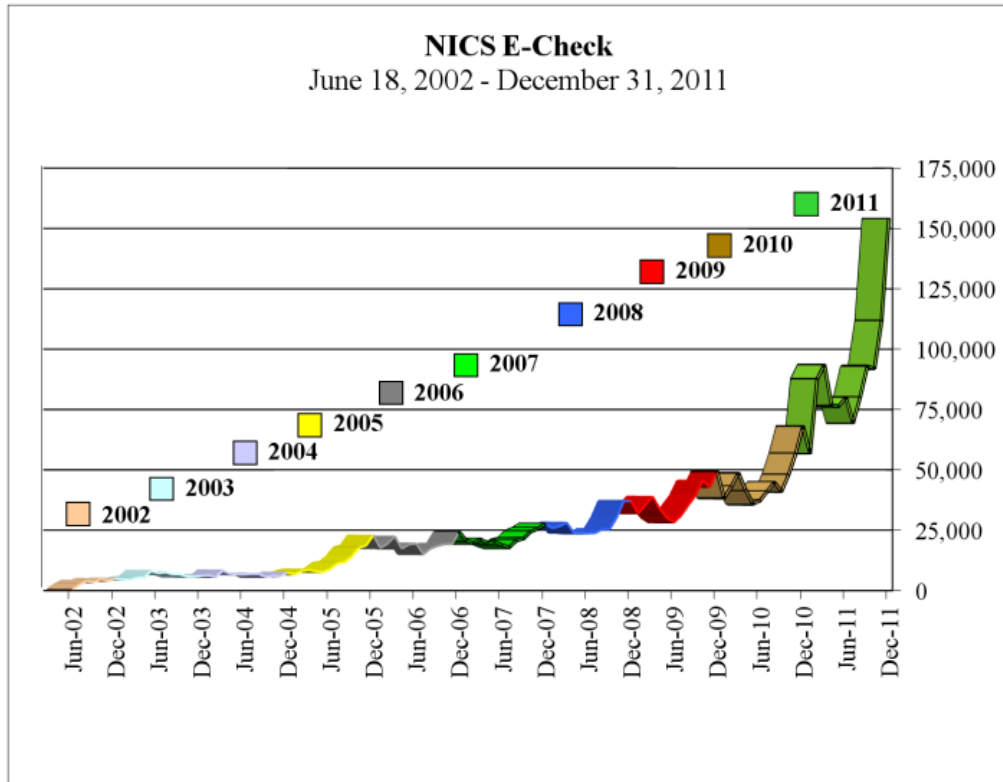
The NICS, from November 30, 1998, through December 31, 2011, has conducted a total of 140,882,399 background checks. In 2011, a total of 16,454,951 background checks were submitted to the NICS. Of these, a total of 6,875,625 transactions were processed by the NICS Section and the remaining 9,579,326 transactions were processed by state users.

Year	Federal	State	Total	Program-to-Date (PTD) Total
1998 ¹	506,554	386,286	892,840	892,840
1999	4,538,020	4,600,103	9,138,123	10,030,963
2000	4,260,270	4,282,767	8,543,037	18,574,000
2001	4,291,926	4,618,265	8,910,191	27,484,191
2002	4,248,893	4,205,429	8,454,322	35,938,513
2003	4,462,801	4,018,787	8,481,588	44,420,101
2004	4,685,018	4,002,653	8,687,671	53,107,772
2005	4,952,639	4,000,306	8,952,945	62,060,717
2006	5,262,752	4,774,181	10,036,933	72,097,650
2007	5,136,883	6,040,452	11,177,335	83,274,985
2008	5,813,249	6,895,774	12,709,023	95,984,008
2009	6,083,428	7,950,396	14,033,824	110,017,832
2010	6,037,394	8,372,222	14,409,616	124,427,448
2011	6,875,625	9,579,326	16,454,951	140,882,399
PTD Total	67,155,452	73,726,947	140,882,399	

¹ November 30, 1998, through December 31, 1998.

2011 NICS Operations

NICS E-Check

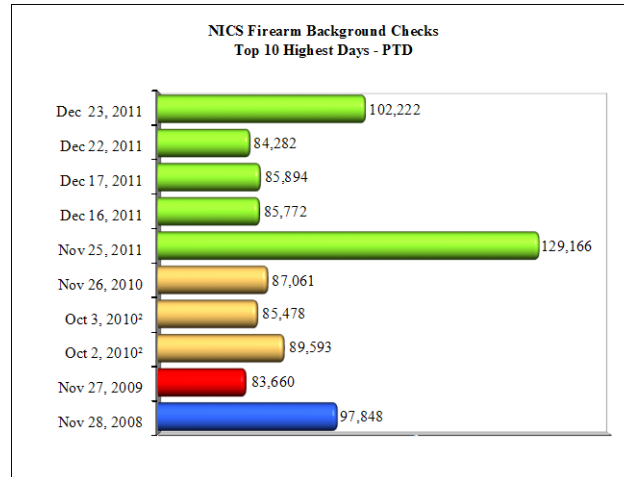


The FFLs serviced by the NICS Section contact the NICS via the NICS Contracted Call Centers or through the Internet via the NICS E-Check. The NICS E-Check uses Public Key Infrastructure technology and provides FFLs the capability of conducting unassisted background checks electronically through a secure connection.

As of December 31, 2011, the total number of FFLs enrolled with the NICS via the NICS E-Check was 3,212, and the number of users (FFLs and their employees) accessing the NICS E-Check was 3,766. As of December 31, 2011, a total of 3,201,751 firearms and explosives background checks were processed since June 18, 2002, via the NICS E-Check. A total of 1,071,459 NICS E-Check transactions were processed in 2011. Of the 2011 NICS E-Check transactions, 960,793 were firearms inquiries.

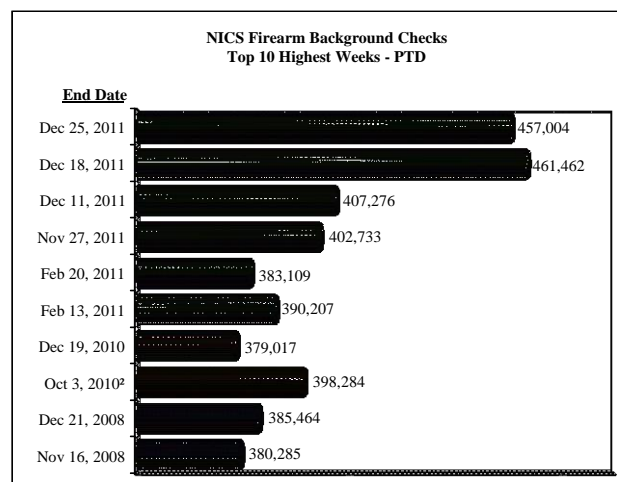
2011 NICS Operations

NICS Peak Season



The NICS Section observes an increase in transaction activity associated with major hunting seasons and year-end holidays. On November 25, 2011 (the day after Thanksgiving), the NICS experienced its highest volume in a single day since the inception of the NICS by processing 129,166 firearm background checks (see chart above). On December 23, 2011, the NICS processed 102,222 firearm background checks, making it the second highest day since NICS' inception (see chart above).

During the week of December 12-18, 2011, the NICS processed 461,462 firearm background checks, making it the highest week since the inception of the NICS (see chart below).



² On October 1-3, 2010, the NICS experienced a high number of background checks based on firearm permit background checks to handle revocations on a quarterly basis by a state. The state's goal of performing 240,000 firearm permit background checks created duplicates and/or multiple transactions causing the NICS statistics to be higher. The NICS Section worked with the state to determine the appropriate procedures to utilize with the NICS for future permit checks.

2011 NICS Operations

Federal Prohibitors

A deny decision indicates the prospective firearms transferee or another individual with a similar name and/or similar descriptive features was matched with either federally prohibiting criteria or state-prohibiting criteria. Federal law prohibits, from possessing or receiving a firearm, any person who:

18 U.S.C. §922 (g) (1)

Has been convicted in any court of a crime punishable by imprisonment for a term exceeding one year;

18 U.S.C. §922 (g) (2)

Is a fugitive from justice;

18 U.S.C. §922 (g) (3)

Is an unlawful user of or addicted to any controlled substance;

18 U.S.C. §922 (g) (4)

Has been adjudicated as a mental defective or committed to a mental institution;

18 U.S.C. §922 (g) (5)

Is illegally or unlawfully in the United States;

18 U.S.C. §922 (g) (6)

Has been discharged from the Armed Forces under dishonorable conditions;

18 U.S.C. §922 (g) (7)

Having been a citizen of the United States, has renounced U.S. citizenship;

18 U.S.C. §922 (g) (8)

Is subject to a court order that restrains the person from harassing, stalking, or threatening an intimate partner or child of such intimate partner;

18 U.S.C. §922 (g) (9)

Has been convicted in any court of a misdemeanor crime of domestic violence;

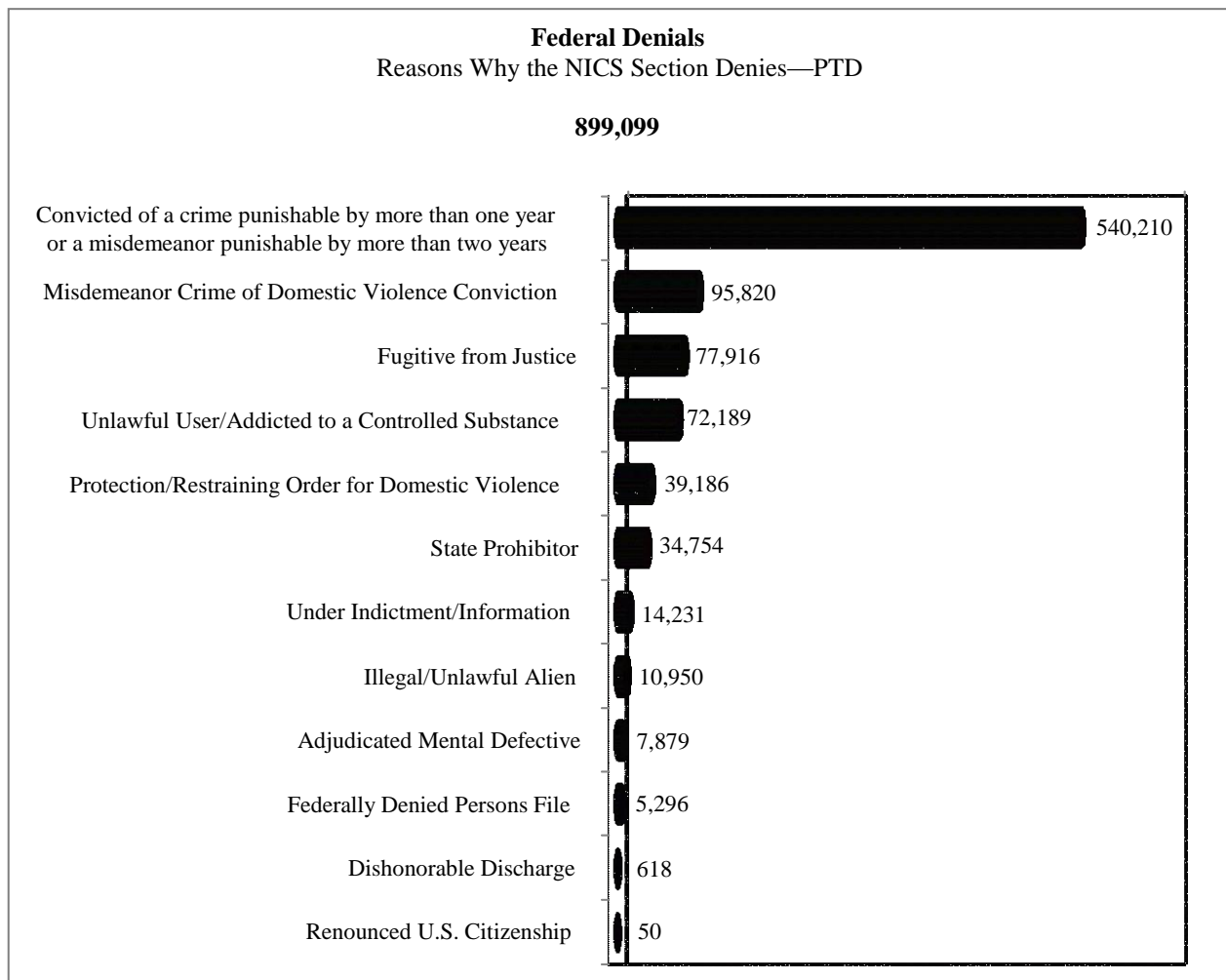
18 U.S.C. §922 (n)

Is under indictment/information for a crime punishable by imprisonment for a term exceeding one year.

2011 NICS Operations

Federal Denials

When a NICS background check matches a record holder to the prospective firearms transferee, the NICS Section determines if a federal prohibitor exists; however, if a federal prohibitor does not exist, the NICS Section employee processing the background check must further review the record match(es) to determine if any applicable state law renders the prospective firearms transferee prohibited. From the inception of the NICS on November 30, 1998, through December 31, 2011, the NICS Section has rendered 899,099 firearms denials. Of these, 78,211 denial decisions were provided in 2011. Historically, as well as specifically in 2011, convictions for crimes punishable by more than one year or a misdemeanor punishable by more than two years is the leading reason for NICS Section denials.

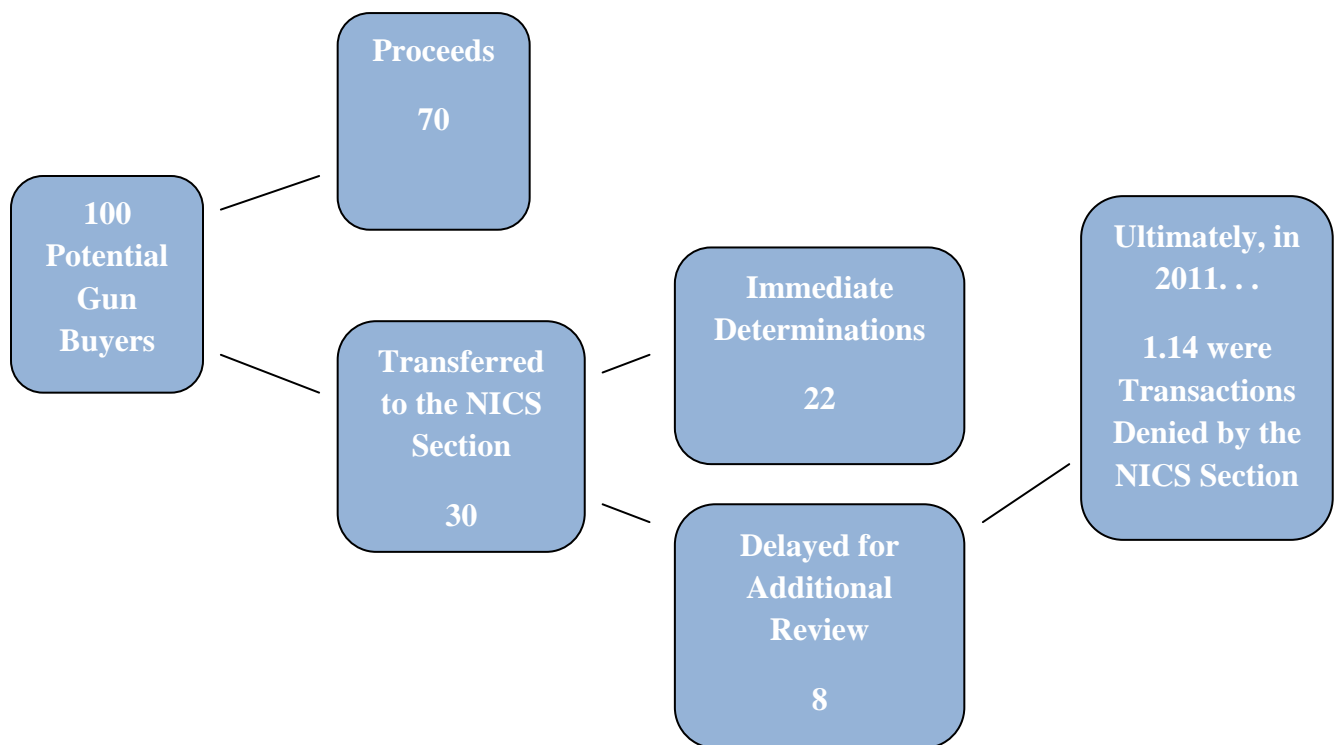


2011 NICS Operations

Out of a Hundred Checks

Pursuant to 28 C.F.R., §25.6, based on the information returned in response to a NICS background check, the NICS Section provides either a proceed, a deny, or a delay transaction determination to the FFL. If the NICS Section cannot determine a proceed or a deny response during the FFL's initial contact, the transaction is delayed. From January 1 through December 31, 2011, approximately 8 percent of all transactions processed were given an initial delay status.

When a NICS transaction is delayed, the Brady Act allows the FFL to legally transfer the firearm if the NICS transaction is not resolved within three business days. However, the NICS Section continues to search for the information necessary to make a final determination until the transaction purges after 88 days.



2011 NICS Operations

Firearm Retrieval Referrals

Because of the NICS Section's commitment to public safety and national security, the search for the needed disposition information continues beyond the three business days allowed by the Brady Act. In some instances, the information is subsequently obtained and a final status determined; however, if the final status (determined after the lapse of three business days) results in a deny decision and the NICS Section is advised by the FFL that the firearm was transferred, then the ATF is notified a prohibited person is in possession of a firearm. In 2011, the NICS Section referred 3,166 firearm retrieval actions to the ATF.

NICS Appeals and Voluntary Appeal File (VAF)

In 2011, approximately 1.14 percent of the firearm background checks processed by the NICS Section received a final transaction status of deny. Pursuant to the Brady Act, any person who believes they were wrongfully denied the transfer of a firearm, based on a record returned in response to a NICS background check, can request an appeal of the decision. An appeal is defined as "a formal procedure to challenge the denial of a firearm transfer." Pursuant to 28 C.F.R., §25.2--"an individual may request the reason for the denial from the agency that conducted the check of the NICS (the 'denying agency,' which will be either the FBI or the state or local law enforcement agency serving as a POC)." In the alternative, per 28 C.F.R., §25.2, an individual denied by a POC state can elect to submit an appeal to the NICS Section.

Some records used to determine if an individual is eligible to possess or receive a firearm are not complete or up-to-date. As a result, eligible firearm transferees may be subject to lengthy delays or receive erroneous denials even after the completion of a successful appeal. Often, the record-completing information located by NICS Section employees cannot be used to update a criminal history record or an appellant's fingerprints confirm they are not the subject of the prohibiting record initially matched to the received name and descriptors.

The NICS Section processes VAF applications and appeal requests in the order they are received. In 2011, the NICS Section received a total of 17,203 VAF applications and appeal requests. Of those, a total of 1,617 received were submitted by persons denied by POC state agencies. In 2011, the NICS Section's research resulted in the overturn of 3,236 deny transactions.

The primary reason for the overturned deny decisions in 2011 was the appellant's fingerprints not matching the fingerprints of the subject of the firearms-disqualifying record. Another chief reason deny decisions are overturned on appeal pertain to criminal history records that do not contain current and accurate information.

The NICS Section established and implemented the Appeal and VAF Web site in February 2011. By accessing the Web address <www.fbi.gov/nics-appeals>, appellants can electronically begin appealing the reason they were delayed or denied the right to possess or receive a firearm. Additionally, by choosing the option of delay, an applicant can begin the application process for the VAF.

In cases where the matches are refuted by fingerprints, the subject's deny decision may be overturned and the transaction proceeded. However, because the NICS is required to purge all

2011 NICS Operations

identifying information regarding proceed transactions within 24 hours of notification to the FFL, in many instances the process must be repeated when the same transferee attempts subsequent firearm purchases and is again matched to the same prohibiting record.

The VAF was implemented in July 2004 to prevent subsequent delays and erroneous denials. Lawful purchasers who have been delayed or denied a firearm transfer may ask the NICS Section to maintain information about them to facilitate future firearms transactions. All applicants approved for entry into the VAF receive a Unique Personal Identification Number (UPIN) which must be provided to the FFL during subsequent firearm background checks. The VAF is checked by the NICS during the background check process only when a UPIN is provided by the FFL. A total of 19,932 lawful firearm transferees received a UPIN and were entered into the VAF since July 2004.

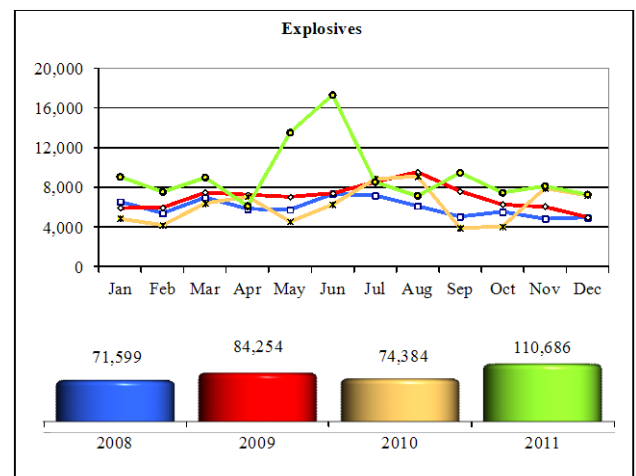
Because of the availability of the VAF, over 39,461 transactions have received an immediate background check determination and expedited the mission of the NICS Section.

Explosives Background Checks

The Safe Explosives Act requires a NICS background check as part of the licensing process for any person who transports, ships, causes to be transported, or receives explosives materials in either intrastate or interstate commerce. There are three categories of explosives licenses: responsible persons, employee possessors, and limited permit.

All ATF explosives permit applicants are required to undergo a NICS background check. The Responsible Persons background checks are processed by the NICS Section after the results of fingerprint identification processing have been completed and forwarded by the CJIS Division's Biometric Services Section. All explosives background check results are forwarded to the ATF. The ATF makes the determination as to a subject's eligibility to receive an explosives permit. The Employee Possessor background checks are submitted by the ATF directly, via the NICS E-Check, for processing by the NICS Section.

Since the first explosives background check in 2003, and through December 31, 2011, the NICS Section has processed a total of 590,409 explosives background checks. Of these, the NICS Section processed 110,686 explosives background checks in 2011. Of the explosives background checks processed by the NICS Section in 2011, a total of 2,558 were denied.



2011 NICS Operations

NICS Index

When a NICS background check is conducted, the name and descriptive information of a prospective firearms transferee is searched against the name and descriptive information of subjects of records maintained in the databases searched by the NICS. In addition to the NCIC and the III, a search of the NICS Index is conducted. The NICS Index is a system of records developed by the FBI exclusively for the NICS that collects and maintains records voluntarily submitted by local, state, tribal, and federal agencies of persons who are federally prohibited. Typically, the records submitted to the NICS Index are not available from the NCIC or the III, or may be available but cannot be updated in a manner to readily indicate to a user the existence of a federal firearms prohibition. Making such records available via the NICS Index provides the user with an immediate indication the record, when matched to the prospective firearm transferee, has already been validated to be federally disqualifying. This "pre-validation," in turn, often eliminates an otherwise lengthy review process where research and evaluation are performed to determine if the record is prohibiting and, ultimately, if the subject is eligible to receive or possess firearms.

Since its implementation, the NICS Section has dedicated numerous resources toward populating the NICS Index, specifically by:

- training and educating users of the NICS;
- participating and interacting at various conferences and seminars;
- establishing NICS Liaison Specialists within the NICS Section who, being knowledgeable regarding the NICS processes, are available to provide real-time assistance;
- offering legal services and guidance for states in pursuance of making mental health information available to the NICS; and
- offering technical guidance and support.

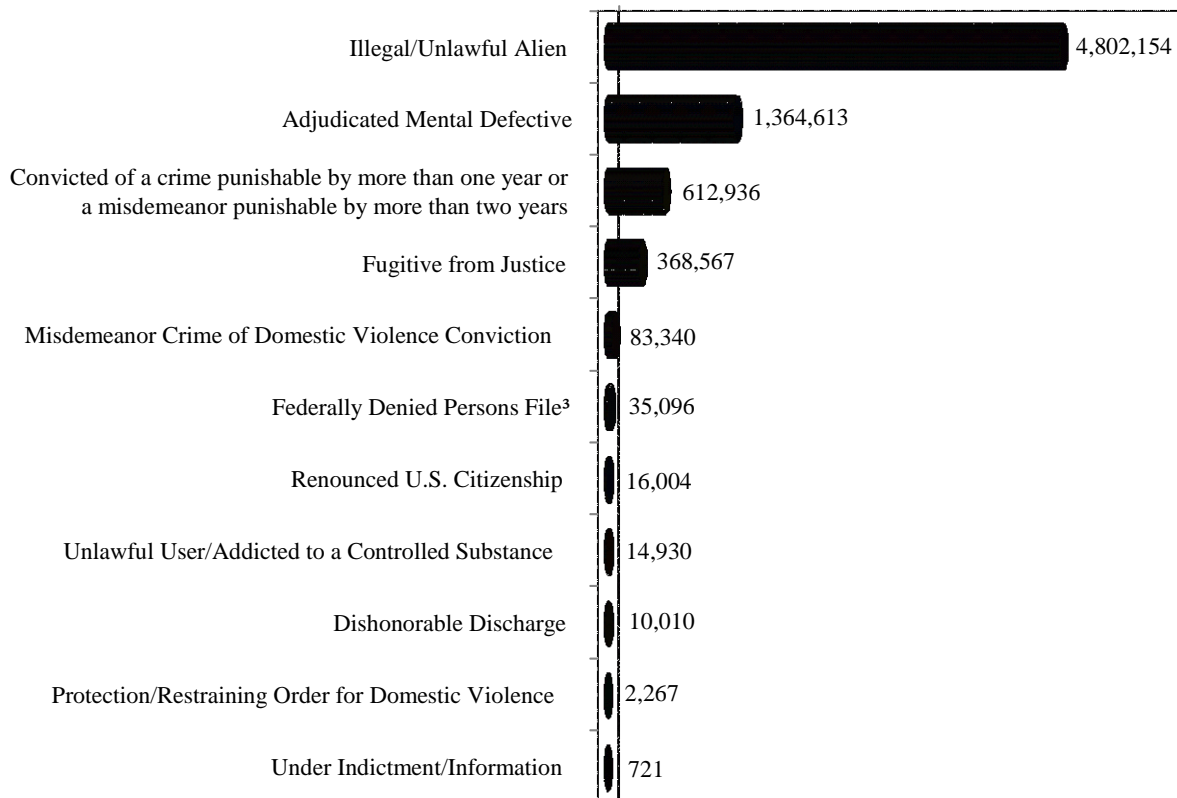
2011 NICS Operations

Active Records in the NICS Index

Advocating the value of making federally-prohibiting records available at the national level has been a continuing goal of the NICS Section. In 2011, the number of records submitted to the NICS Index by NICS Section employees and local, state, tribal, and federal agencies increased to an average of over 72,000 per month from the 62,000 per month in 2010. As of December 31, 2011, a total of 7,310,638 records were maintained in the NICS Index, an increase of 868,100 records since December 31, 2010.

Total Active Records in the NICS Index

7,310,638



³ The Federally Denied Persons File is compiled of individuals that are predetermined to have firearm prohibitions without listing the specific category.

2011 NICS Operations

Success and Outreach

To assure the long-term growth and viability of the NICS, the staff and management of the NICS Section believe strategic planning is a key to success. The NICS Section places great emphasis not only on current goals but also on planning for the future. Several technical builds were added to the NICS to enhance performance usage for the NICS Section's staff and POC states that perform background checks via the system.

The NICS Section has an outreach initiative to connect with local, state, tribal, and federal agencies regarding the public safety value of sharing criminal history and related records with the NICS. The NICS Section enhances public safety and national security through information sharing and continues to foster a proactive role regarding the submission of record information to the CJIS systems searched during a NICS background check. The NICS Section emphasizes the importance of making record information, such as complete criminal history records and prohibiting mental health adjudications, available on a national level, as well as spotlighting the NICS Improvement Amendments Act of 2007 (NIAA).

To accomplish the aforementioned, the NICS Section supports a multifaceted outreach program. The NICS Section fosters working relationships with various agencies to eliminate the barriers impeding the availability of information at a national level. The following information outlines some of the highlights of the NICS Section's commitment to this endeavor:

- As an ongoing initiative to implement the NIAA, the NICS Section presented information to various agencies throughout 2011. Numerous meetings were coordinated to fulfill NIAA requirements.
- On May 9-13, 2011, the NICS Section hosted its annual NICS User Conference in Dallas, Texas. With 110 persons from local, state, and federal agencies in attendance, the NICS User Conference provided educational, informational, and interactive sessions covering a multitude of topics such as the federal firearm prohibitors, the NICS Index, and the NIAA.

The NICS Section also provided guidance and support to NICS users and partners, in addition to various agencies through other means such as:

- offering its operational expertise to local, state, tribal, and federal agencies;
- offering technological guidance regarding system and connectivity matters; and
- providing information to support the sharing of information in a variety of ways, for example:
 - the Internet;
 - training Webcasts via the Internet;
 - the NICS User Conference;
 - attending conferences and meetings; and
 - publishing brochures and reports.

2011 NICS Operations

Outreach efforts also provided the NICS Section with opportunities to enhance and strengthen relationships with external agencies, broadening the furtherance of public safety, such as with the National Rifle Association, the National Shooting Sports Foundation, and the Brady Campaign to Prevent Gun Violence.

As outreach usually includes an educational element, the NICS Section offers continual support to local, state, tribal, and federal agencies by offering a myriad of training opportunities. The NICS Section identifies, develops, and provides various training and information-sharing regimens to NICS users and numerous law enforcement, judicial, and criminal justice agencies when requested.

The NICS Section offers a catalogue of comprehensive training services specific to topics such as the firearm background check and related processes, the Brady Act, the interpretation and application of federal prohibiting criteria, and the NICS appeal process. In 2011, the NICS Section traveled to 19 states and provided 75 training sessions to over 1,350 professionals, such as judges, court clerks, law enforcement officers, state terminal agency controllers, program technicians, Federal Agents, training instructors, auditing personnel, and sheriffs.

As a result of the information-sharing commitment of the NICS Section and the cooperation of numerous local, state, tribal, and federal agencies, over 782,000 dispositions obtained by the NICS Section employees have been posted to criminal history records since NICS began. Of these, approximately 45,700 dispositions were obtained in 2011.

Additionally, a program total of 151,885 dispositions obtained by NICS Section employees were shared with the states to assist with records maintenance at the state level. Of these, over 34,260 dispositions were obtained in 2011.