110TH CONGRESS 1ST SESSION

H. R. 297

To improve the National Instant Criminal Background Check System, and for other purposes.

IN THE HOUSE OF REPRESENTATIVES

January 5, 2007

Mrs. McCarthy of New York (for herself and Mr. Dingell) introduced the following bill; which was referred to the Committee on the Judiciary

A BILL

To improve the National Instant Criminal Background Check System, and for other purposes.

- 1 Be it enacted by the Senate and House of Representa-
- 2 tives of the United States of America in Congress assembled,
- 3 SECTION 1. SHORT TITLE; TABLE OF CONTENTS.
- 4 (a) Short Title.—This Act may be cited as the
- 5 "NICS Improvement Act of 2007".
- 6 (b) Table of Contents for
- 7 this Act is as follows:
 - Sec. 1. Short title; table of contents.
 - Sec. 2. Findings.
 - Sec. 3. Definitions.

TITLE I—TRANSMITTAL OF RECORDS

- Sec. 101. Enhancement of requirement that Federal departments and agencies provide relevant information to the National Instant Criminal Background Check System.
- Sec. 102. Requirements to obtain waiver.
- Sec. 103. Implementation assistance to States.
- Sec. 104. Penalties for noncompliance.

TITLE II—FOCUSING FEDERAL ASSISTANCE ON THE IMPROVEMENT OF RELEVANT RECORDS

Sec. 201. Continuing evaluations.

TITLE III—GRANTS TO STATE COURT SYSTEMS FOR THE IMPROVEMENT IN AUTOMATION AND TRANSMITTAL OF DISPOSITION RECORDS

Sec. 301. Disposition records automation and transmittal improvement grants.

TITLE IV—GAO AUDIT

Sec. 401. GAO audit.

l SEC. 2. FINDINGS.

- 2 Congress finds the following:
- 3 (1) Approximately 916,000 individuals were
- 4 prohibited from purchasing a firearm for failing a
- 5 background check between November 30, 1998, (the
- 6 date the National Instant Criminal Background
- 7 Check System (NICS) began operating) and Decem-
- 8 ber 31, 2004.
- 9 (2) From November 30, 1998, through Decem-
- 10 ber 31, 2004, nearly 49,000,000 Brady background
- 11 checks were processed through NICS.
- 12 (3) Although most Brady background checks
- are processed through NICS in seconds, many back-
- ground checks are delayed if the Federal Bureau of
- 15 Investigation (FBI) does not have automated access
- to complete information from the States concerning

1	persons prohibited from possessing or receiving a
2	firearm under Federal or State law.
3	(4) Nearly 21,000,000 criminal records are not
4	accessible by NICS and millions of criminal records
5	are missing critical data, such as arrest dispositions,
6	due to data backlogs.
7	(5) The primary cause of delay in NICS back-
8	ground checks is the lack of—
9	(A) updates and available State criminal
10	disposition records; and
11	(B) automated access to information con-
12	cerning persons prohibited from possessing or
13	receiving a firearm because of mental illness,
14	restraining orders, or misdemeanor convictions
15	for domestic violence.
16	(6) Automated access to this information can
17	be improved by—
18	(A) computerizing information relating to
19	criminal history, criminal dispositions, mental
20	illness, restraining orders, and misdemeanor
21	convictions for domestic violence; or
22	(B) making such information available to
23	NICS in a usable format.
24	(7) Helping States to automate these records
25	will reduce delays for law-abiding gun purchasers.

1	(8) On March 12, 2002, the senseless shooting,
2	which took the lives of a priest and a parishioner at
3	the Our Lady of Peace Church in Lynbrook, New
4	York, brought attention to the need to improve in-
5	formation-sharing that would enable Federal and
6	State law enforcement agencies to conduct a com-
7	plete background check on a potential firearm pur-
8	chaser. The man who committed this double murder
9	had a prior disqualifying mental health commitment
10	and a restraining order against him, but passed a
11	Brady background check because NICS did not have
12	the necessary information to determine that he was
13	ineligible to purchase a firearm under Federal or
14	State law.
15	SEC. 3. DEFINITIONS.
16	As used in this Act, the following definitions shall
17	apply:
18	(1) COURT ORDER.—The term "court order"
19	includes—
20	(A) a court order (as described in section
21	922(g)(8) of title 18, United States Code); and
22	(B) a protection order (as defined in sec-
23	tion 2266(5) of title 18, United States Code).
24	(2) Mental Health Terms.—The terms "ad-
25	judicated as a mental defective", "committed to a

1	mental institution", and related terms have the
2	meanings given those terms in regulations imple-
3	menting section 922(g)(4) of title 18, United States
4	Code, as in effect on the date of the enactment of
5	this Act.
6	(3) Misdemeanor crime of domestic vio-
7	LENCE.—The term "misdemeanor crime of domestic
8	violence"—
9	(A) has the meaning given the term in sec-
10	tion 921(a)(33) of title 18, United States Code;
11	(B) includes any Federal, State, or local
12	offense that—
13	(i) is a misdemeanor under Federal,
14	State, local, or tribal law or, in a State
15	that does not classify offenses as mis-
16	demeanors, is an offense punishable by im-
17	prisonment for a term of 1 year or less or
18	punishable only by a fine regardless of
19	whether or not the State statute specifi-
20	cally defines the offense as a crime of do-
21	mestic violence;
22	(ii) has, as an element of the offense,
23	the use or attempted use of physical force,
24	such as assault and battery, or the threat-
25	ened use of a deadly weapon; and

1	(iii) was committed by a current or
2	former spouse, parent, or guardian of the
3	victim, by a person with whom the victim
4	shares a child in common, by a person who
5	is cohabiting with or has cohabited with
6	the victim as a spouse, parent, or guard-
7	ian, or a person similarly situated to a
8	spouse, parent, or guardian of the victim;
9	and
10	(C) does not include a crime described
11	under subparagraph (A) if—
12	(i) the person was not convicted by
13	the jurisdiction in which the proceeding
14	was held;
15	(ii) the person was not represented by
16	counsel in the case and did not knowingly
17	or intelligently waive the right to counsel
18	in the case;
19	(iii) in the case of a prosecution for
20	which a person was entitled to a jury trial
21	in the jurisdiction in which the case was
22	tried—
23	(I) the case was not tried by a
24	jury; and

1	(II) the person did not knowingly
2	or intelligently waive the right to have
3	the case tried by a jury, by guilty
4	plea, or otherwise; or
5	(iv) the conviction has been expunged
6	or set aside, or is an offense for which the
7	person has been pardoned or has had civil
8	rights restored unless—
9	(I) the pardon, expungement, or
10	restoration of civil rights expressly
11	provides that the person may not ship,
12	transport, possess, or receive firearms;
13	or
14	(II) the person is otherwise pro-
15	hibited by the law of the jurisdiction
16	in which the proceedings were held
17	from receiving or possessing any fire-
18	arms.

1	TITLE I—TRANSMITTAL OF
2	RECORDS
3	SEC. 101. ENHANCEMENT OF REQUIREMENT THAT FED-
4	ERAL DEPARTMENTS AND AGENCIES PRO-
5	VIDE RELEVANT INFORMATION TO THE NA-
6	TIONAL INSTANT CRIMINAL BACKGROUND
7	CHECK SYSTEM.
8	(a) In General.—Section 103(e)(1) of the Brady
9	Handgun Violence Prevention Act (18 U.S.C. 922 note)
10	is amended—
11	(1) by striking "Notwithstanding" and insert-
12	ing the following:
13	"(A) In general.—Notwithstanding";
14	(2) by striking "On request" and inserting the
15	following:
16	"(B) Request of attorney general.—
17	On request";
18	(3) by striking "furnish such information" and
19	inserting "furnish electronic versions of the informa-
20	tion described under subparagraph (A)"; and
21	(4) by adding at the end the following:
22	"(C) Quarterly submission to attor-
23	NEY GENERAL.—If a department or agency
24	under subparagraph (A) has any record of any
25	person demonstrating that the person falls

1	within one of the categories described in sub
2	section (g) or (n) of section 922 of title 18
3	United States Code, the head of such depart
4	ment or agency shall, not less frequently than
5	quarterly, provide the pertinent information
6	contained in such record to the Attorney Gen
7	eral.
8	"(D) Information updates.—The agen
9	cy, on being made aware that the basis under
10	which a record was made available under sub
11	paragraph (A) does not apply, or no longer ap
12	plies, shall—
13	"(i) update, correct, modify, or re
14	move the record from any database that
15	the agency maintains and makes available
16	to the Attorney General, in accordance
17	with the rules pertaining to that database
18	or
19	"(ii) notify the Attorney General that
20	such basis no longer applies so that the
21	National Instant Criminal Background
22	Check System is kept up to date.
23	"(E) Annual report.—The Attorney
24	General shall submit an annual report to Con

gress that describes the compliance of each de-

1	partment or agency with the provisions of this
2	paragraph.".
3	(b) Provision and Maintenance of NICS
4	Records.—
5	(1) Department of Homeland Security.—
6	The Secretary of Homeland Security shall make
7	available to the Attorney General—
8	(A) records, updated not less than quar-
9	terly, which are relevant to a determination of
10	whether a person is disqualified from possessing
11	or receiving a firearm under subsection (g) or
12	(n) of section 922 of title 18, United States
13	Code, for use in background checks performed
14	by the National Instant Criminal Background
15	Check System; and
16	(B) information regarding all the persons
17	described in subparagraph (A) of this para-
18	graph who have changed their status to a cat-
19	egory not identified under section 922(g)(5) of
20	title 18, United States Code, for removal, when
21	applicable, from the National Instant Criminal
22	Background Check System.
23	(2) Department of Justice.—The Attorney
24	General shall—

1	(A) ensure that any information submitted
2	to, or maintained by, the Attorney General
3	under this section is kept accurate and con-
4	fidential, as required by the laws, regulations,
5	policies, or procedures governing the applicable
6	record system;
7	(B) provide for the timely removal and de-
8	struction of obsolete and erroneous names and
9	information from the National Instant Criminal
10	Background Check System; and
11	(C) work with States to encourage the de-
12	velopment of computer systems, which would
13	permit electronic notification to the Attorney
14	General when—
15	(i) a court order has been issued, lift-
16	ed, or otherwise removed by order of the
17	court; or
18	(ii) a person has been adjudicated as
19	mentally defective or committed to a men-
20	tal institution.
21	SEC. 102. REQUIREMENTS TO OBTAIN WAIVER.
22	(a) In General.—Beginning 3 years after the date
23	of enactment of this Act, a State shall be eligible to receive
24	a waiver of the 10 percent matching requirement for Na-
25	tional Criminal History Improvement Grants under the

1	Crime Identification Technology Act of 1988 (42 U.S.C
2	14601) if the State provides at least 90 percent of the
3	information described in subsection (c). The length of such
4	a waiver shall not exceed 2 years.
5	(b) State Estimates.—
6	(1) In general.—To assist the Attorney General
7	eral in making a determination under subsection (a)
8	of this section, and under section 104, concerning
9	the compliance of the States in providing informa-
10	tion to the Attorney General for the purpose of re-
11	ceiving a waiver under subsection (a) of this section
12	or facing a loss of funds under section 104, each
13	State shall provide the Attorney General with a rea-
14	sonable estimate, as calculated by a method deter-
15	mined by the Attorney General, of the number of—
16	(A) criminal history records for mis-
17	demeanors and felonies;
18	(B) State criminal history records with dis-
19	position information;
20	(C) active court orders in the State; and
21	(D) State records of persons adjudicated
22	mentally defective or committed to a mental in-
23	stitution.
24	(2) Scope.—The Attorney General, in deter-
25	mining the compliance of a State under this section

or section 104 of this Act for the purpose of granting a waiver or imposing a loss of Federal funds,
shall assess the total percentage of records provided
by the State concerning any event occurring within
the prior 30 years, which would disqualify a person
from possessing a firearm under subsection (g) or
(n) of section 922 of title 18, United States Code.

- (3) CLARIFICATION.—Notwithstanding paragraph (2), States shall endeavor to provide the National Instant Criminal Background Check System with all records concerning persons who are prohibited from possessing or receiving a firearm under subsection (g) or (n) of section 922 of title 18, United States Code, regardless of the elapsed time since the disqualifying event.
- 16 (c) Eligibility of State Records for Submis-17 sion to the National Instant Criminal Back-18 ground Check System.—

(1) REQUIREMENTS FOR ELIGIBILITY.—

(A) IN GENERAL.—From information collected by a State, the State shall make electronically available to the Attorney General records relevant to a determination of whether a person is disqualified from possessing or receiving a firearm under subsection (g) or (n) of

1	section 922 of title 18, United States Code, or
2	applicable State law.
3	(B) NICS UPDATES.—The State, on being
4	made aware that the basis under which a record
5	was made available under subparagraph (A)
6	does not apply, or no longer applies, shall, as
7	soon as practicable—
8	(i) update, correct, modify, or remove
9	the record from any database that the
10	Federal or State government maintains
11	and makes available to the National In-
12	stant Criminal Background Check System,
13	consistent with the rules pertaining to that
14	database; or
15	(ii) notify the Attorney General that
16	such basis no longer applies so that the
17	record system in which the record is main-
18	tained is kept up to date.
19	(C) CERTIFICATION.—To remain eligible
20	for a waiver under subsection (a), a State shall
21	certify to the Attorney General, not less than
22	once during each 2-year period, that at least 90
23	percent of all information described in subpara-

graph (A) has been made electronically avail-

- able to the Attorney General in accordance with subparagraph (A).
 - (D) Inclusion of all records.—The State shall make every effort to identify and include all of the records described under subparagraph (A) without regard to the age of the record.
 - (2) APPLICATION TO PERSONS CONVICTED OF MISDEMEANOR CRIMES OF DOMESTIC VIOLENCE.—
 The State shall make available to the Attorney General, for use by the National Instant Criminal Background Check System, records relevant to a determination of whether a person has been convicted in any court of a misdemeanor crime of domestic violence. With respect to records relating to such crimes, the State shall provide information specifically describing the offense and the specific section or subsection of the offense for which the defendant has been convicted and the relationship of the defendant to the victim in each case.
 - (3) APPLICATION TO PERSONS WHO HAVE BEEN ADJUDICATED AS A MENTAL DEFECTIVE OR COMMITTED TO A MENTAL INSTITUTION.—The State shall make available to the Attorney General, for use by the National Instant Criminal Background Check

- 1 System, the name and other relevant identifying in-
- 2 formation of persons adjudicated as mentally defec-
- 3 tive or those committed to mental institutions to as-
- 4 sist the Attorney General in enforcing section
- 5 922(g)(4) of title 18, United States Code.
- 6 (d) Privacy Protections.—For any information
- 7 provided to the Attorney General for use by the National
- 8 Instant Criminal Background Check System, relating to
- 9 persons prohibited from possessing or receiving a firearm
- 10 under section 922(g)(4) of title 18, United States Code,
- 11 the Attorney General shall work with States and local law
- 12 enforcement and the mental health community to establish
- 13 regulations and protocols for protecting the privacy of in-
- 14 formation provided to the system. The Attorney General
- 15 shall make every effort to meet with any mental health
- 16 group seeking to express its views concerning these regula-
- 17 tions and protocols and shall seek to develop regulations
- 18 as expeditiously as practicable.
- 19 (e) Attorney General Report.—Not later than
- 20 January 31 of each year, the Attorney General shall sub-
- 21 mit to the Committee on the Judiciary of the Senate and
- 22 the Committee on the Judiciary of the House of Rep-
- 23 resentatives a report on the progress of States in auto-
- 24 mating the databases containing the information described
- 25 in subsection (b) and in making that information elec-

- 1 tronically available to the Attorney General pursuant to
- 2 the requirements of subsection (c).

3 SEC. 103. IMPLEMENTATION ASSISTANCE TO STATES.

- 4 (a) Authorization.—
- (1) In General.—From amounts made avail-6 able to carry out this section, the Attorney General 7 shall make grants to States and Indian tribal gov-8 ernments, in a manner consistent with the National 9 Criminal History Improvement Program, which shall 10 be used by the States and Indian tribal govern-11 ments, in conjunction with units of local government 12 and State and local courts, to establish or upgrade 13 information and identification technologies for fire-14 arms eligibility determinations.
 - (2) Grants to indian tribal governments, including tribal judicial systems.—Up to 5 percent of the grant funding available under this section may be reserved for Indian tribal governments, including tribal judicial systems.
- 19 (b) USE OF GRANT AMOUNTS.—Grants awarded to 20 States or Indian tribes under this section may only be 21 used to—
- 22 (1) create electronic systems, which provide ac-23 curate and up-to-date information which is directly 24 related to checks under the National Instant Crimi-25 nal Background Check System (referred to in this

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- 1 section as "NICS"), including court disposition and 2 corrections records;
 - (2) assist States in establishing or enhancing their own capacities to perform NICS background checks;
 - (3) supply accurate and timely information to the Attorney General concerning final dispositions of criminal records to databases accessed by NICS;
 - (4) supply accurate and timely information to the Attorney General concerning the identity of persons who are prohibited from obtaining a firearm under section 922(g)(4) of title 18, United States Code, to be used by the Federal Bureau of Investigation solely to conduct NICS background checks;
 - (5) supply accurate and timely court orders and records of misdemeanor crimes of domestic violence for inclusion in Federal and State law enforcement databases used to conduct NICS background checks; and
- 20 (6) collect and analyze data needed to dem-21 onstrate levels of State compliance with this Act.
- (c) CONDITION.—As a condition of receiving a grant under this section, a State shall specify the projects for which grant amounts will be used, and shall use such amounts only as specified. A State that violates this sub-

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- 1 section shall be liable to the Attorney General for the full
- 2 amount of the grant received under this section.
- 3 (d) Authorization of Appropriations.—There
- 4 are authorized to be appropriated to carry out this section
- 5 \$250,000,000 for each of the fiscal years 2008 through
- 6 2010.
- 7 (e) User Fee.—The Federal Bureau of Investiga-
- 8 tion shall not charge a user fee for background checks pur-
- 9 suant to section 922(t) of title 18, United States Code.
- 10 SEC. 104. PENALTIES FOR NONCOMPLIANCE.
- 11 (a) Attorney General Report.—
- 12 (1) IN GENERAL.—Not later than January 31
- of each year, the Attorney General shall submit to
- the Committee on the Judiciary of the Senate and
- the Committee on the Judiciary of the House of
- Representatives a report on the progress of the
- 17 States in automating the databases containing infor-
- mation described under sections 102 and 103, and
- in providing that information pursuant to the re-
- 20 quirements of sections 102 and 103.
- 21 (2) Authorization of appropriations.—
- There are authorized to be appropriated to the De-
- partment of Justice, such funds as may be necessary
- 24 to carry out paragraph (1).
- 25 (b) Penalties.—

- (1) DISCRETIONARY REDUCTION.—During the 2-year period beginning 3 years after the date of enactment of this Act, the Attorney General may withhold not more than 3 percent of the amount that would otherwise be allocated to a State under section 506 of the Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. 3756) if the State provides less than 60 percent of the information required to be provided under sections 102 and 103.
 - (2) Mandatory reduction.—After the expiration of the period referred to in paragraph (1), the Attorney General shall withhold 5 percent of the amount that would otherwise be allocated to a State under section 506 of the Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. 3756), if the State provides less than 90 percent of the information required to be provided under sections 102 and 103.
 - (3) WAIVER BY ATTORNEY GENERAL.—The Attorney General may waive the applicability of paragraph (2) to a State if the State provides substantial evidence, as determined by the Attorney General, that the State is making a reasonable effort to comply with the requirements of sections 102 and 103.

- 1 (c) REALLOCATION.—Any funds that are not allo-
- 2 cated to a State because of the failure of the State to com-
- 3 ply with the requirements of this title shall be reallocated
- 4 to States that meet such requirements.

5 TITLE II—FOCUSING FEDERAL

- 6 ASSISTANCE ON THE IM-
- 7 PROVEMENT OF RELEVANT
- 8 **RECORDS**
- 9 SEC. 201. CONTINUING EVALUATIONS.
- 10 (a) EVALUATION REQUIRED.—The Director of the
- 11 Bureau of Justice Statistics (referred to in this section
- 12 as the "Director") shall study and evaluate the operations
- 13 of the National Instant Criminal Background Check Sys-
- 14 tem. Such study and evaluation shall include compilations
- 15 and analyses of the operations and record systems of the
- 16 agencies and organizations necessary to support such Sys-
- 17 tem.
- 18 (b) Report on Grants.—Not later than January
- 19 31 of each year, the Director shall submit to Congress
- 20 a report containing the estimates submitted by the States
- 21 under section 102(b).
- 22 (c) Report on Best Practices.—Not later than
- 23 January 31 of each year, the Director shall submit to Con-
- 24 gress, and to each State participating in the National
- 25 Criminal History Improvement Program, a report of the

- 1 practices of the States regarding the collection, mainte-
- 2 nance, automation, and transmittal of information rel-
- 3 evant to determining whether a person is prohibited from
- 4 possessing or receiving a firearm by Federal or State law,
- 5 by the State or any other agency, or any other records
- 6 relevant to the National Instant Criminal Background
- 7 Check System, that the Director considers to be best prac-
- 8 tices.
- 9 (d) Authorization of Appropriations.—There
- 10 are authorized to be appropriated such sums as may be
- 11 necessary for each of the fiscal years 2008 through 2010
- 12 to complete the studies, evaluations, and reports required
- 13 under this section.
- 14 TITLE III—GRANTS TO STATE
- 15 **COURT SYSTEMS FOR THE IM-**
- 16 **PROVEMENT IN AUTOMATION**
- 17 AND TRANSMITTAL OF DIS-
- 18 **POSITION RECORDS**
- 19 SEC. 301. DISPOSITION RECORDS AUTOMATION AND
- 20 TRANSMITTAL IMPROVEMENT GRANTS.
- 21 (a) Grants Authorized.—From amounts made
- 22 available to carry out this section, the Attorney General
- 23 shall make grants to each State, consistent with State
- 24 plans for the integration, automation, and accessibility of
- 25 criminal history records, for use by the State court system

- 1 to improve the automation and transmittal of criminal his-
- 2 tory dispositions, records relevant to determining whether
- 3 a person has been convicted of a misdemeanor crime of
- 4 domestic violence, court orders, and mental health adju-
- 5 dications or commitments, to Federal and State record re-
- 6 positories in accordance with sections 102 and 103 and
- 7 the National Criminal History Improvement Program.
- 8 (b) Grants to Indian Tribes.—Up to 5 percent
- 9 of the grant funding available under this section may be
- 10 reserved for Indian tribal governments for use by Indian
- 11 tribal judicial systems.
- 12 (c) Use of Funds.—Amounts granted under this
- 13 section shall be used by the State court system only—
- 14 (1) to carry out, as necessary, assessments of
- the capabilities of the courts of the State for the au-
- 16 tomation and transmission of arrest and conviction
- 17 records, court orders, and mental health adjudica-
- tions or commitments to Federal and State record
- 19 repositories; and
- 20 (2) to implement policies, systems, and proce-
- dures for the automation and transmission of arrest
- and conviction records, court orders, and mental
- health adjudications or commitments to Federal and
- 24 State record repositories.

- 1 (d) AUTHORIZATION OF APPROPRIATIONS.—There
- 2 are authorized to be appropriated to the Attorney General
- 3 to carry out this section \$125,000,000 for each of the fis-
- 4 cal years 2008 through 2010.

5 TITLE IV—GAO AUDIT

- 6 SEC. 401. GAO AUDIT.
- 7 (a) IN GENERAL.—The Comptroller General of the
- 8 United States shall conduct an audit of the expenditure
- 9 of all funds appropriated for criminal records improve-
- 10 ment pursuant to section 106(b) of the Brady Handgun
- 11 Violence Prevention Act (Public Law 103–159) to deter-
- 12 mine if the funds were expended for the purposes author-
- 13 ized by the Act and how those funds were expended for
- 14 those purposes or were otherwise expended.
- 15 (b) Report.—Not later than 6 months after the date
- 16 of enactment of this Act, the Comptroller General shall
- 17 submit a report to Congress describing the findings of the
- 18 audit conducted pursuant to subsection (a).

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