



Background Clearance Unit DROS Procedures



Background

Pursuant to California Penal Code Sections 28200-28250, California firearms dealers are required to submit a Dealer Record of Sale (DROS) to the California Department of Justice (DOJ) for each person who attempts to purchase or receive a firearm from their business.

Overview

When an individual purchases a firearm from a licensed dealer, the dealer enters the DROS into the DROS Entry System (DES) where it is then electronically transmitted to DOJ via DES. An analyst will review the transaction and run a background check on the purchaser to determine their eligibility to purchase and/or possess a firearm. The analyst will enter the determination into DROS, where the status is sent to DES to notify the dealer if the firearm can be released.

Before you Begin

The following table outlines the applications and materials needed for the different processing steps.

Applications/Materials	Description	Action/Comments
Background Clearance Unit (BCU) DROS Procedures – Binder 1	Includes Penal Codes commonly seen when working a DROS, database procedures, examples, and additional reference material	Reference Binder is given to new analysts learning how to work DROS
BCU DROS Procedures – Binder 2	Includes NICS training, examples, point of contacts, and additional reference material	Federal Binder is given to new analysts learning how to work DROS
DOJ Web Portal (DROS)	Used to access DROS Transactions	An account will need to be created; login and password required
ACCURINT	Used to verify address, social security numbers, possible relatives	ACCURINT requires an account. Not all staff have access.
Automated Archive System (AAS)	An electronic database containing imaged documents	Procedures for using AAS are available in BCU DROS Procedures – Binder 1; login and password required



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LEAWeb	A web-based interface used to access the CLETS	Procedures for using LEAWeb are available in the BCU DROS Procedures - Binder 1; login and password required
Folder Control	Used to help the analyst obtain more information on the purchaser	Login and password required
California Penal Code Book	Used to help the analyst identify a purchaser's firearms eligibility	https://leginfo.legislature.ca.gov can also be used to obtain the most recent versions of the Penal Codes
California Courts Directory and Fee Schedule	Reference guide for obtaining contact information for courts, district attorneys, and law enforcement agencies	Each analyst has their own copy of this resource
National Directory of Law Enforcement Administrators	Reference guide for obtaining contact information for law enforcement agencies	Located in the DROS library outside of Cubicle 184
The Sourcebook to Public Record Information	Reference guide for obtaining contact information for law enforcement agencies	Located in the DROS library outside of Cubicle 184
Microsoft Word	An application used to create documents	A template for the Fax Transmission Cover Sheet has been created in Word



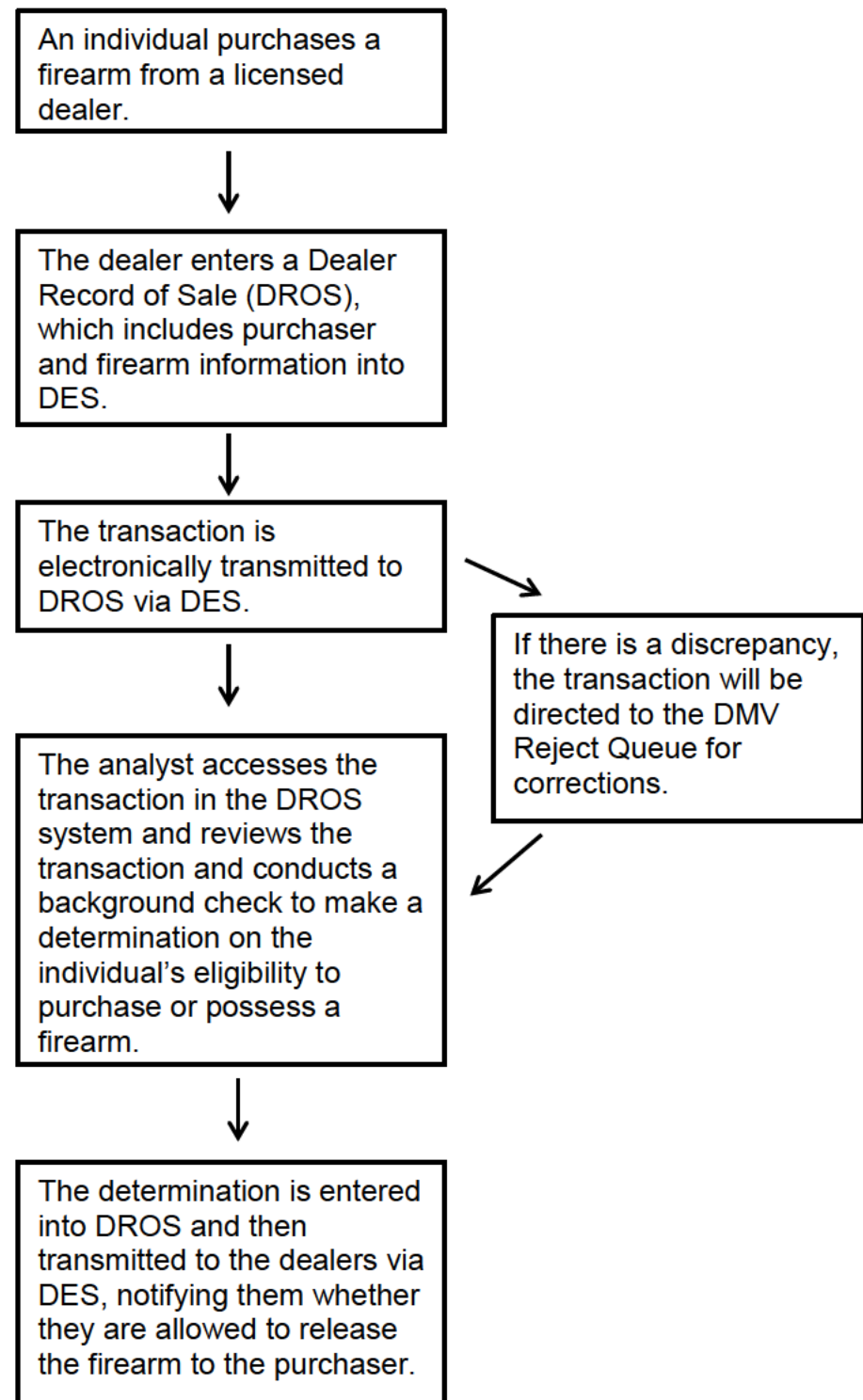
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Acronym	Description
AAS	Automated Archive System
BCU	Background Clearance Unit
BFEC	Basic Firearms Eligibility Check
CII	Criminal Identification and Information Number
DES	DROS Entry System
DOJ	California Department of Justice
DROS	Dealer Record Of Sale
FBI #	Federal Bureau of Investigation Number
III	Interstate Identification Index
NICS	National Instant Criminal History Background Check System
NLETS	National Law Enforcement Telecommunication System
NTN	NICS Transaction Number
PPT	Private Party Transfer
SID #	State Identification Number



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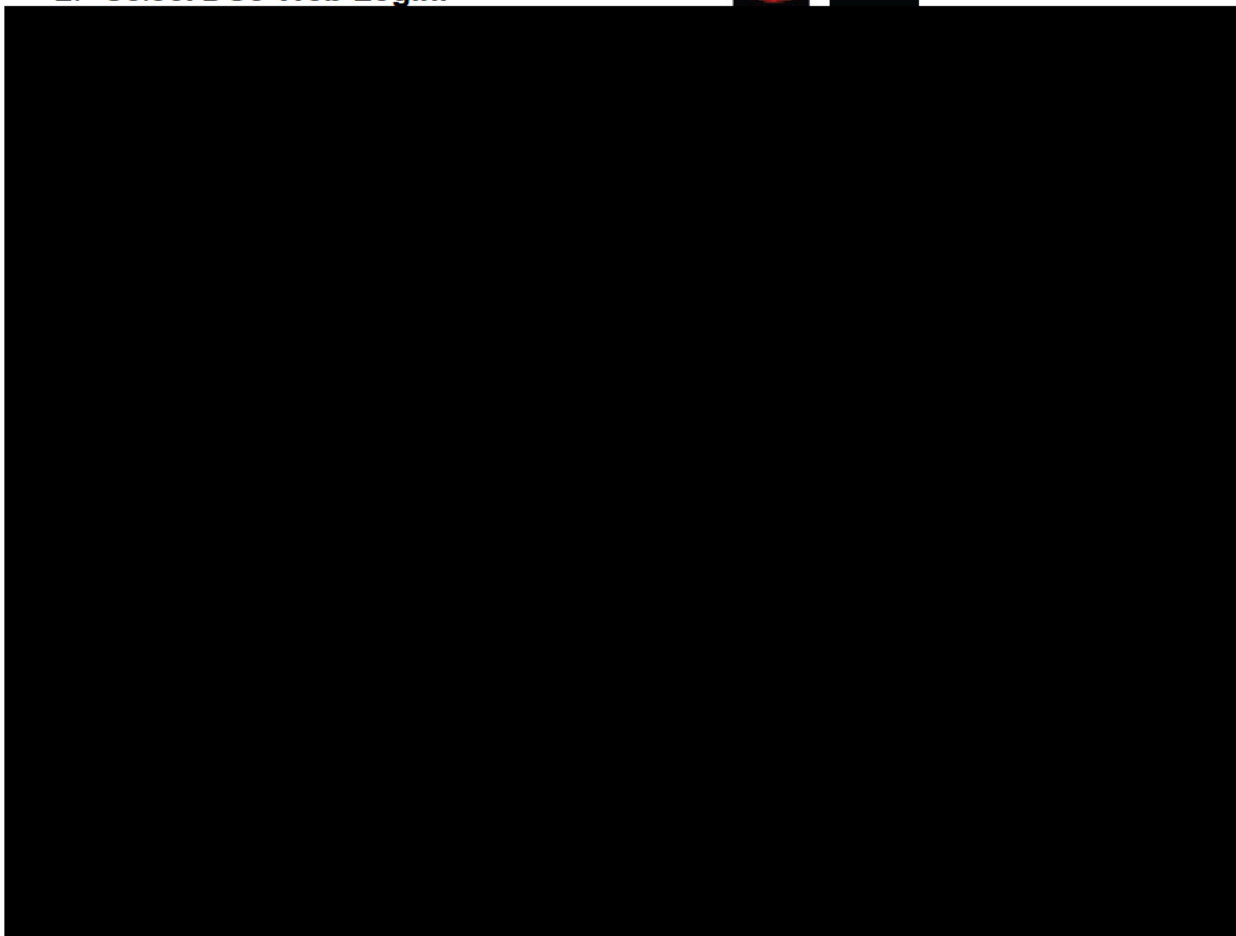
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I. DOJ Web Login to Access DROS System

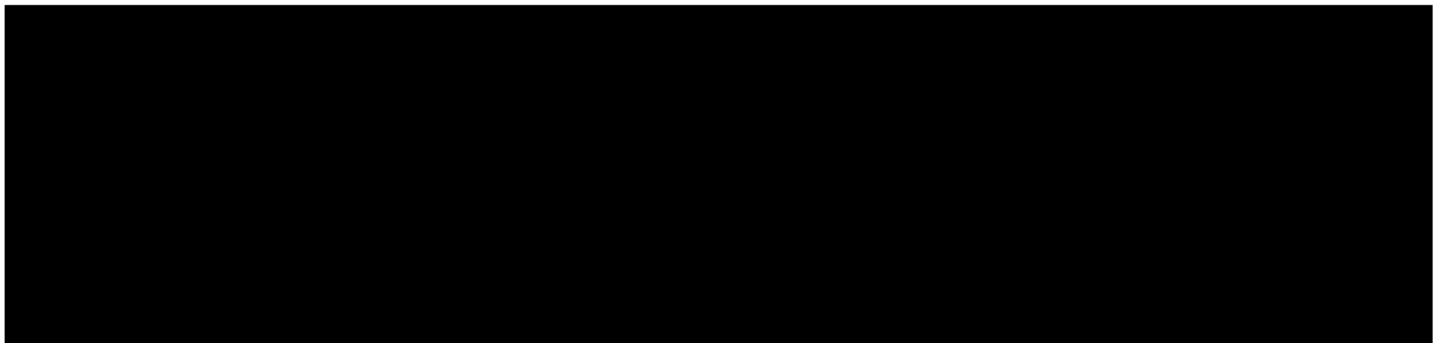
A DROS transaction is processed through the DROS application located in the DOJ Web Portal.

1. Open Mozilla Firefox or Internet Explorer.
2. Select **DOJ Web Login**.



Note: Do not have the portal open in more than one browser. This will cause an error in the system.

4. Select **DROS** from the user application list.
 - a. If DROS is unavailable, contact your supervisor.

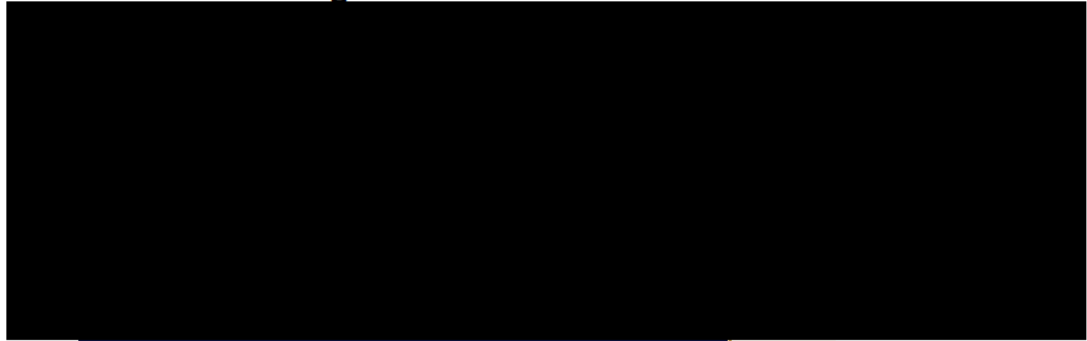




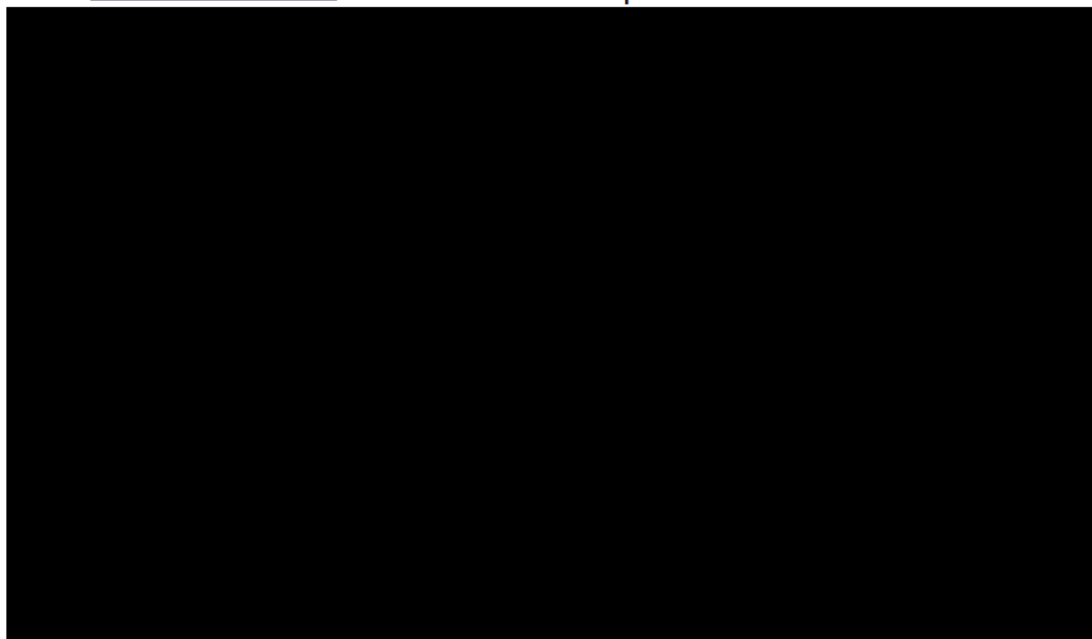
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5. Select **DROS Processing**.



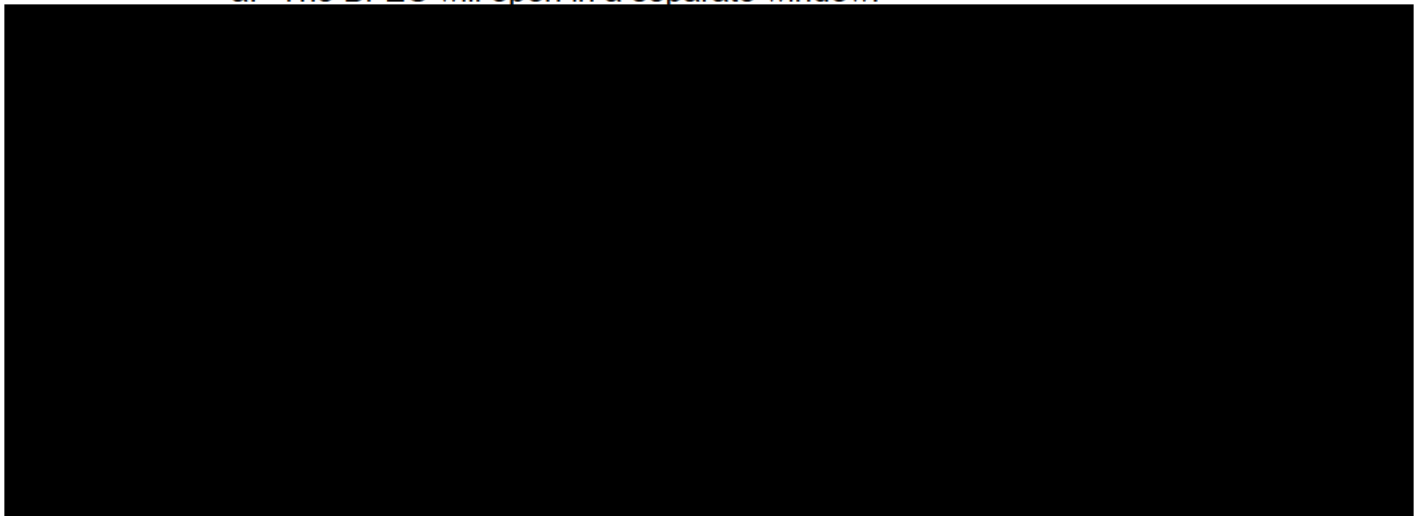
6. Select **Process NEW DROS** to receive a new unprocessed DROS.



7. Click <Print> to review questions and exemption codes.

8. Click **View Hits** to open the BFEC for the transaction.

- a. The BFEC will open in a separate window.





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- b. A **30-Day restriction** banner may also appear.
 - i. This will be the only content in the BFEC. An AFS cross-reference (XREF) serial number will display the banner that caused the restriction to appear.
 - ii. If the restriction banner is associated with a previous DROS that has been approved, delayed, cancel DROS, or undetermined, the DROS should be denied for 30-day reject. **See Step XI**
 - (1) Make sure the purchaser/possessor does not have an exemption to the one handgun per a 30-Day Period, such as being a peace officer or a collector with license number.

<div style="background-color: black; width: 100px; height: 1.2em; display: inline-block;"></div> PURCHASE RESTRICTION DENIAL: AFS XREF T9108978

Note: *If the purchaser is using a peace officer exemption, verify this information by searching the individual's driver license in LEAWeb. Refer to the DMV section of the LEAWeb procedures in the BCU DROS Procedures – Binder 1.*



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II. Review the BFEC

1. Verify that the **name**, **date of birth**, and **driver license** from one of the entries on the BFEC matches the information provided on the DROS.
 - a. The BFEC shows records for the purchaser as well as others with similar names.
 - b. If **NICS HITS** is shown at the top of the BFEC, one of the identifiers for an individual showing on the BFEC matches an entry from one of the federal databases (NCIC, FBI, III, etc.) and could be a possible prohibitor.
 - c. If the purchaser is using a Department of Defense/Military identification, the analyst may find information in the FBI section of the BFEC.

Name :	[REDACTED]	NICS HITS
DOB :	[REDACTED]	
No Of Lines :	1952	
***** CHS HIT FOUND *****		
***** NICS HIT FOUND *****		
IH		
RE: DATE:20150417 TIME:12:29:13		
CFN.18.1657900741200547 [REDACTED] [REDACTED] [REDACTED] ↓		
CII/OBN	NAM	DOB
[REDACTED]	[REDACTED]	[REDACTED]
0001376768		M H 506 BRO BLK CRM
[REDACTED]		M H 506 BRO BLK JUV
0001327616		M H 601 BRO BRO APP
[REDACTED]		
0001327616		

2. Check to see the **type of record**.
 - a. The types of records are criminal (crm), unknown (unk), application (app), or juvenile (juv).
 - b. Run the **CII Number**, if the type of record is **crm**.
3. Review the **Automated Criminal History Record (ACHS)** cycle for the individual.
 - a. This will include any arrest, court, or commitment information for the State of California.

COURT:		
20050621	CASCWHITTIER	NAM:001 PRO:5
	501	04
594 (A)	PC-VANDALISM	TOC:M
DISPO:	CONVICTED	
CONV STATUS:	MISDEMEANOR	TOS:4

4. Pull the folder and check **Automated Archive System (AAS)**.



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- a. **See Step III** for pulling folders.
 - b. **AAS/CII Folders**

Utilize AAS/folders on all transactions that will result in a California felony denial. This is to ensure there is no subsequent activity on file and that the information on the applicant's rap sheet is accurate. Should subsequent information be found in AAS or the CII folder, the BCU analyst shall process the DROS accordingly and if needed, complete a PRDI to update the applicant's rap sheet.
 - c. AAS should be checked, even if the folder has been pulled.
 5. Review the **NICS records**.
 - a. These will include any federal prohibitions or out of state charges.
 - i. Other databases (such as LEAWeb, NLETS, LEEP, etc.) may be needed to gain more information.
 6. **Review for NICS Banner** on the BFEC.
 - a. A banner from **NICS** will tell the analyst not to proceed without further instruction.
 - i. The assigned supervisor will receive an e-mail from NICS as to whether the banner has been cleared and forward the message to the analysts. **Refer to the Banner Clear Flag section in the BCU DROS Procedures – Binder 1.** The analyst should refer to the email to determine if the banner is clear.
- *****
DO NOT PROCEED WITH THIS TRANSACTION UNTIL CONTACTED BY FBI/NICS.

- b. A **stolen gun** hit may appear at the top or within the BFEC.
- ***** STOLEN GUN HIT FOUND *****
- i. If the analyst receives a DROS with a Stolen Gun hit, the analyst must notify the supervisor, who will forward it to the analyst assigned to Stolen Guns.
7. Analyze the criminal record to determine possible firearm prohibitors.
 - a. The analyst must determine if the records will prohibit the individual from purchasing and/or possessing a firearm. **Refer to the Penal Code Section of the BCU DROS Procedures – Binder 1 and California Penal Code book.**



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Note: For a juvenile record, if the purchaser is over 30 years old, the charge is no longer prohibiting.

- b. If the analyst sees an arrest cycle with possible firearm prohibitors with no disposition information, the analyst will check the folder and AAS. If no information is found, send to the Phone Resolution Unit (PRU) for dispositions.
 - i. PRU will add a mental health note for all disposition requests sent to agencies.
 - ii. If there is no folder, the analyst should **Delay DROS** and forward the request to the Phone Resolution Unit. Refer to Step VIII on how to delay transactions.
- c. **NCIC Gang File.** As of January 22, 2019, there will no longer be a banner appended to NICS related Gang File hit responses. Instead, the analyst will receive a message key: **CRIMINAL GANG MEMBER – CAUTION.**

```
1L01HEADER MD2610000
WARNING - STANDING ALONE, NCIC GANG GROUP AND MEMBER FILE
INFORMATION DOES NOT FURNISH GROUNDS FOR THE SEARCH AND SEIZURE OF
ANY INDIVIDUAL, VEHICLE, OR DWELLING

MKE/CRIMINAL GANG MEMBER - CAUTION CMC/05 - VIOLENT TENDENCIES
ORI/MD1230000 NAM/██████████SEX/M RAC/W ETN/H POB/MD
DOB/██████████HGT/601 WGT/209 EYE/BLU HAI/BRO FBI/██████████CTZ/US
SKN/ALB SMT/SC R HND FPC/██████████MNU/MD-32614 SOC/██████████
OLN/98765432 OLS/MD OLY/1995 GNG/██████████WADC SGP/██████████WADC
ECR/BD DOP/20100115 OCA/92312663 SID/MD██████████
LKI/MD1240000 LKA/MD-2255 MIS/KNOWN TO CARRY TEC 9, TTO IS ██████████
LIC/██████████LIS/MD LIY/1993 LIT/PC VIN ██████████VYR/1988 VMA/CHEV
VMO/CEL VST/4D VCO/BLU ORI IS HARPERS FERRY PD MD 301 555-1212
DOB/██████████AKA/██████████X
AKA/██████████AKA/██████████NIC/██████████DTE/██████████EST
DLU/20080110 0100 EST NO NCIC RECORD VIN ██████████
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```
===== N C I C ===== (1 OF 2) 99.000000

MKE/CRIMINAL GANG MEMBER - CAUTION

ORI/TX2270100 NAM/ [REDACTED] SEX/M RAC/U

DOB/ [REDACTED]

SOC/ [REDACTED]

OLN/ [REDACTED] OLS/TX OLY/UNKN

GNG/TXGANG*SWTX SGP/SEE MIS FIELD*SWTX

ECR/BF DOP/NONEXP OCA/130004

MIS/TANG0 BLASTER TX2270100 AUSTIN PD 512 974-0916

DNA/N

ORI IS AUSTIN PD 512 974-0916

NIC/ [REDACTED] DTE/ [REDACTED] 1707 EDT DLU/20180322 1725 EDT

===== N C I C ===== (2 OF 2) 89.000000

MKE/CRIMINAL GANG MEMBER - CAUTION

ORI/TX2270000 NAM/ [REDACTED] SEX/M RAC/W

DOB/ [REDACTED] FBI/ [REDACTED]

OLN/ [REDACTED] OLS/TX OLY/UNKN

GNG/TXGANG*SWTX SGP/SEE MIS FIELD*SWTX

ECR/BF DOP/NONEXP OCA/138756

MIS/TANG0 ATX (FED BOP) TX2270000 TRAVIS CO S0 AUSTIN 512 854-1029

DNA/N

ORI IS TRAVIS COUNTY SHERIFF'S OFFICE AUSTIN 512 854-1029

NIC/T001488799 DTE/20181027 1327 EDT DLU/20181027 1351 EDT

NCIC-END
```

- i. If the message key information does not match that of the purchaser, the analyst may continue processing the DROS.
- ii. If the message key does match the purchaser, the analyst should directly contact the ORI of the Gang File record for more information.
- iii. If the ORI of the Gang File record provides information that may prohibit the transfer of a firearm, the analyst should **Delay DROS** to allow time for research.
- iv. If the ORI of the Gang File record does not provide any disqualifying information, the analyst may continue processing the DROS.
- v. Additional information, including suggested questions to ask the ORI of the Gang File record, can be located in the BCU DROS Procedures – Binder 1.

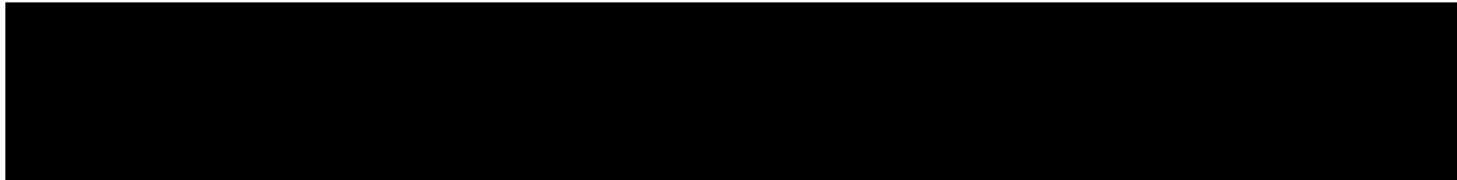


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- d. When sending a packet to the **Phone Resolution Unit** for additional information, only ask for the information that was not already received.
See Step IV.

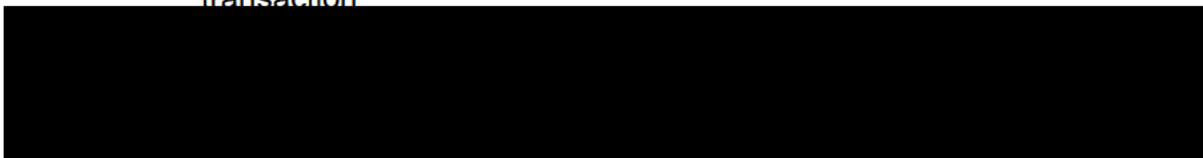
8. Check the **Related DROS tab**.



- a. Verify whether the purchaser and/or possessor has any related transactions.
- b. If so, check to see if the transaction has already been assigned to another analyst or if it is unprocessed.
 - i. If the transaction has been assigned to another analyst, coordinate with that person when making the determination.
 - ii. If the transaction is unprocessed, the analyst needs to search the transaction number and requeue it into his/her queue.
- c. Select **View Hits** and review the BFEC before making the determination.

9. Select the **determination** for the transaction.

- a. The analyst may also **Requeue** if there is a need to come back to the transaction



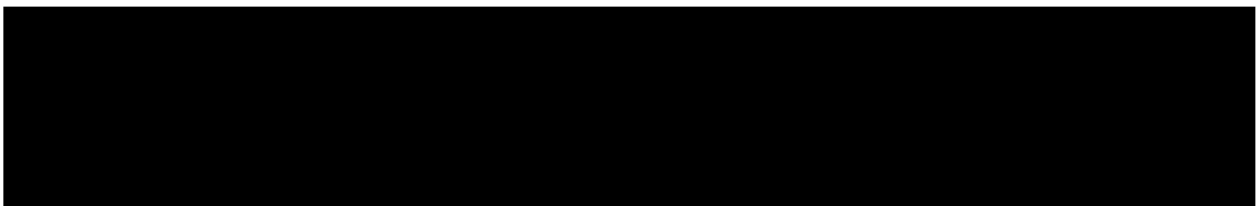


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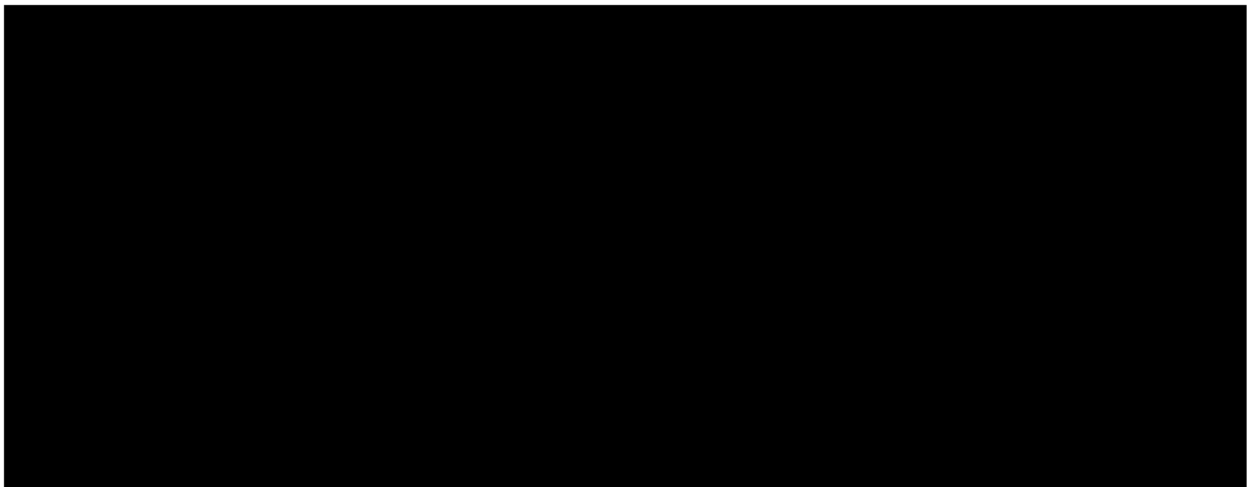


III. Folder Pull Requests

1. Copy the **Criminal Identification and Information (CII)** number from the BFEC for the purchaser.
 - a. Paste the **CII number** into the textbox on the Pull Folder tab of the DROS.
 - i. Include the letter in front (A (Automated), M (Manual), H (Hybrid)) when entering the CII Number.
 - b. Select **local**.
2. **Save** the entry.



- a. A pop-up window will appear with the folder pull request.



Note: The folder pull requests can also be handwritten with the CII number and analyst's name and then placed in the folder pull basket.

3. **Print** the folder pull request.
 - a. Place the request in the folder pull basket located in the assigned area (see supervisor) for a technician to retrieve the folders from room G-121.
 - b. A technician may return the folder request with a message that the folder has been imaged and can be viewed in AAS.
4. Check **AAS**.
 - a. Even though the folder has been pulled, additional information may still be available on AAS.



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IV. Phone Resolution (In-State Disposition Retrieval)

1. Search the **CII number** in LEAWeb. **Refer to the LEAWeb procedures section in the BCU DROS Procedures – Binder 1.**
 - a. The CII number is available in the BFEC.
 - b. Searching the CII number in LEAWeb will provide the criminal history on the individual.
2. **Review the** criminal history thoroughly. If the criminal history is incomplete or needs clarification, **print** out the criminal history.
3. Document County Code, AAS checked, folder checked, and initials on the top right of the printout. **Refer to County Codes Flag section in the BCU DROS Procedures – Binder 1.**
 - a. The analyst needs to write his or her initials on the criminal history so the technicians in Phone Resolution know who to return the packet to.
4. **Circle Date of Arrest** and the specific entry on the record that requires more information, and **initial the top left corner.**
 - a. **Provide a note on the right** stating what additional information needs to be obtained.
5. **Print** the DROS showing the delayed status.
 - a. Write the county code, analyst's initials on the top right of the DROS.

Cross Ref DROS Number: T9092682		Dealer ID: 21800	
Transaction Number: 1275250			
DROS NUMBER [REDACTED]		STATUS: DELAYED	
TRANSACTION DATE / TIME 03/12/2015 03:24:07 PM		DELIVERED:	
		DELIVERED BY:	
PURCHASER INFORMATION			
FIRST NAME	MIDDLE NAME	LAST NAME	SUFFIX

6. Place the DROS at the **front** of the packet.
 - a. The criminal history should be behind the DROS.
 - b. Add any additional documentation to the back of the packet such as mental health notes, dispo, etc.
7. **Staple** the packet.
8. Place the packet for Phone Resolution in their incoming basket in the assigned area (supervisor).
9. **Review** the packet once it comes back from Phone Resolution Unit to ensure the information received is for the correct individual.
 - a. Return the packet to Phone Resolution if there is missing information or if it is not for the correct individual.



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Note: *Los Angeles Police Department recycles booking numbers, so it is imperative the information being received is for the correct person and not for another individual who had the same booking number.*

Note: *The Phone Resolution Unit will obtain information from agencies **within California only**.*

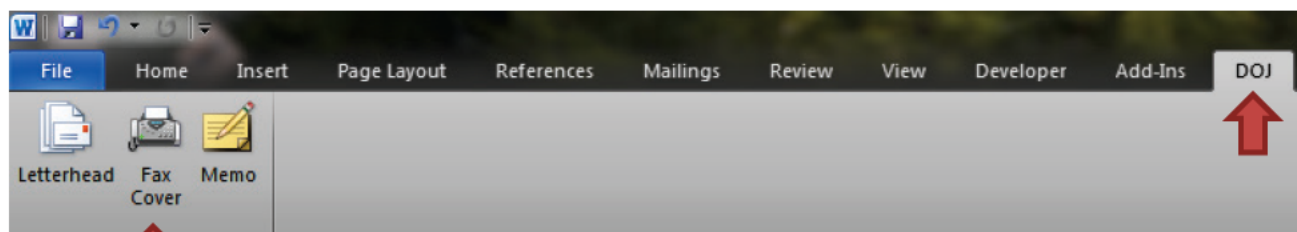


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V. Chasing Dispositions (Out-of-State Disposition Retrieval)

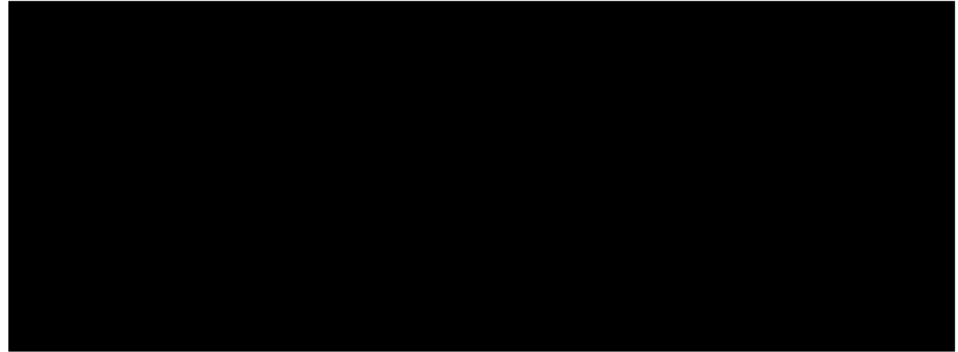
1. Determine what additional information is needed.
 - a. The analyst may have to contact the arresting agency, courts, or prosecutors in order to obtain this information.
2. **Contact** the agency.
 - a. **Refer to the California Courts Directory and Fee Schedule book, National Directory of Law Enforcement Administrators and The Sourcebook to Public Record Information** located in the DROS library in the assigned area (see supervisor).
 - b. **Refer to the BCU DROS Procedures – Binder 2** for the NICS Point of Contact List.
 - c. The analyst may choose to call, fax, or e-mail the agency.
 - i. Some agencies may request a fax or e-mail for documentation purposes.
3. Open **Microsoft Word**.
 - a. Click on the **DOJ** tab.
 - b. Select Fax Cover.



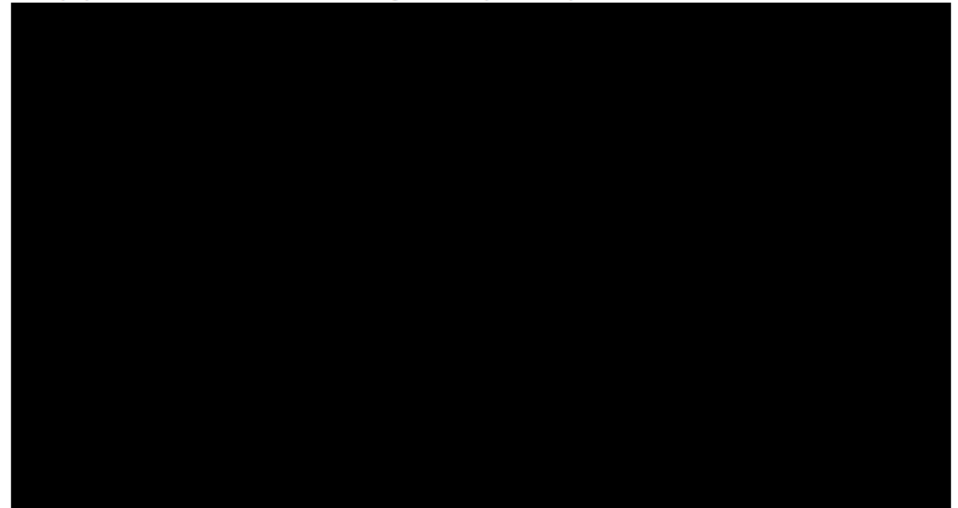
- c. The analyst will insert his or her information in the "To:" section of the fax and insert the information for the receiving agency in to "From:" section.
- d. Include the subject's information in the "Message/Instructions" section, such as the subject's name, date of birth, FBI #, and SID #.
 - i. Additional information will need to be tailored depending on what is being requested.
 - ii. For example, if requesting disposition information from the arresting agency, the analyst should provide the subject's name, date of birth, FBI #, SID #, date of arrest and the charge, as well as a statement on what they want to obtain from the agency.
 - iii. Searching for SID # via NLETS
 - (1) Click on NLETS.



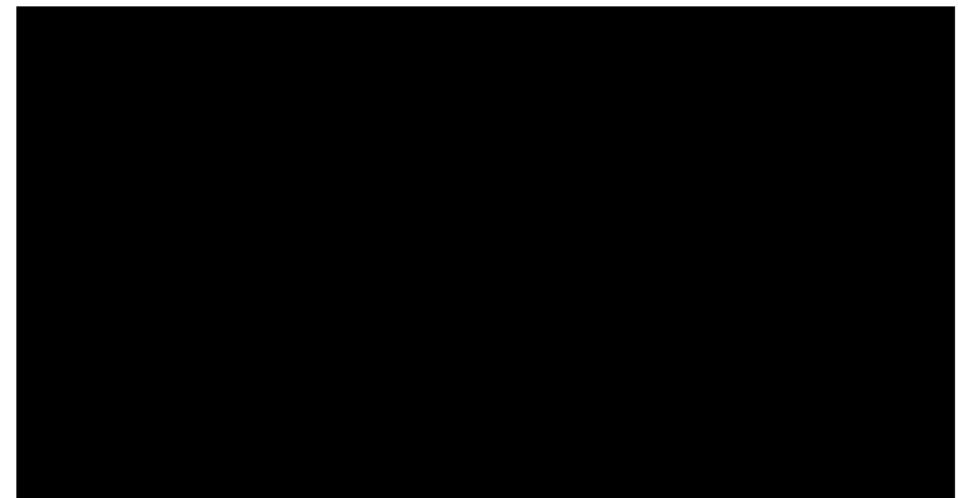
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(2) Click Criminal History Info (CHRI)



(3) Click on Identify Information Inquiry (IQ)



(4) Note: Run SID #; additional information may appear on state record that are not on FBI #.

(5) Out-of-state warrants should follow out-of-state warrant procedure.

(6) Note: Massachusetts dispos are available online via IQ (see MA Procedure).



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VI. Chasing Dispositions (Military)

1. Run the **FBI number** in LEAWeb. Refer to the **LEAWeb procedures section in the BCU DROS Procedures – Binder 1**.
 - a. The FBI number is located on the rap sheet.
2. Review the charges. Contact the arresting agency for more detailed information.
 - a. A **dishonorable discharge** will always result in a BOF **Deny DROS**.
 - b. An **honorable discharge** requires more research and the analyst should **Delay DROS**. Some offenses are more similar to misdemeanors and others more similar to felonies.
 - c. If a court martial is associated with the discharge, the analyst should **Delay DROS** and must notify the supervisor for further instructions.
 - d. If a mental health event is indicated, the analyst should **Delay DROS** as more research is required.
 - e. The analyst should try to obtain supporting documentation over FAX or email. If unable, the analyst should make sure to get the first and last name of the person spoken to, along with a direct contact number.
 - i. NOTE: DD 214 is **not considered** final disposition. It may contain information determining if discharge was related to a domestic violence or medical condition.
3. See **BCU DROS Procedures – Binder 1** for more information.



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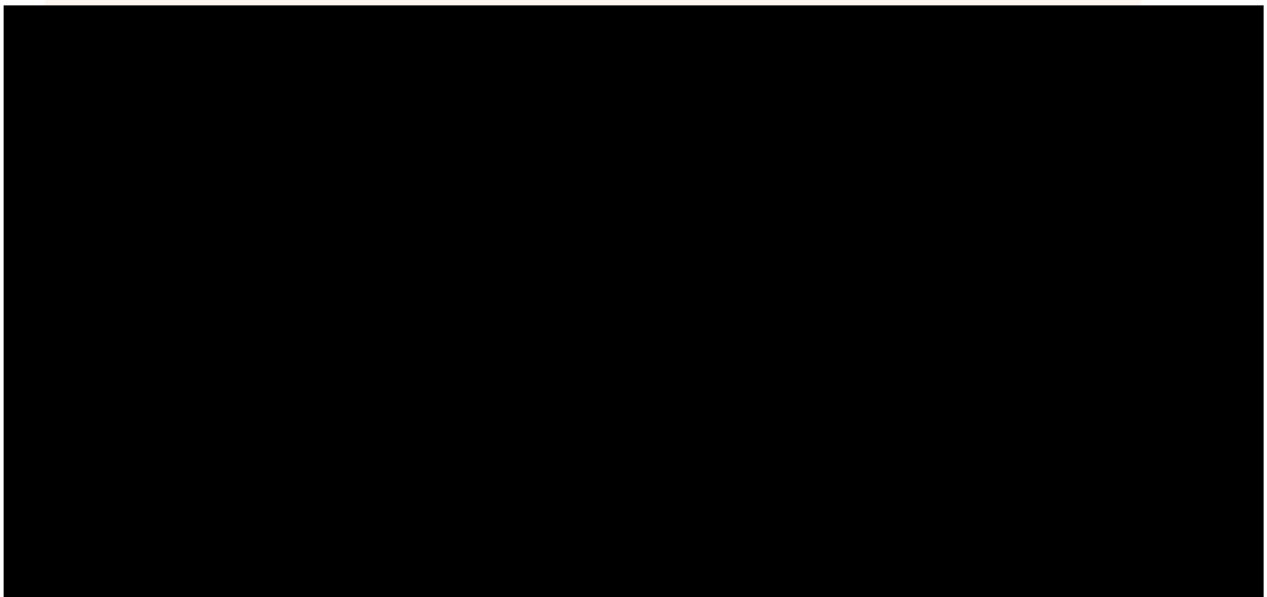
VII. Approving a Transaction

1. Select **Approve**



- a. Select the **Control Number Type** and enter the **Control Number**.
 - i. ACHS and FBI will be used the most as the Control Number Types with the CII number and FBI number, respectively.
- b. **Save** the entry.

2. Select **Approve DROS**



- a. A message in **blue** will appear at the top of the page if the DROS is successfully approved.

✔ DROS [REDACTED] was successfully approved.

- b. No letter prints for DROS approvals. The dealer receives notification via DES.

Note: If there is no control number, enter NSA for Not the Same As in the text box.

Approval after delay always needs a new NTN# in the Control Number field.



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VIII. Denying a Transaction

1. Select **Deny**



2. Click on the **Reason(s)** tab.

- a. Enter all of the required information for the Denial.
- b. **Save** the information.
- c. **Print** the reason screen.

i. This will be included in the Denial packet.

3. Click on the **Control Number(s)** tab.

- a. Enter the **Control Number** and the **Control Type**.

4. Click on the **Notification(s)** tab.

- a. Enter the mandatory sections.
- b. The comment should provide specific information for the denial reason.
- c. **Save** the information

5. Select **Deny DROS**


6. **Print** the denial letter that will appear in a separate window.

- a. Write the analyst's assigned initial on the bottom right corner of the letter to the dealer. Initial and date on the top right corner of the DROS printout.




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KAMALA D. HARRIS Attorney General	 State of California DEPARTMENT OF JUSTICE
<div>BUREAU OF FIREARMS P.O. BOX 820200 SACRAMENTO, CA 94203-0200 Telephone: (916) 227-3752 Fax: (916) 227-3744</div>	
March 18, 2015	
BASS PRO SHOPS OUTDOOR WORLD 7777 VICTORIA GARDENS LN RANCHO CUCAMONGA, CA 91739	
RE: Dealer's Record of Sale Number: [REDACTED] Dated: October 02, 2014 Purchaser: [REDACTED]	
PURCHASER PROHIBITED DO NOT RELEASE THE FIREARM	
Dear Firearm Dealer:	

- b. A notification will appear in **blue** at the top of the screen if the DROS is successfully denied.

 **DROS** [REDACTED] was successfully denied.

7. If **Private Party Transfer (PPT)**, the dealer should be notified and provided with the seller's NTN number.
- The DROS will show in the analyst's queue with a DROS number beginning with 9999700000000000.
 - If the purchaser is denied for a PPT, a **Multiple Query** will need to be run on the seller to determine if the firearm can be returned to the individual. **Refer to the LEAWeb procedures section in the BCU DROS Procedures – Binder 1.**
 - Check the boxes for NICS and III to generate a NTN.
 - If both the seller and the purchaser are denied, instruct the dealer to give the firearm to the local law enforcement agency.
 - If the seller's background is cleared, the firearm he or she attempted to sell can be returned.
 - Make a comment on the **denied purchaser's** DROS of the seller's eligibility and their NTN number.

Note: Write the NTN# on the DROS print out beside the seller's information after running Multiple on Seller.



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8. Create the denial packet for the typing basket.
 - a. The order of the packet is:
 - i. Letter to Dealer
 - ii. Print-out of DROS with denied status
 - iii. Print-out of the Reason for Denial page
 - iv. Additional documentation (rap sheet, supporting documents)
9. **Do not staple** the packet.
 - a. Paperclip the packet together and place in the typing basket located in the assigned area (see supervisor).
10. Determine if any additional letters need to be printed (restraining orders).
 - a. A route slip can be attached to the denial packet going to the typing basket to let the technicians know to create another letter for the packet.
Refer to Route Slip Flag section in the BCU DROS Procedures – Binder 1.
11. File the packet in the assigned area (see supervisor) once it has been returned.
12. The analyst will initial and date a denial on the printed copy of the denied DROS.



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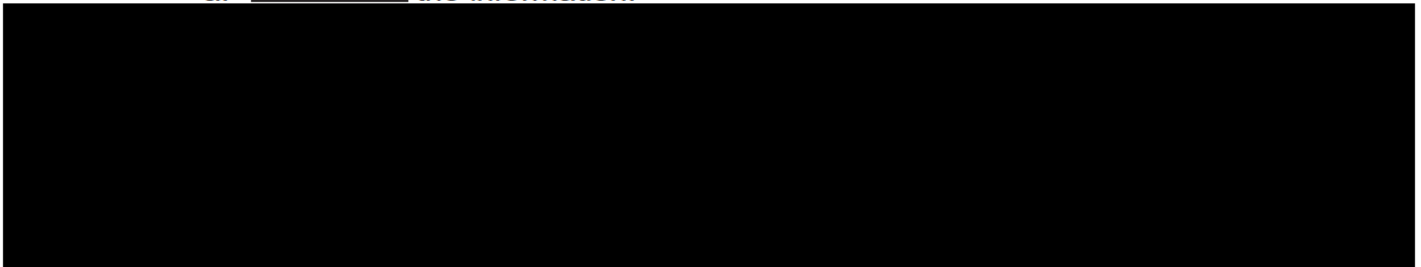


IX. Delaying a Transaction

1. Select **Delay**

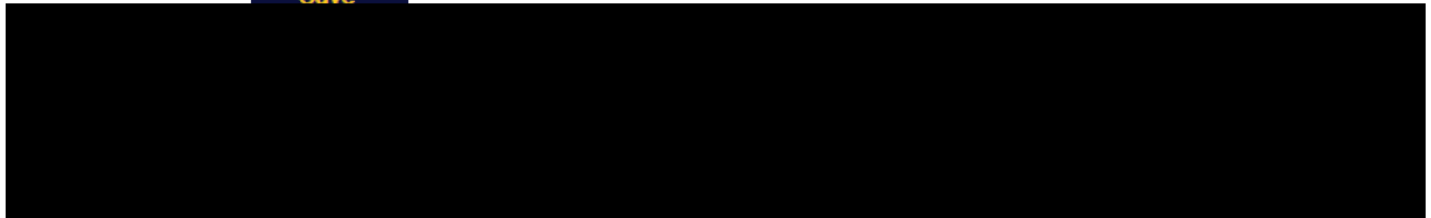


2. Click on the **Reason(s)** tab.
3. Select the reason for the delay.
 - a. **Save** the information.



4. Click on the **Notification(s)** tab.
 - a. Enter the mandatory sections.
 - b. The comment should provide specific information for the delay reason.

Save



5. Select **Delay DROS**
6. **Print** the letter that appears in a separate window.
 - a. Write the analyst's assigned initial in the bottom right corner of the letter to the dealer.

<i>KAMALA D. HARRIS</i> Attorney General	State of California DEPARTMENT OF JUSTICE	
BUREAU OF FIREARMS P.O. BOX 820200 SACRAMENTO, CA 94203-0200 Telephone: (916) 227-3752 Fax: (916) 227-3744		
March 18, 2015		
CCE GUNS AND ACCESSORIES 18355 OUTER HWY 18 STE D APPLE VALLEY, CA 92307		
RE: Dealer's Record of Sale Number: [REDACTED] Dated: October 02, 2014 Purchaser [REDACTED]		
DELAY DELIVERY DO NOT RELEASE THE FIREARM UNTIL FURTHER NOTICE		
Dear Firearms Dealer:		



Background Clearance Unit DROS Procedures



- b. A notification will appear in **blue** at the top of the screen if the DROS was successfully delayed.

✓ DROS [REDACTED] was successfully delayed.

7. Select **Process Delayed DROS** to view the DROS after it has been delayed.
8. Create the delay packet for the typing basket.
 - a. The order of the packet is:
 - i. Letter to Dealer
 - ii. Letter to purchaser
 - iii. Print-out of DROS with delayed status
 - iv. Print-out of the Reason for Delay page
 - v. Additional documentation (rap sheet)
9. **Do not staple** the packet.
 - a. Paperclip the packet together and place in the typing basket located in the assigned area (see supervisor).
10. Hold onto the packet once returned by the technicians.
 - a. Additional documentation will be added to the Delay packet once a final determination has been made.



Background Clearance Unit DROS Procedures



X. Approval After Delay

1. Select **Process Delayed DROS**
 - a. Open the transaction for the individual.
2. Run a **Multiple Query** in LEAWeb to review the purchaser's record and to see if new information has been added. **Refer to BCU DROS Procedures – Binder 1 for LEAWeb Procedures.**
 - a. Check the boxes for NICS and III to generate an NTN.
3. Select **Approve**
4. **Print** the letters that appear in a separate window.

<i>KAMALA D. HARRIS</i> Attorney General		<i>State of California</i> DEPARTMENT OF JUSTICE		
BUREAU OF FIREARMS P.O. BOX 820200 SACRAMENTO, CA 94203-0200 Telephone: (916) 227-3752 Fax: (916) 227-3744				
April 29, 2015				
SHOOTERS WAREHOUSE 6412 C TUPELO DR CITRUS HEIGHTS, CA 95621				
RE: Dealer's Record of Sale Number [REDACTED] Dated: March 12, 2015 Purchaser [REDACTED]				
APPROVAL AFTER DELAY				

5. Write the **NTN** on the bottom left corner and the analyst's assigned initial on the bottom right corner of the letter to the dealer.
6. **Print** the DROS showing the status change from Delay to Approved.

Cross Ref DROS Number: T9011214	Dealer ID: 22578
Transaction Number: 1206462	
DROS NUMBER: [REDACTED]	STATUS: APPROVED

7. Paperclip the letter and DROS print-out to the top of the purchaser's Delay packet.
 - a. Place the packet in the typing basket located in the assigned area (see supervisor).
 - b. File the packet in the appropriate drawer located in the assigned area (see supervisor) once it has been returned.




Background Clearance Unit DROS Procedures



XI. Denial After Delay

1. Select **Process Delayed DROS**
 - a. Open the transaction for the individual.
2. Select **Deny**
3. Print the letters that appear in a separate window.

<i>KAMALA D. HARRIS</i> <i>Attorney General</i>	<i>State of California</i> <i>DEPARTMENT OF JUSTICE</i>	
BUREAU OF FIREARMS P.O. BOX 820200 SACRAMENTO, CA 94203-0200 Telephone: (916) 227-3752 Fax: (916) 227-3744		
April 29, 2015		
STS GUNS 691 E BIDWELL ST FOLSOM, CA 95630		
RE: Dealer's Record of Sale Number [REDACTED] Dated: March 12, 2015 Purchaser: [REDACTED]		
DENIAL AFTER DELAY DO NOT RELEASE THE FIREARM		

4. **Print** the DROS showing the status change from Delayed to Denied.

Dealer's Record of Sale of Firearm State of California	
Cross Ref DROS Number: T9025460	Dealer ID: 15255
Transaction Number: 1218200	
DROS NUMBER: [REDACTED]	 STATUS: DENIED

5. Notify the dealer if the denial is a **Private Party Transfer (PPT)**.
 - a. The DROS will show in the analyst's queue with a DROS number beginning with 9999700000000000.
 - b. If the purchaser is denied for a PPT, a **Multiple Query** will need to be run on the seller to determine if the firearm can be returned to the individual. **Refer to the LEAWeb procedures section in the BCU DROS Procedures – Binder 1.**
 - i. Check the boxes for NICS and III to generate a NTN.
 - c. If both the seller and the purchaser are denied, instruct the dealer to give the firearm to the local law enforcement agency.



Background Clearance Unit DROS Procedures



Note: if the seller is delayed, call the dealer to inform them not to release the gun to the seller. The analyst will need to do a background check on the seller to determine eligibility.

- d. If the seller's background is cleared, the firearm he or she attempted to sell can be returned.
- e. Make a comment on the denied purchaser's DROS of the seller's eligibility and their NTN number.



Note: Write the NTN# on the DROS print out beside the seller's name.

6. **Paperclip** the letter and DROS printout to the top of the purchaser's Delay packet. **Refer to Denial After Delay Flag in the BCU DROS Procedures – Binder 1.**

- a. Place the packet in the typing basket located in the assigned area (see supervisor).
- b. File the packet in the appropriate drawer located in the assigned area (see supervisor) once it has been returned.



Background Clearance Unit DROS Procedures

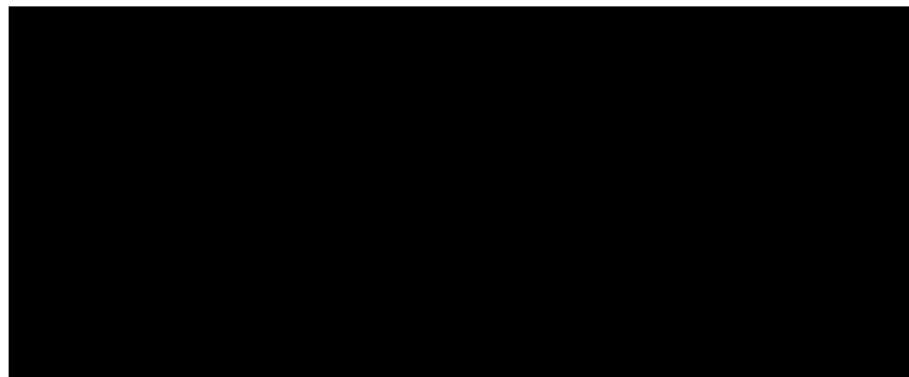


XII. 30-Day Violations

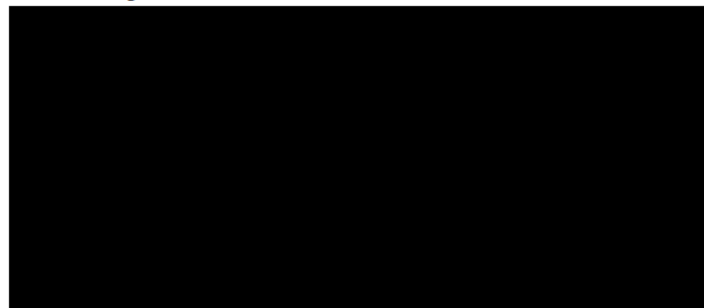
1. Determine if the purchaser has a **30-day violation**.
 - a. The BFEC will only show the 30-day restriction banner and an AFS cross-reference (XREF) number.

[REDACTED] PURCHASE RESTRICTION DENIAL: AFS XREF TS108978

2. Check the transaction for any exemptions. **Refer to BCU DROS Procedures – Binder 1 and California Penal Code book.**
 - a. The analyst should call the dealer to verify if there are any exemptions. For example, purchasing for a security company, purchasing on consignment, or curio/relic license, before denying the DROS.
3. **Requeue** the DROS to return to it later.
4. Inquire on the previous DROS using the purchasers **California Driver License**.
5. Select **Main Menu**.
 - a. Select **Search DROS**.



- b. Select **Query Person**



- i. Enter the driver license number in the ID Number field.
- ii. Select **search**.





Background Clearance Unit DROS Procedures



- c. Select the **name** of the individual.



- d. Select the DROS number for the previous DROS.
i. The most recent transactions appear on the bottom of the last

6. **Print** the DROS.

- a. If there are no exemptions on the previous DROS, **deny** the current DROS for violating the one handgun per 30-day rule.

7. Open the current DROS from **Process Requeued/Folder Pulls**

- a. Select the NTN Number tab.
i. Check the box for 30-Day Restriction.
ii. **Save** the change.

Note: The 30-day restriction box on the NTN Number tab needs to be check-marked before denying the DROS.

Note: If the purchaser is using Exemption X91 – Particular and Limited Authority Peace Officers, the dealer must be called to confirm if the purchaser is the owner of the private security company. Only owners can purchase multiple handguns without violating the one handgun in 30 days rule. **Refer to the memorandum section in the BCU DROS Procedures – Binder 1.**

8. **Deny** the DROS.
9. Click on the **Reason(s)** tab.
a. Choose **30 Day Rejection** for the Prohibition Reason, Offense Category, and the Prohibition Reason Group.
b. **Save** the information.
c. **Print** the reason screen.
i. This will be included in the packet.



Background Clearance Unit DROS Procedures



10. Select the **Control Number(s)** tab.

- a. Enter **30-Day DROS Rejection** as the Control Number Type.
- b. Insert the previous DROS number for the Control Number.

Save

- a. Enter Mail for the Method of Notification and Person Notified.
- b. Enter a comment.
 - i. The analyst's comment should note the previous DROS that was denied for a 30-Day violation, and the previous DROS number. The day the purchaser can re-DROS should be included.
- c. **Save** the information.

Deny DROS

13. **Print** the denial letters that appear in a separate window.



Background Clearance Unit DROS Procedures



KAMALA D. HARRIS Attorney General	State of California DEPARTMENT OF JUSTICE	
		BUREAU OF FIREARMS P.O. BOX 820200 SACRAMENTO, CA 94203-0200 Telephone: (916) 227-3752 Fax: (916) 227-3744
May 14, 2015		
ORANGE COAST AUCTIONS 16600 ASTON ST IRVINE, CA 92606		
RE: Dealer's Record of Sale Number: [REDACTED] Dated: May 09, 2015 Purchaser: [REDACTED]		
30-DAY REJECTION DO NOT RELEASE THE FIREARM		

14. **Print** the DROS showing 30-Day reject.

Cross Ref DROS Number: T9092642	Dealer ID: 14977
Transaction Number: 1275212	 STATUS: 30-DAY REJECT
DROS NUMBER: [REDACTED]	
TRANSACTION DATE / TIME 03/12/2015 03:15:23 PM	

15. Call the **dealer** for a 30-day violation if the firearm cannot be released to the purchaser.

- a. The dealer should also be aware of the date the purchaser can re-DROS 30 days from the latest DROS.

16. Create the 30-Day Rejection packet.

- a. The assigned analyst's initials are written on the bottom right corner of the letter being sent to the dealer.
- b. The order of the packet is:
 - i. Letter to Dealer
 - ii. Print-out of DROS with 30-day Reject status
 - iii. Print-out of the Reason for Denial page
 - iv. Print-out of the previous Approved DROS

17. **Do not staple** the packet.

- a. Paperclip the packet together and place in the typing basket located in the assigned area (see supervisor).
- b. File the packet in the appropriate drawer located in the assigned area (see supervisor) once it has been returned.