

### **Attachment III. Proposed 2013 FIST Survey**

- Survey form for local agencies in North Carolina
  - Survey form for local agencies in New York
    - Survey form for state agency reporters

FORM FIST-1

U.S. DEPARTMENT OF JUSTICE  
BUREAU OF JUSTICE STATISTICS (BJS)  
(REJIS ACTING AS DATA COLLECTION AGENT)



**2013 FIREARMS INQUIRY STATISTICS (FIST)**  
**Annual Survey of Background Checks for Firearm Transfers and Permits**

Please correct any errors in the name and address information that is printed below.

**OFFICIAL AGENCY NAME** (If different from above)

**9-DIGIT NCIC-ORI NUMBER**

**PERSON COMPLETING THE FORM**

**NAME**

**TITLE**

**TELEPHONE**

**FAX**

**E-MAIL ADDRESS**

**IMPORTANT – Please answer the following questions before proceeding with the questionnaire. Mark [X] in the appropriate box below.**

Did your agency issue, keep track of applications for, or conduct background checks for firearm transfer permits at any time between January 1, 2013, and December 31, 2013?

Yes

If applicable, please list any other agencies for whom you conduct these activities:

(Agency Name(s))

No → The authorized permit issuing, processing, tracking, or checking agency for your jurisdiction is :

(Agency Name(s))

**If your response to the above question is "No" or if the following condition (FOR LAW ENFORCEMENT AGENCIES ONLY) applies, you do not need to complete the questionnaire. Mark an [X] in the appropriate box below and return the survey using the instructions below.**

Agency no longer in existence

Agency employed only part-time officers AND the total combined hours of work for these officers averaged less than 35 hours per week

**RETURN INSTRUCTIONS**

- Please submit your completed form by using the web reporting option at <https://survey6.spss-asp.com/REJIS>, mailing it to the Regional Justice Information Service (REJIS) in the enclosed postage paid envelope, or faxing each page to 1-314-535-1729.
- If you have any questions, comments, or feedback about the survey, please call the FIST project manager toll free at 1-800-531-2150, or send an e-mail to [fist@rejis.org](mailto:fist@rejis.org).
- Please retain a copy of your completed survey for 1 year.

**Burden Statement**

Federal agencies may not conduct or sponsor an information collection, and a person is not required to respond to a collection of information, unless it displays a currently valid OMB Control Number. Public reporting burden for this collection of information is estimated to average 25 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate, or any other aspects of this collection of information, including suggestions for reducing this burden, to the Director, Bureau of Justice Statistics, 810 Seventh Street, NW, Washington, DC 20531. The Omnibus Crime Control and Safe Streets Act of 1968, as amended (42 USC 3732), authorizes this information collection.

### INSTRUCTIONS FOR COMPLETING THE FORM

- Please mark 'X' in the appropriate boxes.
- If possible, please answer all questions for the entire calendar year (January through December) 2013. If data are available for only part of the year, please supply any available information in the spaces provided.
- If the answer to a question is "not available" or "unknown," write "DK" in the space provided.
- If the answer to a question is "not applicable," write "NA" in the space provided.
- If the answer to a question is "none" or "zero," write "0" in the space provided. Please respond with zero only when the actual total reported count is zero, as opposed to when the data are not known or unavailable.
- When an exact numeric response is not available, provide an estimate and mark the estimate box next to the number field. Please provide a brief explanation in Section III to describe how the estimates were calculated.
- Please do not leave any items blank unless otherwise directed.

#### Section I –AGENCY CHARACTERISTICS

#### Section II –APPLICATIONS AND DENIALS

**1. Does your agency issue, process, track, or conduct background checks for Purchase Permits?**

A purchase permit is a document that a prospective purchaser must present to a seller to receive a firearm.

- Yes  
 No  
 Don't know

**2. Does your agency issue, process, track, or conduct background checks for exempt Carry Permits?**

An exempt carry permit (may be concealed), for the purposes of this survey, is a state firearm carry permit (issued after a background check) that exempts the holder from a check at the time of a firearm purchase under a Bureau of Alcohol, Tobacco, Firearms, and Explosives (ATF) regulation or state law.

- Yes  
 No  
 Don't know

**3. Does your agency issue, process, track, or conduct background checks for any other firearm transfer or permit type?**

- Yes → Please describe the type of permit  
(If more space is needed, please use the space provided in Section III):

- No  
 Don't know

**4. Between January 1, 2013, and December 31, 2013, how many applications for firearm transfers or permits were received or tracked by your agency?**

Mark 'x' if estimate

a. Purchase permits (if applicable)

b. Carry permits (if applicable)

c. Other transfer or permit type (if applicable)

**5. Between January 1, 2013, and December 31, 2013, how many applications were denied?**

A denial occurs when an applicant is prohibited from receiving a firearm or permit that can be used to obtain a firearm because a disqualifying factor was found during a background check.

Mark 'x' if estimate

a. Purchase permits (if applicable)

b. Carry permits (if applicable)

c. Other transfer or permit type (if applicable)

**6. Does your agency track the reason(s) why an application was denied?** (If your agency had zero denials in 2013, please still indicate whether or not you would track the reasons for denial if one were issued.)

- Yes
- No (skip to question number 10)

**7. For denials issued in 2013, why was the application denied?** List total counts (including zeros, where applicable) for each reason for a denial (please include all federal, state, and local law reasons for denial within the most appropriate category). Mark 'x' in the checkbox provided for any estimated counts.

	Purchase Permit	Carry Permit	Mark 'x' if estimate
a. Felony indictment or charge.....			<input type="checkbox"/>
b. Felony conviction.....			<input type="checkbox"/>
c. Felony arrest with no disposition.....			<input type="checkbox"/>
d. Fugitive or outstanding warrant...			<input type="checkbox"/>
e. Domestic violence misdemeanor.....			<input type="checkbox"/>
f. Domestic violence, protective or restraining order.....			<input type="checkbox"/>
g. Addicted to or unlawful user of a controlled substance..			<input type="checkbox"/>
h. Mental health commitment or adjudication.....			<input type="checkbox"/>
i. Illegal or unlawful alien.....			<input type="checkbox"/>
j. State law prohibitor (if not included in above categories).....			<input type="checkbox"/>
k. Local law prohibitor (if not included in above categories).....			<input type="checkbox"/>
l. Other reasons not included above (including juveniles and dishonorable discharge).....			<input type="checkbox"/>

**8. If MULTIPLE reasons are for a denial, how are found reasons tracked?**

- All reasons for denial are tracked (skip to question 10)
- Only one reason for the denial is tracked
- Don't know (skip to question 10)

**9. If ONLY ONE reason for a denial is tracked, how is that reason tracked?**

- The first reason found during the background check is tracked
  - The most serious charge listed on the criminal history is tracked
  - Other method of tracking (Please explain. If more space is needed, please use the space provided in Section III)
- 
- Don't know

**10. Do any of the counts you provided for any of the items throughout the survey cover only part of the year?**

- Yes (please specify in Section III which counts cover only part of the year and the months that are covered)
- No

**Section III - COMMENTS**

Please include any comments that would better explain how your agency collects information for firearm transfers and permits. If the reported totals are estimates please provide a brief explanation to describe how the estimates were calculated. (Use back of page if more space is needed.)

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FORM FIST-1	U.S. DEPARTMENT OF JUSTICE BUREAU OF JUSTICE STATISTICS (REJIS ACTING AS DATA COLLECTION AGENT)	
<b>2013 FIREARMS INQUIRY STATISTICS (FIST)</b> <b>Annual Survey of Background Checks for Firearm Transfers and Permits</b>		

Please correct any errors in the name and address information that is printed below.

<b>OFFICIAL AGENCY NAME</b> <i>(If different from above)</i>	
<b>9-DIGIT NCIC-ORI NUMBER</b>	
<b>PERSON COMPLETING THE FORM</b>	
<b>NAME</b>	<b>TITLE</b>
<b>TELEPHONE</b>	<b>FAX</b>
<b>E-MAIL ADDRESS</b>	

**IMPORTANT – Please answer the following questions before proceeding with the questionnaire. Mark [X] in the appropriate box below.**

Did your agency issue, keep track of applications for, or conduct background checks for firearm permits at any time between January 1, 2013, and December 31, 2013?

Yes  
 If applicable, Please list any other agencies that you conduct these activities for:  
  
 (Agency Name(s))

No → The authorized permit issuing, processing, tracking, or checking agency for your jurisdiction is :  
  
 (Agency Name(s))

**If your response to the above question is "No" or if following condition (FOR LAW ENFORCEMENT AGENCIES ONLY) applies, you do not need to complete the questionnaire. Mark an [X] in the appropriate box below and return the survey using the instructions below.**

Agency no longer in existence  
 Agency employed only part-time officers AND the total combined hours of work for these officers averaged less than 35 hours per week

<b>RETURN INSTRUCTIONS</b>
<ul style="list-style-type: none"> <li>Please submit your completed form by using the web reporting option at <a href="https://survey6.spss-asp.com/REJIS">https://survey6.spss-asp.com/REJIS</a>, mailing it to the Regional Justice Information Service (REJIS) in the enclosed postage paid envelope, or faxing each page to 1-314-535-1729.</li> <li>If you have any questions, comments, or feedback about the survey, please call the FIST project manager toll free at 1-800-531-2150, or send an e-mail to <a href="mailto:fist@rejis.org">fist@rejis.org</a>.</li> <li>Please retain a copy of your completed survey for 1 year.</li> </ul>

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- Please mark 'X' in the appropriate boxes.
- If possible, please answer all questions for the entire calendar year (January through December) 2013. If data are available for only part of the year, please supply any available information in the spaces provided.
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- When an exact numeric response is not available, provide an estimate and mark the estimate box next to the number field. Please provide a brief explanation in Section V to describe how the estimates were calculated.
- Please do not leave any items blank unless otherwise directed.

#### Section I –AGENCY CHARACTERISTICS

#### Section II –APPLICATIONS AND DENIALS

**1. Does your agency issue or track or conduct background checks for Pistol Permits?** A

pistol/revolver permit is a document that a prospective purchaser must present to a seller to receive and possess a firearm. May also be referred to as a pistol license. Applies to all permit/license types (Carry Concealed, Possess on Premises, and Possess/Carry During Employment).

- Yes  
 No  
 Don't know

**2. Does your agency issue or track or conduct background checks for any other firearm transfer or permit type?**

- Yes → Please describe the type of permit  
(If more space is needed, please use the space provided in Section III):

- No  
 Don't know

**3. Between January 1, 2013, and December 31, 2013, how many applications for Pistol Permits were received or tracked by your agency?** (Include any license amendment applications to acquire a firearm that required another background check. These may also be referred to as purchase coupons.)

Mark 'x' if estimate

a. **Pistol Permits** (and license amendments)

b. **Other transfer or permit type** (if applicable)

**4. Between January 1, 2013, and December 31, 2013, how many applications were denied?** A denial occurs when an applicant is prohibited from receiving a firearm or permit that can be used to obtain a firearm because a disqualifying factor was found during a background check.

Mark 'x' if estimate


a. **Pistol permits** (and license amendments)

b. **Other transfer or permit type** (if applicable)

**5. Does your agency track the reason(s) why an application was denied?** (If your agency had zero denials in 2013, please still indicate whether or not you would track the reasons for denial if one were issued.)

- Yes  
 No (skip to question number 9)



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**Section I –APPLICATIONS AND DENIALS**

**1. Between January 1, 2013, and December 31, 2013, how many applications for firearm transfers were received or tracked by your agency?** This is a check that occurs after a seller transmits a prospective purchaser’s application data to a checking agency by telephone, computer, mail, or other means.

**Applications**  Mark 'x' if estimate

**2. Between January 1, 2013, and December 31, 2013, how many applications were denied?** A denial occurs when an applicant is prohibited from receiving a firearm or permit that can be used to obtain a firearm because a disqualifying factor was found during a background check.

**Denials**  Mark 'x' if estimate

**3. Does your agency track the reason(s) why an application was denied?** (If your agency had zero denials in 2013, please still indicate whether or not you would track the reasons for denial if one were issued.)

- Yes
- No (skip to question number 7)

**4. For denials issued in 2013, why was the application denied?** List total counts (including zeros, where applicable) for each reason for a denial (please include all federal, state, and local law reasons for denial within the most appropriate category). Mark 'x' in the checkbox provided for any estimated counts.

	Transfer Check	Mark 'x' if estimate
a. Felony indictment or charge.....	<input type="text"/>	<input type="checkbox"/>
b. Felony conviction.....	<input type="text"/>	<input type="checkbox"/>
c. Felony arrest with no disposition.....	<input type="text"/>	<input type="checkbox"/>
d. Fugitive or outstanding warrant.....	<input type="text"/>	<input type="checkbox"/>
e. Domestic violence misdemeanor.....	<input type="text"/>	<input type="checkbox"/>
f. Domestic violence, protective or restraining order.....	<input type="text"/>	<input type="checkbox"/>
g. Addicted to or unlawful user of a controlled substance.....	<input type="text"/>	<input type="checkbox"/>
h. Mental health commitment or adjudication.....	<input type="text"/>	<input type="checkbox"/>
i. Illegal or unlawful alien.....	<input type="text"/>	<input type="checkbox"/>
j. State law prohibitor (if not included in above categories)....	<input type="text"/>	<input type="checkbox"/>
k. Local law prohibitor (if not included in above categories)....	<input type="text"/>	<input type="checkbox"/>
l. Other reasons not included above (including juveniles and dishonorable discharge).....	<input type="text"/>	<input type="checkbox"/>

**5. If MULTIPLE reasons are found for a denial, how are reasons tracked?**

- All reasons for denial are tracked (skip to question 7)
- Only one reason for the denial is tracked
- Don't know (skip to question 7)

6. If ONLY ONE reason for a denial is tracked, how is that reason tracked?

- The first reason found during the background check is tracked
- The most serious charge listed on the criminal history is tracked
- Other method of tracking (Please explain. If more space is needed, please use the space provided in Section IV)

Don't know

## Section II –ARRESTS AND APPEALS

7. In 2013, did your agency track arrests that occurred as a result of a denied application?

An arrest, for the purposes of this survey, occurs when a denied person who submitted a false application or has an outstanding warrant is arrested by the checking agency or another agency that is notified.

- Yes
- No (skip to question number 9)

8. Between January 1, 2013, and December 31, 2013, how many arrests occurred as a result of a denied application?

Arrests  Mark 'x' if estimate

9. In 2013, did your agency track appeals made to your agency for reconsideration of denial? An appeal, for the purposes of this survey, is an objection to a denial decision and includes reconsiderations, challenges, and other informal procedures.

- Yes
- No (skip to question number 11)

10. How many denied persons appealed to your agency, requesting that your agency reconsider its initial denial decision between January 1, 2013, and December 31, 2013?

Mark 'x' if estimate

Appeals to agency

11. In 2013, did your agency track reversals by your agency of initial denial decisions?

- Yes
- No (skip to question number 13)

12. Between January 1, 2013, and December 31, 2013, how many initial denial decisions were reversed by your agency?

Mark 'x' if estimate

Reversals by agency

13. In 2013, did your agency track appeals to a court of any denial decision?

- Yes
- No (skip to question number 19)

14. How many denials were appealed to a court between January 1, 2013, and December 31, 2013?

Mark 'x' if estimate

Appeals to a court

15. In 2013, did your agency track reversals by a court of initial denial decisions?

- Yes
- No (skip to question 17)

16. Between January 1, 2013, and December 31, 2013, how many denials were reversed after being appealed to a court?

Mark 'x' if estimate

Reversals by a court

