

**Table of Contents: Attachments to Non-substantive Change Request to
OMB #1121-0314 Firearm Inquiry Statistics (FIST) Program**

- **Attachment I: List of new proposed FIST survey questions and instructions**
- **Attachment II: Revised FIST survey (proposed)**
- **Attachment III: Summary of pretest results**
- **Attachment IV: Screenshots of current FIST web-form**

Attachment I: List of new proposed FIST survey questions and instructions

2015 FIST Survey Questions - New questions or instructions indicated in **BOLD**

1. Between January 1, 2015, and December 31, 2015, how many applications for _____ were processed or tracked by your agency?

2. Between January 1, 2015, and December 31, 2015, how many applications for _____ were denied?

3. Does your agency track the reason(s) why an application was denied?

- | | |
|--------------------------|---------------------------------------------------------|
| <input type="checkbox"/> | Yes |
| <input type="checkbox"/> | No (<i>skip to question number 8</i>) [was 7 in 2014] |

4. **[NEW]** How does your agency track reasons for denial? (Please select all that apply)

- Counts of reasons are tallied by hand if requested
- Counts of reasons are tallied on paper as part of standard operations
- Computer software keeps a running count of reasons as part of standard operations
- Computer software can be queried for counts of reasons if needed
- Other (please explain in Comments section)

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

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

7. For denials tracked in 2015, why was the application denied?

[NEW] (*After answering this question, skip to question number 11*)

8. **[NEW]** Why is your agency unable to track reasons for denial? (Please select all that apply)

- No record of the reason for a denial is saved
- Records for 2015 were saved temporarily but purged before the survey was received
- Staff or budget is not available to look up or compile statistics on reasons for denial
- Records of reasons for denial are not in an easily accessible format
- Other (please explain in Comments section) _____


9. **[NEW]** What would enable your agency to keep summary statistics on reasons for denial? (Please select all that apply)

- Form for recording an application denial when the decision is made
- Form for recording a monthly summary of application denial decisions
- Computer software that tracks applications, denials, and reasons for denial
- Additional personnel or funds to keep track of application denial decisions
- Other (please explain in Comments section)

10. **[NEW]** If possible, please estimate what proportion (percentage) of your agency's denials are made up of the following reasons:

- Felony arrests, charges, and convictions
- Domestic violence convictions and protective (restraining) orders
- State law [how will this be defined?]
- Other [same as the other from #6?]

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

FORM FIST-1	U.S DEPARTMENT OF JUSTICE BUREAU OF JUSTICE STATISTICS (BJS) (REJIS ACTING AS DATA COLLECTION AGENT)	
2015 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 <i>(If different from above)</i>

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 process, track, or conduct background checks for firearm transfers or permits to purchase or carry at any time between January 1, 2015, and December 31, 2015?

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

(Agency Name(s))

No → The authorized permit 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 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://production7.spsscloud.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.
- 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.
- 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) 2015. 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 II to describe how the estimates were calculated.
- Please do not leave any items blank unless otherwise directed.

Section I –APPLICATIONS AND DENIALS

- 1. Between January 1, 2015, and December 31, 2015, how many applications for (Agency specific permit(s)/transfers) were processed or tracked by your agency?**

Applications

Mark 'x' if estimate

- 2. Between January 1, 2015, and December 31, 2015, how many applications for (Agency specific permit(s)/transfers) 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?** (Please indicate "Yes" if your agency had zero denials in 2015, but you would track the reason(s) for a denial if one were processed. Please also indicate "Yes" if you can provide estimates for reasons for denial.)

Yes

No (skip to question number 8)

- 4. How does your agency track reasons for denial? (Please select all that apply)**

- Computer software keeps a running count of reasons a part of standard operations
- Computer software can be queried for counts of reasons if needed
- Counts of reasons are tallied on paper as part of standard operations
- Counts of reasons are tallied by hand if requested
- Other (please explain in Comments section)

- 5. If MULTIPLE reasons are found for a denial, how are found 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 record is tracked
- Other method of tracking (Please explain. If more space is needed, please use the space provided in the Comments section.)

- Don't know

7. For denials tracked in 2015, 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.

	_____ _____ _____	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 (<i>if not included in above categories</i>).....	_____	<input type="checkbox"/>
k. Local law prohibitor (<i>if not included in above categories</i>).....	_____	<input type="checkbox"/>
l. Other reasons not included above (<i>including juveniles and dishonorable discharge</i>).....	_____	<input type="checkbox"/>

(After answering this question, skip to question number 11)

8. Why is your agency unable to track reasons for denial? (Please select all that apply)

- No record of the reason for a denial is saved
- Records for 2015 were saved temporarily but purged before the survey was received
- Staff or budget is not available to look up or compile statistics on reasons for denial
- Records of reasons for denial are not in an easily accessible format
- Other (please explain in Comments section)

9. What would enable your agency to keep summary statistics on reasons for denial? (Please select all that apply)

- Computer software that tracks applications, denials, and reasons for denial
- Form for recording a monthly summary of application denial decisions
- Form for recording an application denial when the decision is made
- Additional personnel or funds to keep track of application denial decisions
- Other (please explain in Comments section)

10. If possible, please estimate what proportion (percentage) of your agency's denials are made up of the following reasons:

Felony arrests, charges, and convictions _____
 Domestic violence convictions and protective (restraining) orders _____
 State law prohibitor (*if not included in above categories*) _____
 Other reasons not included above (*including juveniles and dishonorable discharge*) _____

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

(formatting to be finalized)

Yes (*please specify*):

- Which counts cover only part of the year:
The months that are covered:
- No

Attachment III: Summary of pretest results

Pretest Summary Evaluation of New Survey Questions 2015 Firearm Inquiry Statistics (FIST) Survey (3/31/16)

Summary of Respondents

Agencies receiving pretest – 9 (past respondents who have not given reasons for denial)

Respondents – 6

Returned evaluation form – 5

Returned survey with data – 3 (2 also returned evaluation, 1 only returned survey)

Summary of Responses

The number of responses is next to each choice, in bold.

1. Were **Questions 4 and 8 to 10** easy to understand?

- Easy* (**1**)
- Somewhat Easy* (**4**)
- Somewhat Difficult*
- Difficult*

Which questions were the most difficult to understand and why? (**0 responses**)

2. Did the order of **Questions 4 and 8 to 10** make sense to you in the context of the rest of the survey?

- Made Sense* (**3**)
- Made Some Sense* (**2**)
- Made Little Sense*
- Did Not Make Sense*

3. Do you think **Question 4** includes the most common methods used to track reasons for denial?

- Yes* (**4**)
- No* (**1**)

If no, what other methods should be included for tracking reasons for denial? (**1 response**)

We are a small agency and software is not an option. [Sanders Co. Sheriff, MT]

4. Do you think **Question 8** includes the most common barriers to tracking reasons for denial?

- Yes* (**5**)
- No*

If no, what other barriers should be included for tracking reasons for denial? (**0 responses**)

Attachment III: Summary of pretest results

5. **Question 9** includes some common record keeping enhancements that could enable an agency to keep statistics on reasons for denial. Do you think these are the most likely enhancements that could be made?

- Yes* (4)
 No

If no, what other enhancements should be included in the choices? (1 response)
Unknown [Blue Earth Co. Sheriff, MN]

6. Would your agency be able to provide the estimates requested in **Question 10**?

- Yes* (5) [Blue Earth Co. Sheriff, MN added comment: "possible"]
 No

7. Do you have any recommendations for how we could help agencies like yours track or estimate reasons for denials? (3 responses)

I believe you have given great suggestions in your questions that you ask in your survey. [Barrow Co. Probate Court, GA]

Our method of a file folder with a copy of the application, background check and letter stating the reason for rejection works for us. [Sanders Co. Sheriff, MT]

Having a 'standard list' of denial categories that can be checked off by the authorizing judge / individual and tracked on a pistol permit database. [Westchester Co. Clerk, NY]

8. How much time did you spend on your evaluation, including reading of the survey form and filling out the evaluation form? (5 responses)

10, 15, 20, 30, and 45 minutes.

Please use the remainder of this form to supply any additional comments, questions, recommendations, or general impressions of survey overall and/or the new questions. Thank you for your participation. We value your input. (0 responses)

Attachment IV: Screenshots of current FIST web-form

OMB NO. 1121-0314: Approval Expires 02/28/2014



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

**2012 FIREARMS INQUIRY STATISTICS (FIST)
Annual Survey of Background Checks for Firearm Transfers and Permits**

Welcome to the 2012 FIST Annual Survey. Please enter your User ID and Password Below to enter the survey.

User ID

Password

ENTER

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 30 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.

This Web site is funded through a grant from the Bureau of Justice Statistics, Office of Justice Programs, U.S. Department of Justice. Neither the U.S. Department of Justice nor any of its components operate, control, are responsible for, or necessarily endorse, this Web site (including, without limitation, its content, technical infrastructure, and policies, and any services or tools provided).

Attachment IV: Screenshots of current FIST web-form

OMB NO. 1121-0314: Approval Expires 02/28/2014



2012 FIREARMS INQUIRY STATISTICS (FIST)

INSTRUCTIONS FOR COMPLETING THE WEB FORM

- If possible, please answer all questions for the entire calendar year (January through December) 2012. 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 "none" or "zero," enter "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 IV to describe how the estimates were calculated.
- Please do not use commas when entering numbers.
- Please do not leave any items blank in unless otherwise directed.
- Please make sure you are connected to a printer when completing this survey as we request that you print a copy of your responses at the end of the survey and retain them for one year.
- Important: Do not click on the "Back" button on your web browser. Doing so will require you to re-enter the survey. Please use the "Previous Screen" and "Next Screen" buttons at the bottom of your screen to advance the survey or go back to previous pages.

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 30 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.

<< Previous Screen

Next Screen >>

Save and Complete Later

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. If you have technical difficulties with the site, please send a message to sassist@us.ibm.com.

Attachment IV: Screenshots of current FIST web-form

OMB NO. 1121-0314: Approval Expires 02/28/2014



Section I – AGENCY CHARACTERISTICS

Does your agency conduct Point of Transfer background checks? 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.

- Yes
- No
- Don't know

Does your agency conduct background checks for Purchase Permits? A purchase permit is a document (referred to as a permit, license, identification card, or other name) that a prospective purchaser must present to a seller to receive a firearm.

- Yes
- No
- Don't know

Does your agency conduct background checks for exempt Concealed Carry Permits? An exempt concealed carry permit, for the purposes of this survey, is a state concealed firearm 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

<< Previous Screen

Next Screen >>

Save and Complete Later

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. If you have technical difficulties with the site, please send a message to sassist@us.ibm.com.

Attachment IV: Screenshots of current FIST web-form

OMB NO. 1121-0314: Approval Expires 02/28/2014



Section II –APPLICATIONS AND DENIALS: POINT OF TRANSFER CHECKS

Between January 1, 2012, and December 31, 2012, how many **transfer** 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 if estimate	Don't know
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>

<< Previous Screen

Next Screen >>

Save and Complete Later

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. If you have technical difficulties with the site, please send a message to sassist@us.ibm.com.

Attachment IV: Screenshots of current FIST web-form

OMB NO. 1121-0314: Approval Expires 02/28/2014



Section II –APPLICATIONS AND DENIALS: POINT OF TRANSFER CHECKS

For denials issued in 2012, why was the transfer 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 the checkbox provided for any estimated counts.

		Mark if estimate	Don't know
Felony indictment or charge	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Felony conviction	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Felony arrest with no disposition	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fugitive or outstanding warrant	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Domestic violence misdemeanor	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Domestic violence, protective or restraining order	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Addicted to or unlawful user of a controlled substance	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mental health commitment or adjudication	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Illegal or unlawful alien	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
State law prohibitor (if not included in above categories)	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Local law prohibitor (if not included in above categories)	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other reasons not included above (including juveniles and dishonorable discharge)	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>

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. If you have technical difficulties with the site, please send a message to sassist@us.ibm.com.

Attachment IV: Screenshots of current FIST web-form

OMB NO. 1121-0314: Approval Expires 02/28/2014



Section II –APPLICATIONS AND DENIALS: POINT OF TRANSFER CHECKS

If only *one* reason for the *transfer denial* is recorded or reported, what reason is reported?

- The first reason found during the background check
- The most serious charge listed on the criminal history record
- Other method (*Please explain*)

- Don't know

<< Previous Screen

Next Screen >>

Save and Complete Later

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@rejjs.org. If you have technical difficulties with the site, please send a message to sassist@us.ibm.com.

Attachment IV: Screenshots of current FIST web-form

OMB NO. 1121-0314: Approval Expires 02/28/2014



SUMMARY PAGE

Please review your answers. If you need to make any revisions, go back to the question you need to change using the Previous Screen button. Otherwise, if you are done, please print a copy of the summary of your completed survey. Please retain a copy of your completed survey for 1 year.

Sheriff/Police Chief Information

Sheriff/Police Chief Name:	Sheriff_Police_Chief_Name04
Agency Name:	Agency_Name04
Address:	address04
City:	city04
State:	state04
ZIP:	12345
9-Digit NCIC-ORI Number:	123456789

Person Completing Form

NAME	John Doe
TELEPHONE	3213213214
E-MAIL ADDRESS	john@sheriff.gov
TITLE	Deputy
FAX	4564564567

Section I - Agency Characteristics

Did your agency conduct background checks for firearm transfers or permits for the entire calendar year 2012, January 1, 2012, through December 31, 2012?

- Yes
- No

Does your agency conduct Point of Transfer background checks? 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.

Attachment IV: Screenshots of current FIST web-form

In 2012, did your agency track *appeals* made to your agency for *reconsideration* of a *transfer 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

In 2012, did your agency track *reversals* by your agency of initial *transfer denial* decisions?

- Yes
 No

In 2012, did your agency track *appeals to a court* of any *transfer denial* decision?

- Yes
 No

In 2012, did your agency track *reversals by a court* of initial *transfer denial* decisions?

- Yes
 No

Section IV - Partial Year Counts

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

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

Section V - Comments

Please include any comments that would better explain how your agency collects information on background checks. If the reported totals are estimates please provide a brief explanation to describe how the estimates were calculated.

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. If you have technical difficulties with the site, please send a message to sassist@us.ibm.com.