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## Attachment I. BJS Authority

### DERIVATION

#### Title I

THE OMNIBUS CRIME CONTROL AND SAFE STREETS ACT OF 1968

(Public Law 90-351)

42 U.S.C. § 3711, *et seq.*

*AN ACT to assist State and local governments in reducing the incidence of crime, to increase the effectiveness, fairness, and coordination of law enforcement and criminal justice systems at all levels of government, and for other purposes.*

#### As Amended By

THE OMNIBUS CRIME CONTROL ACT OF 1970

(Public Law 91-644)

THE CRIME CONTROL ACT OF 1973

(Public Law 93-83)

THE JUVENILE JUSTICE AND DELINQUENCY PREVENTION ACT OF 1974

(Public Law 93-415)

THE PUBLIC SAFETY OFFICERS' BENEFITS ACT OF 1976

(Public Law 94-430)

THE CRIME CONTROL ACT OF 1976

(Public Law 94-503)

THE JUSTICE SYSTEM IMPROVEMENT ACT OF 1979

(Public Law 96-157)

THE JUSTICE ASSISTANCE ACT OF 1984

(Public Law 98-473)

STATE AND LOCAL LAW ENFORCEMENT ASSISTANCE ACT OF 1986

(Public Law 99-570-Subtitle K)

THE ANTI-DRUG ABUSE ACT OF 1988

TITLE VI, SUBTITLE C - STATE AND LOCAL NARCOTICS CONTROL  
AND JUSTICE ASSISTANCE IMPROVEMENTS

(Public Law 100-690)

THE CRIME CONTROL ACT OF 1990

(Public Law 101-647)

BRADY HANDGUN VIOLENCE PROTECTION ACT

(Public Law 103-159)

VIOLENT CRIME CONTROL AND LAW ENFORCEMENT ACT OF 1994

(Public Law 103-322)

NATIONAL CHILD PROTECTION ACT OF 1993, AS AMENDED

(Public Law 103-209) and

CRIME IDENTIFICATION TECHNOLOGY ACT OF 1998 (Public Law 105-251)

**Attachment I. BJS Authority**

**BUREAU OF JUSTICE STATISTICS  
CHAPTER 46 - SUBCHAPTER III  
[TITLE I - PART C]**

*42 USC § 3731*      **[Sec. 301.] Statement of purpose**

It is the purpose of this subchapter [part] to provide for and encourage the collection and analysis of statistical information concerning crime, juvenile delinquency, and the operation of the criminal justice system and related aspects of the civil justice system and to support the development of information and statistical systems at the Federal, State, and local levels to improve the efforts of these levels of government to measure and understand the levels of crime, juvenile delinquency, and the operation of the criminal justice system and related aspects of the civil justice system. The Bureau shall utilize to the maximum extent feasible State governmental organizations and facilities responsible for the collection and analysis of criminal justice data and statistics. In carrying out the provisions of this subchapter [part], the Bureau shall give primary emphasis to the problems of State and local justice systems.

*42 USC § 3732*      **[Sec. 302.] Bureau of Justice Statistics**

(a) Establishment. There is established within the Department of Justice, under the general authority of the Attorney General, a Bureau of Justice Statistics (hereinafter referred to in this subchapter [part] as “Bureau”).

(b) Appointment of Director; experience; authority; restrictions. The Bureau shall be headed by a Director appointed by the President, by and with the advice and consent of the Senate. The Director shall have had experience in statistical programs. The Director shall have final authority for all grants, cooperative agreements, and contracts awarded by the Bureau. The Director shall report to the Attorney General through the Assistant Attorney General. The Director shall not engage in any other employment than that of serving as Director; nor shall the Director hold any office in, or act in any capacity for, any organization, agency, or institution with which the Bureau makes any contract or other arrangement under this Act.

(c) Duties and functions of Bureau. The Bureau is authorized to—

(1) make grants to, or enter into cooperative agreements or contracts with public agencies, institutions of higher education, private organizations, or private individuals for purposes related to this subchapter [part]; grants shall be made subject to continuing compliance with standards for gathering justice statistics set forth in rules and regulations promulgated by the Director;

(2) collect and analyze information concerning criminal victimization, including crimes against the elderly, and civil disputes;

## **Attachment I. BJS Authority**

- (3) collect and analyze data that will serve as a continuous and comparable national social indication of the prevalence, incidence, rates, extent, distribution, and attributes of crime, juvenile delinquency, civil disputes, and other statistical factors related to crime, civil disputes, and juvenile delinquency, in support of national, State, and local justice policy and decision making;
- (4) collect and analyze statistical information, concerning the operations of the criminal justice system at the Federal, State, and local levels;
- (5) collect and analyze statistical information concerning the prevalence, incidence, rates, extent, distribution, and attributes of crime, and juvenile delinquency, at the Federal, State, and local levels;
- (6) analyze the correlates of crime, civil disputes and juvenile delinquency, by the use of statistical information, about criminal and civil justice systems at the Federal, State, and local levels, and about the extent, distribution and attributes of crime, and juvenile delinquency, in the Nation and at the Federal, State, and local levels;
- (7) compile, collate, analyze, publish, and disseminate uniform national statistics concerning all aspects of criminal justice and related aspects of civil justice, crime, including crimes against the elderly, juvenile delinquency, criminal offenders, juvenile delinquents, and civil disputes in the various States;
- (8) recommend national standards for justice statistics and for insuring the reliability and validity of justice statistics supplied pursuant to this chapter [title];
- (9) maintain liaison with the judicial branches of the Federal and State Governments in matters relating to justice statistics, and cooperate with the judicial branch in assuring as much uniformity as feasible in statistical systems of the executive and judicial branches;
- (10) provide information to the President, the Congress, the judiciary, State and local governments, and the general public on justice statistics;
- (11) establish or assist in the establishment of a system to provide State and local governments with access to Federal informational resources useful in the planning, implementation, and evaluation of programs under this Act;
- (12) conduct or support research relating to methods of gathering or analyzing justice statistics;
- (13) provide for the development of justice information systems programs and assistance to the States and units of local government relating to collection, analysis, or dissemination of justice statistics;

## **Attachment I. BJS Authority**

(14) develop and maintain a data processing capability to support the collection, aggregation, analysis and dissemination of information on the incidence of crime and the operation of the criminal justice system;

(15) collect, analyze and disseminate comprehensive Federal justice transaction statistics (including statistics on issues of Federal justice interest such as public fraud and high technology crime) and to provide technical assistance to and work jointly with other Federal agencies to improve the availability and quality of Federal justice data;

(16) provide for the collection, compilation, analysis, publication and dissemination of information and statistics about the prevalence, incidence, rates, extent, distribution and attributes of drug offenses, drug related offenses and drug dependent offenders and further provide for the establishment of a national clearinghouse to maintain and update a comprehensive and timely data base on all criminal justice aspects of the drug crisis and to disseminate such information;

(17) provide for the collection, analysis, dissemination and publication of statistics on the condition and progress of drug control activities at the Federal, State and local levels with particular attention to programs and intervention efforts demonstrated to be of value in the overall national anti- drug strategy and to provide for the establishment of a national clearinghouse for the gathering of data generated by Federal, State, and local criminal justice agencies on their drug enforcement activities;

(18) provide for the development and enhancement of State and local criminal justice information systems, and the standardization of data reporting relating to the collection, analysis or dissemination of data and statistics about drug offenses, drug related offenses, or drug dependent offenders;

(19) provide for research and improvements in the accuracy, completeness, and inclusiveness of criminal history record information, information systems, arrest warrant, and stolen vehicle record information and information systems and support research concerning the accuracy, completeness, and inclusiveness of other criminal justice record information;

(20) maintain liaison with State and local governments and governments of other nations concerning justice statistics;

(21) cooperate in and participate with national and international organizations in the development of uniform justice statistics;

(22) ensure conformance with security and privacy requirement of section 3789g of this title and identify, analyze, and participate in the development and implementation of privacy, security and information policies which impact on Federal and State criminal justice operations and related statistical activities; and

## Attachment I. BJS Authority

(23) exercise the powers and functions set out in subchapter VIII [part H] of this chapter [title].

(d) Justice statistical collection, analysis, and dissemination. To insure that all justice statistical collection, analysis, and dissemination is carried out in a coordinated manner, the Director is authorized to—

(1) utilize, with their consent, the services, equipment, records, personnel, information, and facilities of other Federal, State, local, and private agencies and instrumentalities with or without reimbursement therefor, and to enter into agreements with such agencies and instrumentalities for purposes of data collection and analysis;

(2) confer and cooperate with State, municipal, and other local agencies;

(3) request such information, data, and reports from any Federal agency as may be required to carry out the purposes of this chapter [title];

(4) seek the cooperation of the judicial branch of the Federal Government in gathering data from criminal justice records; and

(5) encourage replication, coordination and sharing among justice agencies regarding information systems, information policy, and data.

(e) Furnishing of information, data, or reports by Federal agencies. Federal agencies requested to furnish information, data, or reports pursuant to subsection (d)(3) of this section shall provide such information to the Bureau as is required to carry out the purposes of this section.

(f) Consultation with representatives of State and local government and judiciary. In recommending standards for gathering justice statistics under this section, the Director shall consult with representatives of State and local government, including, where appropriate, representatives of the judiciary.

### *42 USC § 3733*      **[Sec. 303.] Authority for 100 per centum grants**

A grant authorized under this subchapter [part] may be up to 100 per centum of the total cost of each project for which such grant is made. The Bureau shall require, whenever feasible as a condition of approval of a grant under this subchapter [part] , that the recipient contribute money, facilities, or services to carry out the purposes for which the grant is sought.

### *42 USC § 3735*      **[Sec. 304.] Use of data**

## **Attachment I. BJS Authority**

Data collected by the Bureau shall be used only for statistical or research purposes, and shall be gathered in a manner that precludes their use for law enforcement or any purpose relating to a particular individual other than statistical or research purposes.

FORM FIST-1

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



**2016 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.

<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>	
<p><b><i>IMPORTANT – Please answer the following questions before proceeding with the questionnaire. Mark [X] in the appropriate box below.</i></b></p> <p>Did your agency process, track, or conduct background checks for firearm transfers or permits to purchase or carry at any time between January 1, 2016, and December 31, 2016?</p> <p><input type="checkbox"/> Yes → If applicable, please list any other agencies for whom you conduct these activities:</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <p style="text-align: center;">(Agency Name(s))</p> <p><input type="checkbox"/> No → The authorized permit processing, tracking, or checking agency for your jurisdiction is:</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <p style="text-align: center;">(Agency Name(s))</p> <p><b><i>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.</i></b></p> <p><input type="checkbox"/> Agency no longer in existence</p> <p><input type="checkbox"/> Agency employed only part-time officers AND the total combined hours of work for these officers averaged less than 35 hours per week</p>	
<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="http://rejis.org/FIST">rejis.org/FIST</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>	
<b>Burden Statement</b>	
<p>Under the Paperwork Reduction Act, we cannot ask you to respond to a collection of information unless it displays a current OMB control number. The burden of this collection 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 this form. 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.</p>	



**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, 2016, and December 31, 2016, how many applications for Purchase Permits (Transfer Permits) were processed or tracked by your agency?**

Applications

Mark 'x' if estimate

- 2. Between January 1, 2016, and December 31, 2016, how many applications for Purchase Permits (Transfer Permits) 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 2016, 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 as 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 below or 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 below or in Comments section.)

- Don't know

**7. For denials tracked in 2016, 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 Permits	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 2016 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 below or 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 below or 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*)

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US DEPARTMENT OF JUSTICE  
BUREAU OF JUSTICE STATISTICS  
(REJIS ACTING AS DATA COLLECTION AGENT)

## 2016 FIREARMS INQUIRY STATISTICS (FIST)

### Annual Survey of Background Checks for Firearm Transfers and Permits

#### Burden Statement

Under the Paperwork Reduction Act, we cannot ask you to respond to a collection of information unless it displays a currently valid OMB control number. The burden of this collection 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 this form. 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, 2014-BJ-CX-K016, 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).

**Welcome to the 2016 FIST Annual Survey. Please enter your User ID and Password below to enter the survey.**

User ID

Password

Submit

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).



## INSTRUCTIONS FOR COMPLETING THE FORM

- If possible, please answer all questions for the entire calendar year (January through December) 2016. 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," 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 are unavailable. In cases where data are not known or are unavailable, please check applicable box.
- 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 use commas when entering numbers.
- Please do not leave any items blank unless otherwise directed.
- Please make sure you are connected to a printer when completing this survey as we recommend that you print a copy of your responses at the end of the survey and retain them for one year.
- Your responses will automatically be saved when you select the "Save and Continue" button.

**Important:** Do not click on the "**Back**" button on your web browser. Doing so will log you out and require you to re-enter the survey. Please use the "**Previous Screen**" and "**Save and Continue**" buttons at the bottom of your screen to go back to previous pages or advance the survey.





## Section I - APPLICATIONS AND DENIALS

Between January 1, 2016, and December 31, 2016, how many applications for Weapons Carry Licenses were processed or tracked by your agency?

	Applications	Mark if estimate
Weapons Carry Licenses	<input type="text"/>	<input type="checkbox"/>

[Instructions for completing the web form](#)

Previous Screen

Save and Continue

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).



**Does your agency track the reason(s) why an application was denied?** (Please indicate “Yes” if your agency had zero denials in 2016, 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

[Instructions for completing the web form](#)

Previous Screen

Save and Continue

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).



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

Computer software keeps a running count of reasons as 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 below or in Comments section)

[Instructions for completing the web form](#)

Previous Screen

Save and Continue

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).





**Between January 1, 2016, and December 31, 2016, how many applications for Weapons Carry Licenses 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 if estimate
<b>Weapons Carry Licenses</b>	<input type="text"/>	<input type="checkbox"/>

[Instructions for completing the web form](#)

Previous Screen

Save and Continue

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).



**For denials tracked in 2016, 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.

	Count	Mark if estimate
a. Felony indictment or charge	0	<input type="checkbox"/>
b. Felony conviction	0	<input type="checkbox"/>
c. Felony arrest with no disposition	0	<input type="checkbox"/>
d. Fugitive or outstanding warrant	0	<input type="checkbox"/>
e. Domestic violence misdemeanor	0	<input type="checkbox"/>
f. Domestic violence, protective or restraining order	0	<input type="checkbox"/>
g. Addicted to or unlawful user of a controlled substance	0	<input type="checkbox"/>
h. Mental health commitment or adjudication	0	<input type="checkbox"/>
i. Illegal or unlawful alien	0	<input type="checkbox"/>
j. State law prohibitor ( <i>if not included in above categories</i> )	0	<input type="checkbox"/>
k. Local law prohibitor ( <i>if not included in above categories</i> )	0	<input type="checkbox"/>
l. Other reasons not included above ( <i>including juveniles and dishonorable discharge</i> )	0	<input type="checkbox"/>

[Instructions for completing the web form](#)

Previous Screen

Save and Continue

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).



**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 2016 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 below or in Comments section)

[Instructions for completing the web form](#)

Previous Screen

Save and Continue

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).



U.S. Department of Justice

Office of Justice Programs

Bureau of Justice Statistics

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Washington, D.C. 20531

**MEMORANDUM**

**TO:** Shelly Martinez  
Desk Officer  
Office of Management and Budget

**THROUGH:** Lynn Murray  
Clearance Officer  
Justice Management Division

Jeri Mulrow  
Acting Director

Devon Adams  
Chief, Criminal Justice Data Improvement Program

**FROM:** Allina Lee  
Statistical Policy Advisor

**SUBJECT:** Non-substantive Change to OMB# 1121-0314 Firearm Inquiry Statistics (FIST) Program – adding four new questions to survey instrument

**DATE:** April 12, 2016

The purpose of this memorandum is to advise OMB of and request approval for proposed changes to the approved Firearm Inquiry Statistics (FIST) Program survey instrument.

Briefly, the FIST program collects data on firearm background check activities from a sample of local agencies authorized to conduct background checks and combines these data with data obtained from state reporting agencies, the Federal Bureau of Investigation (FBI), and the Bureau of Alcohol, Tobacco, Firearms, and Explosives (ATF) to produce a national estimate of firearm applications, denials, and reasons for denials. Since 1995, BJS has conducted the FIST survey. The Regional Justice Information Service (REJIS) was competitively awarded a cooperative agreement in FY 2014 to, under BJS's direction, continue its efforts to administer the FIST data collection.

**Proposed survey revisions**

As part of our overall effort to improve the FIST methodology and respond to increased interest by policymakers, government officials, and the public about why applications for firearm transfers are denied, we continue to strategize ways to collect more reliable and complete information about reasons for denials. As discussed in the methodology section of the FIST publication, Background Checks for Firearm Transfers, 2012 – Statistical Tables,<sup>1</sup> collecting data on reasons for denial is complicated by several factors, in particular

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<sup>1</sup> BJS is currently in process of finalizing the Background Checks for Firearm Transfers – Statistical Tables, 2014. The publication is expected to be released in June 2016.

differences in the methods checking agencies follow to track and record reasons for denial and variations in how Federal and state law prohibitions are classified. A key challenge to collecting these data is also high item nonresponse – some agencies do not report data to FIST, though the reasons for not doing so are not always clear.

We are proposing to add four new questions to the FIST survey instrument to obtain better information on if and how agencies collect data on reasons for denial. Our goal is to better understand the processes followed to track and report this information and identify what resources could help to improve these processes. The questions are designed to obtain more detailed information on how agencies track denials, why agencies are unable to track denials (if applicable), and what resources would enable them to begin tracking summary statistics of denials (if applicable). One of the proposed questions asks respondents to estimate what proportion of the agency's denials are made up of various major categories, including felony arrests, charges, and convictions, domestic violence convictions and protective (restraining) orders, and state law prohibitions. Attachment I highlights the new instructions and questions for ease of review.

In addition to the new questions, we also propose to retain the survey screener questions only for those states (Minnesota, Nebraska, and Washington) where the checking/permitting function can vary amongst local agencies within the state, e.g. in some counties a sheriff's office may be doing checks, while in others the local police department does the checks, or in some cases both do the checks. By contrast, in a place like Iowa, for example, the checking/permitting authority is always the local sheriff and there is no deviation from this authority (i.e., no local police departments do the checks). BJS's experience has shown that, in places where there is certainty about who is a checking/permitting agency, the screener questions may inadvertently confuse the respondent and result in agencies inaccurately exempting themselves from the survey. In other words, in most cases, the screener questions do not reduce respondent burden and may cause agencies to mistakenly believe they are ineligible to participation in the survey.

A copy of the revised FIST survey can be found in Attachment II.

### **Pretest results**

REJIS sent the revised survey and a brief evaluation form to obtain feedback on the new proposed questions to 9 local agencies that did not provide data on reasons for denial for the 2012 FIST collection. The objective of the pretest was to get feedback on the wording and organization of the new questions. Six agencies responded, of which 5 returned the evaluation form and 3 provided data in addition to completing the evaluation form.

Overall, the feedback received was positive. All 5 respondents that returned an evaluation form reported that the questions were either easy or somewhat easy to understand and that the ordering made sense. Four out of 5 respondents reported that the new Q4 included the most common methods used to track reasons for denial, and all 5 respondents reported that the new Q8 included the most common barriers to tracking reasons for denial. All 5 respondents also reported they would be able to provide the requested estimates of reasons for denial (new Q6). Attachment III provides a summary of the pretest results.

### **Burden**

The approved respondent burden for the current FIST survey is 25 minutes. This approved estimated burden included 10 questions about activities related to appeals, arrests, and reversals. Due to historically high item nonresponse, these questions were removed from the 2013-2014 FIST survey instrument.

The additional questions we are proposing to add will not require respondents to query or tabulate new or additional information. Rather, they are designed to obtain information on processes and resources. The new proposed Q10 asks respondents to provide an estimate of denials by categories that they should already maintain, which should not result in any increased burden. Respondents also have the option to skip this question if they are not able to provide the information. Additional clarification and instructions have also been added to the form which has increased the amount of time required to review and complete the survey. BJS feels that the additional instructions and guidance are critical elements to include and will actually serve to reduce burden by providing better clarification and thus alleviating confusion. Even if there would be an additional

response burden associated with the new questions, BJS estimates it would not exceed the time respondents spent answering the 10 questions on the prior form related to appeals, arrests, and reversals, so the 25 minute estimate is still practical.

Three respondents provided data during pretesting, and 2 completed a survey and an evaluation sheet. The average respondent burden was 25 minutes (20 and 30 minutes) for the agencies that returned both an evaluation form and submitted a survey. The remaining agencies reported the estimated time spent completing the evaluation form.<sup>2</sup>

Based on these responses, the deletion of questions related to arrests and appeals, and the fact that the additional questions will not require respondents to query or tabulate new or additional information, we anticipate the estimated burden will remain 25 minutes annually.

### **Web-form**

As detailed in the approved OMB clearance package, the FIST web-form was designed and tested with input from survey methodologists, subject matter experts, and background checking agency stakeholders. The web-form is intended to encourage participation by providing a secure, convenient mode of responding to the FIST survey and is intended to streamline the survey process by eliminating questions that the respondent may not need to see, thus also reducing response burden. It is also designed to reduce item nonresponse by requiring that a response to critical items is submitted before continuing to the next question.

Each FIST participant will continue to be provided a unique User ID and password that will allow secure access to the web form. In order to reduce any differences in response as a result of the mode by which a respondent chooses to participate in the survey (mode effects), particularly mode effects due to the different web and mail response modes, the web-form was designed to mimic the visual presentation of the paper survey as much as possible. The wording of the questions is consistent between the two modes.

The modifications to the web-form will be finalized upon receiving OMB's approval of the proposed changes. Screenshots of the current web-form are provided to show the layout and sequence, which will be updated with the new questions upon approval.

### **Implementation plan**

Pending OMB approval of the proposed survey changes, REJIS will complete the modifications to the web-form and paper survey and redraw the FIST sample. The 2015 FIST data collection is scheduled to begin in May 2016.

### **Summary**

BJS seeks OMB approval of the above noted changes to the FIST survey. We will work to expeditiously respond to any OMB inquiries and/or requests for additional information.

Thank you in advance for your time and consideration.

### **Attachments:**

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

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<sup>2</sup> The agency that reported a burden of 45 minutes indicated in a follow up call that they were initially confused by the request, which resulted in a higher than accurate burden to complete the evaluation form.

**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)	
<b>2015 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 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

<b>RETURN INSTRUCTIONS</b>
----------------------------

- Please submit your completed form by using the web reporting option at [https://production7.spsscloud.com/REJIS\\_A](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](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) 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 (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"/>

(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



**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)*



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).



## 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.

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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](mailto:fist@rejis.org). If you have technical difficulties with the site, please send a message to [sassist@us.ibm.com](mailto:sassist@us.ibm.com).





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

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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). If you have technical difficulties with the site, please send a message to [sassist@us.ibm.com](mailto:sassist@us.ibm.com).



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](mailto:fist@rejis.org). If you have technical difficulties with the site, please send a message to [sassist@us.ibm.com](mailto:sassist@us.ibm.com).



**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](mailto:fist@rejis.org). If you have technical difficulties with the site, please send a message to [sassist@us.ibm.com](mailto:sassist@us.ibm.com).



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

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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](mailto:fist@rejjs.org). If you have technical difficulties with the site, please send a message to [sassist@us.ibm.com](mailto:sassist@us.ibm.com).



**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.

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](mailto:fist@rejis.org). If you have technical difficulties with the site, please send a message to [sassist@us.ibm.com](mailto:sassist@us.ibm.com).

**Firearm Inquiry Statistics (FIST) Program Schedule**

**Attachment V. Proposed 2016 FIST project schedule    October 1, 2015 to December 31, 2016**

<b>Task #</b>	<b>Task</b>	<b>Start Date</b>	<b>End Date</b>
<b>1</b>	<b>Develop Project Time Plan - 2016 FIST Project Management</b>		
1.1	Kickoff meeting with BJS	FEB (17)	FEB (17)
1.2	Develop and present an initial detailed time plan to BJS for each task in the project	DEC (16)	DEC (16)
1.2	Overall supervision to keep the project on time and on budget including making adjustments for unforeseen obstacles in data collection	DEC (16)	MAR (18)
<b>2</b>	<b>Review and Revise Survey Instrument</b>		
2.1	Review and revise current survey instrument	DEC (16)	FEB (17)
2.2	Obtain feedback from BJS and make necessary adjustments	FEB (17)	MAR (17)
2.3	Develop equivalent web-based form to match, as closely as possible, the paper version, test and make necessary revisions	MAY (17)	MAY (17)
2.5	BJS final approval of paper and web instruments	MAY (17)	MAY (17)
2.6	Paper form printing	MAY(17)	MAY (17)
<b>2</b>	<b>Review, Update, and Maintain FIST Universe</b>		
3.1	Review federal & state firearm legislation to uncover any changes that affect data collection	DEC (16)	JAN (17)
3.2	Review FBI & ATF websites for updates to NICS s	DEC (16)	JAN (17)
3.3	Review and verification of state and local checking agencies - Frame validation	DEC (16)	MAR (17)
3.4	frame and info gathered from data collection		ONGOING
<b>2</b>	<b>Sample Redraw and Strategy Development for Data Collection</b>		
4.1	Redraw local agency sample to achieve state level estimates (according to current research design)	APR (17)	APR (17)
4.2	Plan for data collection from state agency reporters	FEB (17)	FEB (17)
4.3	Any data not available from NICS operations report to be collected by request for data to the FBI NICS Section	FEB (17)	MAR (17)
4.4	Obtain summary from ATF's DENI Branch in FBI denials	FEB (17)	MAR (17)
<b>2</b>	<b>Estimation and Weighting</b>		
5.1	Design weights construction based on sample draw	APR (17)	ARP (17)
5.2	Mean value imputation for item missing data (See Task 4)	OCT (17)*	OCT (17)*
5.3	Non-response adjustments to account for out of scope agencies and non-response among agencies (See Task 4)	OCT (17)*	OCT (17)*
<b>2</b>	<b>Identify/initiate strategy to improve collection and reporting of data on reasons for denial (Corresponds to BJS Task 9)</b>		
8.1	Creation of crosswalk that maps other states reasons for denials to FIST categories	DEC (16)	OCT (17)*
8.2	Analysis and survey planning with FIST consultant	JAN (17)	JUN (17)

**Firearm Inquiry Statistics (FIST) Program Schedule**

<b>Task #</b>	<b>Task</b>	<b>Start Date</b>	<b>End Date</b>
8.3	Analyze past years FIST data to look at nonresponse specifically for reasons for denial to seek out any bias in reporting	DEC (16)	OCT (17)
8.4	Additional survey design and question refinement time plus extra processing time - See description of Year 1 Plan under Task 9 in Program Narrative	DEC (16)	OCT (17)
<b>3</b>	<b>Data Collection and Follow-up Strategy to Maximize Response Rates (Corresponds to BJS Tasks 6 and 7)</b>		
6.1	Download FBI and state internet data; translate to FIST categories; record in database; prepare confirmation forms	JAN (17)	FEB (17)
6.2	Request data from ATF & from FBI if necessary; record data	FEB (17)	MAR (17)
6.3	Preparation of pre-notice mailout	MAY (17)	MAY (17)
6.4	Preparation of survey packet mailout	MAY (17)	MAY (17)
6.5	Contact sampled agencies & record responses	JUNE (17)	NOV (17)
6.5.1	Notification letter to local agencies/states	JUNE (17)	JUNE (17)
6.5.2	Local letters & state fax/email with survey	JUNE (17)	JUNE (17)
6.5.3	Thank you or second request note	JUNE (17)	JUNE (17)
6.5.4	Second survey to nonrespondents	JUL (17)	JUL (17)
6.5.5	Final contact (phone) with nonrespondents from main sample	JUL (17)	JUL (17)
<b>4</b>	<b>Data analysis, tables and narrative preparation, and generation of standard errors and confidence intervals (Corresponds to BJS tasks 10 and 11)</b>		
9.1	Data verification & quality checks	AUG (17)	FEB (18)
9.1.1	Verify data collected from publicly available sources with state POCs		
9.1.2	Double data entry		
9.1.3	Programming to clean and arrange data in format for analysis		
9.2	Update agency contact information	Continuous	
9.3	Analyze & interpret data; prepare national estimate	OCT (17)	DEC (17)
9.3.1	missing data, nonresponse	OCT (17)	DEC (17)
5.2	Mean value imputation for item missing data	OCT (17)	DEC (17)
5.3	Non-response adjustments to account for out of scope agencies and non-response among agencies	OCT (17)	DEC (17)
9.3.2	Generation of standard errors and confidence intervals around estimates	OCT (17)	DEC (17)
9.4	Complete statistical tables & notes to accompany tables	OCT (17)	DEC (17)
9.5	Write summary findings, background information & methodology sections for publication	OCT (17)	DEC (17)
9.6	Final review of draft for publication	JAN (17)	FEB (17)
9.7	Transmit draft to BJS for review	FEB (17)	MAR (18)
9.8	Respond to BJS requests for changes	MAR (18)	MAR (18)
9.9	Submit final report to BJS	MAR (18)	MAR (18)
<b>4</b>	<b>Non-response bias analysis (Corresponds to BJS Task 8)</b>		
7.1	Assessment of state-level data to address non-response (will occur throughout data collection)	DEC (17)	JAN (18)



**Firearm Inquiry Statistics (FIST) Program Schedule**

<b>Task #</b>	<b>Task</b>	<b>Start Date</b>	<b>End Date</b>
7.2	Comparison of respondents to non-respondents using auxiliary data, within state and category size	DEC (17)	JAN (18)
7.3	Comparison of states with 80% response (or greater) to those with less than 80% response	DEC (17)	JAN (18)
7.4	Compilation of analyses		
<b>4</b>	<b>Submit Data for Archiving (Corresponds to BJS Task 12)</b>		
	Prepare data for archival	MAR (18)	APR (18)
	Submit to NACJD		
<b>5</b>	<b>Assist BJS with Responses from Media and other External Entities (Corresponds to BJS Task 13)</b>		
	Respond to inquiries about the reports		Continuous

## **Attachment VI. Proposed 2016 FIST Correspondence**

- Pre-notification letter
- Survey cover letter
- Thank you postcard/first follow-up attempt
- Second follow-up letter
- Phone script



**U.S. Department of Justice**

Office of Justice Programs

*Bureau of Justice Statistics*

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*Washington, D.C. 20531*

<date>

Name / Address

Dear \_\_\_:

Within the next few weeks you will receive via mail a request to complete a brief survey for the Firearm Inquiry Statistics (FIST) Program. The Regional Justice Information Service (REJIS) is the data collection agent for the FIST Program and is authorized to collect data on behalf of BJS.

BJS began the FIST Program in 1995 to provide national estimates of the total number of firearm purchase applications received and denied pursuant to the Brady Act and similar state laws. The FIST program collects counts of firearm transfers and permit checks conducted by state and local agencies and combines this information with the Federal Bureau of Investigation (FBI) National Instant Criminal Background Check System (NICS) transaction data to produce national estimates of background check activity. Additional information on reasons for denials and law enforcement actions the FBI and the Bureau of Alcohol, Tobacco, Firearms, and Explosives (ATF) take against denied persons is also collected.

Our records indicate that your agency currently collects information on <<type/s of background checks>> for your jurisdiction in the state of <<name>>. You are receiving this letter to request in advance your cooperation in this important data collection initiative. A survey will be enclosed with the request to participate in the 2016 FIST data collection that you will receive next week as well as instructions on how to complete a web-based version of the survey. We anticipate that the completion of the survey will take you approximately 25 minutes and REJIS will be available to answer any questions you may have about the survey or FIST Program.

Your participation in this data collection is critical to help ensure the reliability of the national estimates produced for firearm background check activities. BJS and REJIS thank you in advance for your support of the FIST Program and participation in the 2016 data collection. Should you have any immediate questions please contact Connor Brooks, FIST Program Manager, at 202-514-8633, or [Connor.Brooks@usdoj.gov](mailto:Connor.Brooks@usdoj.gov).

Sincerely,

Gerard F. Ramker  
Deputy Director, BJS



**U.S. Department of Justice**

Office of Justice Programs

*Bureau of Justice Statistics*

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*Washington, D.C. 20531*

<date>

«AddressBlock»

«GreetingLine»

Since 1995, the Bureau of Justice Statistics (BJS) has conducted the Firearm Inquiry Statistics (FIST) survey. With assistance from the Regional Justice Information Service (REJIS) of Saint Louis, Missouri, BJS has collaborated with federal, state, and local agencies to collect data on firearm transfers and permits that are regulated by the Brady Act and similar state laws. We are requesting your participation in this important data collection to obtain data on background check activities conducted by your agency during calendar year 2016.

Participation by your agency in this voluntary effort will provide a wealth of data for policymakers, researchers, administrators, and others who study background check trends and activities nationwide and help efforts to assess the impact of the Brady Act over time. BJS will use the data provided by your agency and others to produce a 2016 national estimate of firearm applications and denials, along with reasons for denials. The data will be published in the “Background Checks for Firearm Transfers” series on the BJS website ([bjs.gov](http://bjs.gov)).

We encourage you to complete the 2016 FIST survey via the secure FIST web-form at [REJIS.org/FIST](http://REJIS.org/FIST). Your unique User ID and Password are «WebID» and «WebPsswd». For your convenience, we also enclosed a paper survey form and prepaid return envelope. You can also submit the completed survey via fax to 314-535-1729, or by email to [fist@rejis.org](mailto:fist@rejis.org). **We would greatly appreciate the return of your completed survey by <date>.**

BJS is authorized to conduct this data collection under 42 U.S.C. § 3732(c). BJS, its employees, and its data collection agents will use the information you provide only for statistical and research purposes pursuant to 42 U.S.C. § 3735, and will protect it to the fullest extent under federal law. For more information on how BJS and its data collection agents will use and protect your information, see [https://www.bjs.gov/content/pub/pdf/BJS\\_Data\\_Protection\\_Guidelines.pdf](https://www.bjs.gov/content/pub/pdf/BJS_Data_Protection_Guidelines.pdf).

Thank you for your support of the FIST program and contributions to the FIST data collection. BJS and REJIS greatly appreciate your efforts. You may direct general comments, feedback, or questions about the FIST program to the FIST Project Manager at 1-800-531-2150, or send an e-mail to [fist@rejis.org](mailto:fist@rejis.org).

Sincerely,

Gerard F. Ramker  
Deputy Director, BJS

<date>

On <date> the 2016 Firearm Inquiry Statistics (FIST) survey was mailed to you as part of a data collection effort on behalf of the Bureau of Justice Statistics.

If you have already completed and returned the survey, please accept our sincere thanks. If not, we request that you do so as soon as possible so that we can complete our efforts to produce national estimates of the total number of firearm transfer and permit applications and denials resulting from the Brady Act and similar state laws. Your efforts are critical to ensure the reliability of these estimates.

If you did not receive the survey or if it was misplaced, please call us toll-free at 1-800-531-2150 and we will send you another one right away.

Thank you again for your efforts.

Jennifer C. Karberg, FIST Project Manager



4255 West Pine Blvd  
St. Louis, MO 63108  
314.535.1950  
[www.rejis.org](http://www.rejis.org)

<date>

«AddressBlock»

«GreetingLine»

Dear <name>:

On <date> we sent a survey packet to your office, on behalf of the Bureau of Justice Statistics (BJS), that asked for data from your agency on specific types of firearm transfers and permits (depending on the agency) including counts for applications, denials, and reasons for denials. According to our records, your agency has not provided a response as of this date.

**Dr. William Powell**  
*Chairman*

**Chief Jon Belmar**  
*Vice Chairman*

**Chief Sam Dotson**  
*Secretary – Treasurer*

**Chief Michael Wiegand**

**Ms. Pamela Reitz**

**Mr. Dele Oredugba**

**Dr. Richard Rosenfeld**

We are writing again because of the importance of your agency's totals in helping us obtain accurate data for "Background Checks for Firearm Transfers," a series published on the BJS website. In order to accurately paint a portrait of firearms background check activity (via counts of firearm transfer and permit applications and denials), pursuant to the Brady Act and similar state laws, we need your input.

If you have already submitted your agency's data for 2016 and we simply have not yet received it, we sincerely thank you for your participation. If you still need to submit your data, a survey is enclosed with this letter to collect information on the issuance and processing of firearm permits and transfers conducted by your agency in 2016. The materials can be returned by fax to 314-535-1729, by email ([fist@rejis.org](mailto:fist@rejis.org)), or by mail to the address listed on this letter. We encourage you to avail yourself of the secure Web reporting option as well. To complete the survey online, please go to [rejis.org/FIST](http://rejis.org/FIST) and enter your **User ID: (XXX)** and **Password: (FXXX)**. **In order for us to complete our analyses of the 2016 data, we would greatly appreciate a response by <date>.**

**Ms. Regina Fowler**  
*Interim General Manager*

Thank you for your assistance and continued participation in this important effort. If you have any questions, comments, or concerns about this request, or if there is any way we may be of assistance to you, please contact us by phone at 1-800-531-2150 or by email at [fist@rejis.org](mailto:fist@rejis.org).

Sincerely,

Jennifer C. Karberg,  
FIST Project Manager

Enclosures

## **FIST Phone Script**

Hello, my name is (insert name) and I am calling from the Regional Justice Information Service on behalf of the Bureau of Justice Statistics, United States Department of Justice. May I please speak with (CONTACT)? [If contact no longer there, ask for person in charge of (insert state terminology)].

(Caller can leave contact information if leaving a message).

(Again) Hello, my name is (insert name) and I am calling from the Regional Justice Information Service. We are working with the Bureau of Justice Statistics to conduct the Firearm Inquiry Statistics Program survey – also known as FIST.

Are you familiar with the FIST program? If yes, continue to next question. If no, provide a brief explanation of purpose and data collected: Since 1995, BJS has been providing national estimates of the total number of firearm purchase applications received and denied pursuant to the Brady Act and similar state laws. The FIST program collects counts of firearm transfers and permit checks conducted by state and local agencies and combined this information with FBI transaction data to produce national estimates of background check activity. Additional information on reasons for denials is also collected.

We have previously mailed two surveys to your agency but have not received a response, so I am calling to see if you received the survey. [If no, offer to send another copy] [If yes, would you be able to fill out the survey or complete the online version. Provide directions for the web- form.]

[If respondent needs details of survey]:

We are asking for summary data on background checks for (use state terminology), which you could report on the survey for (use FIST terminology).

- Point – of – transfer background checks for firearm transfers
- Background checks on permits to purchase a firearm (Purchase Permit)
- Background checks on permits to carry a concealed weapon or purchase a firearm (Carry Permit)
- Background checks on permits both to just purchase a firearm, or to carry a concealed weapon and/or purchase a firearm (P&C Permits)
- Background checks on permits for a handgun license to purchase a firearm (NY – Purchase Permit)
- Background checks on permits to purchase a firearm (WA - Purchase Check)

We anticipate that the survey will take about 25 minutes to complete and we are more than happy to walk you through it and discuss any questions you may have. This data collection is very important because it highlights the application and denial rates for firearm background checks being conducted throughout the

country. Your agency's responses are critical to ensure that BJS is able to produce the most reliable national estimates of firearm background check activity.

(After phone data collection or a promise to return data at a later time)

We and the Bureau of Justice Statistics sincerely appreciate your time and efforts on this important initiative.



# Legend: 2016 Checks and Permits Covered by FIST

## **NICS Checks and Permits**

FIST accounts for NICS checks and permits on Federal, state, and local levels. Under the NICS system, firearm buyers in all 50 states undergo either an instant firearm transfer check or a check for a permit to purchase a firearm. FIST obtains complete counts for states in categories 1-3. The population in these states accounts for about 93% of the U.S. population. Only the states in category 4 need to be surveyed by FIST for counts of NICS checks or permits, as they are conducted only by local agencies. These states account for 7% of the U.S. population. Thus, for the total of checks and permits in the basic NICS system, only a small portion is estimated.

## **Basic NICS System Checks and Permits- Ovals**

### **1. NICS FBI (31)**

*FBI conducts checks on all types of firearm purchases. Counts obtained directly from FBI. States in this category include: AL\*, AK\*, AZ\*, AR\*, DE, DC\*, GA\*, ID\*, IN, KS\*, KY\*, LA\*, ME, MA\*, MI\*, MN\*, MS\*, MO, MT\*, NM, NY\*, ND\*, OH\*, OK, RI\*, SC\*, SD, TX\*, VT, WV\*, WY\*.*

### **2. Full NICS POC States (13)**

*State POCs conduct all NICS checks for all types of firearm purchases. Counts obtained by FIST. States in this category include: CA, CO, CT, FL, HI, IL\*, NV\*, NJ\*, OR, PA, TN, UT\*, VA.*

### **3. Partial NICS POC State Handgun Checks/FBI Long Gun Checks (3)**

*States run NICS handgun checks and provide counts to FIST. FBI runs NICS long gun checks and provides counts to FIST. Partial NICS POC States include: MD\*, NH, WI.*

### **4. Partial NICS POC States with Local Handgun Checks or Purchase Permits/FBI Long Gun Checks (4)**

*Local agencies run NICS handgun transfer or purchase permit checks and are surveyed via sample by FIST. FBI runs NICS long gun checks and provides counts to FIST. States in which local agencies are surveyed include: IA\*, NE\*, NC\*, WA.*

Note: The numbers in parentheses refer to the number of states utilizing that particular type of check or permit. For basic NICS checks and permits, each state falls into only one category. The total of the numbers in parentheses sums to 50 for the states plus one for the District of Columbia.

\*Agency has a check or permit in addition to the FBI NICS check as required by state statute. See p. 2 for other check or permit type.

# Legend: 2016 Checks and Permits Covered by FIST

## Other Checks and Permits

Used in 30 states and the District of Columbia, these checks or permits occur in addition to basic NICS checks and permits. These permits are either qualified by ATF as alternatives to a NICS point-of-sale check or are required by state statute. FIST obtains complete counts on permits and checks in the case of:

Category 5 –DC, IL, MA, MD, MI, RI, and NJ

Category 6 – all states listed

Category 7 – MI, MN, & OH

FIST surveys the local agencies in categories 5 and 7 for which complete state-wide counts of checks or permits are not available. FIST survey estimates and the complete counts received for basic NICS and other checks and permits are combined to generate the national FIST estimate.

## Other Checks and Permits - Squares

### **5. States with Transfer Checks or Purchase Permits Required by State Law (9)**

*Transfer checks or purchase permits as required by state statute. Checks are conducted on the state or local level. Except in the case of MN and NY, complete counts of checks and permits are reported to FIST by the state: DC, IL, MA, MD, MI, MN, NJ, NY, RI.*

### **6. Exempt Concealed Carry Permits Issued by State Agencies (13)**

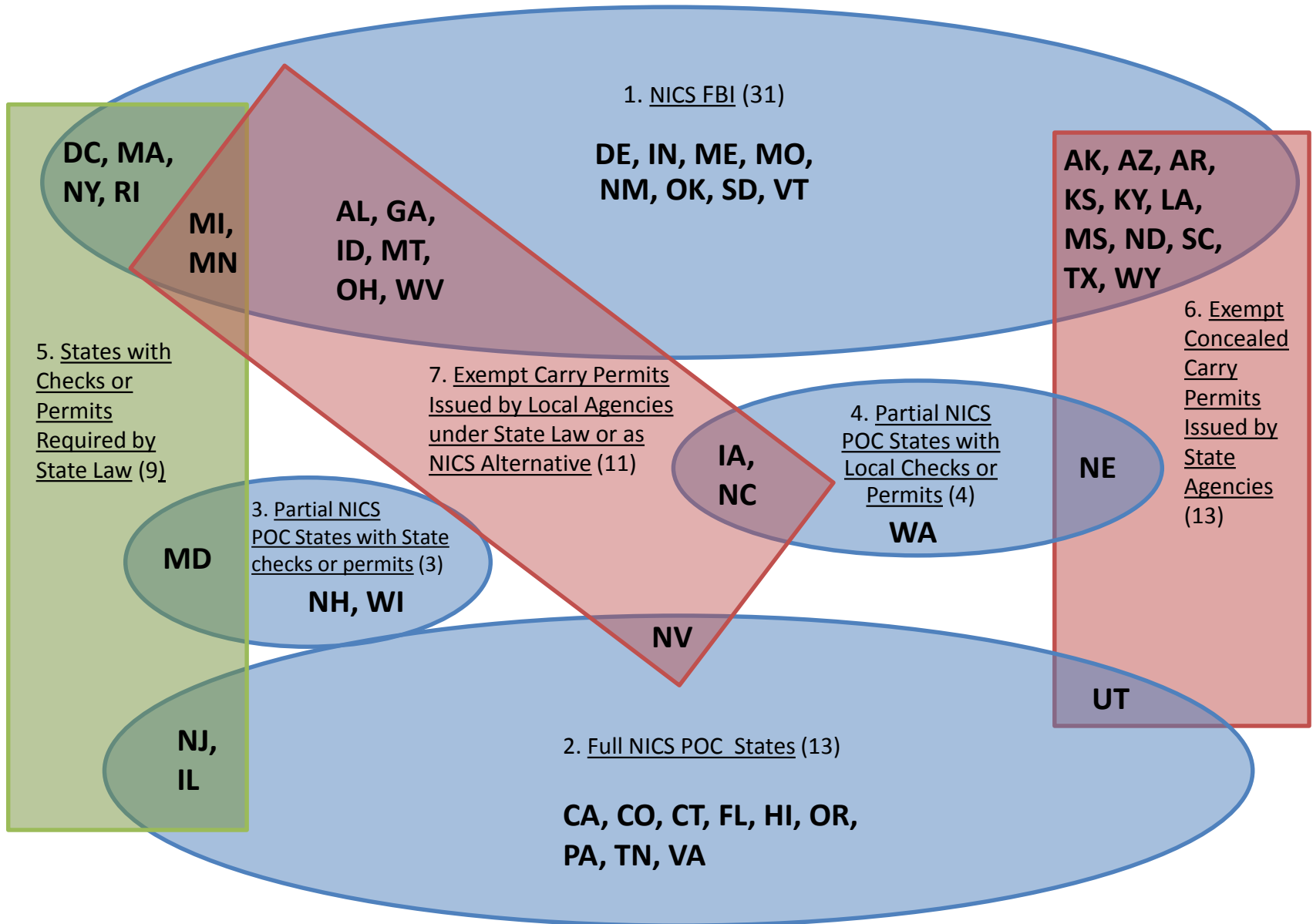
*Concealed carry permits issued by a state agency as an alternative to a point-of-sale NICS check. States include: AK, AZ, AR, KS, KY, LA, MS, NE, ND, SC, TX, UT, WY.*

### **7. Exempt Concealed Carry Permits Issued by Local Agencies under State Law or as a NICS Alternative (11)**

*Concealed carry permits issued by a local agency as an alternative to a NICS point-of-sale check or as directed under state statute. States include: AL, GA, ID, IA, MI, MN, MT, NC, NV, OH, WV.*

Note: the number in parentheses refer to the number of states utilizing the type of check or permit it is listed after. A state may utilize more than one type[s] of permit[s].

# 2016 Checks and Permits Covered by FIST



### Attachment VIII. Proposed 2016 FIST sample determination and allocation

Data for the FIST collection will be obtained from state agencies that report state-level data (thirty-four states), a statewide census of nine states in which local agencies conduct checks and report to FIST on a local level only and a sample survey of three states that operate local checking agencies and report only on a local level, but have a larger number of agencies than the other aforementioned six states. This decision equates to a total data collection of 1,044 POCs plus the FBI NICS data.

In the three states that are to be sampled (GA, MN, & WA), a stratified sample based on population size will be created that roughly equates to 1) rural – places of less than 10,000 population; 2) small cities – places of between 10,000 and 99,999 population; 3) small metropolitan areas – places of between 100,000 and 199,999 population; and 4) large metropolitan areas – places of 200,000 or more population. The correlated variable used to estimate variance (number of applications in 2010) had information for all strata in only one of the three states. The other two states each had empty or a singular report of information in different strata. Without the estimate of variance, a stratified sample could not be determined individually for each of the three states. Consequently, it was decided to utilize a random sample, proportional to size, for each state. This increased the sample size sufficiently such that an estimate and resulting confidence interval can be determined for each of these three states.

The following formula was used to determine the sample size and weight allocation for the stratified sample of the three states taken as a group.

$$\text{The formula used is: } n = \frac{\sum N_i^2 \sigma_i^2}{N^2 D + \sum N_i \sigma_i^2} \quad \text{where } D = \frac{B^2}{4}$$

Reference: *Elementary Survey Sampling* by Scheaffer, Mendenhall & Ott

Definitions:

n = sample size

N<sub>i</sub> = population within stratum

σ<sup>2</sup><sub>i</sub> = stratum variance

w<sub>i</sub> = stratum weight

N = population

D = B<sup>2</sup>/Z<sup>2</sup> (at a 95% confidence level Z<sup>2</sup> ≈ 4)

B = error bound

The following formula was used to determine the sample size of a random sample in each state. The bound on error was 100 applications for GA and WA. The bound was fifty applications for MN.

The formula used is:  $n = \frac{N\sigma^2}{N^2D + \sigma^2}$  where  $D = \frac{B^2}{4}$  —

Reference: *Elementary Survey Sampling* by Scheaffer, Mendenhall & Ott

Definitions:

n = sample size  $\sigma^2$  = variance N = population

D =  $B^2/Z^2$  (at a 95% confidence level  $Z^2 \approx 4$ ) B = error bound

The proposed FIST sample size is 1,044 to account for potential nonresponse.

Following is a summary sheet of the actual sample for the three states (GA, MN, & WA) where local agencies will be sampled.

**Attachment IX. Base weights for non-self-representing (sampled) states, 2015**

Population Category	Population Size	Base weights		
		GA	MN	WA
Category 1	1 to 9999	1.43	2.50	1.65
Category 2	10000 to 99999	1.42	2.52	1.65
Category 3	100000 to 199999	1.00	1.00	1.00
Category 4	200000+	1.00	1.00	1.00
	Total			

**Attachment X. Estimated standard errors**

**Estimated standard errors for applications received and denied by local agencies, 2014**

	<b>Applications</b>	<b>Denials</b>	<b>Percent denied</b>
Total	19,265	731	0.07%
Purchase permits	13,860	678	0.20%
Exempt carry permits	7,957	171	0.04%
Other approvals	7,658	56	0.04%

Source: Bureau of Justice Statistics, Firearm Inquiry Statistics (FIST) program, 2014.

**Estimated standard errors for firearm applications received and denied by local agencies, by community size and type of permit, 2014**

	<b>Applications</b>	<b>Denials</b>	<b>Percent denied</b>
<b>Purchase permits</b>	13,860	678	0.20%
Population served			
9,999 or fewer	1,972	36	0.10%
10,000–99,999	5,904	245	0.30%
100,000–199,999	5,902	184	0.30%
200,000 or more	10,886	604	0.50%
<b>Exempt carry permits</b>	7,957	171	0.04%
Population served			
9,999 or fewer	436	12	0.10%
10,000–99,999	4,274	115	0.10%
100,000–199,999	3,528	106	0.10%
200,000 or more	5,693	68	0.10%

Source: Bureau of Justice Statistics, Firearm Inquiry Statistics (FIST) program,

<b>Attachment XI. FIST terminology for firearm checks and permits, by jurisdiction (2016)</b>			
<b>Jurisdiction</b>	<b>Point of Transfer</b>	<b>Purchase Permits</b>	<b>Exempt Carry Permits</b>
Alabama			Carry Permits (also Concealed Weapon Permits or Concealed Handgun Licenses)
Alaska			NICS Exempt Concealed Handgun Permits
Arizona			Carry Permits (also Concealed Weapon Permits or Concealed Handgun Licenses)
Arkansas			Carry Permits (also Concealed Weapon Permits or Concealed Handgun Licenses)
Connecticut	Point of Transfer	Purchase Permits (Pistol Permits & Eligibility Certificates)	
Dist. of Columbia		Firearm Registration Certificates	
Florida	Point of Transfer		
Georgia			Weapons Carry Licenses
Idaho			Carry Permits (also Concealed Weapon Permits or Concealed Handgun Licenses)
Illinois	Firearm Transfer Inquiry Program (FTIP)	Firearm Owners Identification (FOID) Card	
Iowa		Purchase Permits (Permits to Acquire/Purchase a Handgun)	Carry Permits (also Concealed Weapon Permits or Concealed Handgun Licenses)
Kansas			Carry Permits (also Concealed Weapon Permits or Concealed Handgun Licenses)
Louisiana			5-year Concealed Handgun
Maryland	Point of Transfer	Handgun Qualification License	
Minnesota		Purchase Permits (Transfer Permits)	
Mississippi			Carry Permits (also Concealed Weapon Permits or Concealed Handgun Licenses)
Montana			Carry Permits (also Concealed Weapon Permits or Concealed Handgun Licenses)
Nebraska		Purchase Permits (Transfer Permits)	Carry Permits (also Concealed Weapon Permits or Concealed Handgun Licenses)



<b>Jurisdiction</b>	<b>Point of Transfer</b>	<b>Purchase Permits</b>	<b>Exempt Carry Permits</b>
Nevada	Point of Transfer		Carry Permits (also Concealed Weapon Permits or Concealed Handgun Licenses)
New Hampshire	Point of Transfer		
New Jersey		Handgun Permits & Firearms Identification Cards	
New York		Pistol Permits/Licenses	
North Carolina		Purchase Permits (Permits to Acquire/Purchase a Handgun)	Carry Permits (also Concealed Weapon Permits or Concealed Handgun Licenses)
North Dakota			Carry Permits (also Concealed Weapon Permits or Concealed Handgun Licenses)
Oregon	Point of Transfer		
Pennsylvania	Point of Transfer		
Virginia	Point of Transfer		
Washington	Handgun Transfers (Handgun Purchases)		
West Virginia			Carry Permits (also Concealed Weapon Permits or Concealed Handgun Licenses)
Wisconsin	Point of Transfer		
Wyoming			Carry Permits (also Concealed Weapon Permits or Concealed Handgun Licenses)