APPENDIX B: MEASURING ATF'S PERFORMANCE **APPENDIX A: POLICY ENVIRONMENT**

NFA, 26 U.S.C. Chapter 53

THE NATIONAL FIREARMS ACT

ainsi Firearno Act (NFA) is part of the Interval Revenue Code of 1986. The Internal Revenue th the exception of the NFA is administered and enforced by the Secretary of the Treasury. Fir remailtered to the Department of Jinstee moder the Homeland Seconity Act of 2002, all tise is including the authority to administer and enforce the NFA, were transferred to the Attorney.

CHAPTER $\mathfrak{S}3$ - MACHINE GUNS, DESTRUCTIVE DEVICES, AND CERTAIN OTHER FIREARMS

Part I - Sp

108TH CONGRESS H. R. 2824

4 5802 Res Part II - To 4 5811 Tre

4 5812 Tree Part III - Ti

§ 5822 Ma

IN THE HOUSE OF REPRESENTATIVES July 23, 2001

A BILL

To revise and reform the Act commonly called the Jenkins Act, and for other purposes.

Be it entered by the Senate and House of Represent 2 tives of the United States of America in Congress assembled,

Ter Session H. R. 45

IN THE HOUSE OF REPRESENTATIVES

Justinian & Moon

A BILL

To provide for the implementation of a system of licensing for purchasers of certain firearns and for a record of sale system for those firearms, and for other purposes.

- Be it emerted by the Senate and House of Representa-
- 2 tives of the United States of America in Congress assembled,
- 3 SECTION 1. SHORT TITLE; TABLE OF CONTENTS.
- (a) Strong Tree.-This Act may be cited as "Blake
- 5 Holt's Firearm Licensing and Record of Sale Act of
- 7. (b) TABLE OF CONTENTS,-The table of contents for
- 8 this Act is as follows:

Evolution of ATF

- Committee Appropriations Act—added "non-immigrant shares" to categories of persons pri linearms, and viscined firesems dealers to have knellable vectors goin storage or safety of Branky Law—mandatory lives day weiling period for standard of firesems on non-licensee re ground chelcis through National Instance Criminal Drack System (RIGES) for firesems perior

- 1976 Title 20 of the Organized Crime Control Act of 1976—container established cortain borndings and arrants as Federal crimes. A Alcohol. Telegrap, and Fureross Division under the IRS

b. The Arms Export Control Act

b. The Arms Export Control Act

Public Law 90-629 (H.R. 15681), 82 Stat. 1320, approved October 22, 1968, as amended by Public Law 91-672 (H.R. 15688), 84 Stat. 2053, approved January 11, 1571; Public Law 91-672 (H.R. 15688), 84 Stat. 2053, approved January 11, 1571; Public Law 82-526 (Proving) Assistance Act of 1973, 8. 1448), 87 Stat. 714, approved December 31, 1973; Public Law 93-422 (International Stat. 1793, 1813, approved December 31, 1974; Public Law 94-422 (International Stat. 1793, 1813, approved December 31, 1974; Public Law 94-422 (International Stat. 1794, approved Stat. 2794, approved August 4, 1977; Public Law 96-60 (Froveign Realistina Authorization Act, Fiscal Year 1978; R.R. 6689), 31 Stat. 848, 486, approved August 47, 1977; Public Law 96-70 (Froveign Realistina Authorization Act, Fiscal Year 1978; R.R. 6689), 31 Stat. 848 at 846, approved August 17, 1977; Public Law 96-70 (Froveign Realisma Authorization Act, Fiscal Year 1978; R.R. 6689), 31 Stat. 842 at 499, approved September 27, 1979; Public Law 96-72 (Export Administration Act of 1979; T.R. 1811, 83 Stat. 452 at 499, approved September 27, 1979; Public Law 96-72 (Export Administration Act of 1978; T.R. 1811, 83 Stat. 452 at 499, approved September 27, 1979; Public Law 96-72 (Export Administration Security and Development Cooperation Act of 1906; H.R. 6942), 94 Stat. 3131, approved December 18, 1987; Public Law 97-82 (H.R. 6785), 96 Stat. 1982, approved December 29, 1982; Public Law 97-82 (H.R. 6785), 96 Stat. 1982, approved December 29, 1982; Public Law 97-832 (H.R. 6785), 96 Stat. 1982, approved December 29, 1982; Public Law 97-832 (H.R. 6785), 96 Stat. 1984, approved July 12, 1985; Public Law 98-81, 116 Further Continuing Appropriation Act of 1985, 8 S813, 1984 (H.R. 6841), 198 Stat. 1983, approved July 12, 1985; Public Law 98-418 (H.R. 6841), 1985; Public Law 98-42 (Continuity Appropriation Act, 1985, Public Law 98-42 (Continuity Appropriation Act, 1985, Public Law 99-42 (Lott continuity Appropriation Act, 1985, Public Law 98-418, 1987

APPENDIX B: MEASURING ATF's PERFORMANCE

ATF has developed a Performance Index to measure ATF's 10 core functions as well as the strategic goals and strategic objectives outlined in this Plan. The Index includes a performance goal statement for each core function to provide comprehensive tracking and measurement of ATF's performance across the enterprise. ATF's outcome-based performance goal statements are shown below:

47

CORE FUNCTION	PERFORMANCE GOAL STATEMENT
Illegal Firearms Trafficking	Reduce the risk to public safety caused by illegal firearms trafficking
Firearms Criminal Possession and Use	Reduce the risk to public safety caused by criminal possession and use of firearms
Firearms Industry Operations	Improve public safety by increasing compliance with Federal laws and regulations by firearms industry members
Criminal Groups and Gangs	Reduce the risk to public safety caused by criminal organizations and gangs
Explosives, Bombs, and Bombings	Reduce the risk to public safety caused by bombs and explosives
Explosives Industry Operations	Improve public safety by increasing compliance with Federal laws and regulations by explosives industry members
Fire and Arson	Reduce the risk to public safety caused by the criminal use of fire
Alcohol and Tobacco	Reduce the loss of tax revenues caused by contraband alcohol and tobacco trafficking
Modernization	Modernize business processes and systems for improved mission effectiveness and transparency
Workforce	Attract, develop, and retain an expert workforce to execute the ATF mission

BUREAU OF ALCOHOL, TOBACCO, FIREARMS AND EXPLOSIVES

In the Index, each performance goal statement aligns with specified strategic objectives and their corresponding performance indicators. This structure allows ATF to evaluate performance at each level: enterprise, budget decision unit, core function/performance goal statement, and strategic objective, using performance indicators to track progress against targets.

ATF, the Index number moves up or down and portrays the progress made against preestablished performance goal statements.

The Index measures progress against quantifiable goals or targets. ATF has established a target for each performance indicator included in the Index based on historic performance and

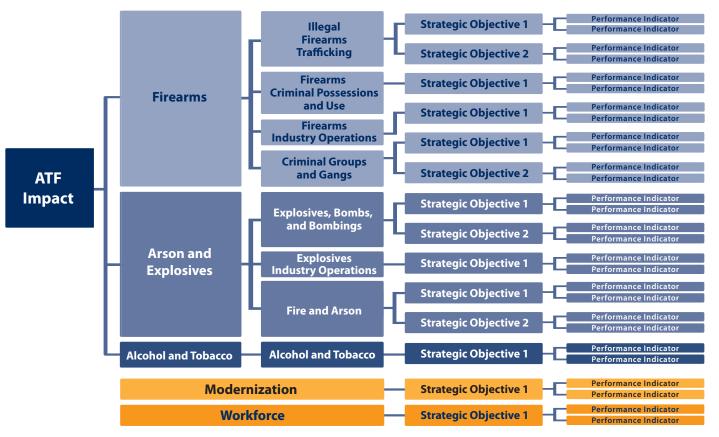


Figure 7: Conceptual Illustration of ATF Performance Index

Applying an index to gauge performance is a widely accepted practice for compiling multiple performance indicators into a single number. Examples of indices used elsewhere in the Federal government include the Environmental Protection Agency's UV Index and the FBI's annual calculation of a crime rate, resulting in the FBI Uniform Crime Report. As used at

ATF's current or anticipated operating environment. OSM will guide the Bureau to update the targets every year in conjunction with the development of the Bureau's budget submission. The Bureau can establish interim goals to reflect progress within an annual period (e.g., quarterly).

Each piece of the Index (performance indicator, strategic objective, performance goal statement, and budget decision unit) has been assigned a weight to show its strength relative to the overall Index. The weight assigned to each of the performance indicators is based on the indicator's consistency with four criteria: mission impact, program relevance, data availability, and whether the measure is fully within ATF's control (for example, recommendations for prosecution are fully controlled by ATF, while actual prosecutions are managed by DOJ). ATF also assigned weights to strategic objectives and performance goal statements, based on professional best judgment regarding the Bureau's goals and input from the ATF Performance Measurement Working Group. Weights are assigned to ATF's budget decision units (firearms, arson and explosives, and alcohol and tobacco) in accordance with established Congressional reprogramming thresholds among these mission areas.

The Index is a compilation of mathematical calculations that combine ATF's actual progress toward targets, and the weight of the performance indicator, strategic objective, performance goal statement, and budget decision unit. The calculations to determine the values for each level of ATF's Performance Index are as follows:

Per Performance Indicator:	Actual ÷ Target x Weight of Performance Indicator
Per Strategic Objective:	Sum of Performance Indicator Subtotals
Per Performance Goal Statement:	Sum of Strategic Objective Totals x Weight of Performance Goal Statement
Per Budget Decision Unit:	Sum of Performance Goal Statement Subtotals x Weight of Budget Decision Unit
ATF Performance Index:	Sum of All Budget Decision Unit Subtotals

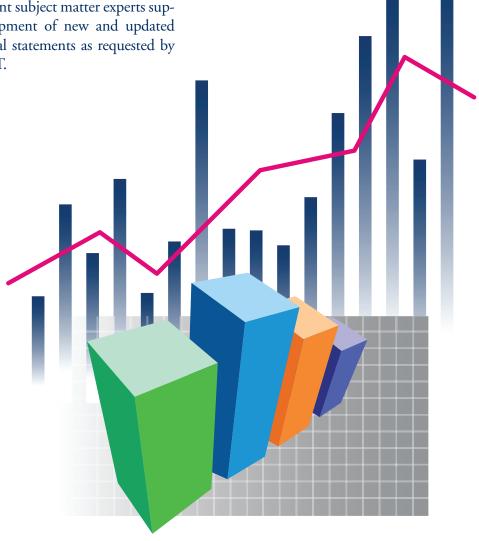
The calculations at the performance indicator and strategic objective levels are displayed in the example below.

Example of Strategic Objective Calculation					
Performance Indicator	Actual	Target	Score (Actual/Target)	Weight (Percent)	Subtotal (Score x Weight)
А	65	100	0.65	0.15	0.0975
В	180	200	0.90	0.75	0.675
С	50	250	0.20	0.10	0.02
Sum of Totals =				0.7925	
Example of Strategic Objective Value (Sum x 100) =				79.25%	

APPENDIX B: MEASURING ATF'S PERFORMANCE

The sum of the strategic objectives respective to each performance goal statement is then multiplied by the weight assigned to the performance goal statement. The sum of the budget decision unit subtotals establishes the score of the ATF Performance Index.

The SLT may change which performance indicators are included in the Index at any time, but recognizes that such changes may positively or negatively affect the Index. The SLT will review the Index on a yearly basis and provide feedback to OSM. ATF performance measurement subject matter experts support the development of new and updated performance goal statements as requested by OSM or the SLT.



FY 2010-2016 STRATEGIC PLAN

ATF PERFORMANCE MEASUREMENT INDEX

Core Functions	Performance Goal Statements	Strategic Objectives	Performance Indicators
Illegal Firearms Trafficking	Reduce the risk to public safety caused by illegal firearms trafficking	Strategic Objective 1: Interdict and prevent illegal firearms trafficking	Number of defendants referred for prosecution, in the given fiscal year, for violations related to firearms trafficking Number of defendants convicted, in the given fiscal year, for violations related to firearms trafficking, regardless of the year of referral Estimated number of firearms trafficked
		Strategic Objective 2: Lead the advancement of firearms trafficking intelligence capability through comprehensive information management and research in emerging technology	Number of traces submitted Percent of domestic law enforcement agencies with an e-Trace account Number of people (ATF employees and Federal, state, local and international law enforcement) receiving firearms investigation training Percent of firearms traces completed within ten days Number of NIBIN hits Number of items entered into NIBIN
Firearms Criminal Possession and Use	Reduce the risk to public safety caused by criminal possession and use of firearms	Strategic Objective 1: Interdict and prevent criminal possession and use of firearms	Number of defendants charged with firearms related offenses who were convicted, in the given fiscal year, regardless of the year of referral Number of defendants referred for prosecution, in the given fiscal year, for violations related to firearms Number of crime guns taken off the streets
and Gangs caused b	Reduce the risk to public safety caused by criminal organizations and gangs	Strategic Objective 1: Expand ATF's enforcement efforts to identify, disrupt, and dismantle violent gangs and criminal organizations emphasizing the use of state and local intelligence to identify the worst of the worst offenders	Number of criminal group or gang related defendants convicted, in the given fiscal year, for violating laws, regardless of the year of referral Number of criminal group or gang related defendants referred for prosecution, in the given fiscal year, for violating laws
		Strategic Objective 2: Increase and improve coordination with our law enforcement partners by effectively gathering, managing, and sharing intelligence to support investigations of violent gangs and criminal organizations	Number of criminal group or gang related defendants whose cases have the active involvement of state and local law enforcement partners
		Strategic Objective 3: Connect ATF to the communities we serve	Number of students provided instruction from ATF-certified GREAT instructors
Firearms Industry Operations	Improve public safety by increasing compliance with Federal laws and regulations by firearms industry members	Strategic Objective 1: Ensure the effective regulation and oversight of the firearms industry through collaboration with industry partners and consistent inspection	Number of unqualified persons denied access to firearms licenses through Licensing Center screening and qualification process Number of firearms found through the reconciliation process Number of firearms compliance inspections completed annually Percent of licensed retail dealers and pawn brokers who have received a compliance inspection by ATF in the previous five years Initial number of firearms that inspected industry members are missing from inventory and cannot account for through required records Percent of licensed retail dealers and pawn brokers who have received an inspection (qualification and/or compliance) by ATF in the previous five years Number of inadmissible firearms denied import authorization into the U.S. through the import permit process Number of illegal NFA transfers prevented through the transfer application process Percent of trace requests that are unsuccessful because of poor records by retail dealers and pawnbrokers Percent of ATF license actions upheld by judicial rulings Percent of import permits processed within 45 calendar days Percent of complete firearms license applications acted upon within 60 days Number of ATF presentations and seminars on firearms

51

52

Core

Performance Goals

ATF PERFORMANCE MEASUREMENT INDEX (CONTINUED)

Functions	Statements	Strategic Objectives	Performance Indicators
Explosives, Bombs, and Bombings Reduce the risk to public safety caused by bombs and explosives		Strategic Objective 1: Continually address and mitigate emerging explosives and bombing threats by developing and implementing proactive regulatory and investigative tactics	Number of defendants convicted, in the given fiscal year, for violations related to explosives, regardless of the year of referral Number of defendants referred, in the given fiscal year, for prosecution for violations related to explosives Number of explosive destructions/disposals executed in the interest of public safety Number of explosives devices recovered
		Strategic Objective 2: Lead the advancement of worldwide bombing and explosives expertise by conducting in-depth research and analysis and providing high quality training in all facets of explosives storage, detection, disruption, investigation and disposal	Number of people (ATF employees and Federal, state, local and international law enforcement) trained in explosives through the National Center for Explosives Training and Research Number of canine teams (ATF and Federal, state and local law enforcement) trained to meet the national odor recognition standard
		Strategic Objective 3: Strengthen the detection, prevention, and investigation of explosives and bombing incidents through partnerships, collaboration, and comprehensive intelligence and information sharing	Number of active Bomb and Arson Tracking System (BATS) users Number of BATS accounts
Fire and Arson	Reduce the risk to public safety caused by the criminal use of fire	Strategic Objective 1: Ensure the highest possible level of investigative response, expertise, and capability at all levels of government	Number of defendants convicted, in the given fiscal year, for violations related to arson, regardless of the year of referral Number of defendants referred, in the given fiscal year, for prosecution for violations related to arson Number of people (ATF employees and Federal, state, local and international law enforcement) trained to investigate and support Federal arson cases NRT Satisfaction Rating (%) related to arson
		Strategic Objective 2: Provide the nation with a definitive source of technical expertise, research, analysis, and data in the fire discipline using the Fire Research Lab and other advanced technologies	Annual number of fire research activities conducted in support of criminal investigations
Explosives Industry Operations	Improve public safety by increasing compliance with Federal laws and regulations by explosives industry members	Strategic Objective 1: Ensure the effective regulation and oversight of the explosives industry through collaboration with industry partners and consistent inspection and compliance of licensees	Percent of explosives industry members that have been inspected (qualification and/or compliance) in the past three years Number of unqualified persons denied access to explosives licenses and permits through screening and qualification process through the Explosives Licensing Center Percent of explosives thefts investigated Number of ATF presentations and seminars on explosives
Alcohol and Tobacco	Reduce the loss of tax revenues caused by contraband alcohol and tobacco trafficking	Strategic Objective 1: Reduce the trafficking of contraband alcohol and tobacco products	Number of defendants convicted, in the given fiscal year, for violation of the alcohol and tobacco laws, regardless of the year of referral Total dollar value of all assets seized in alcohol and tobacco cases Number of defendants referred, in the given fiscal year, for prosecution for violation of alcohol and tobacco laws

ATF PERFORMANCE MEASUREMENT INDEX (CONTINUED)

Core Functions	Performance Goals Statements	Strategic Objectives	Performance Indicators
Modernization	Modernize business processes and systems for improved mission effectiveness and transparency	Strategic Objective 1: Modernize our approach to business process reengineering to be at the forefront of government management	Percent customer satisfaction
		Strategic Objective 2: Strengthen our capability to capture, manage, and share knowledge Bureau-wide and with our partners	Number of databases normalized, standardized, and NIEM conformant Number of common services provided Percent of ATF databases or functionality made available through a common services platform Percent of technology service categories within a current ATF enterprise standard Percent of investment \$ expenditures in alignment with enterprise standards
		Strategic Objective 3: Proactively identify, research, and integrate innovative technology to further ATF's effectiveness in accomplishing our mission	Percent of technology capital investment compared to operating expenditures Percent of Lab infrastructure within its recommended useful life Percent of NIBIN infrastructure within its recommended useful life
Workforce	Workforce Attract, develop, and retain an expert workforce to execute the ATF mission	Strategic Objective 1: Implement a comprehensive recruitment strategy focused on selecting a diverse and committed workforce	Recruitment, Development, and Retention Index score in the Federal workforce survey
		Strategic Objective 2: Foster retention and career advancement by providing opportunities for the continuous professional development of every employee	Job Satisfaction Index score in the Federal workforce survey Personal Work Experience Index score in the Federal workforce survey Leadership Index score in the Federal workforce survey Performance Culture Index score in the Federal workforce survey
		Strategic Objective 3: Streamline the complaint and disciplinary processes to fairly and expeditiously address and resolve workplace disputes	Percent of respondents answering favorably to "Arbitrary action, personal favoritism and coercion for partisan political purposes are not tolerated" in the Federal workforce survey Percent of respondents answering favorably to "Prohibited Personal Practices (for example, illegally discriminating for or against any employee/applicant, obstructing a person's right to compete for employment, knowingly violating veterans' preference requirements) are not tolerated" in the Federal workforce survey
		Strategic Objective 4: Develop and implement succession strategies to transfer knowledge to and foster leadership in the next generation	Learning (Knowledge Management) Index score in the Federal workforce survey

5