

2022

# WASHINGTON BACKGROUND CHECK ADVISORY BOARD ANNUAL REPORT

Developed by: Washington Background Check (WBC) Advisory Board

December 15, 2022

## BACKGROUND

In the 2020 Legislative Session, the Washington State Legislature passed Engrossed Second Substitute House Bill 2467 (E2SHB 2467) to create a centralized point-of-contact firearms background check program within the Washington State Patrol (WSP).

As a function of E2SHB 2467, the Washington Background Check (WBC) Advisory Board was established. The duties of the WBC Advisory Board (Board) are as follows:

The WSP must consult with the Board in carrying out its duties. The Board shall consist of the following members, appointed by the Governor:

- The Chief of the WSP or the Chief's designee;
- The Executive Director of the Washington Association of Sheriffs and Police Chiefs (WASPC) or the Executive Director's designee;
- One sheriff;
- One police chief;
- One licensed firearms dealer [under 18 U.S.C. Sec. 923(a)]; and
- One member of the general public.

The Board shall convene within 90 days of the effective date of the bill, from its members elect a chairperson, and must meet no less than monthly until the WSP deems the background check unit is operational, at which time the Board shall meet quarterly. The Board shall:

- Provide input and feedback regarding the establishment and operation of the firearms background check unit;
- Provide input on the development of the firearms background check (FBC) unit budget prior to its formal submission to the Office of Financial Management (OFM);
- Be consulted prior to proposing or adopting any rule relating to the firearms background check unit;
- Require reports from the WSP on matters pertaining to the firearms background check unit; and
- Report to the Governor and appropriate committees of the Legislature each year on activities of the Board and the firearms background check unit.

Board member reappointments were completed by the Governor's Office on May 25, 2022. The members are as follows:

- Assistant Chief Marc Lamoreaux, Washington State Patrol
- Executive Director Steve Strachan, Washington Association of Sheriffs and Police Chiefs
- Sheriff Tony Hawley, Okanogan County Sheriff's Office
- Chief Keith Siebert, Quincy City Police Department
- Ms. Tina Browning, Farwest Sports/Sportco - (Licensed Firearms Dealer/Retail)
- Mr. Brian Moreno, Moreno & Moreno LLC - (General Public Member)

## EXECUTIVE SUMMARY

The Board met 11 out of 12 months in 2022, and convened on the dates listed below:

- January 11, 2022
- February 9, 2022
- March 9, 2022
- April 13, 2022
- June 8, 2022
- July 13, 2022
- August 10, 2022
- September 14, 2022
- October 12, 2022
- November 9, 2022
- December 14, 2022

See Addenda A for status and budget reports from the meetings. <sup>1</sup>

## ACCOMPLISHMENTS FOR 2022

In January 2022, the board nominated a chairperson to formalize the board. The person named was Assistant Chief Lamoreaux, Washington State Patrol.

The Washington State Patrol (WSP) project manager and Catalyst Consulting Group (CCG) established a timeline for the project. A risk matrix was developed for the project and was reviewed every three months to identify any new risks or remove ones no longer needed. Workflows were built by the WSP team and presented to CCG for finalization and to establish user stories for building the Secure Automated Firearms E-Check (SAFE) system. User interface design was worked on by both CCG and WSP staff.

The WSP and CCG were able to complete the required Security Design review for submission to the Washington State Office of Cyber Security (OCS) and received approval to continue with the project. This was a significant accomplishment since it took several meetings to ensure what was going to be produced was documented correctly.

The network foundation was built for SAFE to function. This included two separate Virtual Private Network (VPN) connections, one to the Federal Bureau of Investigation (FBI) and one to Washington Technology Solutions (WaTech – the state's consolidated Information Technology agency) to allow SAFE to connect to other state agency systems necessary for the background check process. The Federal Firearms Licensee (FFL) portal was built and tested by CCG and WSP staff and development has progressed to the beginning stages of the staff portal, where WSP employees will perform the actual work of conducting background checks.

Individual external stakeholder meetings were held (and continue to be held) twice a month each with the Washington State Department of Licensing (DOL), the Administrative Office of the Courts (AOC), and the Health Care Authority (HCA) to ensure testing and development of the connections between SAFE and their systems. Progress was steady and the project is still on track for an anticipated soft launch in July 2023.

The location of where the Firearms Background Division (FBD) would be housed was

---

<sup>1</sup> Addenda A, Firearms Background Check Program – Status and Budget Reports; January – December 2022

established at the Helen Sommers Building (HSB). The space was previously occupied by Office of Financial Management (OFM) and was vacated during October. WSP took over the lease on November 1, 2022 and began renovations shortly thereafter, with the hopes of occupying the space in January 2024.

Staffing for FBD is on track with the staffing plan. WSP has hired an Administrative Assistant 4, two Quality Assurance trainers (trainers for the entire division), the supervisor over the Quality Assurance Training Unit, and two SAFE System Information Technology Administrators.

### **REQUEST OF THE BOARD**

The WSP FBD submitted a Decision Package for the 2023-2025 budget cycle. The legislature provided funding for the 2021-2023 biennium, based upon assumptions and calculations from a fiscal note for Engrossed Second Substitute House Bill 2467 (E2SHB 2467), not the Implementation Plan (which was completed after the Governor's budget submission for the pending legislative session). The plan, being more comprehensive in its evaluation of requirements than the fiscal note allowed, discovered additional requirements that would require the moving of the "go-live" date from January 2023 to January 2024. Because of the needed date move, anticipated revenue from the program would be deferred by a year. The WSP FBD requested funding to cover the cost of that additional year of program development and implementation prior to fee-based collections to begin. Failure to fund this request by the legislature will stop the project.

### **CONCLUSION**

The Firearms Background Check Program is on target and progressing effectively. Essential steps for 2022 and requisite communications/consultation with the Board were achieved. Budget reports reflect sound business practices, OFM authorized the allocation of funding through the remainder of the biennium, and phases transitioning into 2023 are correctly identified by the WSP.

---

THIS PAGE IS INTENTIONALLY BLANK

---

---

# **ADDENDA**

## **A**



# Firearms Background Check Program Advisory Board Meeting

January 11, 2022

# Advisory Board

- Nominate and elect Chairperson











# FBC Project - Agenda

- Overall Status
- Project Timeline with Gate Deliverables
- Risks
- QA Report

# FBC Project Status

## Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

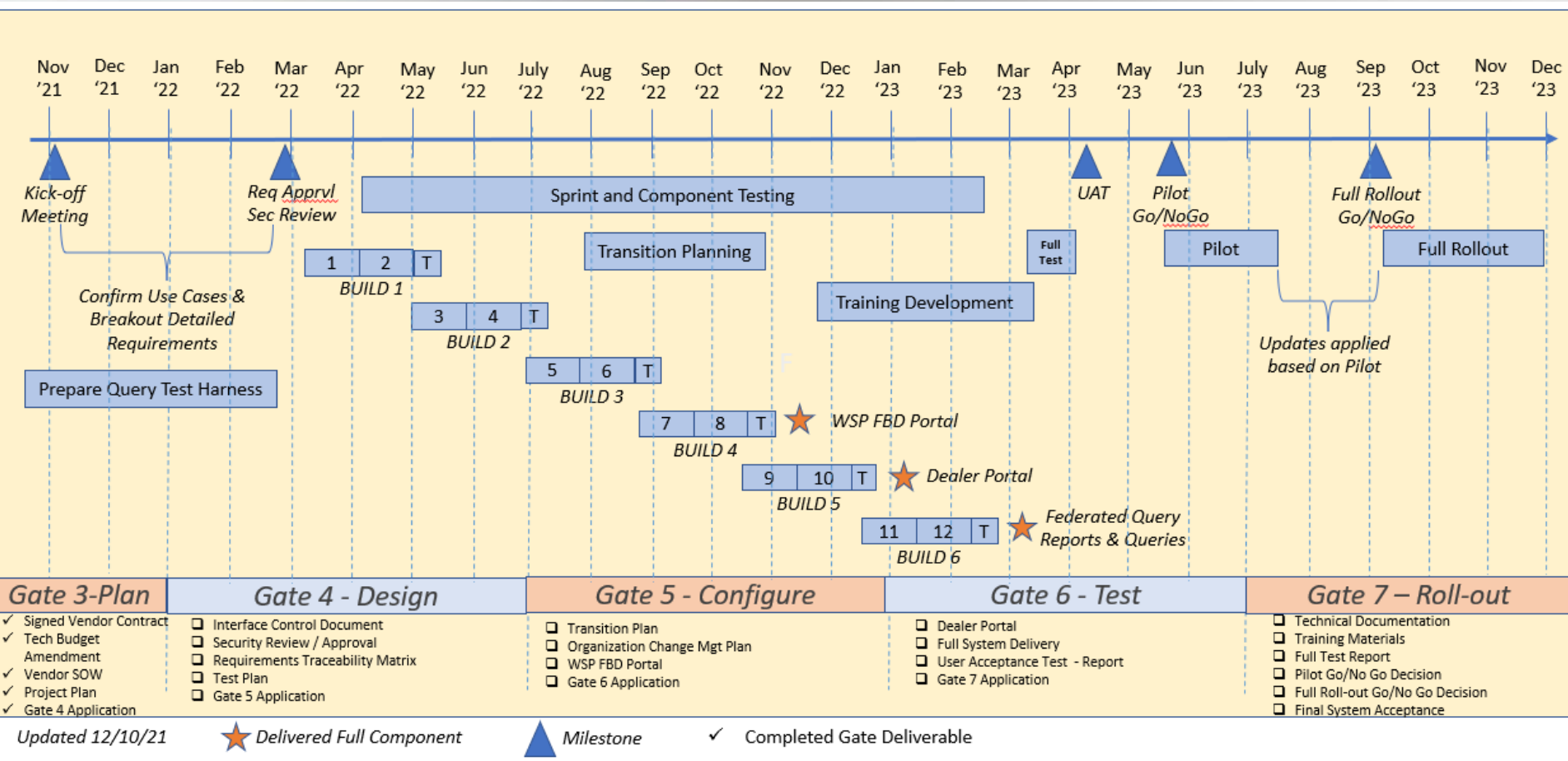
## Deliverables – Gate 4: Jan 1, 2022 – June 30, 2022

Deliverable	Status
Interface Control Document (ICD)	Not started
Requirements Traceability Matrix (RTM)	In Progress
Security Design Review	In Progress
Test Plan	Not started
Gate 5 Application	Not started

# Firearms Background Check (FBC) Project Status

- OCIO
  - Cloud Highway - Discussions in progress with WaTech
- Requirements
  - Security Design Review Checklist - in progress
  - Workflow review sessions – next step
  - Accounts Receivable requirements – in progress
- External Stakeholder Communications
  - Monthly meetings being held with HCA, DOL, AOC
  - Meeting held with WASPC
  - Survey being developed, to be sent to ~ 12 agencies to gather statistics to confirm assumptions used to determine FBD staffing levels

# FBC Project Timeline



Gate 3-Plan	Gate 4 - Design	Gate 5 - Configure	Gate 6 - Test	Gate 7 - Roll-out
<ul style="list-style-type: none"> <li>✓ Signed Vendor Contract</li> <li>✓ Tech Budget Amendment</li> <li>✓ Vendor SOW</li> <li>✓ Project Plan</li> <li>✓ Gate 4 Application</li> </ul>	<ul style="list-style-type: none"> <li>☐ Interface Control Document</li> <li>☐ Security Review / Approval</li> <li>☐ Requirements Traceability Matrix</li> <li>☐ Test Plan</li> <li>☐ Gate 5 Application</li> </ul>	<ul style="list-style-type: none"> <li>☐ Transition Plan</li> <li>☐ Organization Change Mgt Plan</li> <li>☐ WSP FBD Portal</li> <li>☐ Gate 6 Application</li> </ul>	<ul style="list-style-type: none"> <li>☐ Dealer Portal</li> <li>☐ Full System Delivery</li> <li>☐ User Acceptance Test - Report</li> <li>☐ Gate 7 Application</li> </ul>	<ul style="list-style-type: none"> <li>☐ Technical Documentation</li> <li>☐ Training Materials</li> <li>☐ Full Test Report</li> <li>☐ Pilot Go/No Go Decision</li> <li>☐ Full Roll-out Go/No Go Decision</li> <li>☐ Final System Acceptance</li> </ul>

Updated 12/10/21    ★ Delivered Full Component    ▲ Milestone    ✓ Completed Gate Deliverable

# Risks

Updated 1/5/22

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High	E-6 O-9, O-10, O-12	E-5 PM-15 T-17	
	Medium	E-4, E-21 S-19	S-21	
	Low	E-2, E-3		

Risk #	Change Type	Risk Description
E-3	Decreased Prob	Change in WA background check laws
E-4	Decreased Prob	Less than 90% of background checks are done electronically
E-5	Decreased Prob	Assumptions used to estimate FBD staffing levels are incorrect
E-8	Closed	CPL background checks processed by FBD
E-21	Decreased Prob	LEA adoption is not meeting expectations
PM-14	Closed	Vendor contract negotiations take longer than planned
PM-15	Increased Prob	Dev / config time is greater than planned
T-19	Closed	Integrity issues with external agency data

Risk Classifications –

- Technical (T)
- External (E)
- Organizational (O)
- Project Management (PM)

***No new risks were identified***

# High Impact Risks (1 of 2)

- High Impact / High Probability

Risk #	Description	Mitigation(s)
	None	

- High Impact / Medium Probability

Risk #	Description	Mitigation(s)
E-5	Assumptions used to estimate FBD staffing levels are wrong	RCW will need to be updated & approved
<i>PM-15</i>	Development / configuration time is greater than planned	<ul style="list-style-type: none"><li>• Sprint schedule will have extra sprints planned to address issues</li><li>• Maintain RTM</li></ul>
T-17	Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project	<ul style="list-style-type: none"><li>• Consistent pro-active communication</li><li>• Executive buy-in (AOC, HCA, DOL) to support schedule, level of effort and quality</li></ul>

# High Impact Risks (2 of 2)

- High Impact / Low Probability

Risk #	Description	Mitigation(s)
E-6	LInX-NW will not become the primary means for FB division to access local law enforcement records	WSP to request that the WA legislature change the RCW language so use LInX vs N-Dex
O-9	WSP does not secure the location for FBD in time planned	Work closely with WSP Facilities and OFM
O-10	FBD facility and procedures not ready	<ul style="list-style-type: none"><li>• Training program definition</li><li>• Facilities planning</li></ul>
O-12	FB Division staff are not trained adequately to handle the workload	<ul style="list-style-type: none"><li>• Hire from within WSP to get more experienced resources</li><li>• Develop training materials</li></ul>

# QA Report #8 December 2021

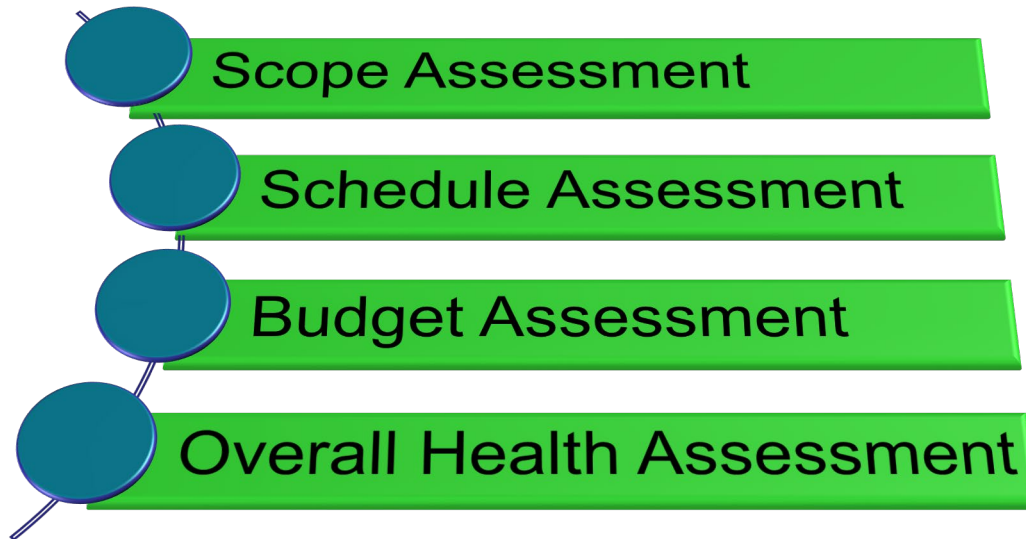
## Independent Quality Assurance Report CASE Associates Inc.

Dan Kruger





# December 2021 – Overall Project Health **STABLE**



# December 2021 – QA Observations

- **IT Vendor Key Activities**

- Requirements review and analysis
- Weekly Catalyst Scrum meetings
- Setting up the environment

No Issues or Risks

- **PM following best practices for Project Management**

- Conducting weekly project team, Catalyst, and FBD Commander meetings
- Providing written weekly status reports and a monthly project report
- Reviewing Risk Categories for an update in early January 2022
- Updated Project Schedule
- Confirmed with FB Division Commander that the OCM vendor will be hired, and activities added to the project schedule
- Bi-weekly OCIO briefings

- **Clear communication across the project**

- Monthly meetings with AOC, DOL, HCA stakeholders - productive meetings

- **Firearms Background Division Staffing**

- Hiring on-track according to the staffing plan



# Firearms Background Division (FBD)

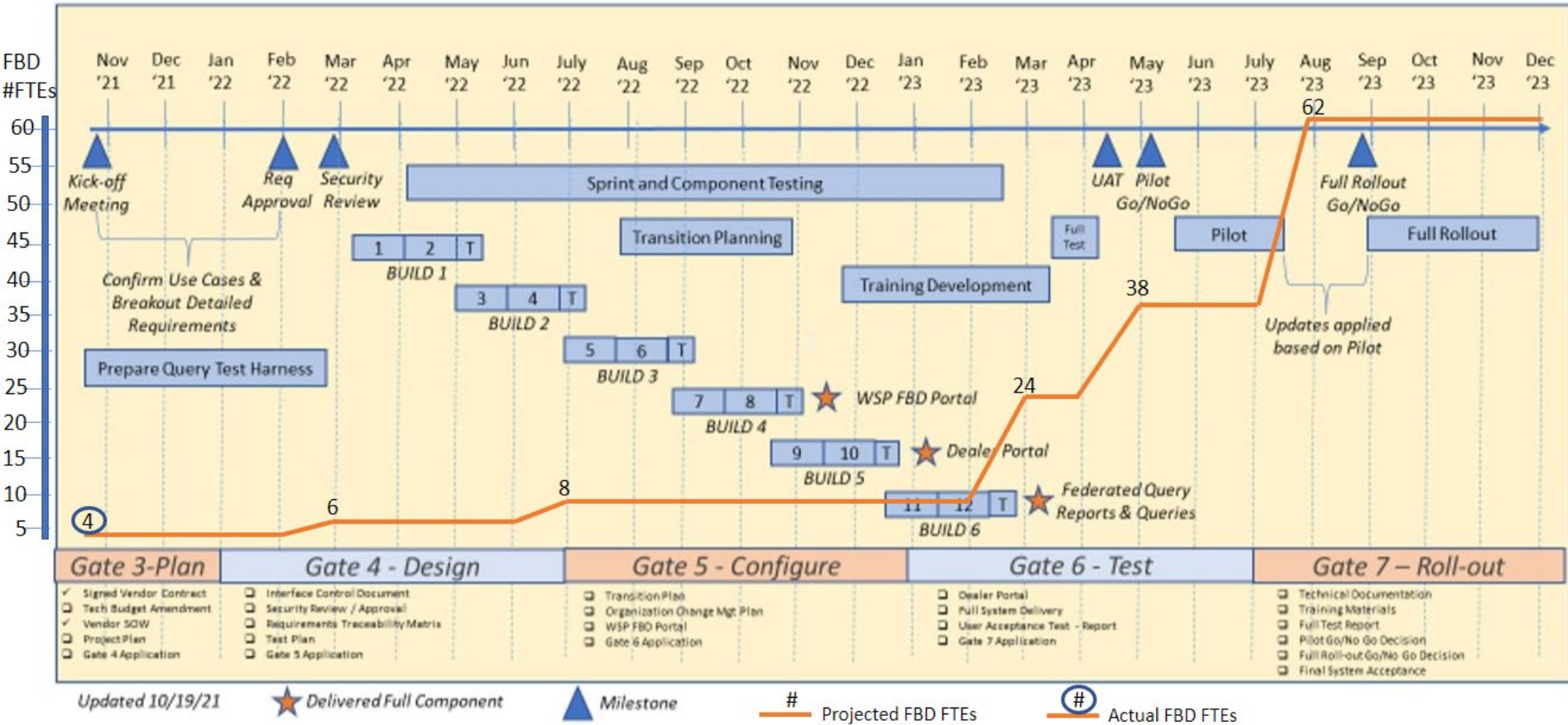
# FB Division - Agenda

- Location
- Staffing
- Stakeholder Communication
- Budget
  - FBC Project – Overall
  - FBC Project – By Gate
  - FBD

# Firearm Background Division (FBD) Status

- Location of FBD – Helen Sommers building
  - Pre-design Document approved by OFM and will now be provided to DES to determine logistics for making space available
- Staffing
  - Administrative Assistant 3 – background check complete / passed
  - IT Support positions – positions posted until Jan 16<sup>th</sup>
- Stakeholder Communication
  - Listserv communication sent Monday, 1/3/22
  - WASPC
  - HCA
  - DOL
  - AOC
  - LInX NW

# FBC Timeline with Staffing Plan



# FBC Project Budget – by Gate

*actual expenditure data as of January 4, 2022*

## Firearms Background Check IT Project

	Budget	Expenditures to-date	Estimated In-Kind Staff to-date	Variance
Gate 1 - Implementation Plan	\$ 410,185	\$ 353,142	\$ 90,048	\$ (33,005)
Gate 2 - Initialize Project	\$ 196,512	\$ 116,810	\$ 22,512	\$ 57,190
Gate 3 - Planning	\$ 482,065	\$ 193,340	\$ 159,372	\$ 129,353
Gate 4 - Design	\$ 814,036			\$ 814,036
Gate 5 - Configure	\$ 812,400			\$ 812,400
Gate 6 - Test	\$ 680,831			\$ 680,831
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	<u>\$ 4,202,033</u>	<u>\$ 663,292</u>	<u>\$ 271,932</u>	<u>\$ 3,266,809</u>

### Notes

Budget = Budgeted Resources + Agency In-kind Resources from approved IT Tech Budget

Expenditures to-date = Budgeted Expenditures + In-Kind Expenditures (excluding staff valuation)

Expenditure assignments per gate:

for Budgeted Expenditures, expenditures are assigned a specific project code for each gate

for In-Kind Expenditures, expenditures are shown in the gate open during month the expenditure hit

In-Kind Staff Costs are not tracked in AFRS. Numbers represented are per IT Tech Budget.

# FBC Project Budget

*actual expenditure data as of January 4, 2022*

## **Firearms Background Check IT Project**

Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 1,133,903	\$ -	\$ 1,133,903
Project Manager & Technical Architect	\$ 859,200	\$ 160,370	\$ 698,830
Quality Assurance	\$ 144,000	\$ 32,970	\$ 111,030
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	<u>\$ 2,151,843</u>	<u>\$ 193,340</u>	<u>\$ 1,958,503</u>

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 193,340	\$ 1,958,503
In-kind Agency Funding	\$ -	\$ -	\$ -
	<u>\$ 2,151,843</u>	<u>\$ 193,340</u>	<u>\$ 1,958,503</u>

## **Notes**



# FBD Budget

*actual expenditure data as of January 4, 2022*

## **Firearms Background Division**

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,584,100	\$ 158,240	\$ 1,425,860
Contracts/Goods/Services	\$ 1,100,778	\$ 11,291	\$ 1,089,487
Travel	\$ 52,800	\$ 153	\$ 52,647
Equipment	\$ 641,500	\$ 8,384	\$ 633,116
	<u>\$ 3,379,178</u>	<u>\$ 178,068</u>	<u>\$ 3,201,110</u>

Funding	Budget	Actual	Variance
State Firearms Background Check Funding	\$ 3,182,526	\$ 137,129	\$ 3,045,397
General Fund	\$ 196,652	\$ 40,939	\$ 155,713
	<u>\$ 3,379,178</u>	<u>\$ 178,068</u>	<u>\$ 3,201,110</u>

## **Notes**

State Firearms Background Check System Account balance was \$8,012,860 as of 1/4/22.

# Questions/Discussion



# Firearms Background Check Program Advisory Board Meeting








February 9, 2022

# FBC Project - Agenda

- Overall Status
- Project Timeline with Gate Deliverables
- Risks
- QA Report

# FBC Project Status

## Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

## Deliverables – Gate 4: Jan 1, 2022 – June 30, 2022




Deliverable	Status
Interface Control Document (ICD)	In Progress
Requirements Traceability Matrix (RTM)	In Progress
Security Design Review	In Progress
Test Plan	Not started
Gate 5 Application	Not started

# Firearms Background Check (FBC) Project Status

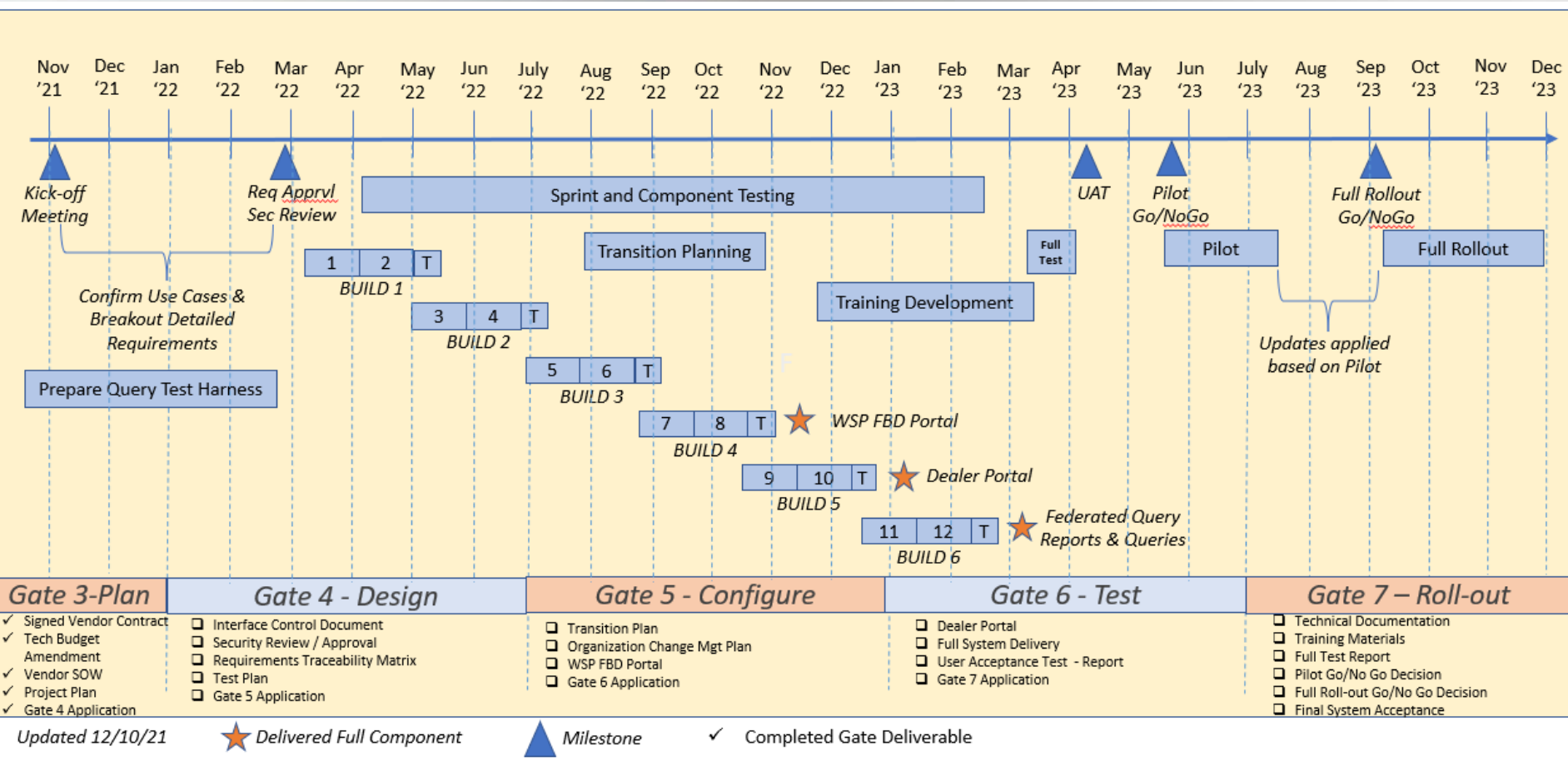
- OCIO
  - Gate 4 Funding Approved
- Requirements
  - Security Design Review Checklist - in progress
  - Workflow review sessions – in progress
  - Interface Control Document – in progress
- External Stakeholder Communications
  - Monthly meetings being held with HCA, DOL, AOC
  - Meeting with LInX NW
  - Survey sent to 11 agencies to obtain operational transaction statistics to confirm assumptions used to determine FBD staffing levels

# SAFE Workflows

Workflow	V1	V2	V3	Final
FFL – Owner Onboarding	Complete			
FFL - Submit and Process Background Check	Complete	Complete	To be planned	
FFL - Obtains Transferee Information	Complete			
Performs Federated Query	Complete			
Appeal Submission and Processing	Complete	To be planned		
CPL Submit and Notify Application	Complete			
Submit and Notify – Name & Date of Birth Based Background Check Request	In Progress			
Accounts Receivable	In Progress			

-  Complete
-  In Progress
-  To be planned

# FBC Project Timeline





# Risks

## WSP FBC Project Risks

Updated 1/5/22

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High	E-6 O-9, O-10, O-12	E-5 PM-15 T-17	
	Medium	E-4, E-21 S-19	S-21	
	Low	E-2, E-3		

Risk Classifications –

- Technical (T)
- External (E)
- Organizational (O)
- Project Management (PM)

Risk #	Risk Description
E-5	Assumptions used to estimate FBD staffing levels are incorrect
PM-15	Development time is greater than planned
T-17	Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project
E-6	LInX-NW will not become the primary means for FB division to access local law enforcement records
O-9	WSP does not secure the location for FBD in time planned
O-10	FBD facility and procedures not ready
O-12	FB Division staff are not trained adequately to handle the workload

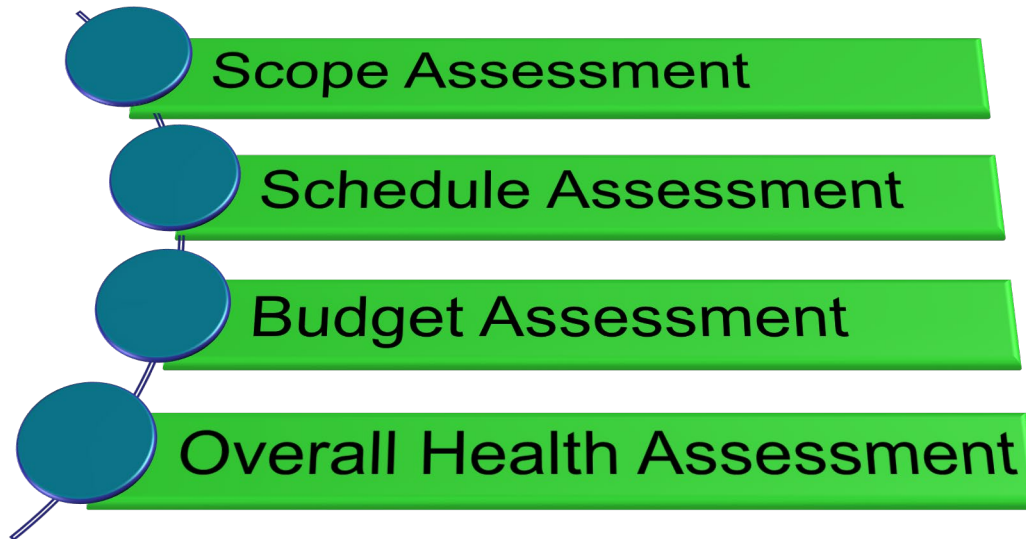
# QA Report #9 January 2022

## Independent Quality Assurance Report CASE Associates Inc.

Dan Kruger



# January 2022 – Overall Project Health is **STABLE**



# January 2022 – QA Observations

- **IT Vendor Key Activities**

- Requirements review and analysis
- Weekly Catalyst Scrum meetings
- Setting up the environment

**No Issues or Risks**

- **PM following best practices for Project Management**

- Conducting weekly project team, Catalyst, and FBD Commander meetings
- Providing written weekly status reports and a monthly project report
- Reviewing Risks and Issues
- Updates to the Project Schedule
- Bi-weekly OCIO briefings

- **Clear communication across the project**

- Monthly meetings with AOC, DOL, HCA stakeholders - productive meetings

- **Firearms Background Division Staffing**

- Hiring on track according to the staffing plan

# Firearms Background Division (FBD)

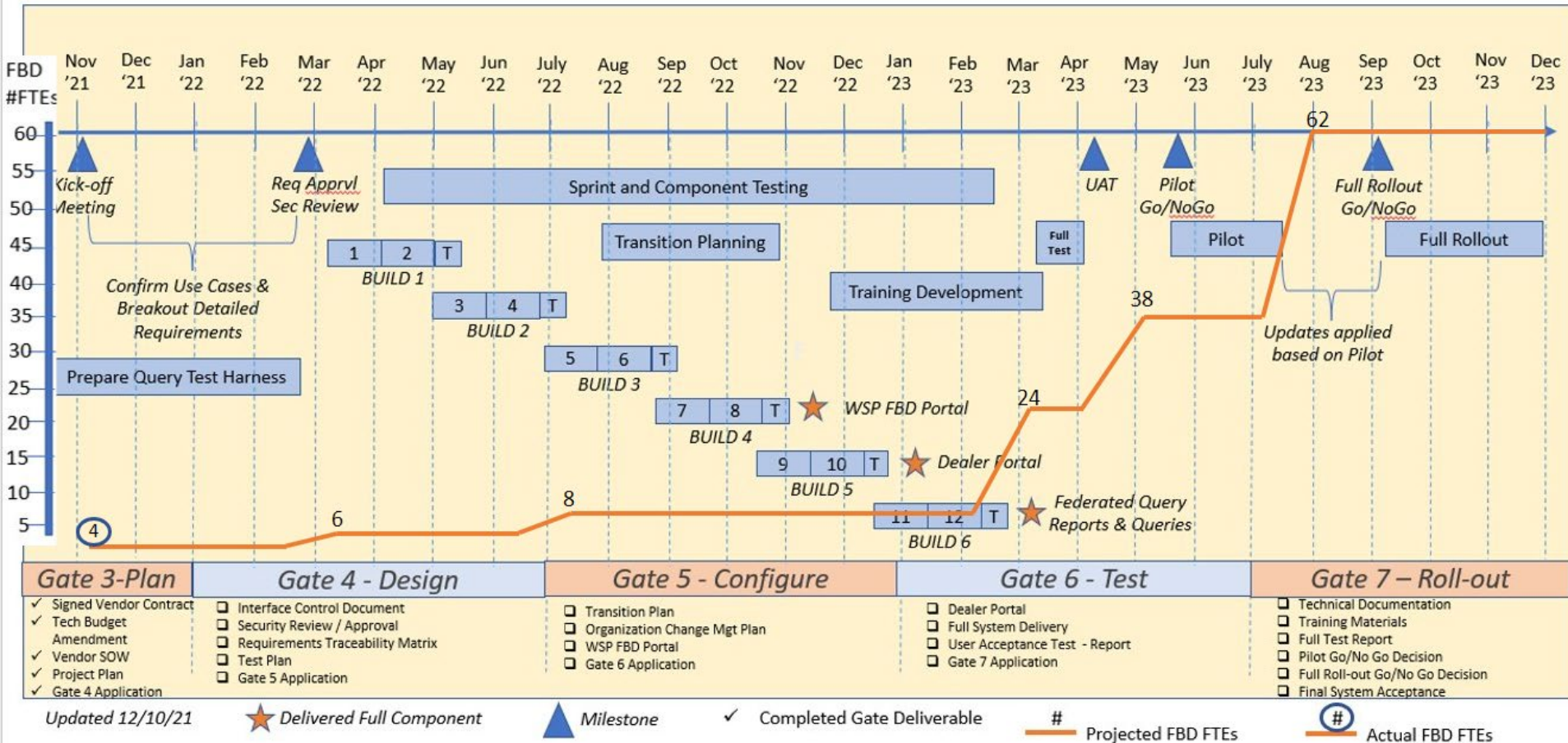
# FB Division - Agenda

- Location
- Staffing
- Stakeholder Communication
- Timeline with Staffing Plan
- Budget
  - FBC Project – Overall
  - FBC Project – By Gate
  - FBD

# Firearm Background Division (FBD) Status

- Location of FBD – Helen Sommers Building (HSB)
  - Pre-design Document approved by OFM
  - Property Management will be working with DES on HSB availability
- Staffing
  - Administrative Assistant 3 – interviews complete and 2 candidates sent to background
  - IT Support positions – one of the positions filled with internal candidate, Anthony Holtzer. Reposting for the other position
- Stakeholder Communication
  - Listserv communication, sent out 2/1/2022
  - HCA –numerous meetings to discuss transaction volume, process
  - DOL – transaction field definition
  - AOC – hired Business Analyst and increased communication
  - LInX NW – held meeting with teams, have test bed and interface

# FBC Timeline with Staffing Plan





# FBC Project Budget – by Gate

## Firearm Background Check IT Project Budget

### Full project by gate

*actual expenditure data as of January 31, 2022*

#### Firearms Background Check IT Project

	Budget	Expenditures to- date	Estimated In-Kind Staff to-date	Variance
Gate 1 - Implementation Plan	\$ 410,185	\$ 353,142	\$ 90,048	\$ (33,005)
Gate 2 - Initialize Project	\$ 196,512	\$ 116,810	\$ 22,512	\$ 57,190
Gate 3 - Planning	\$ 482,065	\$ 193,340	\$ 159,372	\$ 129,353
Gate 4 - Design	\$ 814,036	\$ -	\$ 26,562	\$ 787,474
Gate 5 - Configure	\$ 812,400			\$ 812,400
Gate 6 - Test	\$ 680,831			\$ 680,831
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	<u>\$ 4,202,033</u>	<u>\$ 663,292</u>	<u>\$ 298,494</u>	<u>\$ 3,240,247</u>

#### Notes

Budget = Budgeted Resources + Agency In-kind Resources from approved IT Tech Budget

Expenditures to-date = Budgeted Expenditures + In-Kind Expenditures (excluding staff valuation)

Expenditure assignments per gate:

for Budgeted Expenditures, expenditures are assigned a specific project code for each gate

for In-Kind Expenditures, expenditures are shown in the gate open during month the expenditure hit

In-Kind Staff Costs are not tracked in AFRS. Numbers represented are per IT Tech Budget.

# FBC Project Budget

## Firearm Background Check IT Project Budget 2021-23 Biennium

*actual expenditure data as of January 31, 2022*

### Firearms Background Check IT Project

Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 1,133,903	\$ -	\$ 1,133,903
Project Manager & Technical Architect	\$ 859,200	\$ 160,370	\$ 698,830
Quality Assurance	\$ 144,000	\$ 32,970	\$ 111,030
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	<u>\$ 2,151,843</u>	<u>\$ 193,340</u>	<u>\$ 1,958,503</u>

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 193,340	\$ 1,958,503
In-kind Agency Funding	\$ -	\$ -	\$ -
	<u>\$ 2,151,843</u>	<u>\$ 193,340</u>	<u>\$ 1,958,503</u>

### Notes

# FBD Budget

## Firearm Background Division Budget 2021-23 Biennium

*actual expenditure data as of January 31, 2022*

### Firearms Background Division

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,584,100	\$ 191,544	\$ 1,392,556
Contracts/Goods/Services	\$ 1,100,778	\$ 45,842	\$ 1,054,936
Travel	\$ 52,800	\$ 153	\$ 52,647
Equipment	\$ 641,500	\$ 8,384	\$ 633,116
	<u>\$ 3,379,178</u>	<u>\$ 245,923</u>	<u>\$ 3,133,255</u>

Funding	Budget	Actual	Variance
State Firearms Background Check Funding	\$ 3,182,526	\$ 197,541	\$ 2,984,985
General Fund FY22	\$ 97,396	\$ 48,382	\$ 49,014
General Fund FY23	\$ 99,256		\$ 99,256
	<u>\$ 3,379,178</u>	<u>\$ 245,923</u>	<u>\$ 3,133,255</u>

### Notes

State Firearms Background Check System Account balance was \$7,952,449 as of 1/31/22.

# Questions/Discussion



# Firearms Background Check Program Advisory Board Meeting






March 9, 2022

# FBC Project - Agenda

- Overall Status
- Project Timeline with Gate Deliverables
- Work Survey Results
- Risks
- QA Report

# FBC Project Status

## Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

## Deliverables – Gate 4: Jan 1, 2022 – June 30, 2022

Deliverable	Status
Interface Control Document (ICD)	In Progress
Requirements Traceability Matrix (RTM)	Complete
Security Design Review	In Progress
Test Plan	In Progress
Gate 5 Application	Not started

# Firearms Background Check (FBC) Project Status

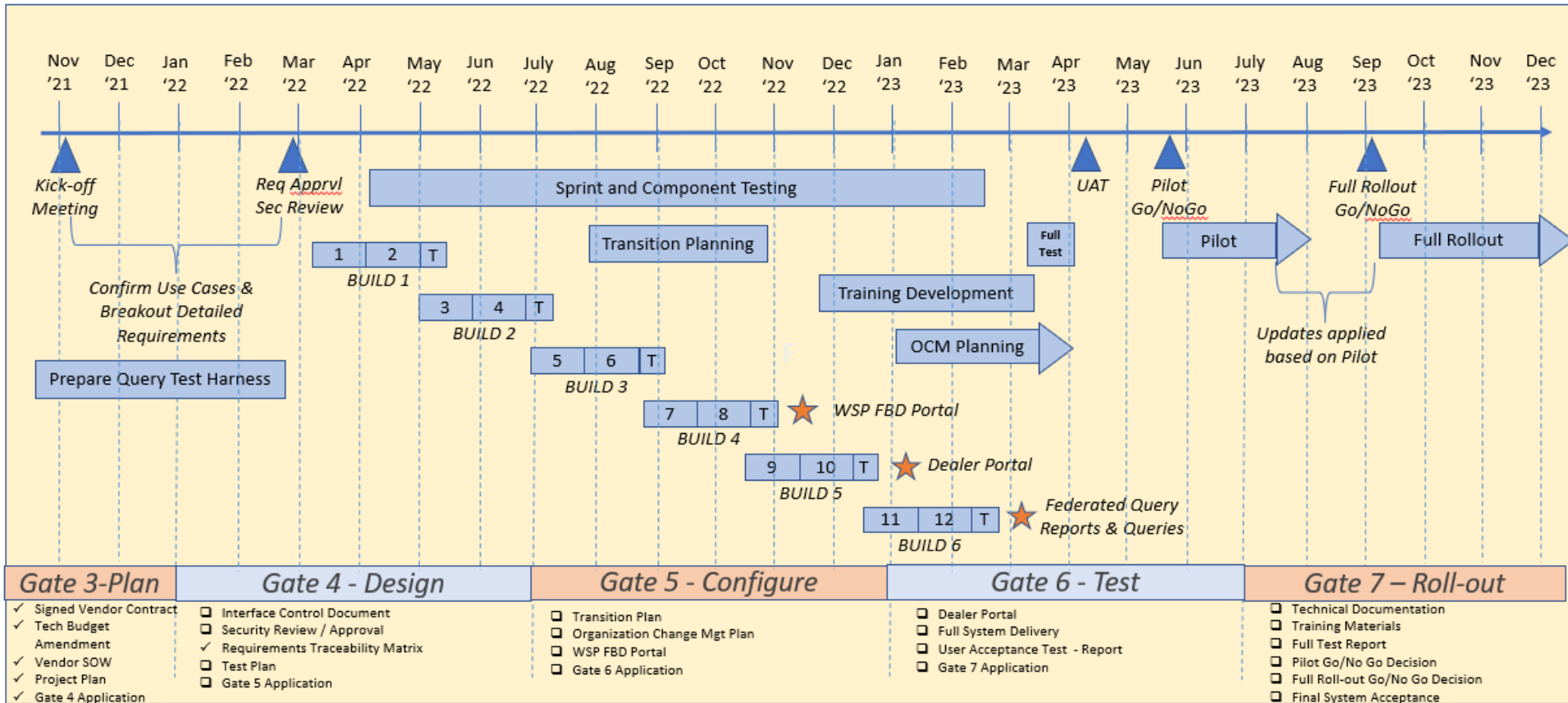
- OCIO
  - No items of note to report for Feb 2022
- Requirements
  - Security Design Review Checklist - in progress
  - Workflow Definitions - approved
  - Interface Control Document – in progress
- External Stakeholder Communications
  - Multiple meetings held with HCA, DOL, AOC
  - Work Survey results obtained from 10 agencies
- CCG has started Sprint 1 – foundational elements



# Requirements Traceability

Component	Description	Source	Workflow #	Workflow Description
FFL Portal	FR 1.1 Submit Background Check (DP.U1)	RFP Use Case	1	FFL Submit and Process Background Check via SAFE Portal
FFL Portal	FR 1.2 Receive Status Notification (DP.U2)	RFP Use Case	1	FFL Submit and Process Background Check via SAFE Portal
FFL Portal	FR 1.3 View Background Checks (for Dealer) (DP.U3)	RFP Use Case	N/A	Simple FFL query. UX Wireframe to be developed and reviewed
FFL Portal	FR 1.4 Report Firearms Transfer (DP.U4)	RFP Use Case	N/A	Report to be defined
FFL Portal	FR 1.5 Add FFL User (DP.U5)	RFP Use Case	4	FFL User Onboarding
FFL Portal	FR 1.6 Inactivate FFL User (DP.U6)	RFP Use Case	4.1	Inactivate FFL User
Staff Portal	FR 2.1 Review Background Check (SP.U1)	RFP Use Case	1	FFL Submit and Process Background Check via SAFE Portal
Staff Portal	FR 2.2 View Background Checks (FBC Staff) (SP.U2)	RFP Use Case	N/A	Simple FBD Staff query. UX Wireframe to be developed and reviewed
Staff Portal	FR 2.3 Assign Manual Review (SP.U3)	RFP Use Case	N/A	UX Wireframe to be developed and reviewed.
Staff Portal	FR 2.4 Onboard FFL (SP.U4)	RFP Use Case	8	Onboarding FFL Owner
Staff Portal	FR 2.5 Inactive FFL (SP.U5)	RFP Use Case	8.2	Inactivate FFL Owner
Staff Portal	FR 2.6 Manage Appealed Denial (SP.U6)	RFP Use Case	2	Appeal Submission and Processing
Staff Portal	FR 2.7 Notify of Delay (SP.U7)	RFP Use Case	2	Appeal Submission and Processing
Staff Portal	FR 2.8 Background Check Management Interface (SP.I1)	RFP Use Case	1	FFL Submit and Process Background Check via SAFE Portal
Fed Query	FR 3.1 Federated Query Interface (FQ.I1)	RFP Use Case	1.3	SAFE Performs Federated Query
Denied Tran	FR 4.1 Denied Transaction Handler Interface (DT.I1)	RFP Use Case	1	FFL Submit and Process Background Check via SAFE Portal
Interface	FR 5.1 Fingerprint-based Background Check Interface (LE.I1)	RFP Use Case	3	LEA Submit and Notify Application
Interface	FR 6.1 Accounts Receivable Interface (AR.I1)	RFP Use Case	8.1	Adding AR account
Interface	FR 7.1 Driver License/ID Verification Interface (DL.I1)	RFP Use Case	N/A	Future enhancement
Interface	FR 8.1 Firearms Transfer Application Interface (FT.I1)	RFP Use Case	1	FFL Submit and Process Background Check via SAFE Portal
Interface	FR 9.1 Court Records Interface (DS.I1)	RFP Use Case	1.3	SAFE Performs Federated Query
Interface	FR 9.2 Health Records Interface (DS.I2)	RFP Use Case	1.3	SAFE Performs Federated Query
Interface	FR 9.3 State/National Law Enforcement Records Interface (DS.I3)	RFP Use Case	1.3	SAFE Performs Federated Query
Interface	FR 9.4 Local Law Enforcement Records Interface (DS.I4)	RFP Use Case	1.3	SAFE Performs Federated Query

# FBC Project Timeline



Updated 3/4/2022

- ★ Delivered Full Component
- ▲ Milestone
- ✓ Completed Gate Deliverable

# Work Survey Results

## Participating Agencies:

Bainbridge Island PD

Bellingham PD

Edmonds PD

Island County SO

Moses Lake PD

Olympia PD

Seattle PD

Spokane PD

Vancouver PD

Yakima County SO

# Implementation Plan Assumptions

		Percent of checks	Minutes
Checks requiring minimal research		35%	5
Checks requiring simple research		15%	10
Checks requiring medium research		10%	15
Checks requiring enhanced research		5%	40
Checks w NICS denial (from FBI) (no research)*		1%	0
Lights-out/immediate proceeds (no research)*		34%	0

## Additional information:

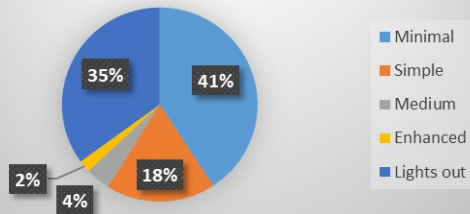
- Survey results were not able to take into account the 'Lights Out' checks that will be handled by SAFE, as it does not exist at this time
- Implementation plan assumed 35% of total checks would be system adjudicated ('lights out')
  - Anecdotally, we have been told by other agencies that percentage will likely be considerably higher
  - These 'lights out' checks were used in the staffing calculations in the implementation plan
- Survey results were aggregated by agency, then combined into a raw total by check type (minimal, simple, medium, enhanced)
- Raw results were then weighted 65% to account for the 35% assumption for auto adjudication for a final result
- With such a small number of survey participants, it is difficult to calculate a reasonable margin of error (MOE). A standard MOE is between 4% and 8% for a 95% accuracy rate, of which the results of our survey fall

# And we have a winner...!

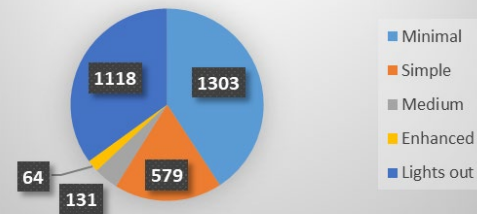
As you can see, the weighed survey results are very similar to the implementation plan assumptions...

	Weighted Results	Implementation Plan	Minutes
Checks requiring minimal research	41%	35%	5
Checks requiring simple research	18%	15%	10
Checks requiring medium research	4%	10%	15
Checks requiring enhanced research	2%	5%	40
Checks w NICS denial (from FBI) (no research)*	1%	1%	0
Lights-out/immediate proceeds (no research)*	34%	34%	0

Combined Total Background Checks by percentage (weighted)



Combined Total Background Checks by number (weighted)



# Final thoughts...

The implementation plan assumed 600,000 checks per year resulting in a staffing level of 54 employees doing the work (using 35/15/10/5 percentages for check difficulty)

Calculating using the same 600,00 checks, but using the check difficulty percentages from the survey (41/18/4/2), results in a staffing level of only 45 employees required to do the same amount of work

However, 2021 saw 736,846 checks performed. Recalculating using the same difficulty percentages from the survey (41/18/4/2), results in a staffing level of 54 employees required to do the work (*yes, same as the original implementation plan!!!*)

And finally...if the 'lights out' percentage is raised to 50% (due to SAFE's anticipated efficiencies), we would only need 48 employees to complete that same work, which gives us a bit of 'wiggle room' for future growth...or difficulties in hiring





Survey and presentation conducted and prepared by:

**Kevin L. Baird**

*Assistant Commander  
Washington State Patrol  
Firearms Background Division*

February 22,  
2022

# Risks

## WSP FBC Project Risks

Updated 3/2/22

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High	E-6 O-9, O-10, O-12	PM-15 T-17, T-20	E-22
	Medium	E-4, E-21 S-19	S-21	T-21
	Low	E-2, E-3 T-23		

Risk Classifications –

- Technical (T)
- External (E)
- Organizational (O)
- Project Management (PM)

Risk #	Risk Description
E-22	<i>New</i> – HCA current script and process will not be sufficient to process the anticipated transaction volume
E-5	<i>Closed</i> - Assumptions used to estimate FBD staffing levels are incorrect
PM-15	Development time is greater than planned
T-17	Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project
T-20	<i>New</i> – Unable to successfully parse the transaction details received by ACCESS, reducing lights-out processing
E-6	LinX-NW will not become the primary means for FB division to access local law enforcement records
O-9	WSP does not secure the location for FBD in time planned
O-10	FBD facility and procedures not ready
O-12	FB Division staff are not trained adequately to handle the workload
T-21	<i>New</i> – Update to Datamaxx ACCESS is delayed, increasing probability of T-20 and causing more work for CCG
T-23	<i>New</i> – Unknown requirements for the new Workday AR interface

# QA Report #10 February 2022

FBC Project Steering Committee Meeting  
March 9, 2022

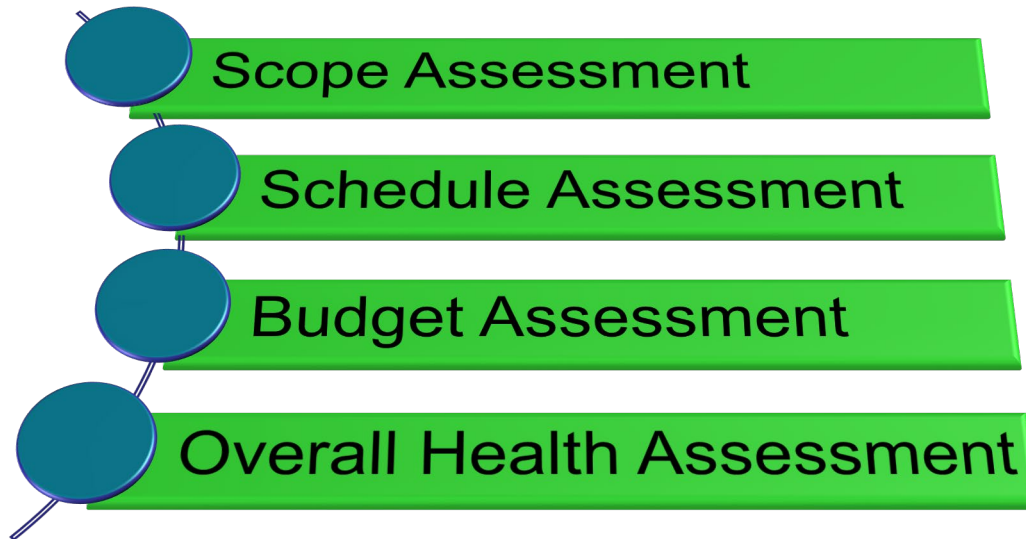
## **QA Report #10 – February 2022**

Independent Quality Assurance Report  
CASE Associates Inc.

Dan Kruger



# February 2022 – Overall Project Health is **STABLE**



# February 2022 – QA Observations

- **IT Vendor Key Activities**
  - Requirements review and analysis
  - Setting up the environment
  - Progress in completing the FBC Workflow Diagrams
- **PM following best practices for Project Management**
  - Productive weekly project team, Catalyst, and FBD Commander meetings
  - PM providing detailed written weekly status reports and a monthly project report
  - Updates to the Project Schedule – moved OCM engagement to later in the project
  - Bi-weekly OCIO briefings
- **Clear communication across the project**
  - Monthly meetings with AOC, DOL, HCA stakeholders - productive meetings
- **Firearms Background Division Staffing**
  - Hiring on track according to the staffing plan

# Firearms Background Division (FBD)

# FB Division - Agenda

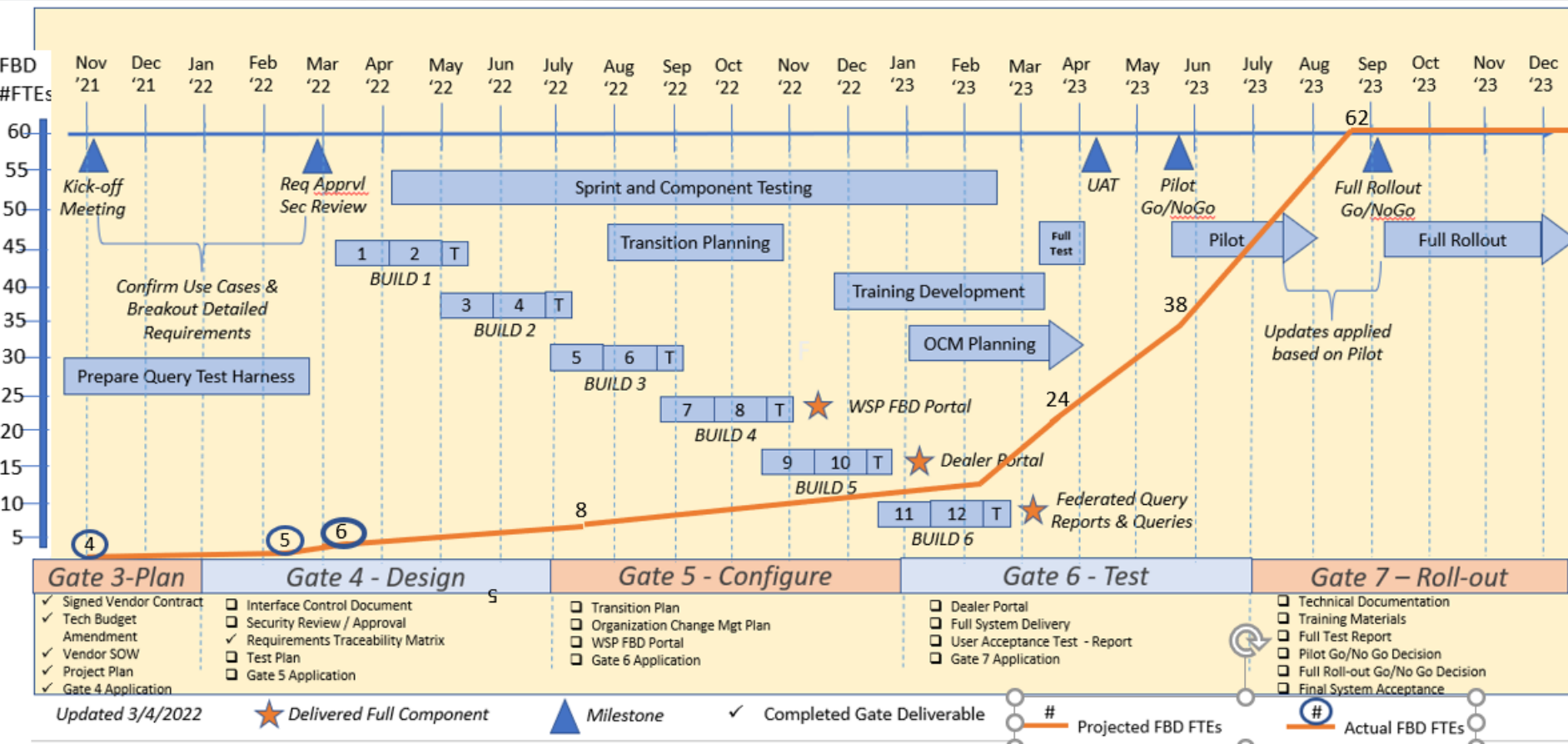
- Location
- Staffing
- Stakeholder Communication
- Budget
  - FBC Project – Overall
  - FBC Project – By Gate
  - FBD

# Firearm Background Division (FBD) Status

- Location of FBD – Helen Sommers Building (HSB)
  - HSB Tenant meeting schedule to discuss HSB occupancies
- Staffing
  - Administrative Assistant 3 – reposted, interviews planned for 3/14
  - IT Support positions – second position filled with internal candidate, Josh Clark, starting 3/16
- Stakeholder Communication
  - Listserv communication, sent out 3/1/2022
  - SAFE Interface Definition file shared with shareholders and CCG
  - HCA – resources assigned, updating process to work with SAFE
  - DOL – reviewed SAFE Interface Definition Document
  - AOC – reviewed SAFE Interface Definition and developing design



# FBC Timeline with Staffing Plan



# FBC Project Budget – by Gate

**Firearm Background Check IT Project Budget**  
**Full project by gate**  
*actual expenditure data as of March 1, 2022*

**Firearms Background Check IT Project**

	Budget	Expenditures to- date	Estimated In-Kind Staff to-date	Variance
Gate 1 - Implementation Plan	\$ 410,185	\$ 353,142	\$ 90,048	\$ (33,005)
Gate 2 - Initialize Project	\$ 196,512	\$ 116,810	\$ 22,512	\$ 57,190
Gate 3 - Planning	\$ 482,065	\$ 329,709	\$ 159,372	\$ (7,016)
Gate 4 - Design	\$ 814,036	\$ -	\$ 53,124	\$ 760,912
Gate 5 - Configure	\$ 812,400			\$ 812,400
Gate 6 - Test	\$ 680,831			\$ 680,831
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	<b>\$ 4,202,033</b>	<b>\$ 799,661</b>	<b>\$ 325,056</b>	<b>\$ 3,077,316</b>

**Notes**

Budget = Budgeted Resources + Agency In-kind Resources from approved IT Tech Budget

Expenditures to-date = Budgeted Expenditures + In-Kind Expenditures (excluding staff valuation)

Expenditure assignments per gate:

for Budgeted Expenditures, expenditures are assigned a specific project code for each gate

for In-Kind Expenditures, expenditures are shown in the gate open during month the expenditure hit

In-Kind Staff Costs are not tracked in AFRS. Numbers represented are per IT Tech Budget.

# FBC Project Budget

## Firearm Background Check IT Project Budget 2021-23 Biennium

*actual expenditure data as of March 1, 2022*

### Firearms Background Check IT Project

Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 1,133,903	\$ 50,619	\$ 1,083,284
Project Manager & Technical Architect	\$ 859,200	\$ 232,120	\$ 627,080
Quality Assurance	\$ 144,000	\$ 46,970	\$ 97,030
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	<u>\$ 2,151,843</u>	<u>\$ 329,709</u>	<u>\$ 1,822,134</u>

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 329,709	\$ 1,822,134
In-kind Agency Funding	\$ -	\$ -	\$ -
	<u>\$ 2,151,843</u>	<u>\$ 329,709</u>	<u>\$ 1,822,134</u>

### Notes

Gate 4 Allotment release inquiry to OFM

# FBD Budget

## Firearm Background Division Budget 2021-23 Biennium

*actual expenditure data as of March 1, 2022*

### Firearms Background Division

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,692,970	\$ 225,112	\$ 1,467,858
Contracts/Goods/Services	\$ 1,102,748	\$ 13,320	\$ 1,089,428
Travel	\$ 55,550	\$ 153	\$ 55,397
Equipment	\$ 642,060	\$ 15,135	\$ 626,925
	<u>\$ 3,493,328</u>	<u>\$ 253,720</u>	<u>\$ 3,239,608</u>

Funding	Budget	Actual	Variance
State Firearms Background Check Funding	\$ 3,182,526	\$ 197,894	\$ 2,984,632
General Fund FY22	\$ 134,976	\$ 55,826	\$ 79,150
General Fund FY23	\$ 175,826		\$ 175,826
	<u>\$ 3,493,328</u>	<u>\$ 253,720</u>	<u>\$ 3,239,608</u>

### Notes

State Firearms Background Check System Account balance was \$7,796,592 as of 3/1/22.

March Update: GF allotment increases linked to position/funding transfer from PI230

# Questions/Discussion



# Firearms Background Check Program Advisory Board Meeting








April 13, 2022

# FBC Project - Agenda

- Overall Status
- Project Timeline with Gate Deliverables
- Risks
- QA Report

# FBC Project Status

## Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

## Deliverables – Gate 4: Jan 1, 2022 – June 30, 2022

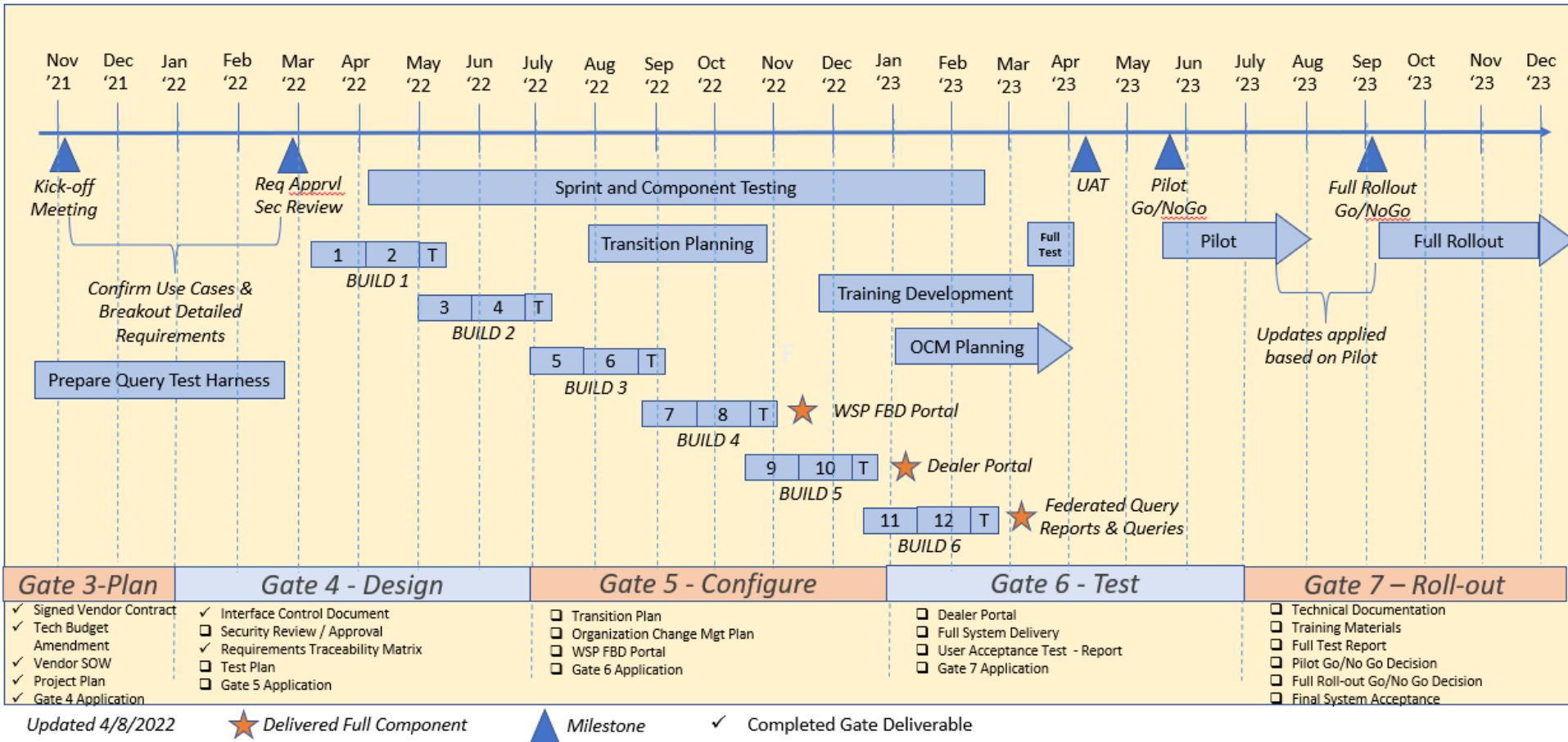
Deliverable	Status
Interface Control Document (ICD)	Complete
Requirements Traceability Matrix (RTM)	Complete
Security Design Review	In Progress
Test Plan	In Progress
Gate 5 Application	Not started



# Firearms Background Check (FBC) Project Status

- OCIO
  - OCIO approval of amended Investment Plan
- Security Design Review (SDR) – in progress
  - Meeting held with Office of Cyber Security (OCS)
  - Additional meetings required to clarify network design
- FFL Portal screen review
  - Initial wireframes reviewed with SMEs and group of FFLs
    - Positive feedback, elimination of redundant steps
    - Options for secure entry of transferee information
    - Electronic signature
- Sprint 2 (FFL Portal) – in progress
- External Stakeholder Communications
  - Multiple meetings held with HCA, DOL, AOC

# FBC Project Timeline



Nov '21 Dec '21 Jan '22 Feb '22 Mar '22 Apr '22 May '22 Jun '22 July '22 Aug '22 Sep '22 Oct '22 Nov '22 Dec '22 Jan '23 Feb '23 Mar '23 Apr '23 May '23 Jun '23 July '23 Aug '23 Sep '23 Oct '23 Nov '23 Dec '23

Kick-off Meeting

Confirm Use Cases & Breakout Detailed Requirements

Prepare Query Test Harness

Req Apprvl Sec Review

1 2 T  
BUILD 1

3 4 T  
BUILD 2

5 6 T  
BUILD 3

7 8 T  
BUILD 4

9 10 T  
BUILD 5

11 12 T  
BUILD 6

Sprint and Component Testing

Transition Planning

Training Development

OCM Planning

★ WSP FBD Portal

★ Dealer Portal

★ Federated Query Reports & Queries

Full Test

UAT

Pilot Go/NoGo

Pilot

Full Rollout Go/NoGo

Full Rollout

Updates applied based on Pilot

Gate 3-Plan

Gate 4 - Design

Gate 5 - Configure

Gate 6 - Test

Gate 7 - Roll-out

- ✓ Signed Vendor Contract
- ✓ Tech Budget
- ✓ Amendment
- ✓ Vendor SOW
- ✓ Project Plan
- ✓ Gate 4 Application

- ✓ Interface Control Document
- Security Review / Approval
- ✓ Requirements Traceability Matrix
- Test Plan
- Gate 5 Application

- Transition Plan
- Organization Change Mgt Plan
- WSP FBD Portal
- Gate 6 Application

- Dealer Portal
- Full System Delivery
- User Acceptance Test - Report
- Gate 7 Application

- Technical Documentation
- Training Materials
- Full Test Report
- Pilot Go/No Go Decision
- Full Roll-out Go/No Go Decision
- Final System Acceptance

Updated 4/8/2022

★ Delivered Full Component

▲ Milestone

✓ Completed Gate Deliverable

# Risks

## WSP FBC Project Risks

Updated 4/8/22

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High	E-6 O-9, O-10, O-12	PM-15 T-17, T-20	E-22
	Medium	E-4, E-21 S-19	S-21	T-21
	Low	E-2, E-3 T-23		

Risk Classifications –

- Technical (T)
- External (E)
- Organizational (O)
- Project Management (PM)

Risk #	Risk Description
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume
PM-15	Development time is greater than planned
T-17	Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project
T-20	Unable to successfully parse the transaction details received by ACCESS, reducing lights-out processing
E-6	LInX-NW will not become the primary means for FB division to access local law enforcement records
O-9	WSP does not secure the location for FBD in time planned
O-10	FBD facility and procedures not ready
O-12	FB Division staff are not trained adequately to handle the workload
T-21	Update to Datamaxx ACCESS is delayed, increasing probability of T-20 and causing more work for CCG
T-23	Unknown requirements for the new Workday AR interface

# High / High Risk

E-22

HCA current script and process will not be sufficient to process the anticipated transaction volume

- Working closely with HCA to mitigate risk
- HCA is proceeding to modify the existing system
  - Automate the 'no hit' transactions
  - 'no hit' transactions represent apprx 90% of their current volume
  - Original developer evaluating scope
- Batch processing to be reviewed
  - Currently run batches once per day
  - HCA does not work weekends

# QA Report

FBC Project Steering Committee Meeting  
April 13, 2022

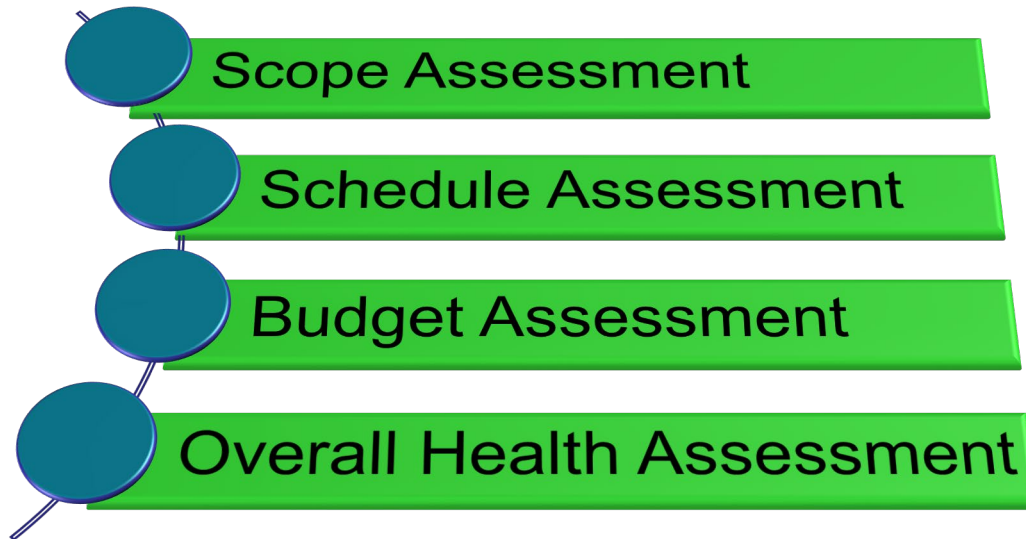
## **QA Report #11 – March 2022**

Independent Quality Assurance Report  
CASE Associates Inc.

Dan Kruger



# March 2022 – Overall Project Health is **STABLE**



# Firearms Background Division (FBD)

# FB Division - Agenda

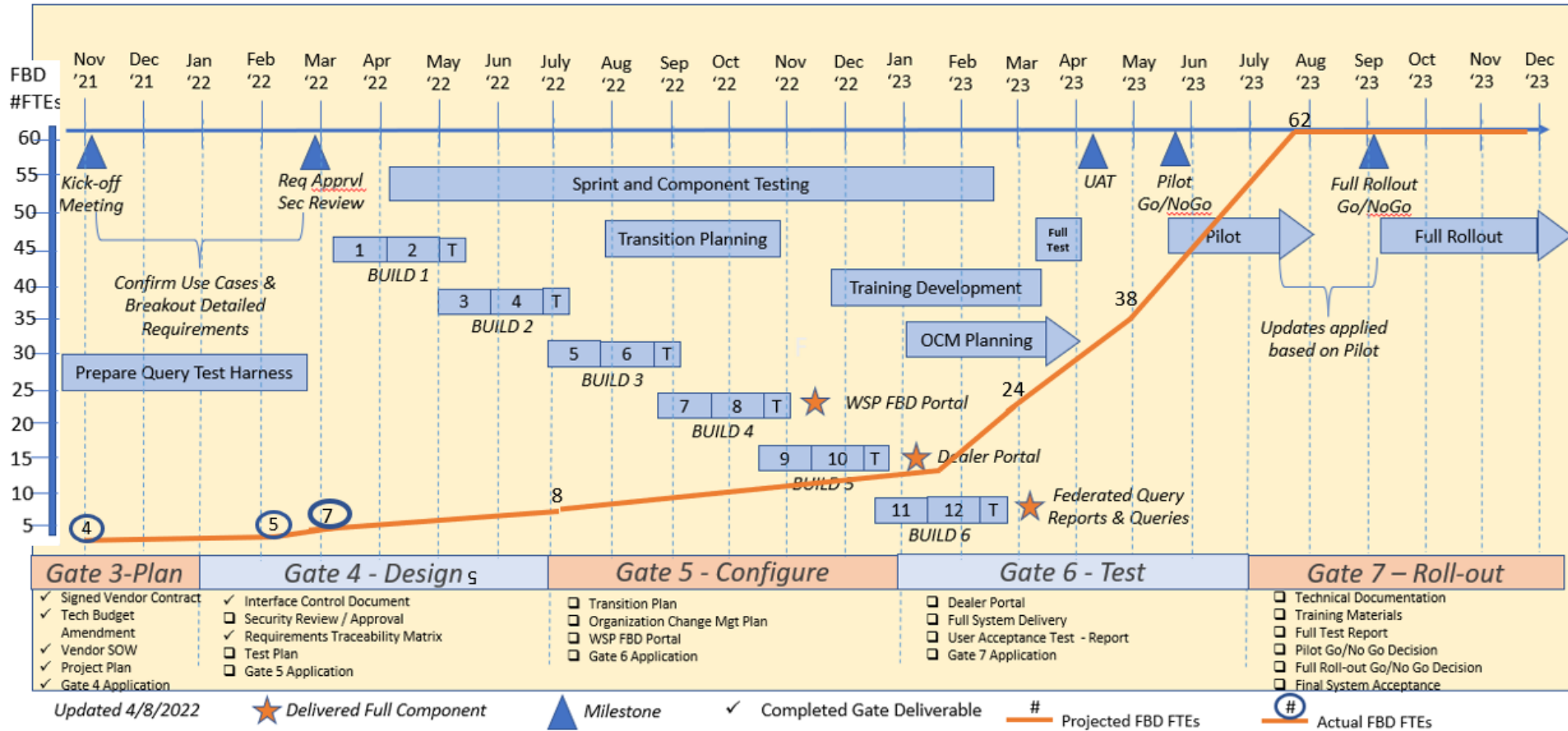
- Location
- Staffing
- Stakeholder Communication
- Budget
  - FBC Project – Overall
  - FBC Project – By Gate
  - FBD



# Firearm Background Division (FBD) Status

- Location of FBD – Helen Sommers Building (HSB)
  - WSP Facilities reaching out to DES to discuss status of HSB and a plan forward
- Staffing
  - Administrative Assistant 3 – started 4/1 with FBD
- Stakeholder Communication
  - Listserv communication, sent out 4/1/2022
  - HCA – updating system to process ‘no hit’ transactions
  - DOL – meetings held bi-monthly
  - AOC – meetings held bi-monthly

# FBC Timeline with Staffing Plan



# FBC Project Budget – by Gate

**Firearm Background Check IT Project Budget**  
**Full project by gate**  
*actual expenditure data as of April 4, 2022*

**Firearms Background Check IT Project**

	Budget	Expenditures to- date	Estimated In-Kind Staff to-date	Variance
Gate 1 - Implementation Plan	\$ 410,185	\$ 353,142	\$ 90,048	\$ (33,005)
Gate 2 - Initialize Project	\$ 196,512	\$ 116,810	\$ 22,512	\$ 57,190
Gate 3 - Planning	\$ 482,065	\$ 285,339	\$ 159,372	\$ 37,354
Gate 4 - Design	\$ 814,036	\$ 50,320	\$ 79,686	\$ 684,030
Gate 5 - Configure	\$ 812,400			\$ 812,400
Gate 6 - Test	\$ 680,831			\$ 680,831
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	<b>\$ 4,202,033</b>	<b>\$ 805,611</b>	<b>\$ 351,618</b>	<b>\$ 3,044,804</b>

**Notes**

Budget = Budgeted Resources + Agency In-kind Resources from approved IT Tech Budget

Expenditures to-date = Budgeted Expenditures + In-Kind Expenditures (excluding staff valuation)

Expenditure assignments per gate:

for Budgeted Expenditures, expenditures are assigned a specific project code for each gate

for In-Kind Expenditures, expenditures are shown in the gate open during month the expenditure hit

In-Kind Staff Costs are not tracked in AFRS. Numbers represented are per IT Tech Budget.

# FBC Project Budget

**Firearm Background Check IT Project Budget**  
**2021-23 Biennium**  
*actual expenditure data as of April 4, 2022*

**Firearms Background Check IT Project**

Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 1,133,903	\$ 50,619	\$ 1,083,284
Project Manager & Technical Architect	\$ 859,200	\$ 232,120	\$ 627,080
Quality Assurance	\$ 144,000	\$ 52,920	\$ 91,080
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	<u>\$ 2,151,843</u>	<u>\$ 335,659</u>	<u>\$ 1,816,184</u>

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 335,659	\$ 1,816,184
In-kind Agency Funding	\$ -	\$ -	\$ -
	<u>\$ 2,151,843</u>	<u>\$ 335,659</u>	<u>\$ 1,816,184</u>

**Notes**

# FBD Budget

## Firearm Background Division Budget 2021-23 Biennium

*actual expenditure data as of April 4, 2022*

### Firearms Background Division

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,692,970	\$ 272,320	\$ 1,420,650
Contracts/Goods/Services	\$ 1,103,552	\$ 13,756	\$ 1,089,796
Travel	\$ 55,550	\$ 153	\$ 55,397
Equipment	\$ 642,060	\$ 16,069	\$ 625,991
	<u>\$ 3,494,132</u>	<u>\$ 302,298</u>	<u>\$ 3,191,834</u>

Funding	Budget	Actual	Variance
State Firearms Background Check Funding	\$ 3,182,526	\$ 242,751	\$ 2,939,775
General Fund FY22	\$ 135,325	\$ 59,548	\$ 75,777
General Fund FY23	\$ 176,281		\$ 176,281
	<u>\$ 3,494,132</u>	<u>\$ 302,299</u>	<u>\$ 3,191,833</u>

### Notes

State Firearms Background Check System Account balance was \$7,726,651 as of 4/1/22.

# Questions/Discussion



# Firearms Background Check Program Advisory Board Meeting

June 8, 2022








# FBC Project - Agenda

- Overall Status
- Project Timeline with Gate Deliverables
- Catalyst Consulting Group (CCG) Update
- Risks
- QA Report



# FBC Project Status

## Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

## Deliverables – Gate 4: Jan 1, 2022 – June 30, 2022

Deliverable	Status
Interface Control Document (ICD)	Complete
Requirements Traceability Matrix (RTM)	Complete
Security Design Review	Awaiting 2 <sup>nd</sup> OCS review
Test Plan	Complete
Gate 5 Application	Submitted

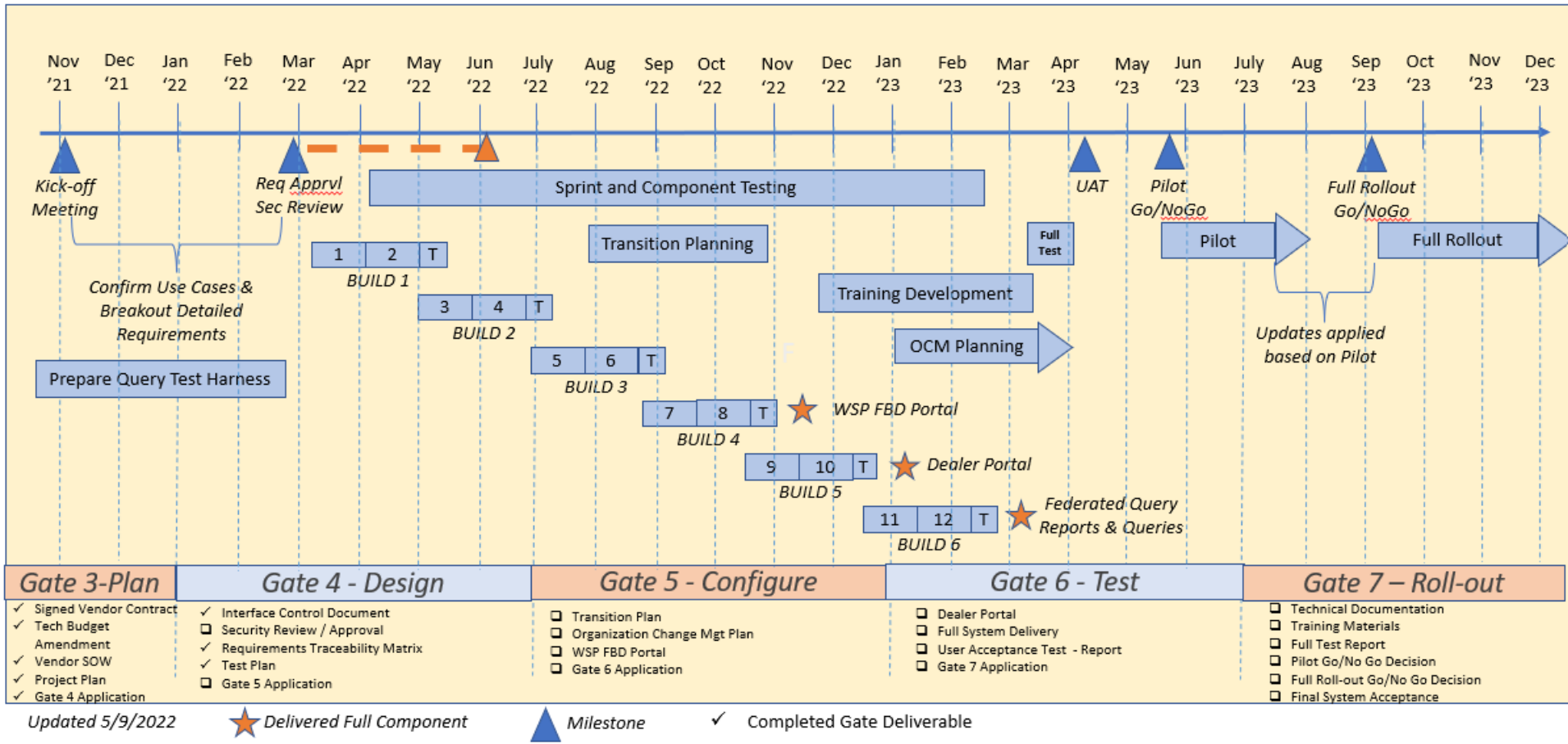
# Firearms Background Check (FBC) Project Status

- OCIO
  - Gate 4 Deliverables loaded on the OCIO Dashboard
  - Gate 5 Funding Application submitted to OCIO/OFM approval
  - No Technology Budget Amendment needed for Gate 4
- Security Design Review (SDR) – submitted for 2<sup>nd</sup> review
- User Interface design
  - FBD SMEs preparing draft screens based on role requirements
- External Stakeholder Communications
  - Multiple meetings held with HCA, DOL, AOC
  - All agencies are on track for 1st interface test in July 2022

# CPLs Processing

- LEAs will continue to conduct the CPL background checks when SAFE is operational
- SAFE will include an additional workflow so HCA will only receive requests from SAFE, not from each LEA for CPL background checks
- SAFE will be developed to include the planned functionality to process CPL background checks
- FBD will work with WASPC and LEAs to determine best timeframe to take on the CPL processing

# FBC Project Timeline

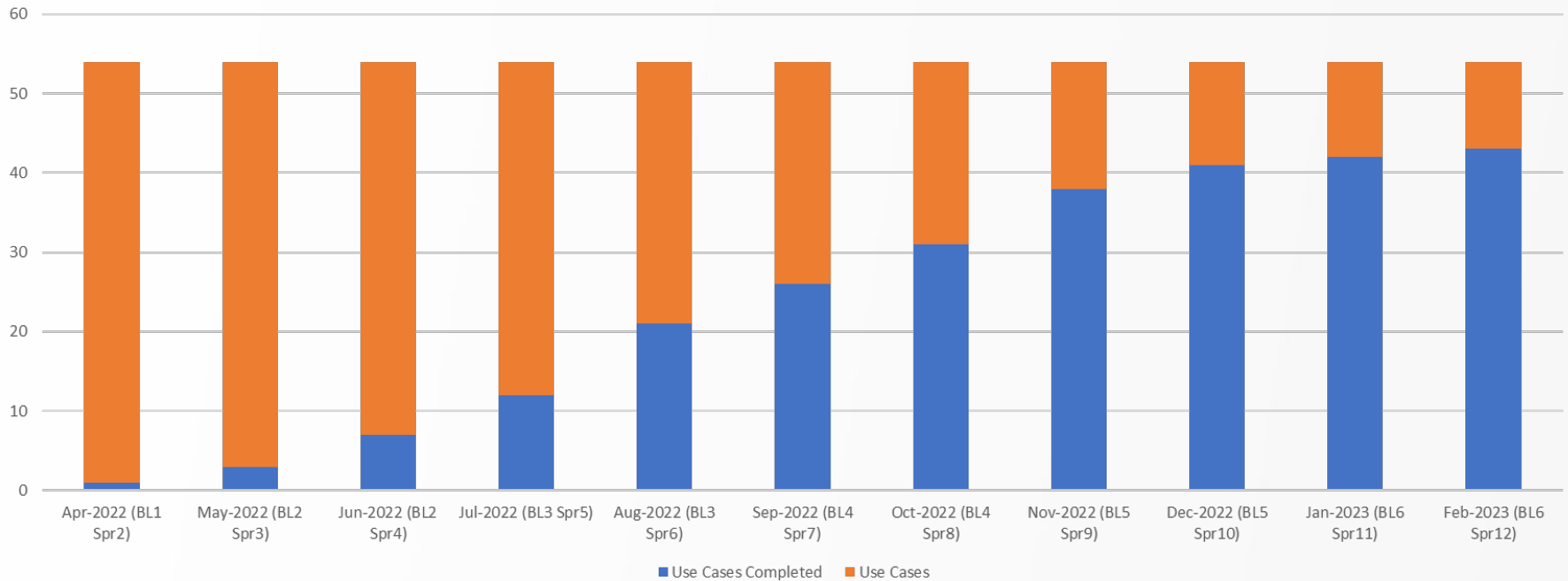


# Catalyst Consulting Group (CCG)

- Additional Quality resource being on-boarded
- System Integration Test (SIT) environment setup
- Build 2 – In progress
  - Sprint 3 – demonstrated to FBC SMEs, loaded on SIT
  - Sprint 4 – in progress
- Security Design Review (SDR) updated and provided to WSP Technical team

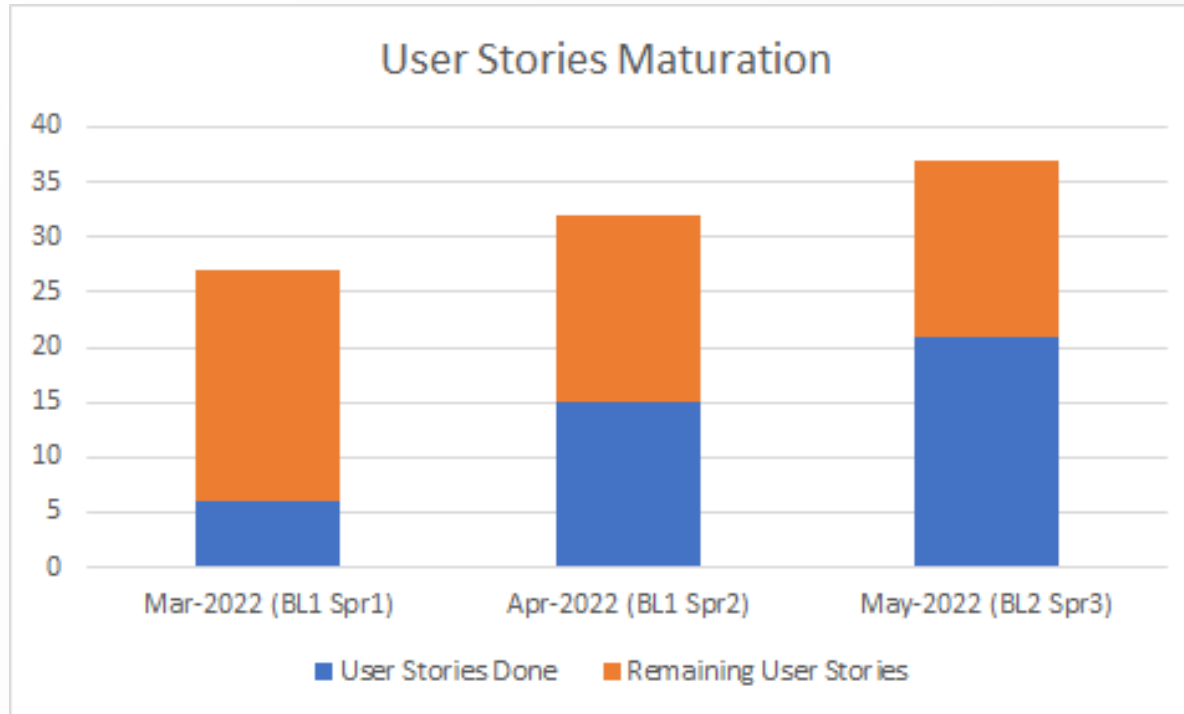
# Use Case Maturity

Planned Use Case Maturation



10 Use Cases not yet assigned to a Sprint

# User Story Maturity



No open issues to report

# Risks

## WSP FBC Project Risks

Updated 4/8/22

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High	E-6 O-9, O-10, O-12	PM-15 T-17, T-20	E-22
	Medium	E-4, E-21 S-19	S-21	T-21
	Low	E-2, E-3 T-23		

Risk Classifications –

- Technical (T)
- External (E)
- Organizational (O)
- Project Management (PM)

Risk #	Risk Description
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume
PM-15	Development time is greater than planned
T-17	Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project
T-20	Unable to successfully parse the transaction details received by ACCESS, reducing lights-out processing
E-6	LInX-NW will not become the primary means for FB division to access local law enforcement records
O-9	WSP does not secure the location for FBD in time planned
O-10	FBD facility and procedures not ready
O-12	FB Division staff are not trained adequately to handle the workload
T-21	Update to Datamaxx ACCESS is delayed, increasing probability of T-20 and causing more work for CCG
T-23	Unknown requirements for the new Workday AR interface



# QA Report #13 May 2022

FBC Project Steering Committee Meeting  
June 8, 2022

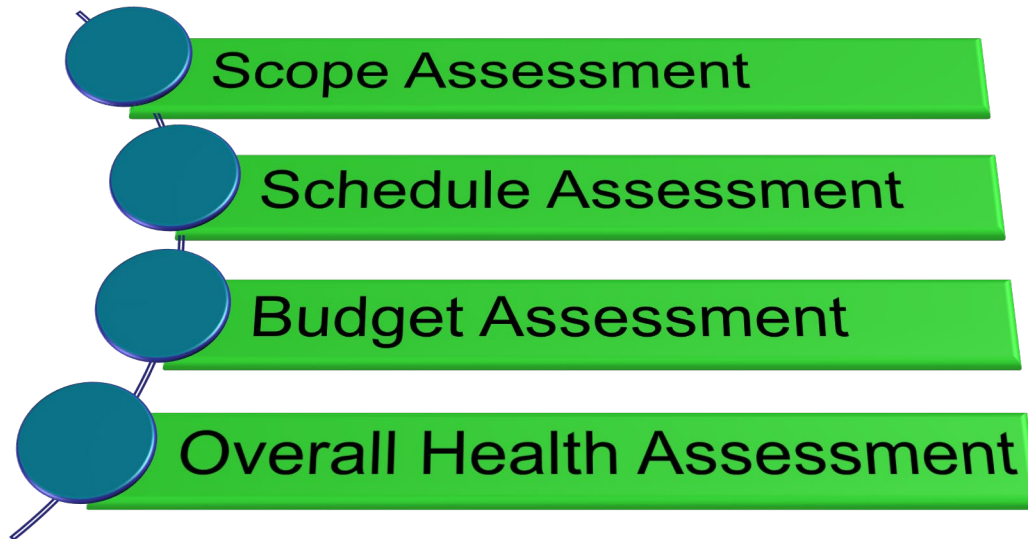
## **QA Report #13 – May 2022**

Independent Quality Assurance Report  
CASE Associates Inc.

Dan Kruger



# May 2022 – Overall Project Health is **STABLE**



# Firearms Background Division (FBD)

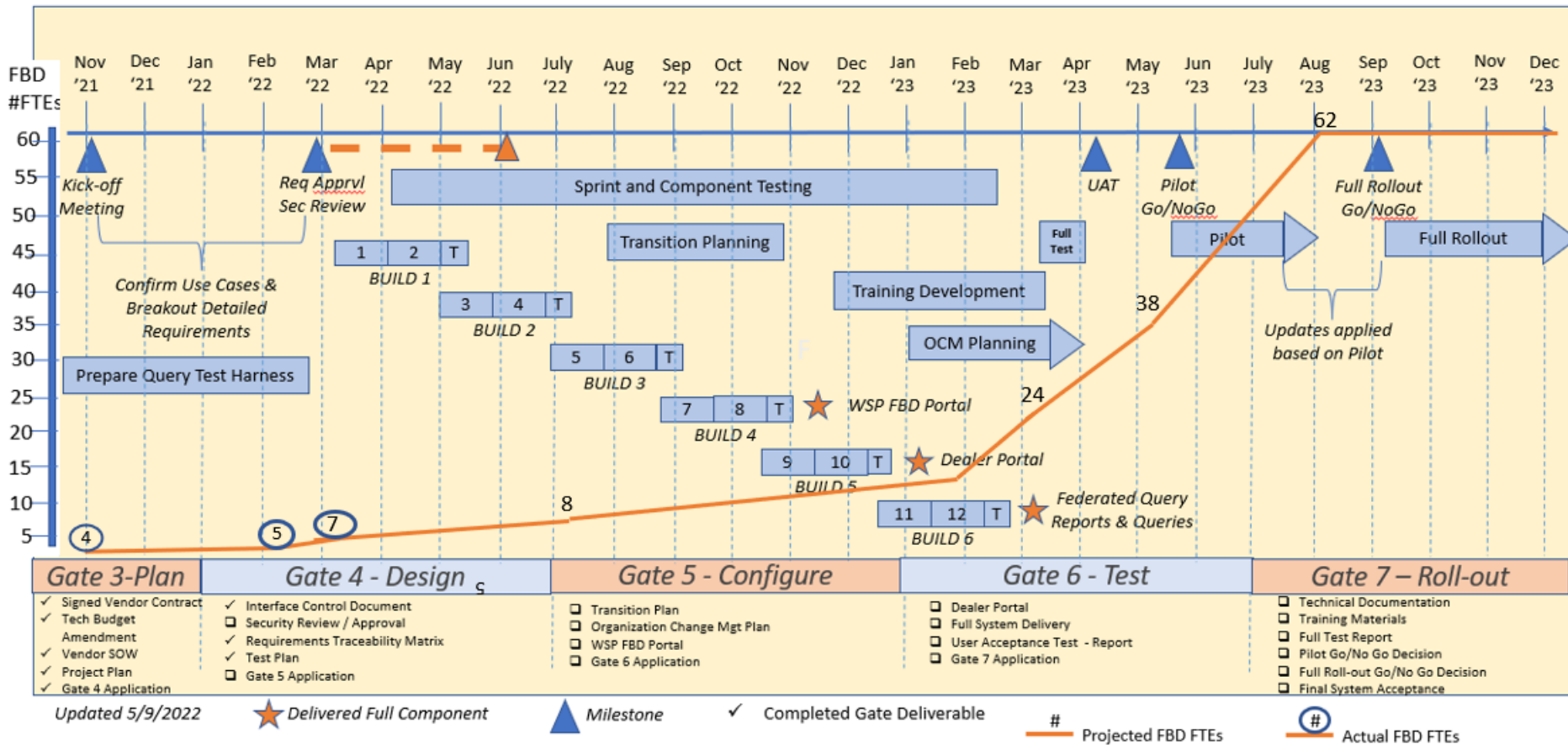
# FB Division - Agenda

- Location
- Staffing
- Stakeholder Communication
- Budget
  - FBC Project – Overall
  - FBC Project – By Gate
  - FBD

# Firearm Background Division (FBD) Status

- Location of FBD – Helen Sommers Building (HSB)
  - Discussions beginning with ITD located at HSB that are primarily teleworking for temporary locations.
  - Update for final location from OFM to be provided 6/3
- Staffing
  - No open positions at this time
- Stakeholder Communication
  - Listserv communication, sent out 6/1/2022
  - HCA – updates to system are in progress
  - DOL – met with DOL security team to review SAFE architecture
  - AOC – updates to system are in progress

# FBC Timeline with Staffing Plan



# FBC Project Budget – by Gate

**Firearm Background Check IT Project Budget**  
**Full project by gate**  
*actual expenditure data as of May 31, 2022*

**Firearms Background Check IT Project**

	Budget	Expenditures to-date	Estimated In-Kind Staff to-date	Variance
Gate 1 - Implementation Plan	\$ 410,185	\$ 353,142	\$ 90,048	\$ (33,005)
Gate 2 - Initialize Project	\$ 196,512	\$ 116,810	\$ 22,512	\$ 57,190
Gate 3 - Planning	\$ 482,065	\$ 285,339	\$ 159,372	\$ 37,354
Gate 4 - Design	\$ 814,036	\$ 166,230	\$ 132,810	\$ 514,996
Gate 5 - Configure	\$ 812,400			\$ 812,400
Gate 6 - Test	\$ 680,831			\$ 680,831
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	\$ 4,202,033	\$ 921,521	\$ 404,742	\$ 2,875,770

**Notes**

Budget = Budgeted Resources + Agency In-kind Resources from approved IT Tech Budget

Expenditures to-date = Budgeted Expenditures + In-Kind Expenditures (excluding staff valuation)

Expenditure assignments per gate:

for Budgeted Expenditures, expenditures are assigned a specific project code for each gate

for In-Kind Expenditures, expenditures are shown in the gate open during month the expenditure hit

In-Kind Staff Costs are not tracked in AFRS. Numbers represented are per IT Tech Budget.

# FBC Project Budget

## Firearm Background Check IT Project Budget 2021-23 Biennium

*actual expenditure data as of May 31, 2022*

### Firearms Background Check IT Project

Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 1,133,903	\$ 50,619	\$ 1,083,284
Project Manager & Technical Architect	\$ 859,200	\$ 337,040	\$ 522,160
Quality Assurance	\$ 144,000	\$ 63,910	\$ 80,090
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	<u>\$ 2,151,843</u>	<u>\$ 451,569</u>	<u>\$ 1,700,274</u>

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 451,569	\$ 1,700,274
In-kind Agency Funding	\$ -	\$ -	\$ -
	<u>\$ 2,151,843</u>	<u>\$ 451,569</u>	<u>\$ 1,700,274</u>

### Notes



# FBD Budget

## Firearm Background Division Budget 2021-23 Biennium

*actual expenditure data as of May 31, 2022*

### Firearms Background Division

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,700,069	\$ 400,149	\$ 1,299,920
Contracts/Goods/Services	\$ 1,103,552	\$ 17,466	\$ 1,086,086
Travel	\$ 55,550	\$ 153	\$ 55,397
Equipment	\$ 642,060	\$ 19,678	\$ 622,382
	<u>\$ 3,501,231</u>	<u>\$ 437,446</u>	<u>\$ 3,063,785</u>

Funding	Budget	Actual	Variance
State Firearms Background Check Funding	\$ 3,182,526	\$ 377,869	\$ 2,804,657
General Fund FY22	\$ 135,325	\$ 59,577	\$ 75,748
General Fund FY23	\$ 183,380		\$ 183,380
	<u>\$ 3,501,231</u>	<u>\$ 437,446</u>	<u>\$ 3,063,785</u>

### Notes

State Firearms Background Check System Account balance was \$7,437,368 as of 5/31/22.

# Questions/Discussion



# Firearms Background Check Program Advisory Board Meeting








July 13, 2022

# FBC Project - Agenda

- Overall Status
- Project Timeline with Gate Deliverables
- Catalyst Consulting Group (CCG) Update
- Risks
- QA Report

# FBC Project Status

## Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

## Deliverables – Gate 5: July 1, 2022 – Dec 31, 2022

Deliverable	Status
WSP Staff Portal Delivery	In Progress
Transition Plan	Not Started
Gate 6 Application	Not Started

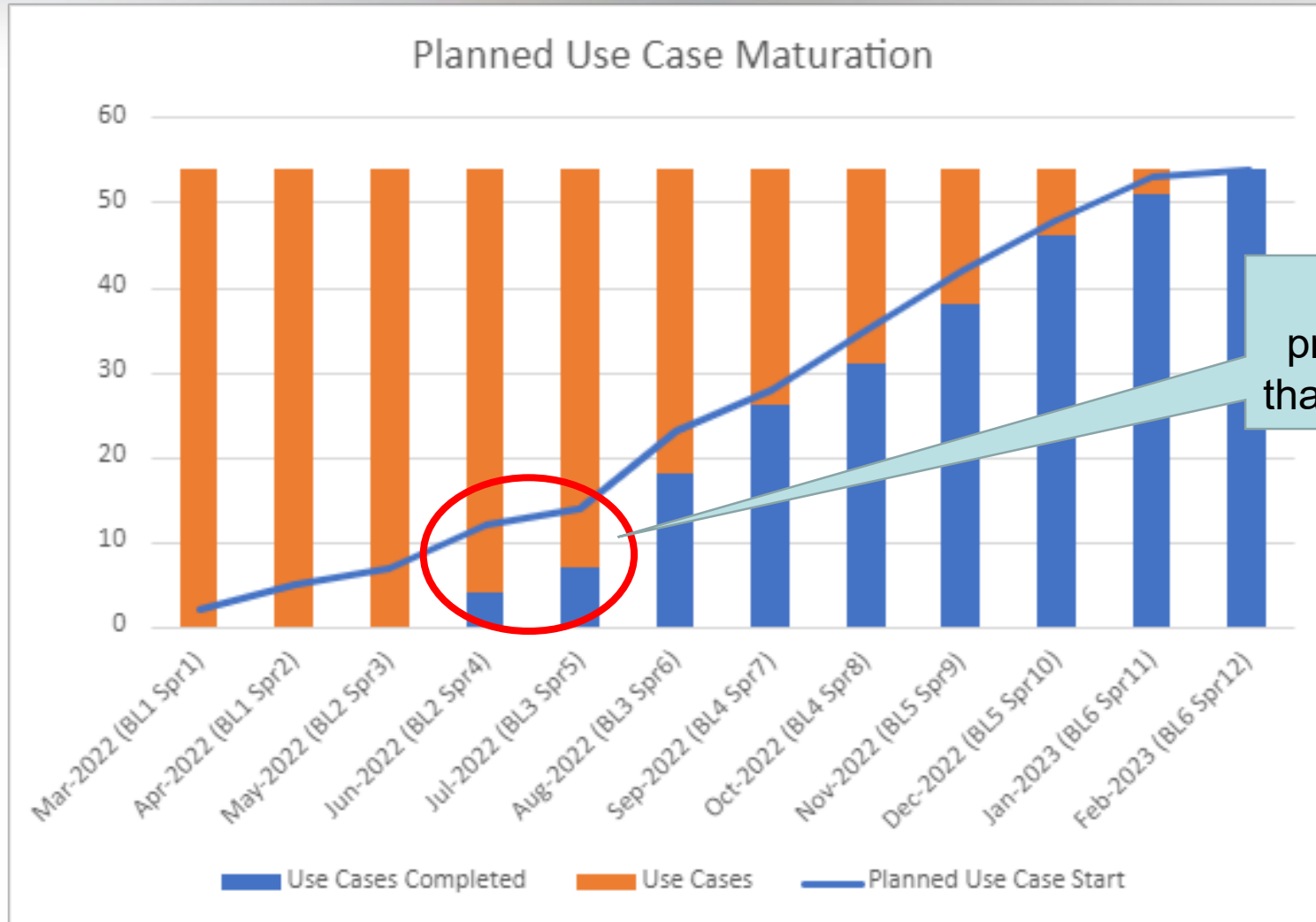
# Firearms Background Check (FBC) Project Status

- OCIO
  - Gate 4 Deliverables certified
  - Gate 5 Funding approved by OFM
- Security Design Review (SDR) – approved !!
- User Interface design prepared by FBD SMEs and reviewed with CCG
- External Stakeholder Communications
  - Multiple meetings held with HCA, DOL, AOC
  - All agencies working on networking configurations to connect with WSP SAFE environment

# Project Issues

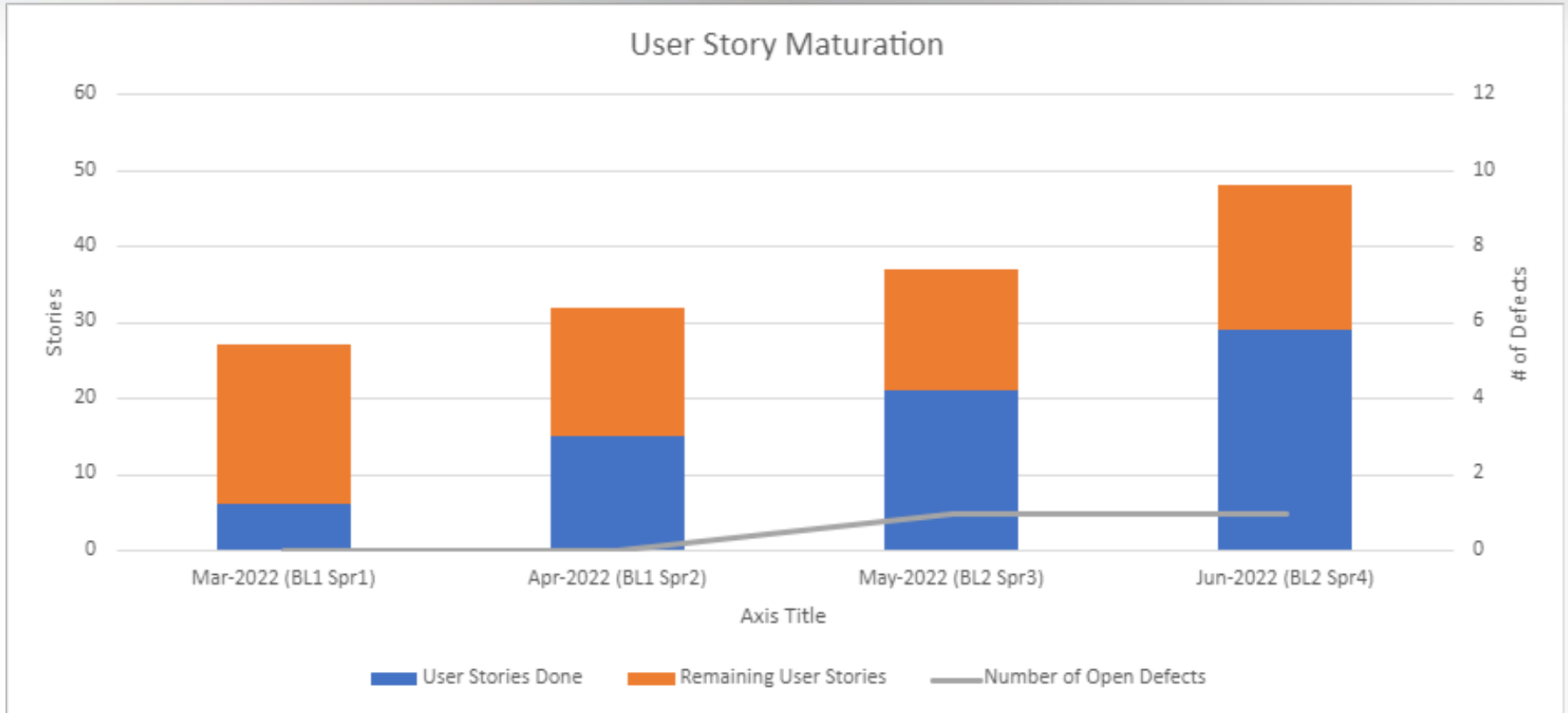
- Accounts Receivable system unknown
  - Current system (Solomon) being discontinued Jan 1, 2023
  - OneWA start date not known
  - Format of AR API cannot be defined
  - Mitigation – Budget & Finance Services DC working out solution
- SAFE development behind schedule
  - Planned schedule showed more production ready functionality
  - Long time between sprint deliverables
  - User interface needed more user input to improve usability
  - Mitigation – shorter sprints (1wk vs 4wks), production ready deliverables, tighter communication with SMEs

# Use Case Maturity

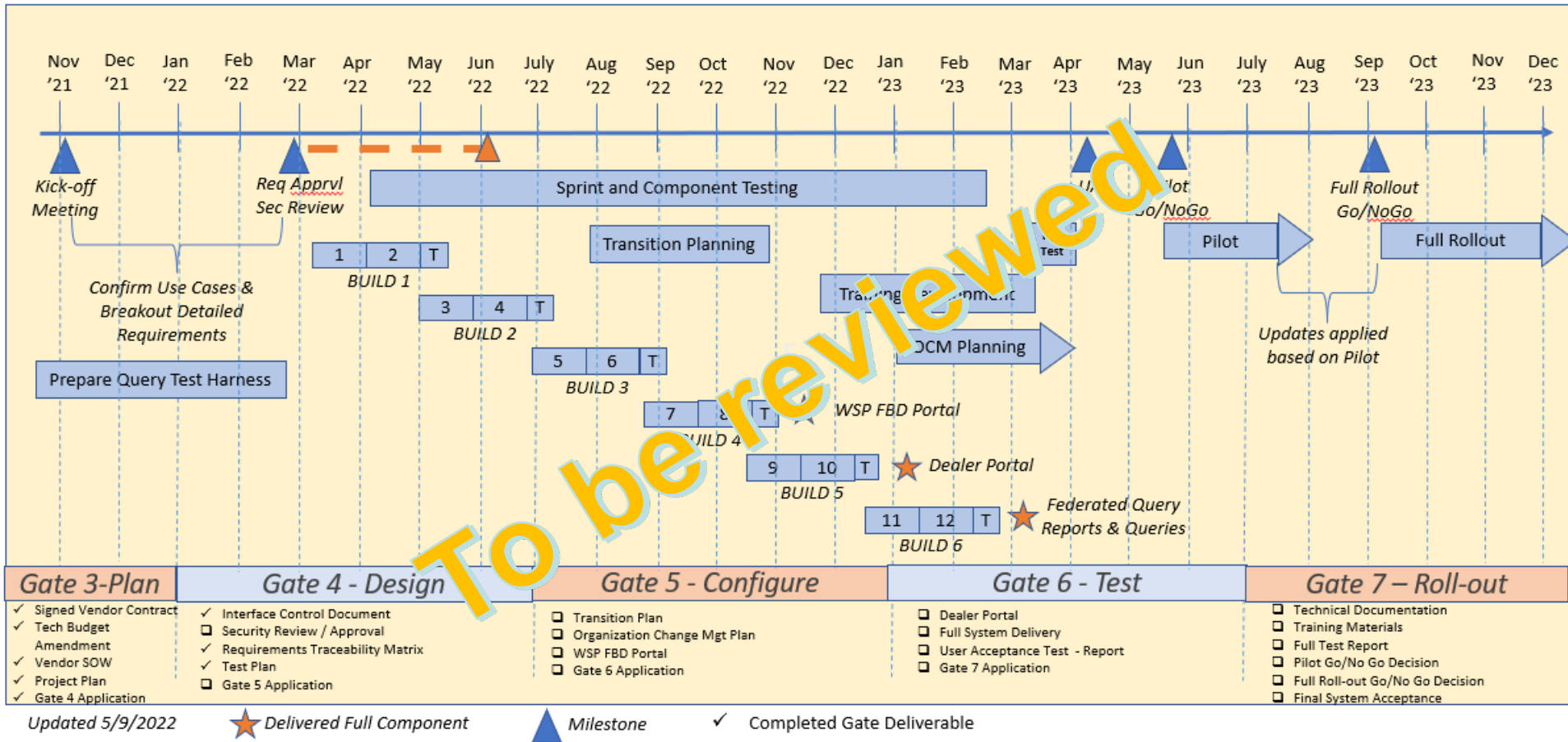




# User Story Maturation



# FBC Project Timeline



# Mitigation to Increase Productivity

- Change in sprint cadence – 1 week vs 4 weeks
  - Production quality code
  - Faster turnaround – clear focus
- Improvement of SME input
  - User Entry screens incorporated into user stories
  - Product Owner – FBC Technical Resource
- Replaced (1) development resource with WSP and CRD experience

# Risks

## WSP FBC Project Risks

Updated 4/8/22

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High	E-6 O-9, O-10, O-12	PM-15 T-17, T-20	E-22
	Medium	E-4, E-21 S-19	S-21	T-21
	Low	E-2, E-3 T-23		

Risk Classifications –

- Technical (T)
- External (E)
- Organizational (O)
- Project Management (PM)

Risk #	Risk Description
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume
PM-15	Development time is greater than planned
T-17	Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project
T-20	Unable to successfully parse the transaction details received by ACCESS, reducing lights-out processing
E-6	LInX-NW will not become the primary means for FB division to access local law enforcement records
O-9	WSP does not secure the location for FBD in time planned
O-10	FBD facility and procedures not ready
O-12	FB Division staff are not trained adequately to handle the workload
T-21	Update to Datamaxx ACCESS is delayed, increasing probability of T-20 and causing more work for CCG
T-23	Unknown requirements for the new Workday AR interface

# QA Report #14 June 2022

FBC Project Steering Committee Meeting  
July 13, 2022

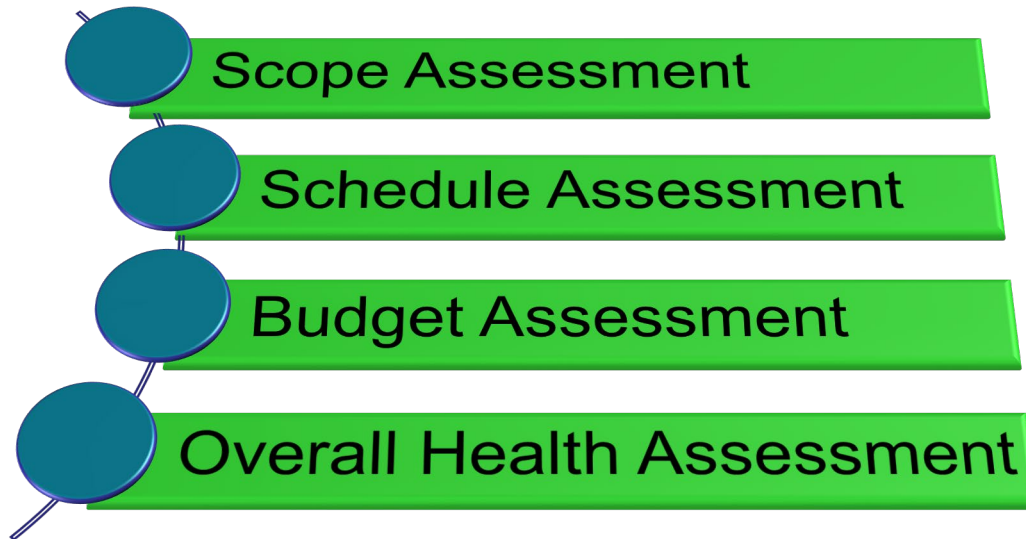
## **QA Report #14 – June 2022**

Independent Quality Assurance Report  
CASE Associates Inc.

Dan Kruger



# June 2022 – Overall Project Health is **STABLE**



# June 2022 – QA Recommendations

## New Recommendations

There are no new recommendations.

## Open Recommendations

There are no open recommendations.

## Watch List (WL) Items

There are **NO** watch list items this month:

- Finalize Security Design Review (SDR)
- Getting access to the FBI CJIS WAN testbed connectivity (coming soon)

# Firearms Background Division (FBD)



# FB Division - Agenda

- Location
- Staffing
- Stakeholder Communication
- Budget
  - FBC Project – Overall
  - FBC Project – By Gate
  - FBD

# Firearm Background Division (FBD) Status

- Location of FBD – Helen Sommers Building (HSB)
  - Toured the proposed HSB location - Space looks good, only requiring minor fixes.
  - One concern to be addressed is the emergency door in the shared space with OFM.
- Staffing
  - On track with Hiring Plan
  - (1) Open position for Training Supervisor (MA4) - (2) candidates to be interviewed July 19th
- Stakeholder Communication
  - Listserv communication, sent out 7/1/2022
  - Email sent to external agencies requesting required elements to connect them to WSP SAFE environment

# FBC Project Budget – by Gate

## Firearm Background Check IT Project Budget

### Full project by gate

*actual expenditure data as of July 5, 2022*

### Firearms Background Check IT Project

	Budget	Expenditures to-date	Estimated In-Kind Staff to-date	Variance
Gate 1 - Implementation Plan	\$ 410,185	\$ 353,142	\$ 90,048	\$ (33,005)
Gate 2 - Initialize Project	\$ 196,512	\$ 116,810	\$ 22,512	\$ 57,190
Gate 3 - Planning	\$ 482,065	\$ 285,339	\$ 159,372	\$ 37,354
Gate 4 - Design	\$ 814,036	\$ 443,110	\$ 159,372	\$ 211,554
Gate 5 - Configure	\$ 812,400			\$ 812,400
Gate 6 - Test	\$ 680,831			\$ 680,831
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	<b>\$ 4,202,033</b>	<b>\$ 1,198,401</b>	<b>\$ 431,304</b>	<b>\$ 2,572,328</b>

### Notes

Budget = Budgeted Resources + Agency In-kind Resources from approved IT Tech Budget

Expenditures to-date = Budgeted Expenditures + In-Kind Expenditures (excluding staff valuation)

Expenditure assignments per gate:

for Budgeted Expenditures, expenditures are assigned a specific project code for each gate

for In-Kind Expenditures, expenditures are shown in the gate open during month the expenditure hit

In-Kind Staff Costs are not tracked in AFRS. Numbers represented are per IT Tech Budget.

# FBC Project Budget

## Firearm Background Check IT Project Budget 2021-23 Biennium

*actual expenditure data as of July 5, 2022*

### Firearms Background Check IT Project

Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 1,133,903	\$ 291,059	\$ 842,844
Project Manager & Technical Architect	\$ 859,200	\$ 368,790	\$ 490,410
Quality Assurance	\$ 144,000	\$ 68,600	\$ 75,400
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	<u>\$ 2,151,843</u>	<u>\$ 728,449</u>	<u>\$ 1,423,394</u>

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 728,449	\$ 1,423,394
In-kind Agency Funding	\$ -	\$ -	\$ -
	<u>\$ 2,151,843</u>	<u>\$ 728,449</u>	<u>\$ 1,423,394</u>

### Notes

# FBD Budget

**Firearm Background Division Budget**  
**2021-23 Biennium**  
*actual expenditure data as of July 5, 2022*

**Firearms Background Division**

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,935,173	\$ 465,329	\$ 1,469,844
Contracts/Goods/Services	\$ 1,103,552	\$ 19,116	\$ 1,084,436
Travel	\$ 55,550	\$ 882	\$ 54,668
Equipment	\$ 791,956	\$ 20,732	\$ 771,224
	\$ 3,886,231	\$ 506,059	\$ 3,380,172

Funding	Budget	Actual	Variance
State Firearms Background Check Funding	\$ 3,567,526	\$ 419,226	\$ 3,148,300
General Fund FY22	\$ 135,325	\$ 86,833	\$ 48,492
General Fund FY23	\$ 183,380		\$ 183,380
	\$ 3,886,231	\$ 506,059	\$ 3,380,172

**Notes**

State Firearms Background Check System Account balance was \$7,099,998 as of 7/05/22.

# Questions/Discussion



# Firearms Background Check Program Advisory Board Meeting

August 10, 2022








# FBC Project - Agenda

- Overall Status
- Project Timeline with Gate Deliverables
- Risks
- QA Report



# FBC Project Status

## Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

## Deliverables – Gate 5: July 1, 2022 – Dec 31, 2022

Deliverable	Status
WSP Staff Portal Delivery	In Progress
Transition Plan	Not Started
Gate 6 Application	Not Started

# Firearms Background Check (FBC) Project Status

- OCIO - No open issues with OCIO
- Security Design Review (SDR)
  - OCS SDR Approval Report not received
- User Interface design updated
  - Screens prepared by FBD SMEs are being incorporated into SAFE development
- Medium sized FFL site visit (The Man Cave Outfitter)
  - Site visit feedback reviewed and being incorporated into workflows / design
- Build 3 – August monthly goal
  - Complete FFL Portal User Interface
  - Start WSP Staff Portal with background checks visible from FFL Portal
  - Build Application Engine to show background check status

# SAFE Interface Test Phases

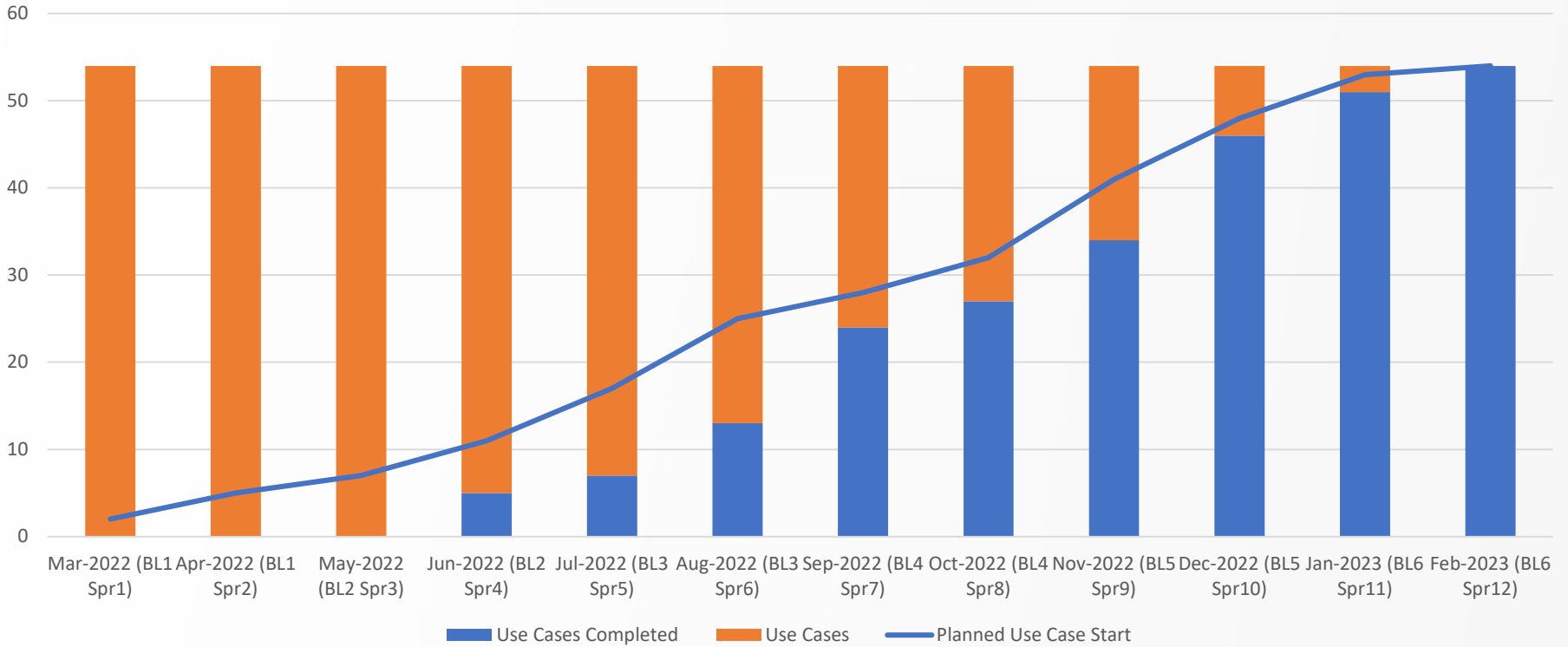
- Multiple meetings held with HCA, DOL, and AOC. Contacted LinX-NW via email to request testbed connectivity.
- Test Phases for SAFE Interfaces discussed with all agencies
  - Connectivity – “ping” test
  - Functional – agency internal testing
  - Performance – load testing by agency based on projected transaction volumes
  - Integration – end to end testing with SAFE and all agencies
- All agencies working on networking configurations to connect with WSP SAFE environment

# Project Issue Update

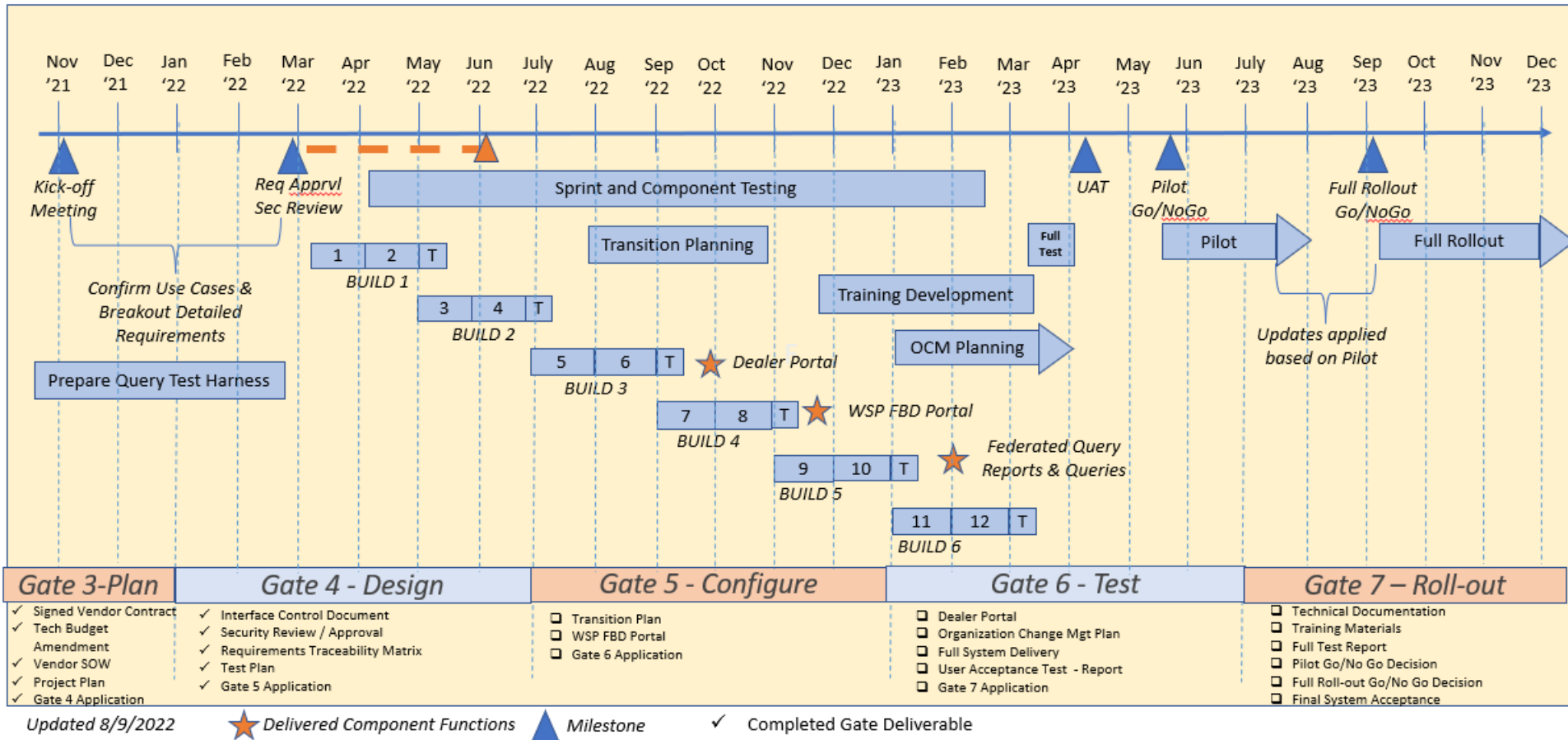
- Accounts Receivable system unknown
  - Current system (Solomon) being discontinued Jan 1, 2023 prior to going into production with OneWA
  - Format of AR API being kept generic and not until later in development schedule
  - AR System selected to be implemented prior to Jan 1, 2023
- SAFE development behind schedule
  - FBC Tech Architect is the Product Owner
  - Shorter sprints have increased productivity Planned schedule showed more production ready functionality
  - Rolling 4-week schedule with defined monthly goals
- FBI VPN Connection unreliable
  - WSP and CCG working to define other options to be discussed with FBI

# Use Case Maturity

Planned Use Case Maturation



# FBC Project Timeline



# Risks

## WSP FBC Project Risks

Updated 7/21/22

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High	E-6 O-10, O-12	PM-15 T-17, T-24	E-22
	Medium	E-4 O-9 S-19 T-20	S-21	T-21
	Low	E-2, E-3, E-21 T-23, T-25		

Risk Classifications –

- Technical (T)
- External (E)
- Organizational (O)
- Project Management (PM)

Risk #	Risk Description
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume
PM-15	Development time is greater than planned
T-17	Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project
T-24	<i>New</i> - FBI is transitioning their information endpoints and the structure of the responses
E-6	Linux-NW will not become the primary means for FB division to access local law enforcement records
O-10	FBD facility and procedures not ready
O-12	FB Division staff are not trained adequately to handle the workload
T-21	Update to Datamaxx ACCESS is delayed, increasing probability of T-20 and causing more work for CCG
O-9	<i>Decreased Impact</i> - WSP does not secure the location for FBD in time planned
T-20	<i>Decreased Probability</i> - Unable to successfully parse ACCESS transactions, reducing lights-out processing
T-25	<i>New</i> - We have not done any usability analysis on the user interface elements
T-23	<i>Modified</i> - New AR system is not in place in time for implementation.

# High Risk Mitigations

Risk #	Risk Description	Mitigations
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume	<ol style="list-style-type: none"> <li>1. Increase project coordination communication with HCA</li> <li>2. Confirm with HCA that script can be run multiple times per day</li> <li>3. Confirm with HCA that script and 'no hit' transactions can be run on weekends and holidays</li> </ol>
PM-15	Development time is greater than planned	<ol style="list-style-type: none"> <li>1. Shorter sprint cycles to increase feedback and confirmation of work</li> <li>2. FBC Tech Arch in role of Product Owner for Agile team</li> <li>3. Focus is to complete difficult components first to ensure we can adjust if issues are encountered</li> </ol>
T-17	Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project	<ol style="list-style-type: none"> <li>1. Increase project coordination between each agency</li> <li>2. JSON Schema developed to confirm the technical details</li> <li>3. Phased test plan developed for interface confirmation</li> </ol>
T-24	<i>New</i> - FBI is transitioning their information endpoints and the structure of the responses	<ol style="list-style-type: none"> <li>1. Connection to FBI Testbed during testing</li> <li>2. Use of Test Harness to simulate FBI system response</li> </ol>



# QA Report

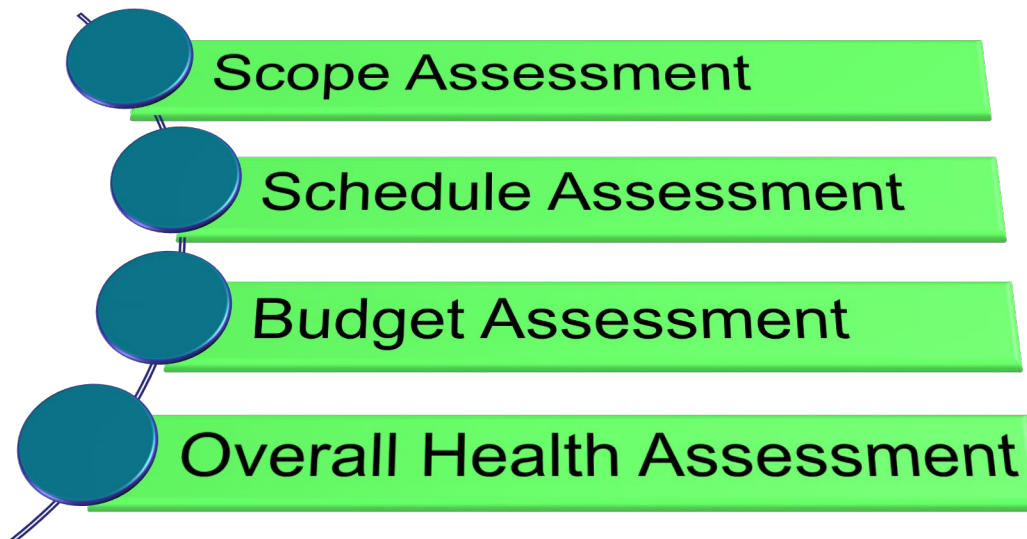
## QA Report #15 – July 2022

Independent Quality Assurance Report  
CASE Associates Inc.

Dan Kruger



# July 2022 – Overall Project Health is **STABLE**



# July 2022 – QA Recommendations

## New Recommendations

There are no new recommendations.

## Open Recommendations

There are no open recommendations.

## Watch List (WL) Items

There is **ONE** watch list item from several months ago:  
Getting access to the FBI CJIS WAN testbed connectivity  
(still in progress)

# Firearms Background Division (FBD)

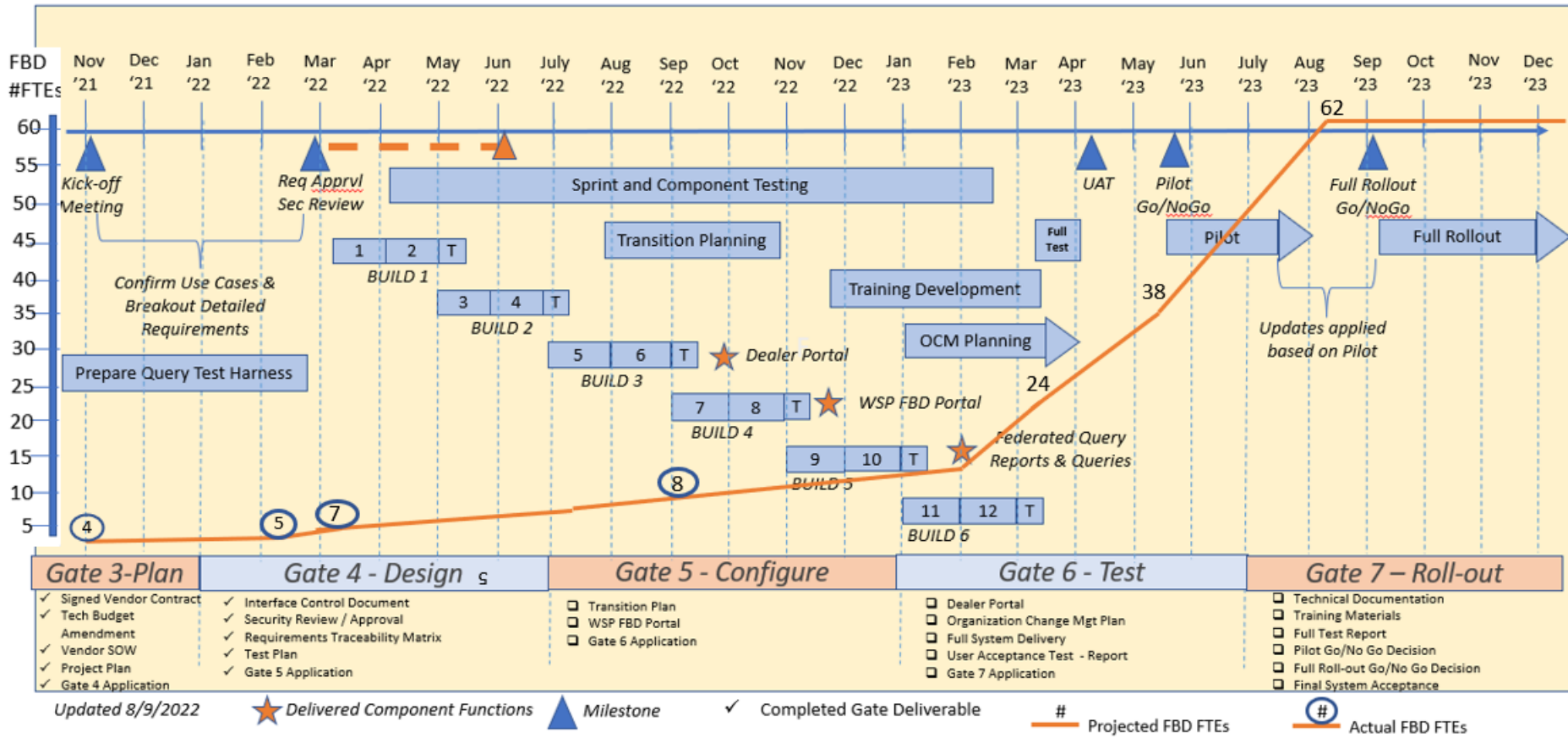
# FB Division - Agenda

- Location
- Staffing
- Stakeholder Communication
- Budget
  - FBC Project – Overall
  - FBC Project – By Gate
  - FBD

# Firearm Background Division (FBD) Status

- Location of FBD – Helen Sommers Building (HSB)
  - FBD Commander held meeting with DES and WSP Contracts to discuss contract for space and furniture, including some reconfiguration. DES will evaluate their schedule to determine when changes could be done.
  - OFM communicated plan to vacate space by 10/1/22
- Staffing
  - On track with Hiring Plan
  - Unit Supervisor for the QA and Training Unit (MA4) – starting Sept 1, 2022
- Stakeholder Communication
  - Listserv communication, sent out 8/1/2022 providing an update on the sprint process and the hiring of the Unit Supervisor for the QA and Training Unit

# FBD Hiring Plan



Updated 8/9/2022

# FBC Project Budget – by Gate

**Firearm Background Check IT Project Budget**  
**Full project by gate**  
*actual expenditure data as of August 2, 2022*

**Firearms Background Check IT Project**

	Budget	Expenditures to-date	Estimated In-Kind Staff to-date	Variance
Gate 1 - Implementation Plan	\$ 410,185	\$ 353,142	\$ 90,048	\$ (33,005)
Gate 2 - Initialize Project	\$ 196,512	\$ 116,810	\$ 22,512	\$ 57,190
Gate 3 - Planning	\$ 482,065	\$ 285,339	\$ 159,372	\$ 37,354
Gate 4 - Design	\$ 814,036	\$ 474,520	\$ 159,372	\$ 180,144
Gate 5 - Configure	\$ 812,400	\$ 5,040	\$ 26,562	\$ 780,798
Gate 6 - Test	\$ 680,831			\$ 680,831
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	<b>\$ 4,202,033</b>	<b>\$ 1,234,851</b>	<b>\$ 457,866</b>	<b>\$ 2,509,316</b>

**Monthly Notes**

Gate 5 approved by OFM; allotment should happen in the next month

Gate 5 has just opened, but 1st month closure not scheduled until August 12

**Standard Notes**

Budget = Budgeted Resources + Agency In-kind Resources from approved IT Tech Budget

Expenditures to-date = Budgeted Expenditures + In-Kind Expenditures (excluding staff valuation)

Expenditure assignments per gate:

for Budgeted Expenditures, expenditures are assigned a specific project code for each gate

for In-Kind Expenditures, expenditures are shown in the gate open during month the expenditure hit

In-Kind Staff Costs are not tracked in AFRS. Numbers represented are per IT Tech Budget.



# FBC Project Budget

**Firearm Background Check IT Project Budget**  
**2021-23 Biennium**  
*actual expenditure data as of August 2, 2022*

**Firearms Background Check IT Project**

Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 1,133,903	\$ 291,059	\$ 842,844
Project Manager & Technical Architect	\$ 859,200	\$ 400,200	\$ 459,000
Quality Assurance	\$ 144,000	\$ 73,640	\$ 70,360
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	<u>\$ 2,151,843</u>	<u>\$ 764,899</u>	<u>\$ 1,386,944</u>

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 764,899	\$ 1,386,944
In-kind Agency Funding	\$ -	\$ -	\$ -
	<u>\$ 2,151,843</u>	<u>\$ 764,899</u>	<u>\$ 1,386,944</u>

**Notes**

# FBD Budget

## Firearm Background Division Budget 2021-23 Biennium

*actual expenditure data as of August 2, 2022*

### Firearms Background Division

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,935,173	\$ 541,076	\$ 1,394,097
Contracts/Goods/Services	\$ 1,103,552	\$ 20,089	\$ 1,083,463
Travel	\$ 55,550	\$ 1,226	\$ 54,324
Equipment	\$ 791,956	\$ 29,994	\$ 761,962
	<u>\$ 3,886,231</u>	<u>\$ 592,385</u>	<u>\$ 3,293,846</u>

Funding	Budget	Actual	Variance
State Firearms Background Check Funding	\$ 3,567,526	\$ 500,974	\$ 3,066,552
General Fund FY22	\$ 135,325	\$ 90,841	\$ 44,484
General Fund FY23	\$ 183,380	\$ 570	\$ 182,810
	<u>\$ 3,886,231</u>	<u>\$ 592,385</u>	<u>\$ 3,293,846</u>

### Notes

State Firearms Background Check System Account balance was \$6,828,580 as of 8/02/22.

# Questions/Discussion



# Firearms Background Check Program Advisory Board Meeting






September 14, 2022

# FBC Project - Agenda

- Overall Status
- Project Timeline with Gate Deliverables
- Risks
- QA Report

# FBC Project Status

## Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

## Deliverables – Gate 5: July 1, 2022 – Dec 31, 2022

Deliverable	Status
WSP Staff Portal Delivery	In Progress
Transition Plan	Not Started
Gate 6 Application	Not Started

# Firearms Background Check (FBC) Project Status

- OCIO
  - New OCIO consultant, David Sorrell
- Environment setup
  - FBI VPN connection requires new configuration – *in progress*
  - WaTech / WSP VPN delayed due to WSP network change
  - Reconnected with WaTech re: SAML metadata for SAW
- Json schema developed
  - Lower-level detail to mitigate risk of external interface errors
- Shortened sprints are working to increase development progress and user input

# Project Issue Update

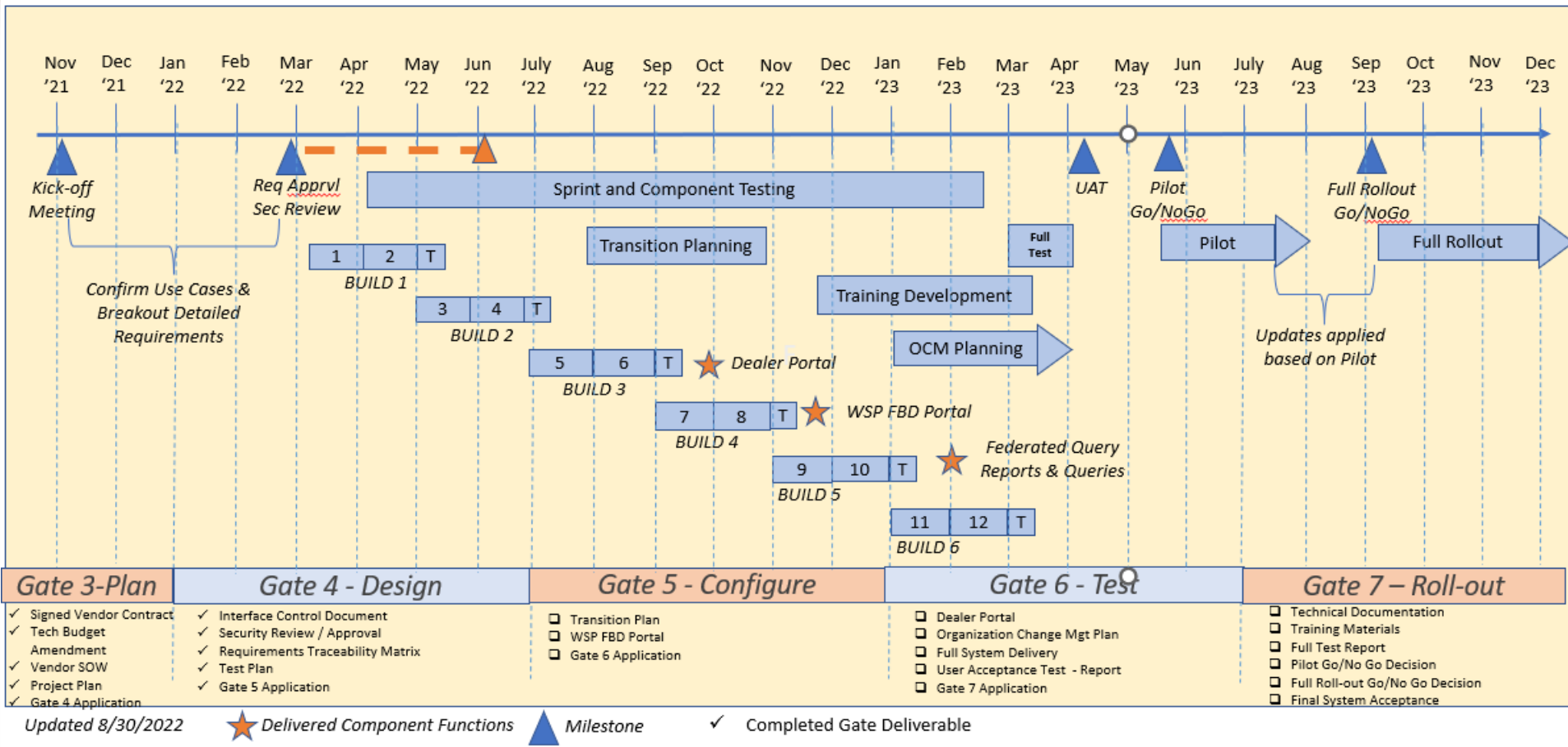
- New Accounts Receivable system
  - Vendor contract ‘in progress’ for ‘interim’ AR system
  - AR Interface API will be available for SAFE
- FBI VPN Connection unreliable
  - Met with AWS CJIS Network Specialist and WSP Technical team
  - CCG will change configuration to 1 VPN tunnel and a total of 2 NAT devices.
  - CCG will add extra monitoring and retry policies in the event the tunnel goes down for maintenance.
- WaTech / WSP VPN
  - Delayed due to need for change on WSP network core. Change requires an outside resource.
  - The delay of VPN setup impacts connection tests with external stakeholders.



# SAFE Development Update

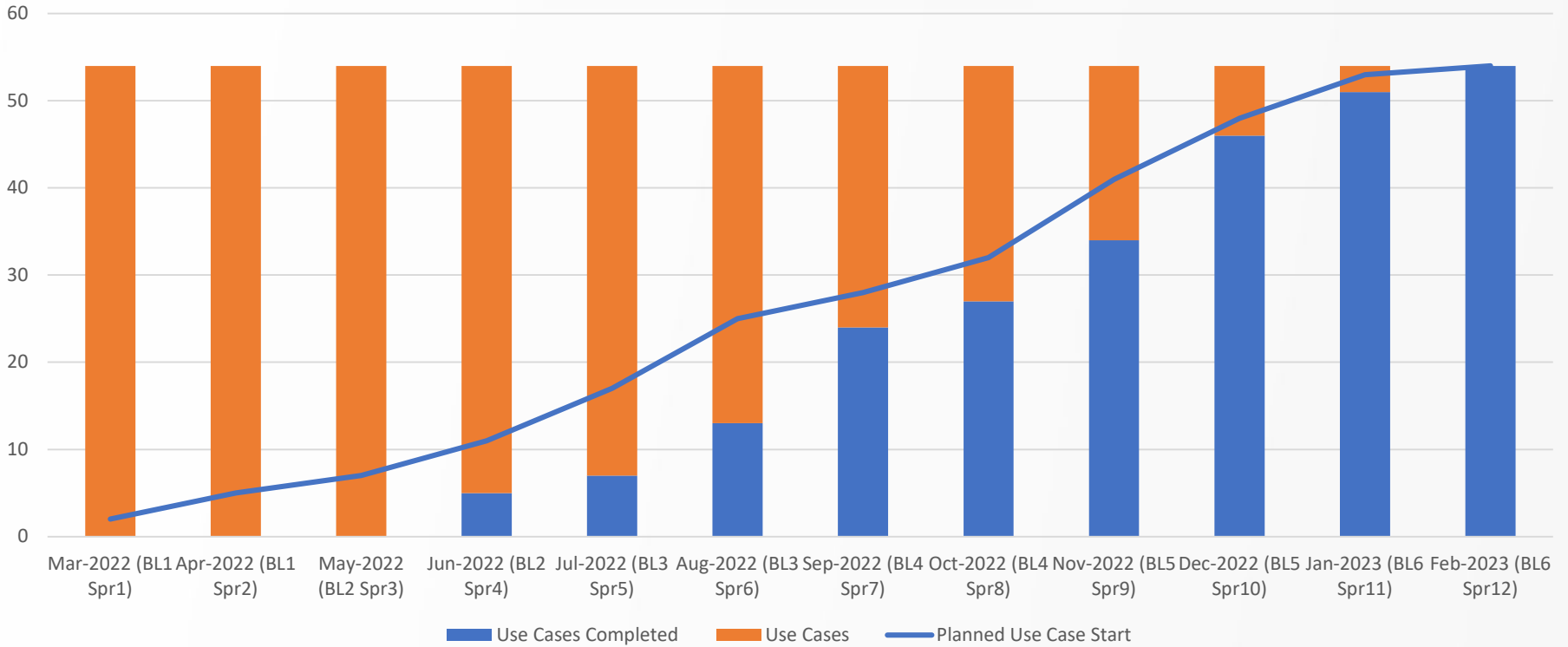
- Build 3 – Completed
  - FFL Portal User Interface is mostly completed.
  - Started development of the WSP Staff Portal with Background Checks visibility from FFL Portal
  - Built application engine to show Background Check Status progression
- Build 4 – In Progress
  - September goals
    - Authentication implemented for all users (SAW and WSP)
    - FFL staff can see list of active checks in FFL portal
    - Federated Query auto-adjudicates NICS hit, WA felonies from CCH, and mental health (still from mocked endpoints)
    - Staff portal Background Check detail: basic display
    - Continued support for interagency *ping* tests

# FBC Project Timeline



# Use Case Maturity

Planned Use Case Maturation



# Risks

## WSP FBC Project Risks

Updated 7/21/22

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High	E-6 O-10, O-12	PM-15 T-17, T-24	E-22
	Medium	E-4 O-9 S-19 T-20	S-21	T-21
	Low	E-2, E-3, E-21 T-23, T-25		

Risk Classifications –

- Technical (T)
- External (E)
- Organizational (O)
- Project Management (PM)

Risk #	Risk Description
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume
PM-15	Development time is greater than planned
T-17	Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project
T-24	<i>New</i> - FBI is transitioning their information endpoints and the structure of the responses
E-6	<u>Linux</u> -NW will not become the primary means for FB division to access local law enforcement records
O-10	FBD facility and procedures not ready
O-12	FB Division staff are not trained adequately to handle the workload
T-21	Update to Datamaxx ACCESS is delayed, increasing probability of T-20 and causing more work for CCG
O-9	<i>Decreased Impact</i> - WSP does not secure the location for FBD in time planned
T-20	<i>Decreased Probability</i> - Unable to successfully parse ACCESS transactions, reducing lights-out processing
T-25	<i>New</i> - We have not done any usability analysis on the user interface elements
T-23	<i>Modified</i> - New AR system is not in place in time for implementation.

# High Risk Mitigations

Risk #	Risk Description	Mitigations
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume	<ol style="list-style-type: none"> <li>1. Increase project coordination communication with HCA</li> <li>2. Confirm with HCA that script can be run multiple times per day</li> <li>3. <b>Confirm with HCA that script and 'no hit' transactions can be run on weekends and holidays</b></li> </ol>
PM-15	Development time is greater than planned	<ol style="list-style-type: none"> <li>1. Shorter sprint cycles to increase feedback and confirmation of work</li> <li>2. FBC Tech Arch in role of Product Owner for Agile team</li> <li>3. Focus is to complete difficult components first to ensure we can adjust if issues are encountered</li> </ol>
T-17	Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project	<ol style="list-style-type: none"> <li>1. Increase project coordination between each agency</li> <li>2. JSON Schema developed to confirm the technical details</li> <li>3. Phased test plan developed for interface confirmation</li> </ol>
T-24	<i>New</i> - FBI is transitioning their information endpoints and the structure of the responses	<ol style="list-style-type: none"> <li>1. Connection to FBI Testbed during testing</li> <li>2. Use of Test Harness to simulate FBI system response</li> </ol>

# QA Report

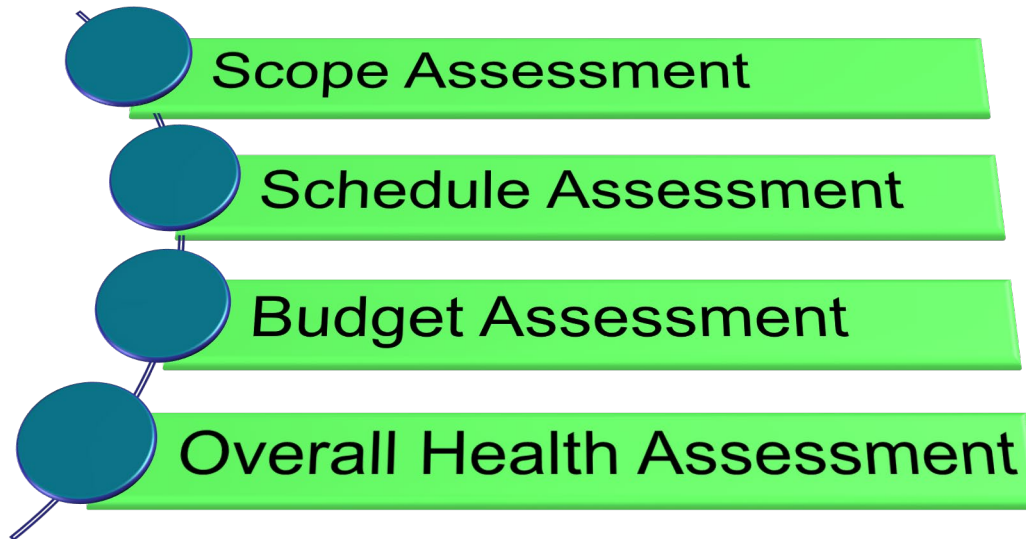
## **QA Report #16 – August 2022**

Independent Quality Assurance Report  
CASE Associates Inc.

Dan Kruger



# August 2022 – Overall Project Health is **STABLE**



# August 2022 – QA Observations

- **Executive Leadership**
  - Continued excellent leadership and communication
- **Catalyst Consulting Group**
  - Delivering sprint builds and demos according to the schedule
  - Updating all workflows as changes occur
- **PM following best practices for Project Management**
  - Following OCIO Gate 5 approved activities
  - Monthly updates to the Project Schedule
  - Reviews project risks as they appear
  - Productive weekly project team, Catalyst, and FBD Commander meetings
  - PM providing detailed written weekly status reports and a monthly project report
  - Bi-weekly OCIO briefings



# August 2022 – QA Observations

- **Clear communication across the project**
  - Bi-Weekly meetings with AOC, DOL, and HCA stakeholders - productive meetings
  - WSP Firearms Background Division Update sent September 1, 2022
- **Firearms Background Division Staffing**
  - OFM communicated the plan to vacate the HSB in October 2022
  - Hiring is on track according to the staffing plan – The new training supervisor (MA4) began working on September 1, 2022.

# Firearms Background Division (FBD)

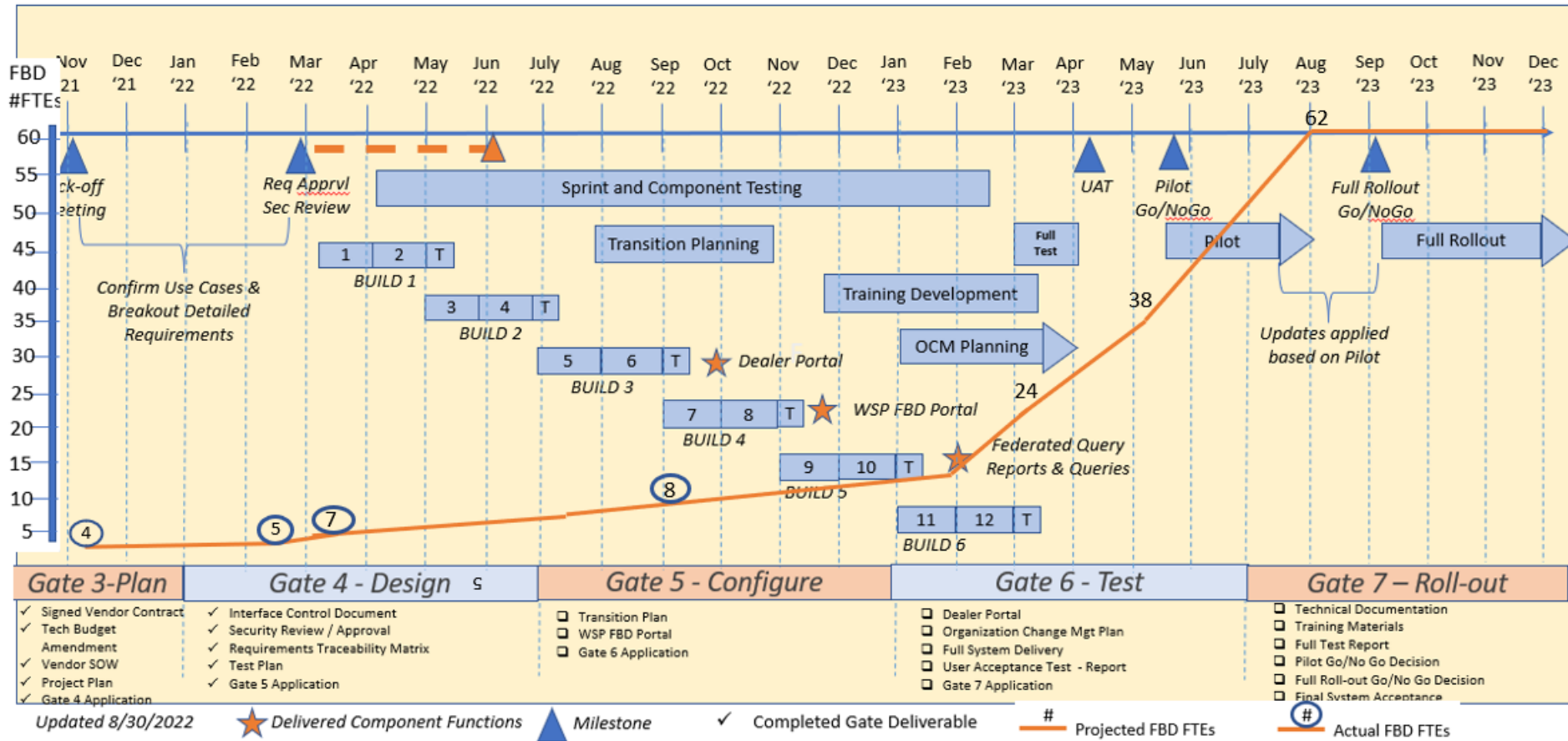
# FB Division - Agenda

- Location
- Staffing
- Stakeholder Communication
- Budget
  - FBC Project – Overall
  - FBC Project – By Gate
  - FBD

# Firearm Background Division (FBD) Status

- Location of FBD – Helen Sommers Building (HSB)
  - Bi-weekly meetings being held with OFM / DES
  - Meeting held with DES / OFM, Electronic Services Div and cabling company (CTS) to discuss
  - DES and Power contract complete
  - Olympic Fire decided there was no need for a second emergency door if the number of people are not greater than 49
- Staffing
  - Unit Supervisor for the QA and Training Unit (MA4) started Sept 1, 2022
- Stakeholder Communication
  - Listserv communication, sent out 9/1/2022 - Answered some questions related to what firearms will be processed through SAFE and if ATF approved virtual storage of 4473s.

# FBD Hiring Plan



# FBC Project Budget – by Gate

**Firearm Background Check IT Project Budget**  
**Full project by gate**  
*actual expenditure data as of September 6, 2022*

**Firearms Background Check IT Project**

	Budget	Expenditures to- date	Estimated In-Kind Staff to-date	Variance
Gate 1 - Implementation Plan	\$ 410,185	\$ 353,142	\$ 90,048	\$ (33,005)
Gate 2 - Initialize Project	\$ 196,512	\$ 116,810	\$ 22,512	\$ 57,190
Gate 3 - Planning	\$ 482,065	\$ 285,339	\$ 159,372	\$ 37,354
Gate 4 - Design	\$ 814,036	\$ 474,520	\$ 159,372	\$ 180,144
Gate 5 - Configure	\$ 812,400	\$ 180,132	\$ 53,124	\$ 579,144
Gate 6 - Test	\$ 680,831			\$ 680,831
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	<b>\$ 4,202,033</b>	<b>\$ 1,409,943</b>	<b>\$ 484,428</b>	<b>\$ 2,307,662</b>

**Monthly Notes**

None

**Standard Notes**

Budget = Budgeted Resources + Agency In-kind Resources from approved IT Tech Budget

Expenditures to-date = Budgeted Expenditures + In-Kind Expenditures (excluding staff valuation)

Expenditure assignments per gate:

for Budgeted Expenditures, expenditures are assigned a specific project code for each gate

for In-Kind Expenditures, expenditures are shown in the gate open during month the expenditure hit

In-Kind Staff Costs are not tracked in AFRS. Numbers represented are per IT Tech Budget.

# FBC Project Budget

## Firearm Background Check IT Project Budget 2021-23 Biennium

*actual expenditure data as of September 6, 2022*

### Firearms Background Check IT Project

Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 1,133,903	\$ 430,261	\$ 703,642
Project Manager & Technical Architect	\$ 859,200	\$ 432,380	\$ 426,820
Quality Assurance	\$ 144,000	\$ 77,350	\$ 66,650
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	<u>\$ 2,151,843</u>	<u>\$ 939,991</u>	<u>\$ 1,211,852</u>

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 939,991	\$ 1,211,852
In-kind Agency Funding	\$ -	\$ -	\$ -
	<u>\$ 2,151,843</u>	<u>\$ 939,991</u>	<u>\$ 1,211,852</u>

### Notes

# FBD Budget

## Firearm Background Division Budget 2021-23 Biennium

*actual expenditure data as of September 6, 2022*

### Firearms Background Division

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,935,173	\$ 610,413	\$ 1,324,760
Contracts/Goods/Services	\$ 1,103,552	\$ 20,677	\$ 1,082,875
Travel	\$ 55,550	\$ 1,226	\$ 54,324
Equipment	\$ 791,956	\$ 34,061	\$ 757,895
	<u>\$ 3,886,231</u>	<u>\$ 666,377</u>	<u>\$ 3,219,854</u>

Funding	Budget	Actual	Variance
State Firearms Background Check Funding	\$ 3,567,526	\$ 574,966	\$ 2,992,560
General Fund FY22	\$ 135,325	\$ 90,841	\$ 44,484
General Fund FY23	\$ 183,380	\$ 570	\$ 182,810
	<u>\$ 3,886,231</u>	<u>\$ 666,377</u>	<u>\$ 3,219,854</u>

### Notes

State Firearms Background Check System Account balance was \$6,579,495 as of 9/06/22.



# Questions/Discussion



# Firearms Background Check Program Advisory Board Meeting









October 12, 2022

# FBC Project - Agenda

- Overall Status
- Project Timeline with Gate Deliverables
- Risks
- QA Report

# FBC Project Status

## Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

## Deliverables – Gate 5: July 1, 2022 – Dec 31, 2022

Deliverable	Status
WSP Dealer Portal Delivery	In Progress
Transition Plan	Not Started
Gate 6 Application	Not Started

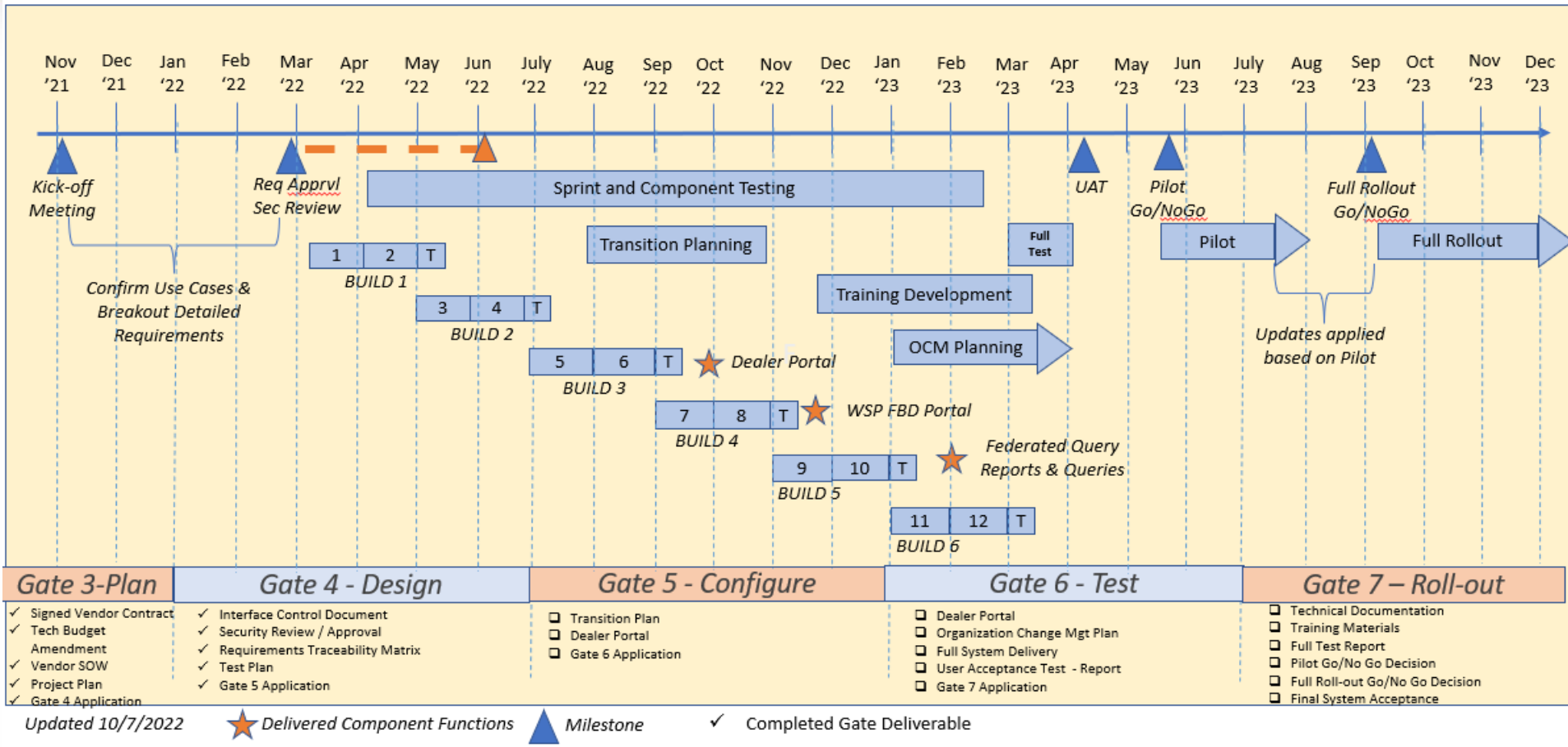
# Firearms Background Check (FBC) Project Status

- OCIO
  - New OCIO consultant, Richelle Glascock
- Environment setup
  - FBI VPN connection issues resolved
  - WaTech / WSP VPN issue identified
- Interim AR system selected and implementation in progress
- Transition plan – planning started by FBD management
  - Implementation approach and timeline
  - Team roles and responsibilities
  - Migration steps
- Started process to engage Organizational Change Management consultant

# Project Issue Update

- FBI VPN Connection unreliable
  - (2) VPN Tunnel configuration now in place
  - Using redundant design which was originally proposed
- WaTech / WSP VPN
  - External vendor selected, contract details being finalized
  - WSP technical resource identified to work with vendor
  - The delay of VPN setup impacts connection tests with external stakeholders
- New Accounts Receivable (AR) system
  - FAST selected as 'interim' AR system to be installed by Jan 2023
  - Meeting held with FBC Project Team and FAST Architect
  - Next step - Definition and confirmation of SAFE AR requirements

# FBC Project Timeline



# Risks

## WSP FBC Project Risks

Updated 7/21/22

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High	E-6 O-10, O-12	PM-15 T-17, T-24	E-22
	Medium	E-4 O-9 S-19 T-20	S-21	T-21
	Low	E-2, E-3, E-21 T-23, T-25		

Risk Classifications –

- Technical (T)
- External (E)
- Organizational (O)
- Project Management (PM)

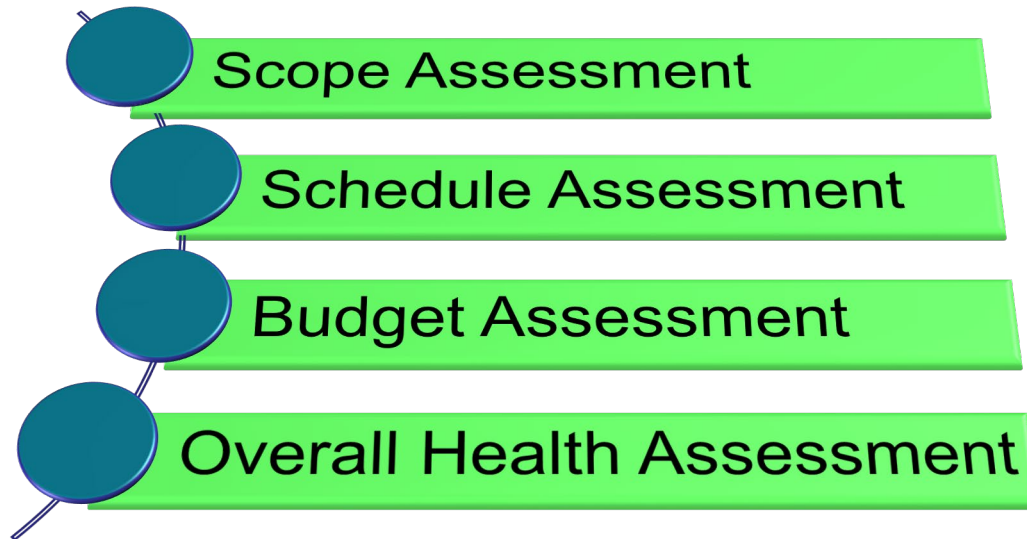
Risk #	Risk Description
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume
PM-15	Development time is greater than planned
T-17	Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project
T-24	<i>New</i> - FBI is transitioning their information endpoints and the structure of the responses
E-6	Linux-NW will not become the primary means for FB division to access local law enforcement records
O-10	FBD facility and procedures not ready
O-12	FB Division staff are not trained adequately to handle the workload
T-21	Update to Datamaxx ACCESS is delayed, increasing probability of T-20 and causing more work for CCG
O-9	<i>Decreased Impact</i> - WSP does not secure the location for FBD in time planned
T-20	<i>Decreased Probability</i> - Unable to successfully parse ACCESS transactions, reducing lights-out processing
T-25	<i>New</i> - We have not done any usability analysis on the user interface elements
T-23	<i>Modified</i> - New AR system is not in place in time for implementation.



# High Risk Mitigations

Risk #	Risk Description	Mitigations
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume	<ol style="list-style-type: none"> <li>1. Increase project coordination communication with HCA</li> <li>2. Confirm with HCA that script can be run multiple times per day</li> <li>3. <b>Confirm with HCA that script and 'no hit' transactions can be run on weekends and holidays</b></li> </ol>
PM-15	Development time is greater than planned	<ol style="list-style-type: none"> <li>1. Shorter sprint cycles to increase feedback and confirmation of work</li> <li>2. FBC Tech Arch in role of Product Owner for Agile team</li> <li>3. Focus is to complete difficult components first to ensure we can adjust if issues are encountered</li> </ol>
T-17	Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project	<ol style="list-style-type: none"> <li>1. Increase project coordination between each agency</li> <li>2. JSON Schema developed to confirm the technical details</li> <li>3. Phased test plan developed for interface confirmation</li> </ol>
T-24	<i>New</i> - FBI is transitioning their information endpoints and the structure of the responses	<ol style="list-style-type: none"> <li>1. Connection to FBI Testbed during testing</li> <li>2. Use of Test Harness to simulate FBI system response</li> </ol>

# September 2022 – Overall Project Health is **STABLE**



# September 2022 – QA Observations

- **Executive Leadership**
  - Continued excellent leadership and communication
- **Catalyst Consulting Group**
  - Delivering sprint builds and demos according to the schedule
  - Updating all workflows as changes occur
- **PM following best practices for Project Management**
  - Following OCIO Gate 5 approved activities
  - Monthly updates to the Project Schedule
  - Reviews project risks as they appear
  - Productive weekly project team, Catalyst, and FBD Commander meetings
  - PM providing detailed written weekly status reports and a monthly project report
  - Bi-weekly OCIO briefings

# September 2022 – QA Observations

- **Clear communication across the project**
  - Bi-Weekly meetings with AOC, DOL, and HCA stakeholders - productive meetings
  - WSP Firearms Background Division Update sent October 1, 2022
  
- **Firearms Background Division Staffing**
  - OFM communicated the plan to vacate the HSB in October 2022
  - Hiring is on track according to the staffing plan – The new training supervisor (MA4) began working on September 1, 2022.

# September 2022 – QA Recommendations

## New Recommendations

There are no new recommendations.

## Open Recommendations

There are no open recommendations.

## Watch List (WL) Items

There is **ONE** watch list item from May 2022:

Getting access to the FBI CJIS WAN testbed connectivity



(should be completed in October 2022)

# Firearms Background Division (FBD)

# FB Division - Agenda

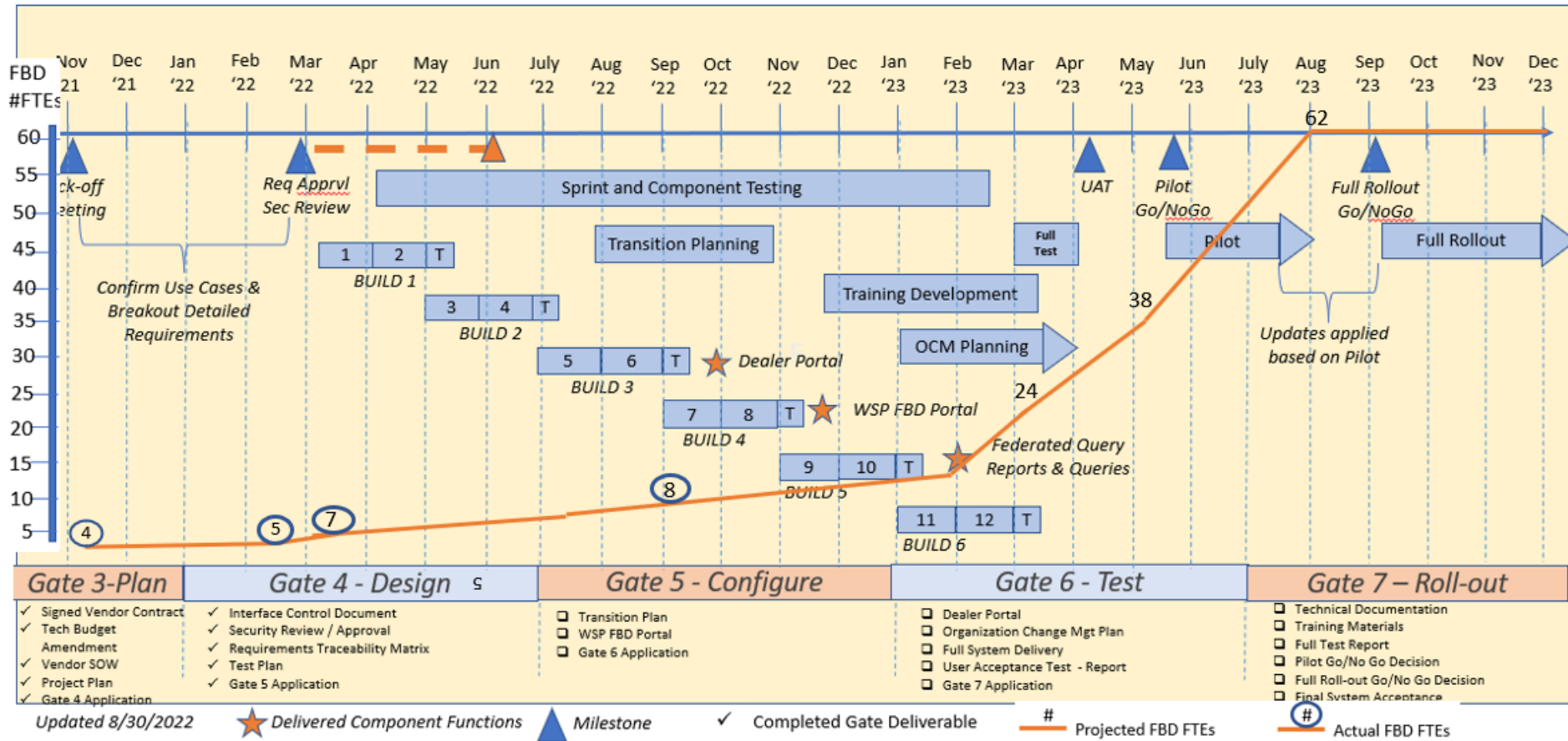
- Location
- Staffing
- Stakeholder Communication
- Budget
  - FBC Project – Overall
  - FBC Project – By Gate
  - FBD

# Firearm Background Division (FBD) Status

- Location of FBD – Helen Sommers Building (HSB)
  - Bi-weekly meetings being held with OFM / DES
  - Quote received for the renovations with DES
  - Contract will include purchase of OFM furniture – ~ 50% required
  - Expecting quotes from CI for new furniture and from CTS for network installation
  - Met WSP Facilities to coordinate responsibilities to secure, prepare and move into HSB space
- Communication
  - Listserv communication, sent out 10/3/2022 - answered questions submitted by FFLs
  - FBD Staff attended Washington State Fair to generate interest in positions that will be recruited in 2023
  - Presentation made to Senate Law & Justice committee to provide status of FBC Project



# FBD Hiring Plan



# FBC Project Budget – by Gate

**Firearm Background Check IT Project Budget**  
**Full project by gate**  
*actual expenditure data as of October 3, 2022*

**Firearms Background Check IT Project**

	Budget	Expenditures to-date	Estimated In-Kind Staff to-date	Variance
Gate 1 - Implementation Plan	\$ 410,185	\$ 353,142	\$ 90,048	\$ (33,005)
Gate 2 - Initialize Project	\$ 196,512	\$ 116,810	\$ 22,512	\$ 57,190
Gate 3 - Planning	\$ 482,065	\$ 285,339	\$ 159,372	\$ 37,354
Gate 4 - Design	\$ 814,036	\$ 474,520	\$ 159,372	\$ 180,144
Gate 5 - Configure	\$ 812,400	\$ 218,862	\$ 79,686	\$ 513,852
Gate 6 - Test	\$ 680,831			\$ 680,831
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	<b>\$ 4,202,033</b>	<b>\$ 1,448,673</b>	<b>\$ 510,990</b>	<b>\$ 2,242,370</b>

**Monthly Notes**

None

**Standard Notes**

Budget = Budgeted Resources + Agency In-kind Resources from approved IT Tech Budget

Expenditures to-date = Budgeted Expenditures + In-Kind Expenditures (excluding staff valuation)

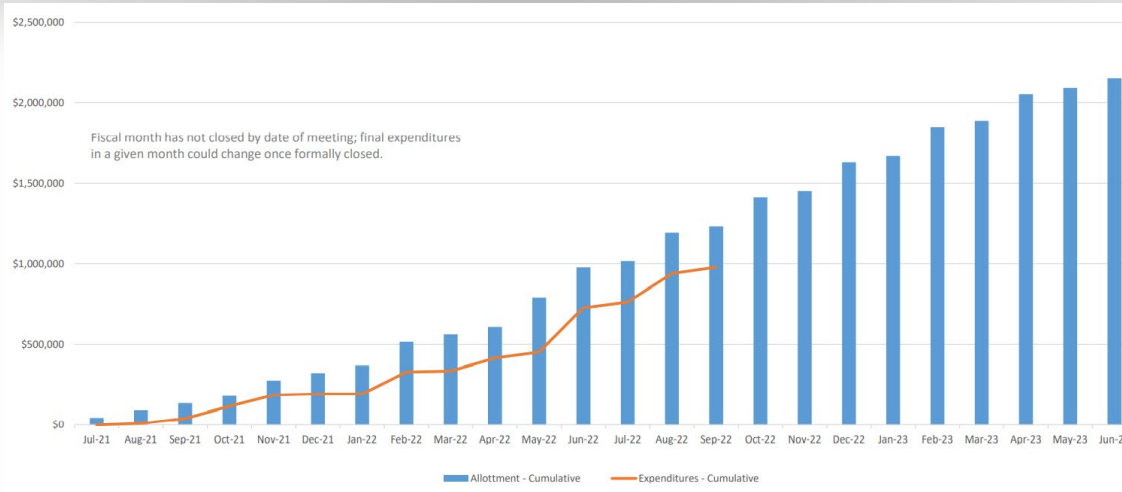
Expenditure assignments per gate:

for Budgeted Expenditures, expenditures are assigned a specific project code for each gate

for In-Kind Expenditures, expenditures are shown in the gate open during month the expenditure hit

In-Kind Staff Costs are not tracked in AFRS. Numbers represented are per IT Tech Budget.

# FBC Project Budget



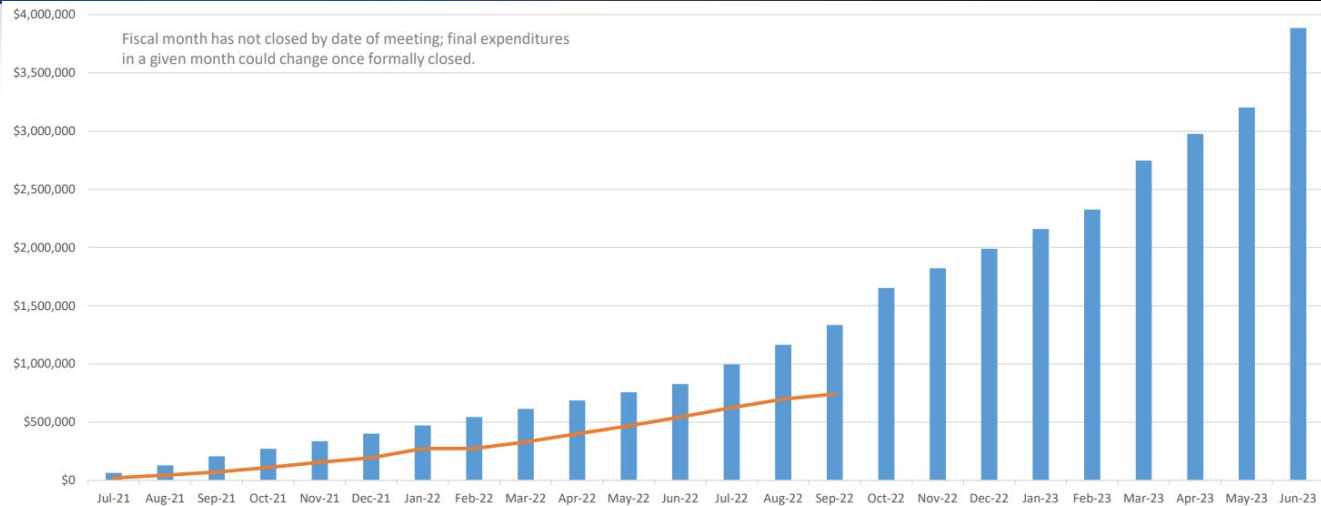
**Firearm Background Check IT Project Budget  
2021-23 Biennium  
actual expenditure data as of October 3, 2022**

**Firearms Background Check IT Project**

Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 1,133,903	\$ 430,261	\$ 703,642
Project Manager & Technical Architect	\$ 859,200	\$ 465,160	\$ 394,040
Quality Assurance	\$ 144,000	\$ 83,300	\$ 60,700
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	<b>\$ 2,151,843</b>	<b>\$ 978,721</b>	<b>\$ 1,173,122</b>

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 978,721	\$ 1,173,122
In-kind Agency Funding	\$ -	\$ -	\$ -
	<b>\$ 2,151,843</b>	<b>\$ 978,721</b>	<b>\$ 1,173,122</b>

# FBD Budget



**Firearm Background Division Budget**  
**2021-23 Biennium**  
*actual expenditure data as of October 3, 2022*

**Firearms Background Division**

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,935,173	\$ 684,137	\$ 1,251,036
Contracts/Goods/Services	\$ 1,103,552	\$ 22,206	\$ 1,081,346
Travel	\$ 55,550	\$ 1,566	\$ 53,984
Equipment	\$ 791,956	\$ 34,061	\$ 757,895
	<u>\$ 3,886,231</u>	<u>\$ 741,970</u>	<u>\$ 3,144,261</u>

Funding	Budget	Actual	Variance
State Firearms Background Check Funding	\$ 3,567,526	\$ 650,296	\$ 2,917,230
General Fund FY22	\$ 135,325	\$ 90,841	\$ 44,484
General Fund FY23	\$ 183,380	\$ 832	\$ 182,548
	<u>\$ 3,886,231</u>	<u>\$ 741,969</u>	<u>\$ 3,144,262</u>

**Notes**

State Firearms Background Check System Account balance was \$6,465,435 as of 10/03/22.

# Questions/Discussion



# Firearms Background Check Program Advisory Board Meeting





November 9, 2022

# FBC Project - Agenda

- Overall Status
- Project Timeline with Gate Deliverables
- Risks
- QA Report

# FBC Project Status

## Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

## Deliverables – Gate 5: July 1, 2022 – Dec 31, 2022

Deliverable	Status
WSP Dealer Portal Delivery	In Progress
Transition Plan	In Progress
Gate 6 Application	Not Started



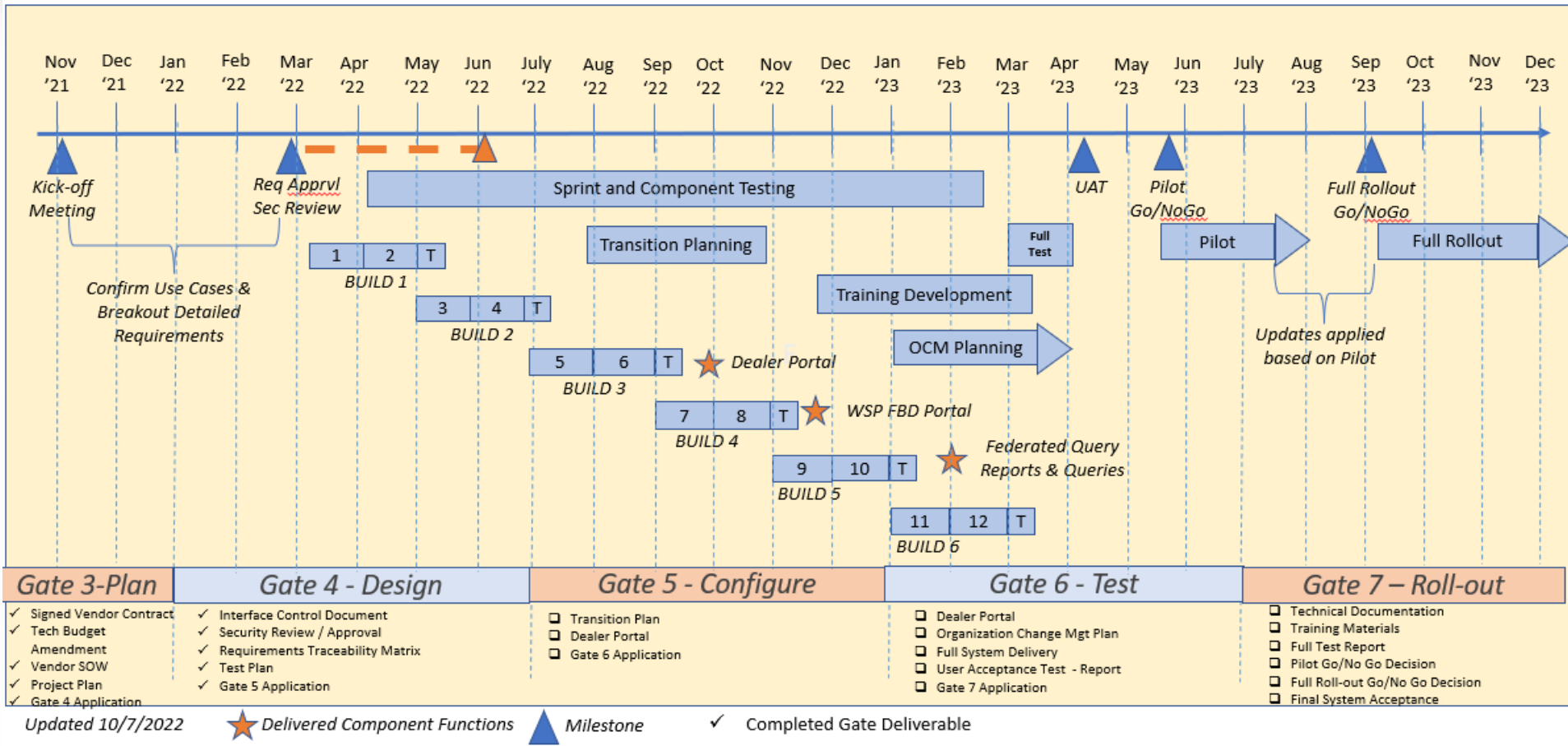
# Firearms Background Check (FBC) Project Status

- OCIO
  - OCIO release ranking for IT related decision packages. The FBC Project ranked #13 of 157
- Environment setup
  - FBI VPN connection established, but now there are error messages generated when submitting a request to the CJIS testbed.
  - WaTech / WSP VPN setup complete, working with each external agency to configure connection
- SAFE AR functional requirements reviewed by the Interim AR system team and no issues notes
- Transition plan – document in progress

# Project Issue Update

- FBI CJIS testbed not complete
  - FBI has communicated they are working to fix the CJIS testbed
  - No timeline provided
- New Accounts Receivable (AR) system
  - Definition of SAFE AR requirements sent and reviewed by AR Team
  - Meeting to be scheduled to have formal review of requirements and receive confirmation
- HCA able to process transactions more than once per day
  - WSP and HCA management met to discuss options and priority
  - HCA has identified method to process transactions multiple times per day
  - HCA team to begin testing in November, UAT in December

# FBC Project Timeline



# Risks

## WSP FBC Project Risks

Updated 10/31/22

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High	E-6 O-10, O-12	E-22 O-26 PM-15  T-17	T-24
	Medium	E-4 <del>O-9</del> S-19 T-20	S-21 T-23	T-21
	Low	E-2, E-3, E-21  T-25		

Risk Classifications –

- Technical (T)
- External (E)
- Organizational (O)
- Project Management (PM)

Risk #	Risk Description
T-24	Increased Probability - FBI is transitioning their information endpoints and the structure of the responses
E-22	Decreased Probability - HCA current script and process will not be sufficient to process the anticipated transaction volume
O-26	New - Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan
PM-15	Development time is greater than planned
T-17	Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project
E-6	LinX-NW will not become the primary means for FB division to access local law enforcement records
O-10	FBD facility and procedures not ready
O-12	FB Division staff are not trained adequately to handle the workload
T-23	Increased Probability & Impact - New AR system is not in place in time for implementation.
O-9	Deleted - WSP does not secure the location for FBD in time planned
T-25	Deleted - We have not done any usability analysis on the user interface elements

# High Risk Mitigations

Risk #	Risk Description	Mitigations
T-24	Increased probability - FBI is transitioning their information endpoints and the structure of the responses	<ol style="list-style-type: none"> <li>1. Connection to FBI Testbed during testing</li> <li>2. Increased coordination with FBI technical team to obtain more information on NICS Background Check NIEM XML packet.</li> </ol>
E-22	Decreased probability - HCA current script and process will not be sufficient to process the anticipated transaction volume	<ol style="list-style-type: none"> <li>1. Increase project coordination communication with HCA</li> <li>2. Confirm with HCA that script can be run multiple times per day</li> <li>3. Confirm with HCA that script and 'no hit' transactions can be run on weekends and holidays</li> </ol>
O-26	New - Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan	<b>Mitigations to be defined</b>
PM-15	Development time is greater than planned	<ol style="list-style-type: none"> <li>1. Shorter sprint cycles to increase feedback and confirmation of work</li> <li>2. FBC Tech Arch in role of Product Owner for Agile team</li> <li>3. Focus is to complete difficult components first to ensure we can adjust if issues are encountered</li> <li>4. Meeting each week between FBC Tech Architect and CCG Tech Lead to discuss sprint tasks in detail to ensure clear understanding</li> </ol>
T-17	Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project	<ol style="list-style-type: none"> <li>1. Increase project coordination between each agency</li> <li>2. JSON Schema developed to confirm the technical details for request and response messages</li> <li>3. Phased test plan developed for interface confirmation</li> </ol>

Updated 10/31/2022

# QA Report #18      October 2022

FBC Project Steering Committee Meeting  
November 9, 2022

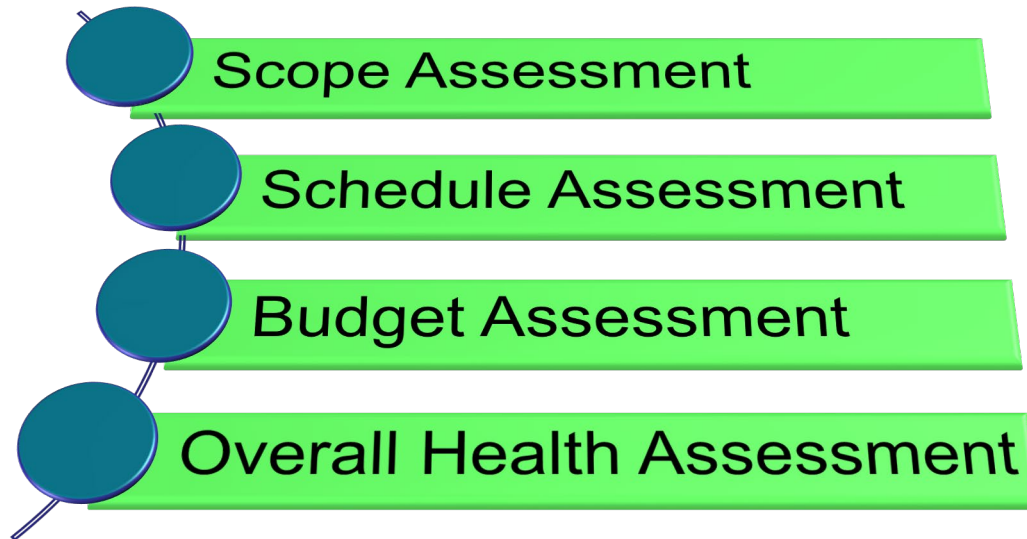
## **QA Report #18 – October 2022**

Independent Quality Assurance Report  
CASE Associates Inc.

Dan Kruger



# October 2022 – Overall Project Health is **STABLE**



# October 2022 – QA Observations

- **Risk Matrix Reviewed**
  - Reviewed October 31, 2022
- **Sprint Planning and Demonstrations**
  - Following the cadence required by WSP – testing by the WSP team is going well
- **PM following best practices for Project Management**
  - Following OCIO Gate 5 approved activities
  - Monthly updates to the Project Schedule
  - Reviews project risks as they appear
  - Productive weekly project team, Catalyst, and FBD Commander meetings
  - PM providing detailed written weekly status reports and a monthly project report
  - Bi-weekly OCIO briefings
- **Clear communication across the project**
  - Bi-Weekly meetings with AOC, DOL, and HCA stakeholders - productive meetings
  - WSP Firearms Background Division Update sent on October 1, 2022, and November 1, 2022



# October 2022 – QA Recommendations

## New Recommendations

There are no new recommendations.

## Open Recommendations

There are no open recommendations.

## Watch List (WL) Items

There is **ONE** watch list item from May 2022:  
Getting FBI CJIS WAN testbed stable connection



Should have been completed in October 2022 – The stability of the FBI connection is of concern to the project.

QA will be meeting with the PM in early November 2022 to review the project schedule in detail to identify all technical concerns

# Firearms Background Division (FBD)

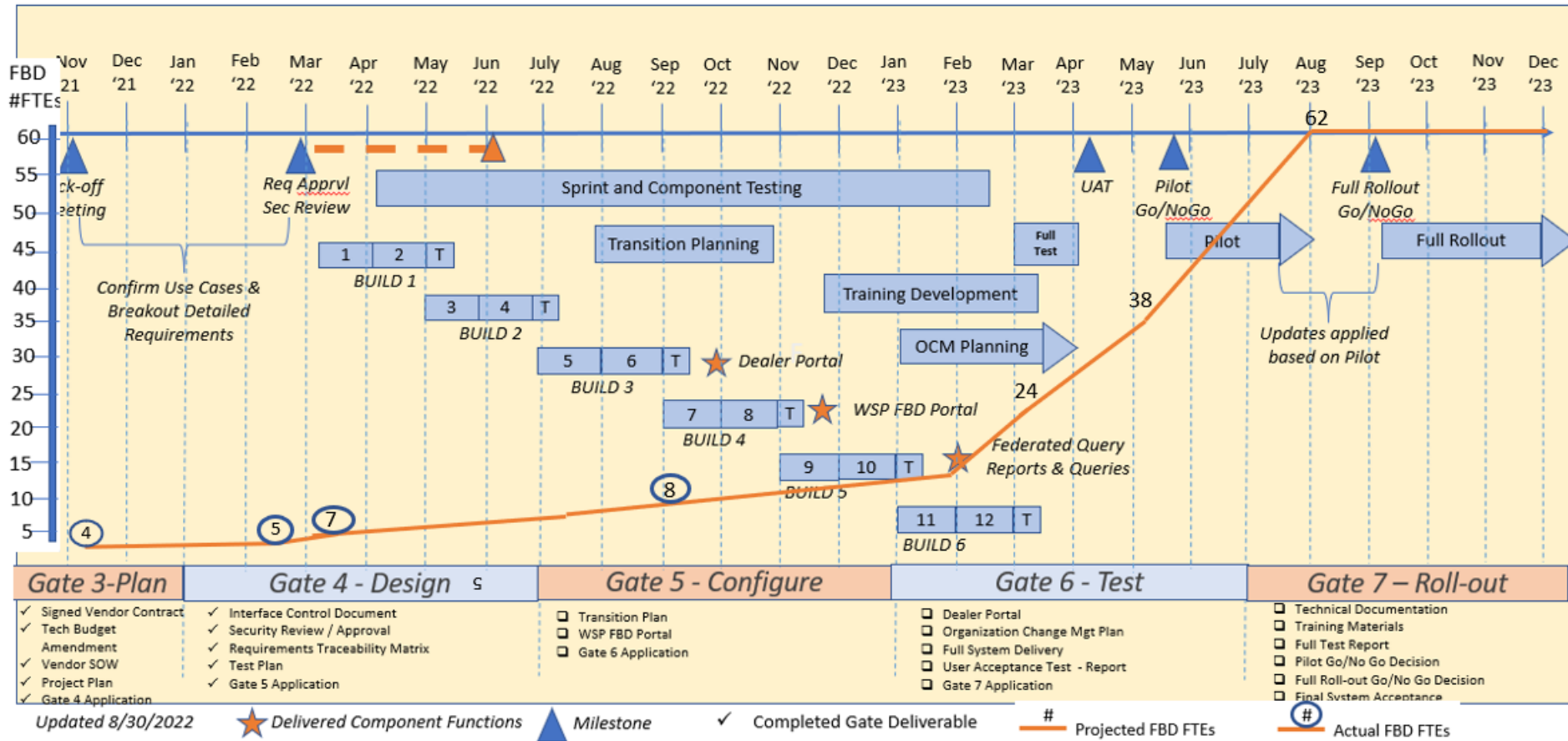
# FB Division - Agenda

- Location
- Staffing
- Stakeholder Communication
- Budget
  - FBC Project – Gated
  - FBC Project – Contracted Services
  - FBD

# Firearm Background Division (FBD) Status

- Location of FBD – Helen Sommers Building (HSB)
  - Correctional Industries (CI) quote for needed furniture approved
  - CI will be taking down walls associated with FBD offices and training room on 11/9
  - DES will start construction of offices and training room 11/10
  - DES will provide final schedule when architect signs off on plans
- Communication
  - Listserv communication, sent out 11/1/2022 - answered questions submitted by FFLs
  - SAFE ITD contacted DOL, HCA and AOC to request details needed to connect with WSP VPN
  - Advisory Board Annual Report distributed to Advisory Board for review

# FBD Hiring Plan



# FBC Project Budget – by Gate

**Firearm Background Check IT Project Budget**  
**Full project by gate**  
*actual expenditure data as of November 2, 2022*

**Firearms Background Check IT Project**

	Budget	Expenditures to-date	Estimated In-Kind Staff to-date	Variance
Gate 1 - Implementation Plan	\$ 410,185	\$ 353,142	\$ 90,048	\$ (33,005)
Gate 2 - Initialize Project	\$ 196,512	\$ 116,810	\$ 22,512	\$ 57,190
Gate 3 - Planning	\$ 482,065	\$ 285,339	\$ 159,372	\$ 37,354
Gate 4 - Design	\$ 814,036	\$ 474,520	\$ 159,372	\$ 180,144
Gate 5 - Configure	\$ 812,400	\$ 392,934	\$ 106,248	\$ 313,218
Gate 6 - Test	\$ 680,831			\$ 680,831
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	\$ 4,202,033	\$ 1,622,745	\$ 537,552	\$ 2,041,736

**Monthly Notes**

None

**Standard Notes**

Budget = Budgeted Resources + Agency In-kind Resources from approved IT Tech Budget

Expenditures to-date = Budgeted Expenditures + In-Kind Expenditures (excluding staff valuation)

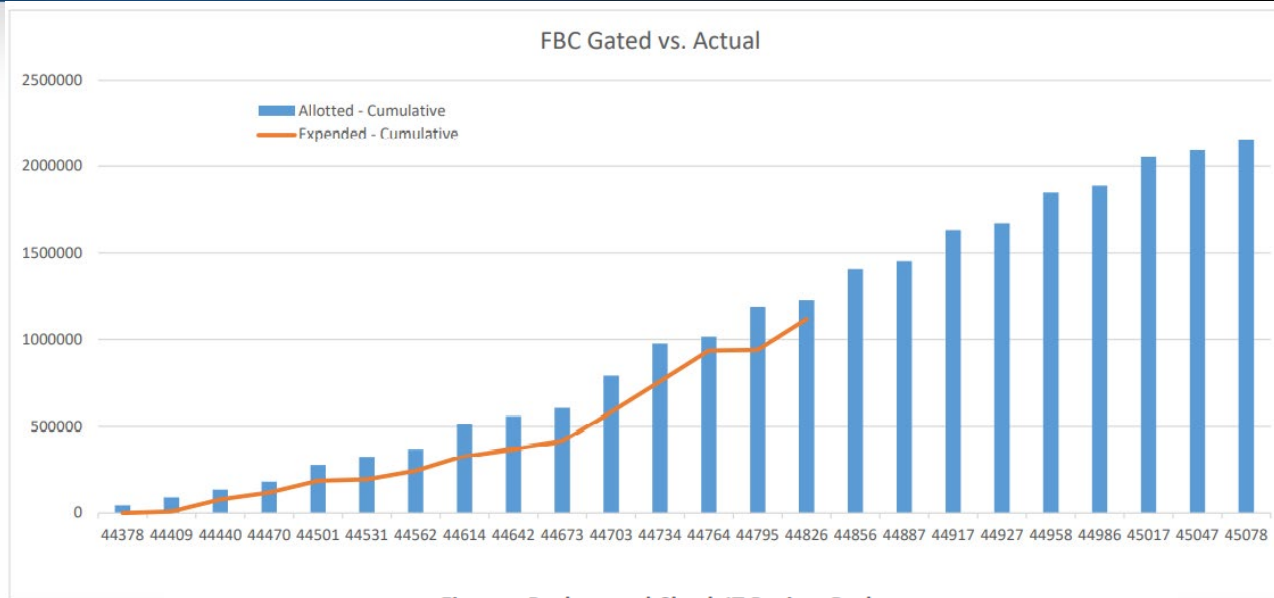
Expenditure assignments per gate:

for Budgeted Expenditures, expenditures are assigned a specific project code for each gate

for In-Kind Expenditures, expenditures are shown in the gate open during month the expenditure hit

In-Kind Staff Costs are not tracked in AFRS. Numbers represented are per IT Tech Budget.

# FBC Project Budget



## Firearm Background Check IT Project Budget 2021-23 Biennium

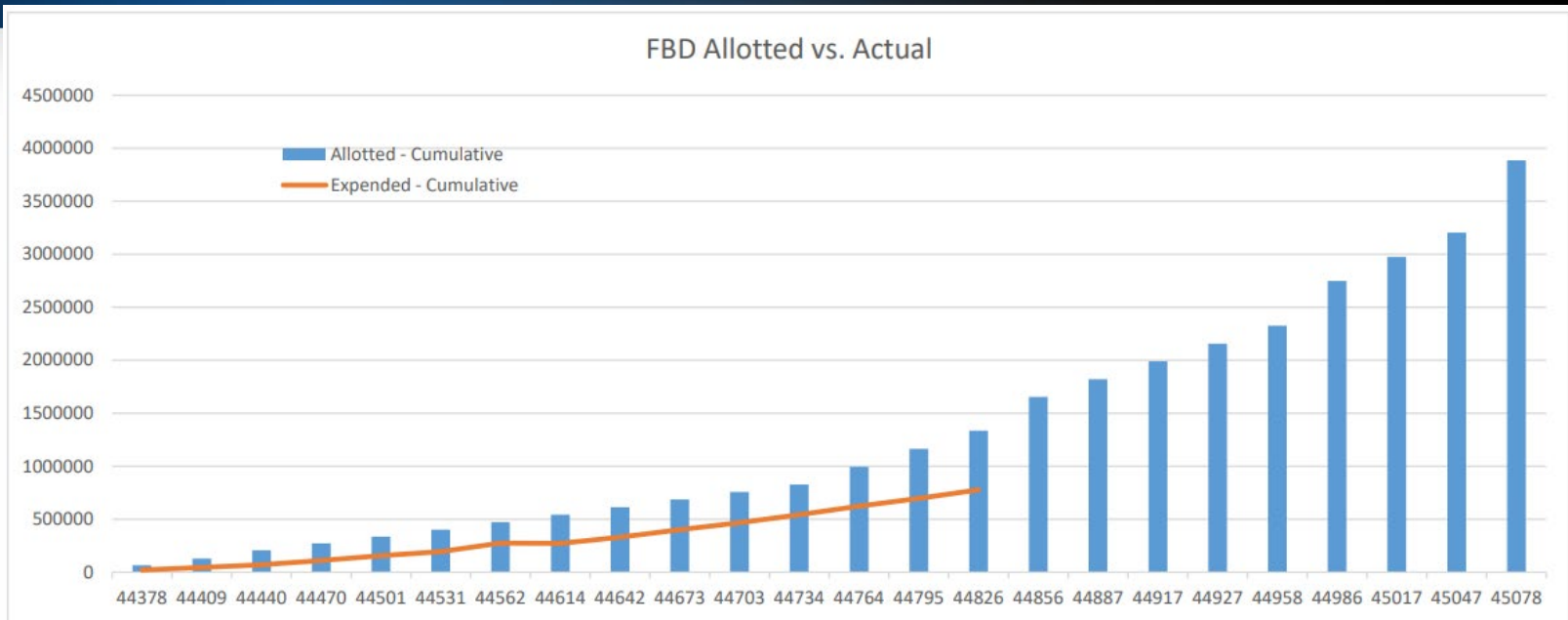
actual expenditure data as of November 2, 2022

### Firearms Background Check IT Project

Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 1,133,903	\$ 569,463	\$ 564,440
Project Manager & Technical Architect	\$ 859,200	\$ 494,010	\$ 365,190
Quality Assurance	\$ 144,000	\$ 89,320	\$ 54,680
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	<u>\$ 2,151,843</u>	<u>\$ 1,152,793</u>	<u>\$ 999,050</u>

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 1,152,793	\$ 999,050
In-kind Agency Funding	\$ -	\$ -	\$ -
	<u>\$ 2,151,843</u>	<u>\$ 1,152,793</u>	<u>\$ 999,050</u>

# FBD Budget



**Firearm Background Division Budget**  
**2021-23 Biennium**  
*actual expenditure data as of November 2, 2022*

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,935,173	\$ 762,173	\$ 1,173,000
Contracts/Goods/Services	\$ 1,103,552	\$ 24,130	\$ 1,079,422
Travel	\$ 55,550	\$ 1,969	\$ 53,581
Equipment	\$ 791,956	\$ 34,536	\$ 757,420
	<b>\$ 3,886,231</b>	<b>\$ 822,808</b>	<b>\$ 3,063,423</b>

Funding	Budget	Actual	Variance
State Firearms Background Check Funding	\$ 3,567,526	\$ 722,716	\$ 2,844,810
General Fund FY22	\$ 135,325	\$ 90,841	\$ 44,484
General Fund FY23	\$ 183,380	\$ 9,251	\$ 174,129
	<b>\$ 3,886,231</b>	<b>\$ 822,808</b>	<b>\$ 3,063,423</b>

**Notes**

State Firearms Background Check System Account balance was \$6,065,710 as of 11/02/22.  
*Actual available balance is \$3,018,939 (FY22 funds no longer available)*



# Questions/Discussion



# Firearms Background Check Program Advisory Board Meeting









December 14, 2022

# FBC Project - Agenda

- Overall Status
- Project Timeline with Gate Deliverables
- Risks
- QA Report

# FBC Project Status

## Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

## Deliverables – Gate 5: July 1, 2022 – Dec 31, 2022

Deliverable	Status
WSP Dealer Portal Delivery	Complete
Transition Plan	Complete

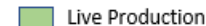
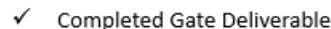
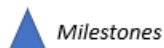
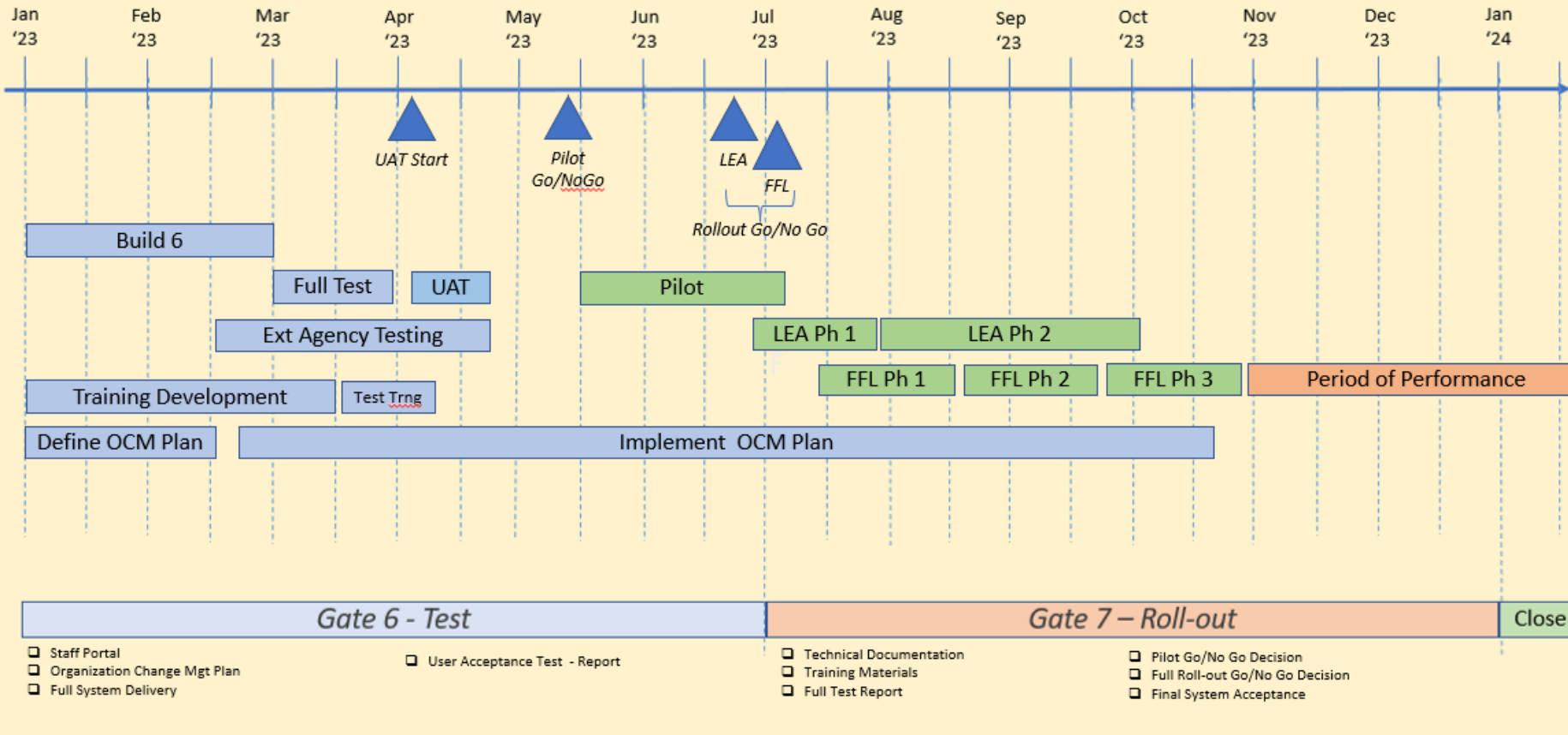
# Firearms Background Check (FBC) Project Status

- OCIO
  - Reviewed FBC Tech Budget amendment, processing for approval
  - Gate 6 Funding Application submitted
- Environment setup
  - FBI has an updated version of the NICS Indices. Update includes:
    - Allowing users to submit multiple DOBs and SSNs in the MDP submissions
    - Adding the NRI to the MDP and XDP requests
  - External agency connections to WSP VPN
    - DOL – connected via Fortress, working to evaluate SGN option
    - AOC – connected and tested
    - HCA – final change to be applied by WaTech
- Priority SAFE AR functional requirements available with ARIS Jan 2023 release

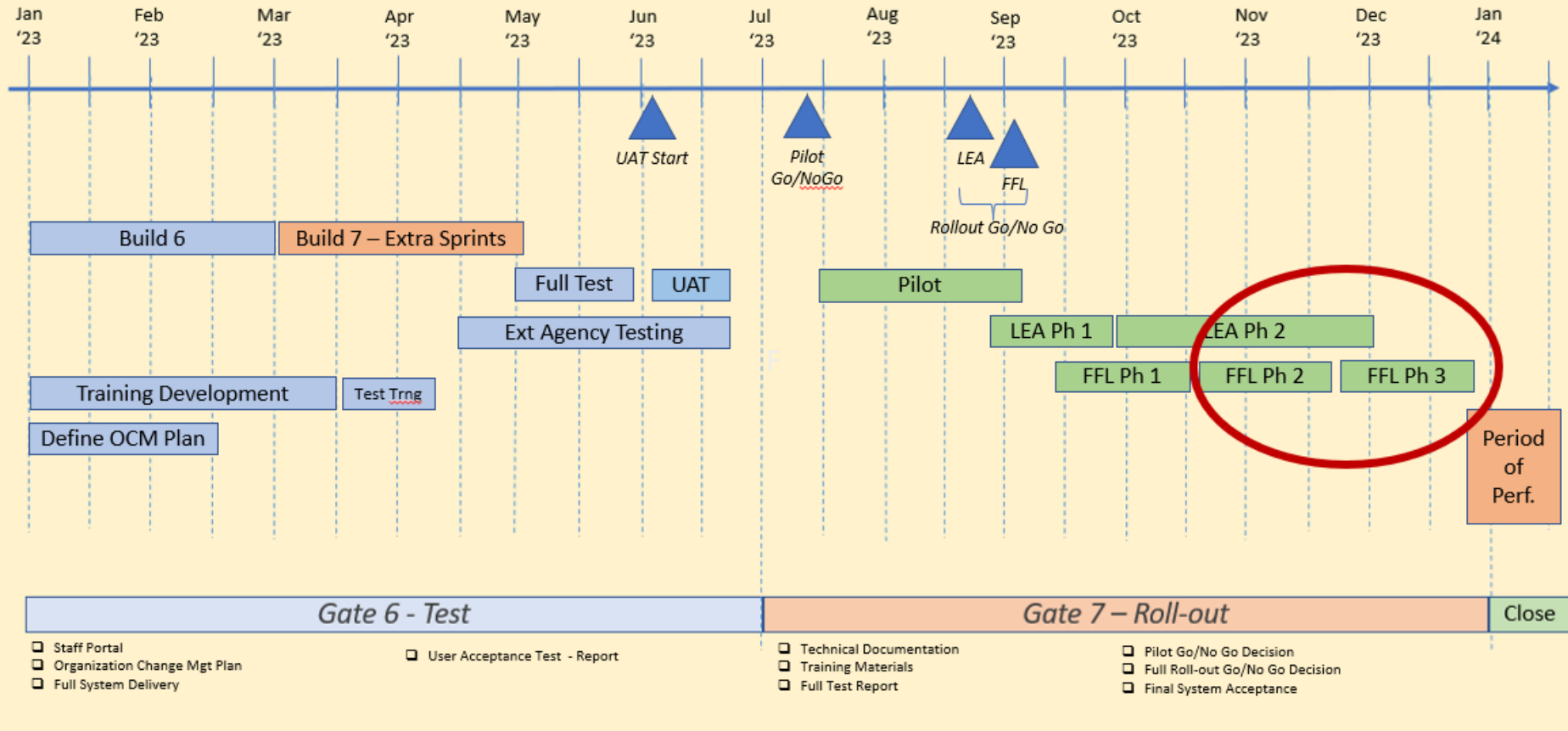
# Project Issues

- FBI CJIS testbed not complete
  - Updated by FBI to address the system errors
  - Validation of changes will be done this week
- HCA able to process transactions more than once per day
  - HCA is testing the system changes required
  - UAT testing to start at the end of Dec/Jan, results needed to determine number of times they will process transactions
- Sprint progress has slowed
  - Preparation of user stories to provide more SME details
  - Supplementing the CCG team with additional Senior Developer

# FBC Project Timeline



# FBC Project Timeline w/ Delay



▲ Milestones

✓ Completed Gate Deliverable

■ Live Production



# Risks

## WSP FBC Project Risks

Updated 10/31/22

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High	E-6 O-10, O-12	E-22 O-26 PM-15  T-17	T-24
	Medium	E-4 <del>O-9</del> S-19 T-20	S-21 T-23	T-21
	Low	E-2, E-3, E-21  T-25		

Risk Classifications –

- Technical (T)
- External (E)
- Organizational (O)
- Project Management (PM)

Risk #	Risk Description
T-24	<i>Increased Probability</i> - FBI is transitioning their information endpoints and the structure of the responses
E-22	<i>Decreased Probability</i> - HCA current script and process will not be sufficient to process the anticipated transaction volume
O-26	<i>New</i> - Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan
PM-15	Development time is greater than planned
T-17	Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project
E-6	<u>LinX</u> -NW will not become the primary means for FB division to access local law enforcement records
O-10	FBD facility and procedures not ready
O-12	FB Division staff are not trained adequately to handle the workload
T-23	<i>Increased Probability &amp; Impact</i> - New AR system is not in place in time for implementation.
O-9	<i>Deleted</i> - WSP does not secure the location for FBD in time planned
T-25	<i>Deleted</i> - We have not done any usability analysis on the user interface elements

# High Risk Mitigations

Risk #	Risk Description	Mitigations
T-24	<i>Increased probability</i> - FBI is transitioning their information endpoints and the structure of the responses	<ol style="list-style-type: none"> <li>1. Connection to FBI Testbed during testing</li> <li>2. Increased coordination with FBI technical team to obtain more information on NICS Background Check NIEM XML packet.</li> </ol>
E-22	<i>Decreased probability</i> - HCA current script and process will not be sufficient to process the anticipated transaction volume	<ol style="list-style-type: none"> <li>1. Increase project coordination communication with HCA</li> <li>2. Confirm with HCA that script can be run multiple times per day</li> <li>3. Confirm with HCA that script and 'no hit' transactions can be run on weekends and holidays</li> </ol>
O-26	<i>New</i> - Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan	<b><i>Mitigations to be defined</i></b>
PM-15	Development time is greater than planned	<ol style="list-style-type: none"> <li>1. Shorter sprint cycles to increase feedback and confirmation of work</li> <li>2. FBC Tech Arch in role of Product Owner for Agile team</li> <li>3. Focus is to complete difficult components first to ensure we can adjust if issues are encountered</li> <li>4. Meeting each week between FBC Tech Architect and CCG Tech Lead to discuss sprint tasks in detail to ensure clear understanding</li> </ol>
T-17	Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project	<ol style="list-style-type: none"> <li>1. Increase project coordination between each agency</li> <li>2. JSON Schema developed to confirm the technical details for request and response messages</li> <li>3. Phased test plan developed for interface confirmation</li> </ol>

Updated 10/31/2022

QA Report #19

November 2022

FBC Project Steering Committee Meeting  
December 12, 2022

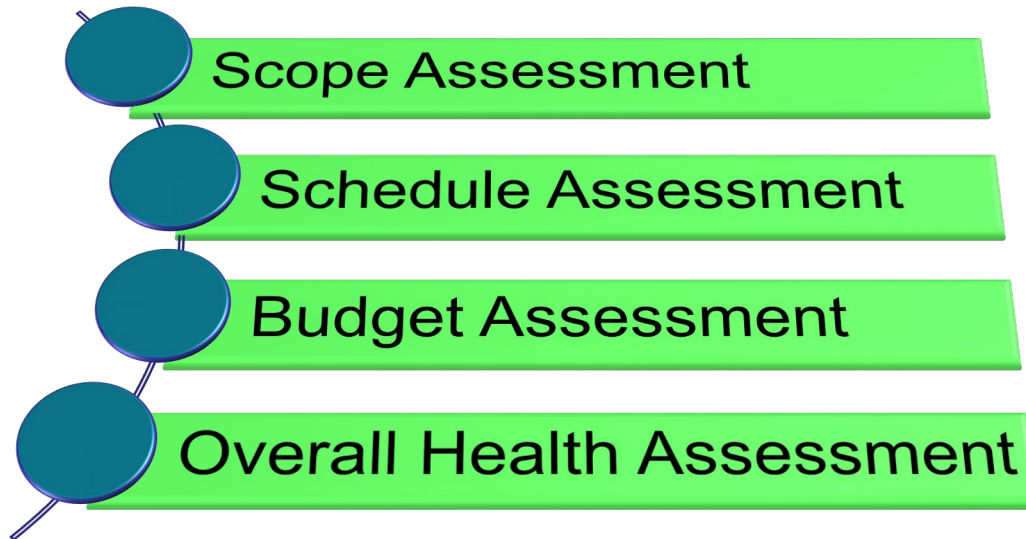
**QA Report #19 – November 2022**

Independent Quality Assurance Report  
CASE Associates Inc.

Dan Kruger



# November 2022 – Overall Project Health is **STABLE**



# November 2022 – QA Recommendations

## New Recommendations

There are no new recommendations.

## Open Recommendations

There are no open recommendations.

## Watch List (WL) Items

There are **TWO** open watch list items:

- May 2022 - Getting a stable connection to the FBI CJIS WAN testbed (T-14)
  - The most recent email from the FBI on December 6, 2022, stated that they have resolved all the technical issues. WSP will be testing and validating the connection in December 2022.
- November 2022 – Getting additional resource(s) from Catalyst to decrease development and testing time

# QA Next Month's Focus for December 2022

## Project Schedule

Review tasks, activities, and progress

**Identify the critical path** – accounting for the connectivity challenges we are experiencing from the FBI and all other stakeholders as they potentially impact our Go-Live scenarios

Review the OCM activities, training, and transition activities

## Review Progress in the Configuration Phase – Gate 5

## Review Progress on Interfaces

## Review the Status of the Test Harness

# Firearms Background Division (FBD)

# FB Division - Agenda

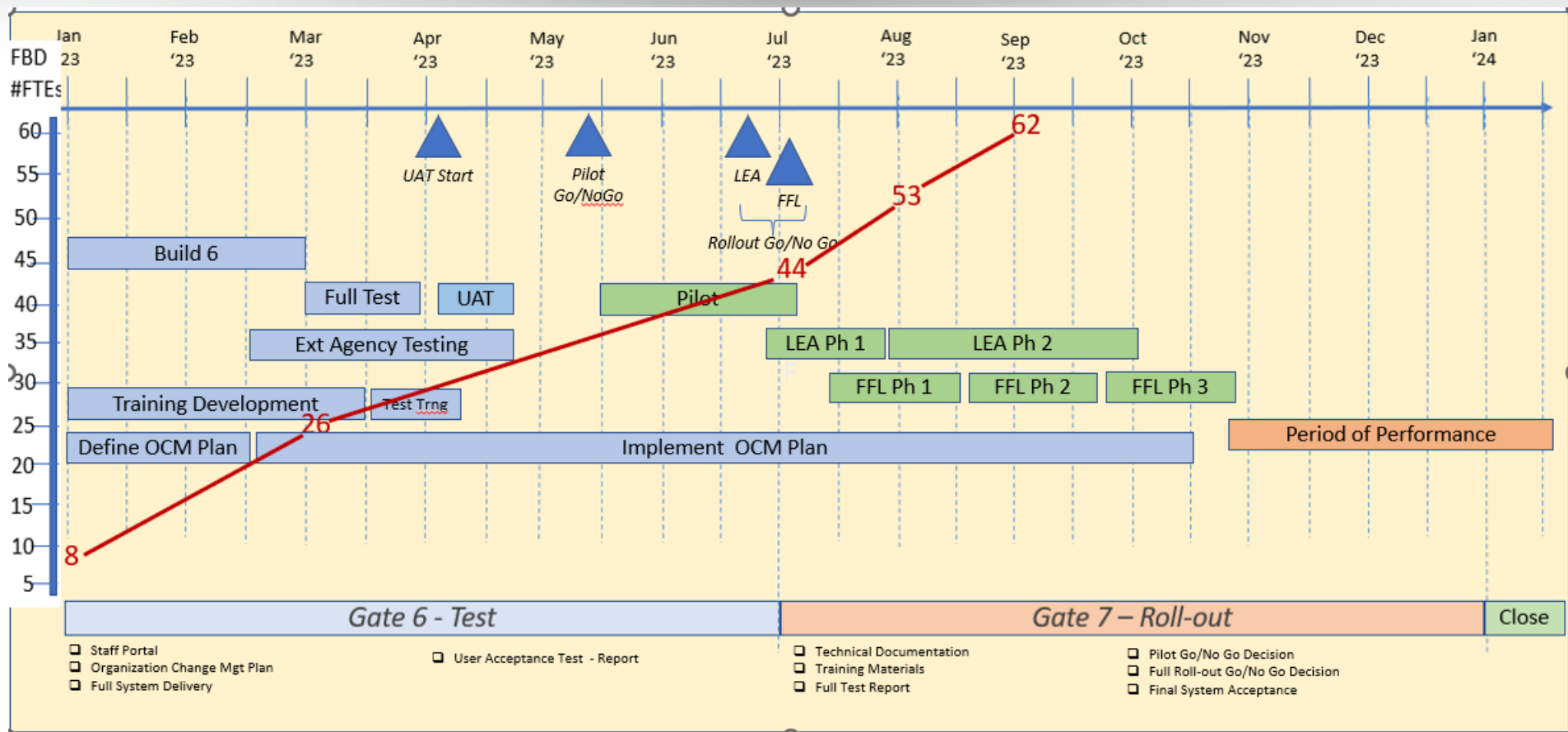
- Location
- Staffing
- Stakeholder Communication
- Budget
  - FBC Project – Gated
  - FBC Project – Contracted Services
  - FBD



# Firearm Background Division (FBD) Status

- Location of FBD – Helen Sommers Building (HSB)
  - DES started construction of offices and training room 11/10
  - DES will provide final schedule when architect signs off on plans
- Communication
  - Listserv communication, sent out 12/1/2022 –screenshots and narration to provide walkthrough of FFL portal
  - Advisory Board Annual Report distributed to Advisory Board for review
- Staff Hiring
  - (4) open positions, closed posting 12/9/22
  - (6) candidates for the (2) MA3 positions
  - (6) candidates for the (2) MA4 positions
  - Interviews scheduled for 12/19 and 12/20

# FBD Hiring Plan



# FBC Project Budget – by Gate

**Firearm Background Check IT Project Budget**  
**Full project by gate**  
*actual expenditure data as of December 6, 2022*

**Firearms Background Check IT Project**

	Budget	Expenditures to-date	Estimated In-Kind Staff to-date	Variance
Gate 1 - Implementation Plan	\$ 410,185	\$ 353,142	\$ 90,048	\$ (33,005)
Gate 2 - Initialize Project	\$ 196,512	\$ 116,810	\$ 22,512	\$ 57,190
Gate 3 - Planning	\$ 482,065	\$ 285,339	\$ 159,372	\$ 37,354
Gate 4 - Design	\$ 814,036	\$ 474,520	\$ 159,372	\$ 180,144
Gate 5 - Configure	\$ 812,400	\$ 431,314	\$ 132,810	\$ 248,276
Gate 6 - Test	\$ 680,831			\$ 680,831
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	\$ 4,202,033	\$ 1,661,125	\$ 564,114	\$ 1,976,794

**Monthly Notes**

None

**Standard Notes**

Budget = Budgeted Resources + Agency In-kind Resources from approved IT Tech Budget

Expenditures to-date = Budgeted Expenditures + In-Kind Expenditures (excluding staff valuation)

Expenditure assignments per gate:

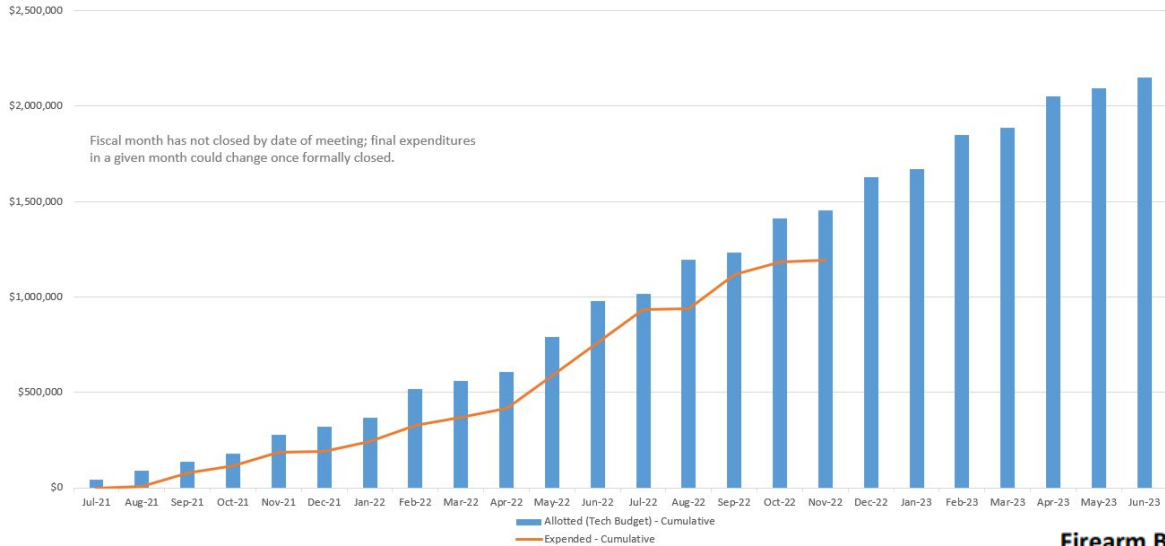
for Budgeted Expenditures, expenditures are assigned a specific project code for each gate

for In-Kind Expenditures, expenditures are shown in the gate open during month the expenditure hit

In-Kind Staff Costs are not tracked in AFRS. Numbers represented are per IT Tech Budget.

# FBC Project Budget

## 2021-23 Biennium



### Firearm Background Check IT Project Budget

#### 2021-23 Biennium

actual expenditure data as of December 6, 2022

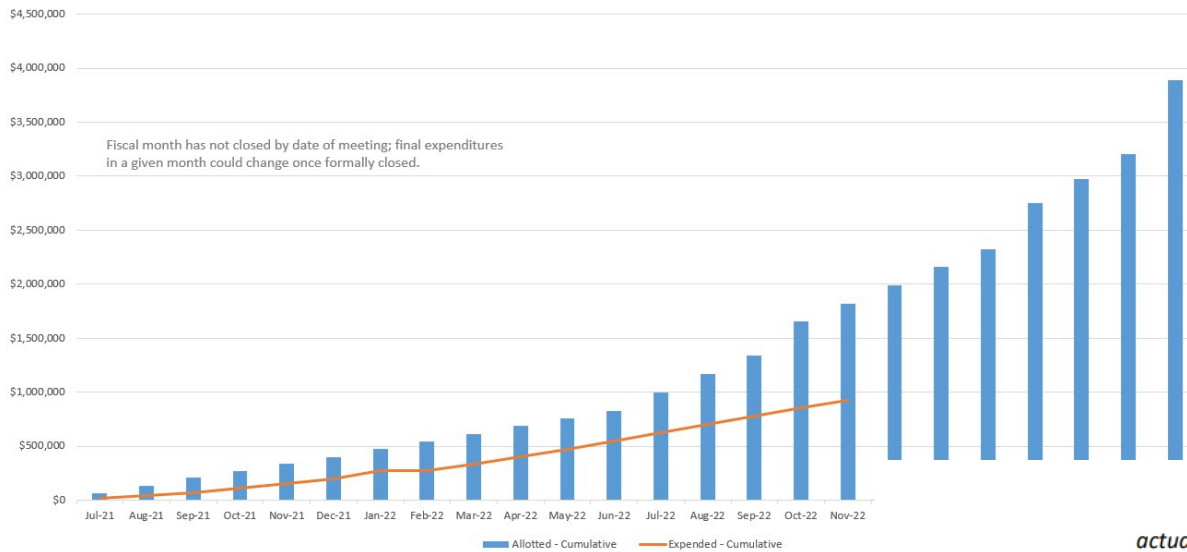
#### Firearms Background Check IT Project

Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 1,133,903	\$ 569,463	\$ 564,440
Project Manager & Technical Architect	\$ 859,200	\$ 525,950	\$ 333,250
Quality Assurance	\$ 144,000	\$ 95,760	\$ 48,240
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	<b>\$ 2,151,843</b>	<b>\$ 1,191,173</b>	<b>\$ 960,670</b>

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 1,191,173	\$ 960,670
In-kind Agency Funding	\$ -	\$ -	\$ -
	<b>\$ 2,151,843</b>	<b>\$ 1,191,173</b>	<b>\$ 960,670</b>

# FBD Budget

## 2021-23 Biennium



## Firearm Background Division Budget 2021-23 Biennium

actual expenditure data as of December 6, 2022

### Firearms Background Division

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,935,173	\$ 840,889	\$ 1,094,284
Contracts/Goods/Services	\$ 1,103,552	\$ 24,966	\$ 1,078,586
Travel	\$ 55,550	\$ 1,766	\$ 53,784
Equipment	\$ 791,956	\$ 57,214	\$ 734,742
	<b>\$ 3,886,231</b>	<b>\$ 924,835</b>	<b>\$ 2,961,396</b>

Funding	Budget	Actual	Variance*
State Firearms Background Check Funding	\$ 3,567,526	\$ 808,637	\$ 2,758,889
General Fund FY22	\$ 135,325	\$ 90,841	\$ 44,484
General Fund FY23	\$ 183,380	\$ 25,357	\$ 158,023
	<b>\$ 3,886,231</b>	<b>\$ 924,835</b>	<b>\$ 2,961,396</b>

### Notes

State Firearms Background Check System Account balance was \$5,941,423 as of 12/06/22.

\* Actual available balance is \$2,916,912 (FY22 funds no longer available)

# Questions/Discussion