

2023

WASHINGTON BACKGROUND CHECK ADVISORY BOARD ANNUAL REPORT

Developed by: Washington Background Check (WBC) Advisory Board

December 15, 2023

BACKGROUND

In the 2020 Legislative Session, the Washington State Legislature enacted Revised Code of Washington (RCW) 43.43.580 directing the Washington State Patrol (WSP) to create a firearms background check unit to serve as a centralized single point of contact for dealers to conduct background checks for firearms sales or transfers required under chapter 9.41 RCW and the federal Brady handgun violence prevention act (18 U.S.C. Sec. 921 et seq.).

Concurrently enacted at that time, was RCW 43.43.585 establishing the Washington Background Check (WBC) Advisory Board. The primary purpose of the board is to ensure that the Washington state patrol firearms background check unit established in RCW 43.43.580 is administered efficiently and effectively, and in a manner that honors individual firearms rights while preventing prohibited persons from obtaining firearms.

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)]
- 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.
- Report to the Governor and appropriate committees of the Legislature each year on activities of the Board and the firearms background check unit.

The Board saw movement this last year due to retirement and not being re-elected to the position. The following members were removed:

- Sheriff Tony Hawley, Okanogan County Sheriff's Office, resigned January 2023
- Chief Keith Siebert, Quincy City Police Department, retired February 2023

The Boards and Commissions Office replaced the two outgoing members with the following:

- Sheriff Ricky Felici, Island County Sheriff's Office, appointed August 2023

- Chief Jeffrey Beazizo, Lake Stevens Police Department, appointed August 2023

The Board now consists of the following members:

- Assistant Chief Marc Lamoreaux, Washington State Patrol (Chair)
- Executive Director Steve Strachan, Washington Association of Sheriffs and Police Chiefs
- Sheriff Ricky Felici, Island County Sheriff's Office
- Chief Jeffrey Beazizo, Lake Stevens 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 2023, and convened on the dates listed below:

- January 11, 2023
- February 8, 2023
- March 8, 2023
- April 12, 2023
- May meeting cancelled due to low Board participation. Those who could join participated in the monthly Steering Committee meeting.
- June 14, 2023
- July 12, 2023
- August 9, 2023
- September 13, 2023
- October 11, 2023
- November 8, 2023
- December 13, 2023

See Addenda A for status and budget reports from the meetings. ¹

ACCOMPLISHMENTS FOR 2023

The Washington State Patrol (WSP) project manager and Catalyst Consulting Group (CCG) followed the timeline for the project that was established in 2022. Early in the year, it was discovered that the project was falling behind. Several efforts by the project manager and CCG brought the project back on track. 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. User Stories were built by the WSP team and presented to CCG in order to develop the Secure Automated Firearms E-Check (SAFE) system.

All external agency connections to SAFE were developed and tested. Individual external stakeholder meetings were 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.

¹ Addenda A, Firearms Background Check Program – Status and Budget Reports; January – December 2023

All of the connections were established and are working with the SAFE interface. Secure Access Washington (SAW) integration for the Federal Firearm Licensees (FFLs) to sign into SAFE for authentication was established and is working as designed.

CCG developed the portal for FFLs to use to submit firearm background checks. CCG built the Staff portal where WSP perform the actual work of conducting the background checks. CCG developed a portal through an existing application already within the WSP called the Personal Identifiable Information Exchange System (PIIES), for the local law enforcement agencies to use to submit their HCA checks. They are still responsible to process concealed pistol licenses which requires an HCA check. That same portal was used to build an interface for the WSP evidence officers to use to submit their disposition of firearm (return from evidence) checks.

CCG developed the following online training modules, available from the WSP public website, for each user group in 2023:

- FFL Business Owner
- FFL User
- WSP Staff
- LEA PIIES Users
- WSP Evidence Officers

The Firearms Background Division (FBD) moved into the Helen Sommers Building Suite 2200 in April 2023. The space that was acquired was previously occupied by the Office of Financial Management (OFM). The space was well suited for the need of the division and only needed some minor upgrades. To accomplish this, the Department of Enterprise Services, WSP Property Management Division, WSP Electronic Services Division, WSP Budget and Fiscal Services (contracts), and Correctional Industries worked together and were able to complete the upgrades within four months. The staff to fill the space was hired in 2023. Staffing for FBD is on track with the staffing plan. To date, five Program Specialist 5 (supervisor) positions, five Program Specialist 3 (lead) positions, and 27 Program Specialist 2 (line staff) positions have been hired.

Organizational Change Management (OCM) was developed and deployed throughout 2023. A monthly communication was sent to all of the FFLs. Several surveys were conducted with both the FFLs and LEAs to get feedback about the development and/or enhancements of SAFE. Early adopters of SAFE were brought on to get feedback of the SAFE system and usability. We received positive feedback.

CCG developed an Application Programming Interface (API) for use with SAFE. There are several third-party software vendors that FFLs already have in place, and the API allows them to connect directly with SAFE for the background check, eliminate duplicate data entry, and increase efficiency. There is only one vendor that has taken advantage of the API to date and the company is ORCHID.

All testing for the SAFE system was conducted by Mr. Kevin Baird (Assistant Division Commander), the SAFE system administrators, Mr. Scott Came (Technical Architect), and CCG personnel. Functional testing was conducted throughout the development of the SAFE system. User acceptance testing took place in June. The SAFE application was made available to the FFLs in one-month increments, starting on August 8 at 8 a.m. Physical letters were sent to each FFL that was represented on the Department of Licensing FFL business license list. The letter contained a "SAFE code" to be used for onboarding to the new system. By mid-October, over 800+ letters were sent out.

Quality Assurance oversight has been a part of the project since the beginning. All of 2023 mostly received a “green” status. There were two months that the schedule and overall health of the project turned “yellow”. The project did not see a red status throughout the project.

CONCLUSION

The Firearms Background Check Program is on target and progressing effectively. Essential steps for 2023 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 2024 are correctly identified by the WSP.



Firearms Background Check Program Advisory Board Meeting








January 11, 2023

FBC Project - Agenda

- Overall Status
- Areas of Focus
- Project Timeline with Gate Deliverables
- Risks
- QA Report

FBC Project Status

Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

Deliverables – Gate 6: January 1, 2023 – June 30, 2023

Deliverable	Status
WSP Staff Portal Delivery	In Progress
Organization Change Management Plan	In Progress
Full SAFE Delivery	In Progress
User Acceptance Test Plan	Not Started

Firearms Background Check (FBC) Project Status

- Connectivity to FBI CJIS Services
 - *Decision* – we will not interface with the new FBI service for the SAFE system and will use the existing ACCESS system as interface with FBI.
- External agency connections to WSP VPN
 - DOL – connected via Fortress, troubleshooting
 - AOC – connected, tested and transactions processed
 - HCA – testing final connection scheduled
 - LInX NW – configuration in progress
- FFL On-line training – planning started

FBC – Organization Change Management

- Organizational Change Management (OCM)
 - OCM proposals showed limited value to project
 - *Decision* – will continue to conduct OCM tasks via the FBC Project Team
 - Limited elements of project require ‘change management’ since new system, new department and mandate for usage
- Develop OCM Plan based on current & planned activities
 - Monthly listserv communication with FFLs
 - Advisory Board with all stakeholders represented
 - Review of SAFE by stakeholder representatives

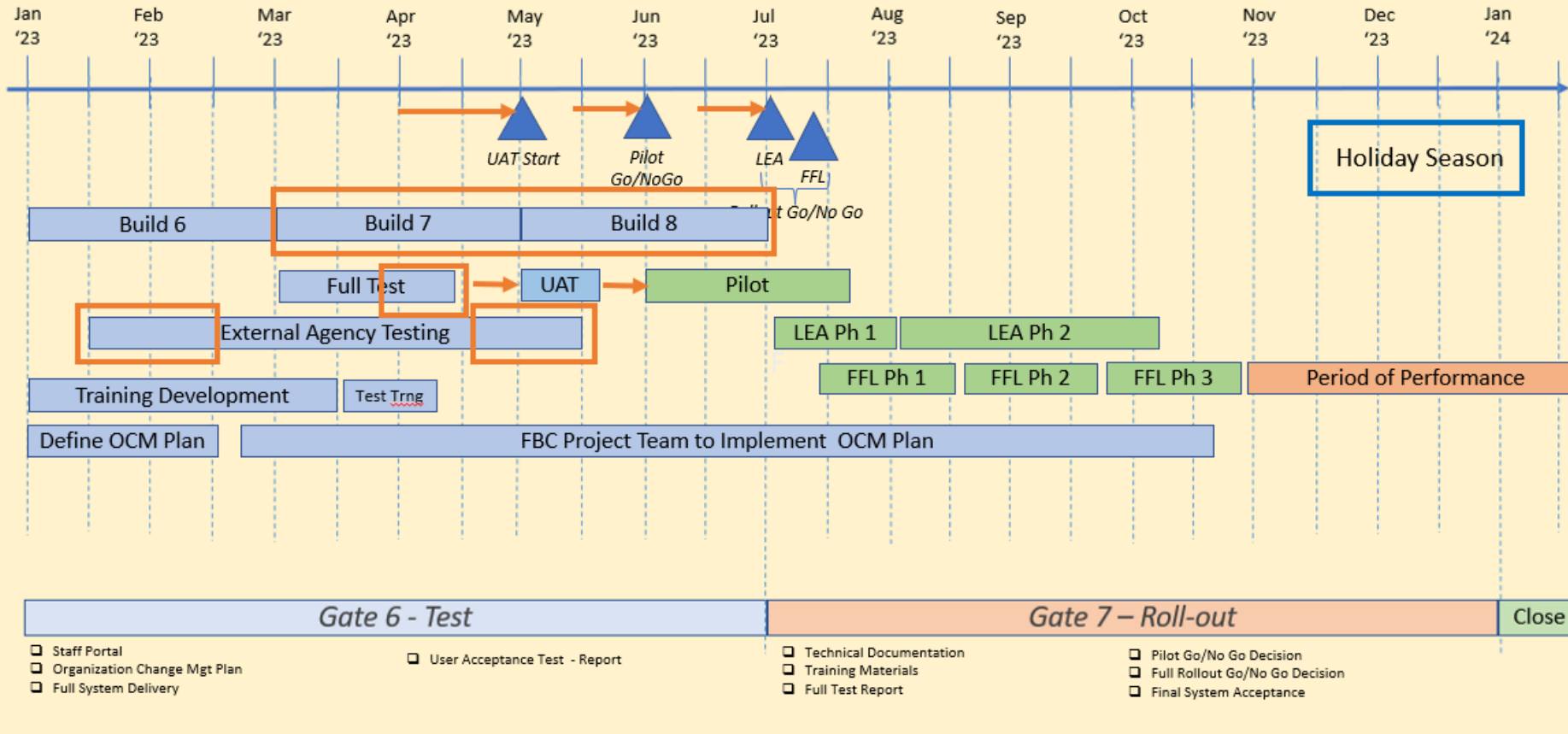
FBC – SAFE External Testing

- External WA Agencies anxious to start testing
 - Agencies have other projects competing for resources
 - Agencies concerned that internal testing will not be adequate to identify system issues and will require changes late in process
- Modified Phased Approach
 - Original Plan
 - 1. Connectivity between agency and WSP VPN
 - 2. Each agency completes internal functionality testing
 - 3. Each agency does performance testing to handle projected load
 - 4. Full testing with all agencies – point to point workflow testing
 - Added interface testing with each agency (#2a) to validate fields (schema) and transaction types
- SAFE IT will take the lead for agency testing
- Test transactions to be developed for each agency

FBC – Schedule Delay

- Behind in development progress = schedule delay
 - Monthly goals for CCG development not met in Nov and Dec
 - Working with CCG to utilize resources effectively
 - Increase clarification of requirements prior to start of sprints
- Work to minimize impact on UAT, Pilot and Rollout
- Re-plan monthly goals
 - Prioritize functions required for pilot testing – customer facing
 - Add Build 7 to develop functions necessary for pilot
 - Add Build 8 for non-customer facing functionality
 - AR interface and invoicing
 - Appeal process
 - Automated processing – purge functions
 - Analytics / performance measurement

FBC Project Timeline



▲ Milestones

✓ Completed Gate Deliverable

■ Live Production Rollout

— Schedule Change

Risks

WSP FBC Project Risks

Updated 1/6/2023

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

Risk Classifications –

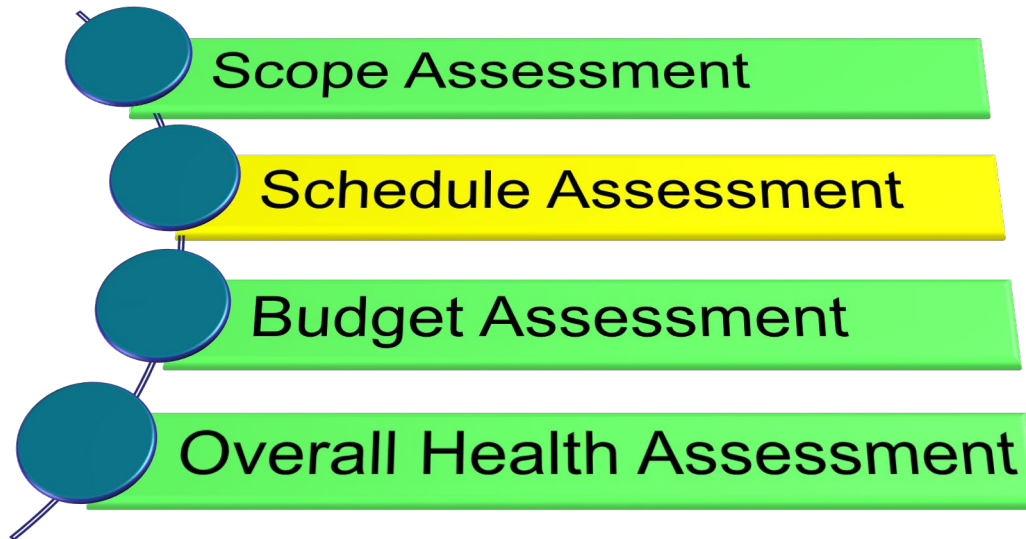
- Technical (T)
- External (E)
- Organizational (O)
- Project Management (PM)

Risk #	Risk Description
PM-15	Increased Probability - Development time is greater than planned
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume
O-26	Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan
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-24	<i>Deleted</i> - FBI is transitioning their information endpoints and the structure of the responses
T-23	<i>Deleted</i> - New AR system is not in place in time for implementation.

High Risk Mitigations

Risk #	Risk Description	Mitigations
PM-15	<i>Increased probability</i> - Development time is greater than planned	<ol style="list-style-type: none"> 1. Shorter sprint cycles to increase feedback and confirmation of work 2. FBC Tech Arch in role of Product Owner for Agile team 3. Focus is to complete difficult components first to ensure we can adjust if issues are encountered 4. Meeting each week between FBC Tech Architect and CCG Tech Lead to discuss sprint tasks in detail to ensure clear understanding
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume	<ol style="list-style-type: none"> 1. Increase project coordination communication with HCA 2. Confirm with HCA that script can be run multiple times per day 3. Confirm with HCA that script and 'no hit' transactions can be run on weekends and holidays
O-26	Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan	<i>Mitigations to be defined</i>
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"> 1. Increase project coordination between each agency 2. JSON Schema developed to confirm the technical details for request and response messages 3. Phased test plan developed for interface confirmation

December 2022 – Overall Project Health is **STABLE**



December 2022 – QA Observations

- **Sprint Planning and Demonstrations**
 - The pace of development and delivery was slower than planned due primarily to the Thanksgiving, Christmas, and New Years Holidays and key resource unavailable
- **PM following best practices for Project Management**
 - Following OCIO Gate 5 approved activities (Delivery and Initial Validation)
 - 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
- **Project Plan Changes**
 - Direct connection to FBI system dropped from the project. WSP will use the Datamaxx ACCESS system for messages
 - Organization Change Management (OCM) will be done in-house. Discussed with OCIO, and they concurred with the WSP assessment.

December 2022 – QA Recommendations

New Recommendations

There are two new recommendations:

Recommendation #1 (QFP 3 – Project Schedule): Increase the pace of development to get the schedule back on track and prioritize functionality to be ready for pilot testing. The pace of development and delivery is behind schedule due in part to the Thanksgiving, Christmas, and New Years holidays. The WSP PM has escalated the lack of vendor progress according to our schedule and will be actively working with the CCG management team to get the required resources to bring the project back on track to the agreed project schedule. **The PM will review the current mitigation strategies and identify the triggering date for activating mitigation plans.**

Recommendation #2 (QFP 6 – Vendor Performance): Develop a modified CCG staffing plan identifying all technical resources assigned to the project, confirm staff availability and assignments, and identify any new project tasks and timeframes to get the project back on track. **The vendor staffing changes must get approval from the FB Division Commander and the Project Manager in January 2023.**

Open Recommendations

There are no open recommendations:



QA Next Month's Focus for January 2023

Project Schedule

Review tasks, activities, and progress according to the schedule

Review the proposed vendor staffing changes to get the schedule on track

Identify “slack” in the project schedule, what are the critical dates to keep the project roll-out on track with the schedule, and identify mitigation “trigger dates” identified in the Risk Matrix.

Review progress in the Configuration Phase – Gate 5

Review progress on Interfaces

Review the status of the SAFE Testing

Firearms Background Division (FBD)

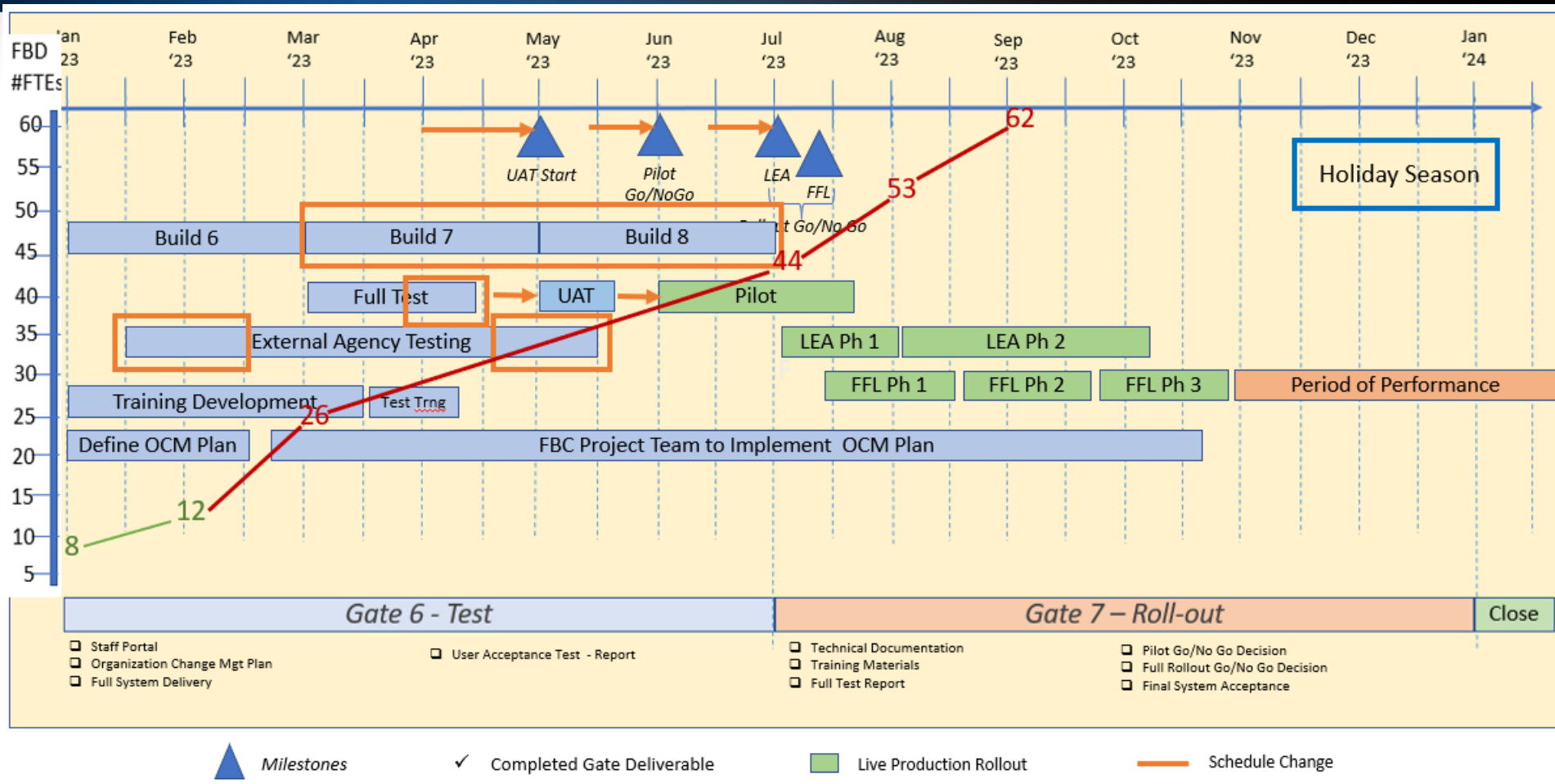
FB Division - Agenda

- 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)
 - Construction started on offices and training room
 - DES to provide final schedule, target to move-in is now mid Feb 2023
 - ESD has worked with CTS to begin pulling cable
 - Racks received for server room
- Communication
 - Listserv communication, sent out 1/3/2023 – topic was hiring plan for FBD
- Staff Hiring
 - (4) new hires scheduled to start in Jan and Feb. 2023
 - (1) quality candidate was urged to apply for position in the future and their information submitted for background check
 - (14) positions have been provided to HR to be established so they can be posted by mid Jan 2023

FBD Hiring Plan



- Staff Portal
- Organization Change Mgt Plan
- Full System Delivery

- User Acceptance Test - Report

- Technical Documentation
- Training Materials
- Full Test Report

- Pilot Go/No Go Decision
- Full Rollout Go/No Go Decision
- Final System Acceptance

▲ Milestones
 ✓ Completed Gate Deliverable
 Live Production Rollout
 Schedule Change

FBC Project Budget – by Gate

Firearm Background Check IT Project Budget
Full project by gate
actual expenditure data as of January 3, 2023

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	\$ 605,796	\$ 159,372	\$ 47,232
Gate 6 - Test	\$ 680,831			\$ 680,831
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	\$ 4,202,033	\$ 1,835,607	\$ 590,676	\$ 1,775,750

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)

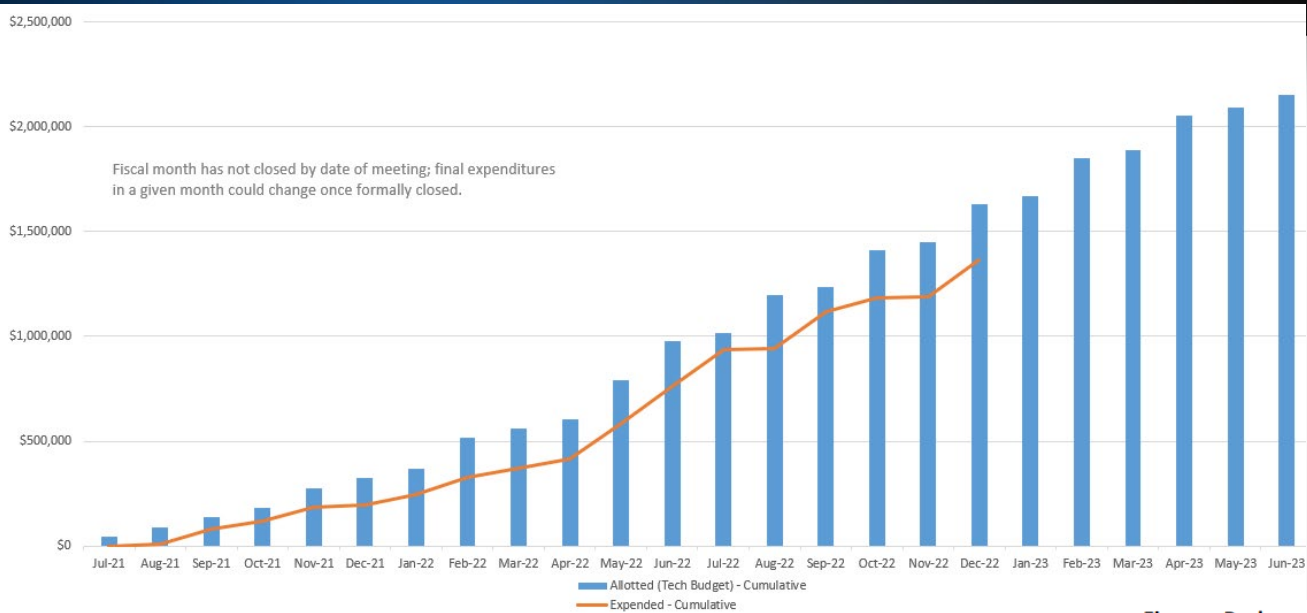
Expenditure assignments per gate:

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



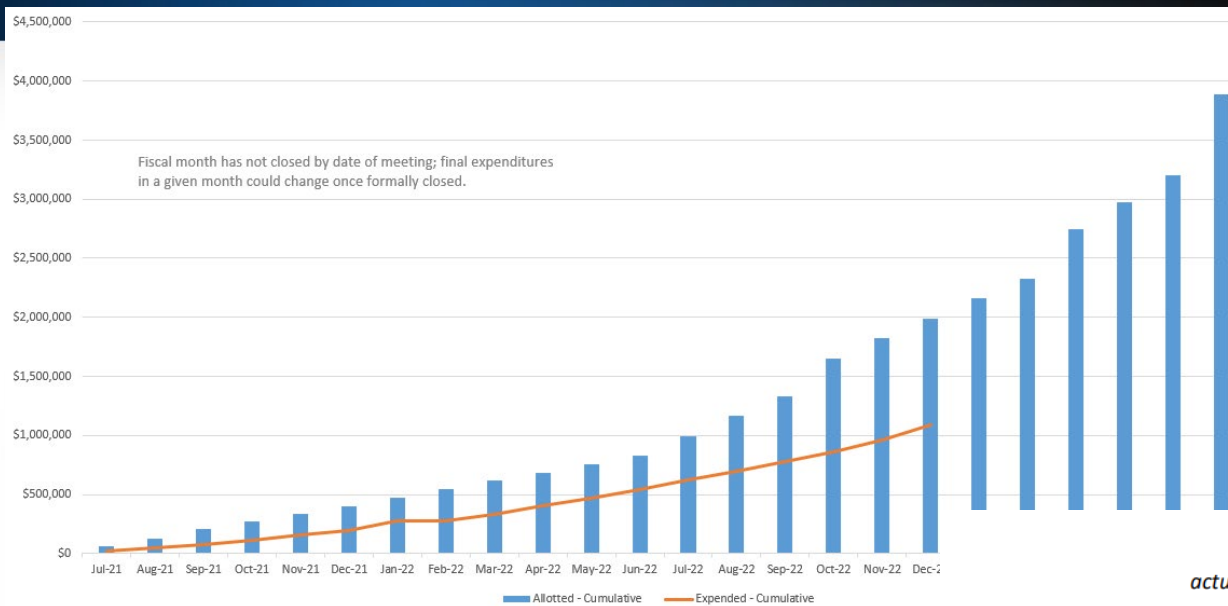
Firearm Background Check IT Project Budget
2021-23 Biennium
actual expenditure data as of January 3, 2023

Firearms Background Check IT Project

Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 1,133,903	\$ 708,665	\$ 425,238
Project Manager & Technical Architect	\$ 859,200	\$ 555,630	\$ 303,570
Quality Assurance	\$ 144,000	\$ 101,360	\$ 42,640
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	<u>\$ 2,151,843</u>	<u>\$ 1,365,655</u>	<u>\$ 786,188</u>

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 1,365,655	\$ 786,188
In-kind Agency Funding	\$ -	\$ -	\$ -
	<u>\$ 2,151,843</u>	<u>\$ 1,365,655</u>	<u>\$ 786,188</u>

FBD Budget



**Firearm Background Division Budget
2021-23 Biennium**
actual expenditure data as of January 3, 2023

Firearms Background Division

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,935,173	\$ 917,253	\$ 1,017,920
Contracts/Goods/Services	\$ 1,103,552	\$ 26,857	\$ 1,076,695
Travel	\$ 55,550	\$ 1,766	\$ 53,784
Equipment	\$ 791,956	\$ 142,383	\$ 649,573
	\$ 3,886,231	\$ 1,088,259	\$ 2,797,972

Funding	Budget	Actual	Variance*
State Firearms Background Check Funding	\$ 3,567,526	\$ 955,097	\$ 2,612,429
General Fund FY22	\$ 135,325	\$ 90,841	\$ 44,484
General Fund FY23	\$ 183,380	\$ 42,321	\$ 141,059
	\$ 3,886,231	\$ 1,088,259	\$ 2,797,972

Notes

State Firearms Background Check System Account balance was \$5,705,650 as of 01/03/23.

* Actual available balance is \$2,753,488 (FY22 funds no longer available)

Questions/Discussion



Firearms Background Check Program Advisory Board Meeting








February 8, 2023

FBC Project - Agenda

- Overall Status
- Areas of Focus
- Project Timeline with Gate Deliverables
- Risks
- QA Report
- OCIO

FBC Project Status

Project Assessments:

	Overall	Scope	Schedule	Budget
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Deliverables – Gate 6: January 1, 2023 – June 30, 2023

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WSP Staff Portal Delivery	In Progress
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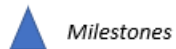
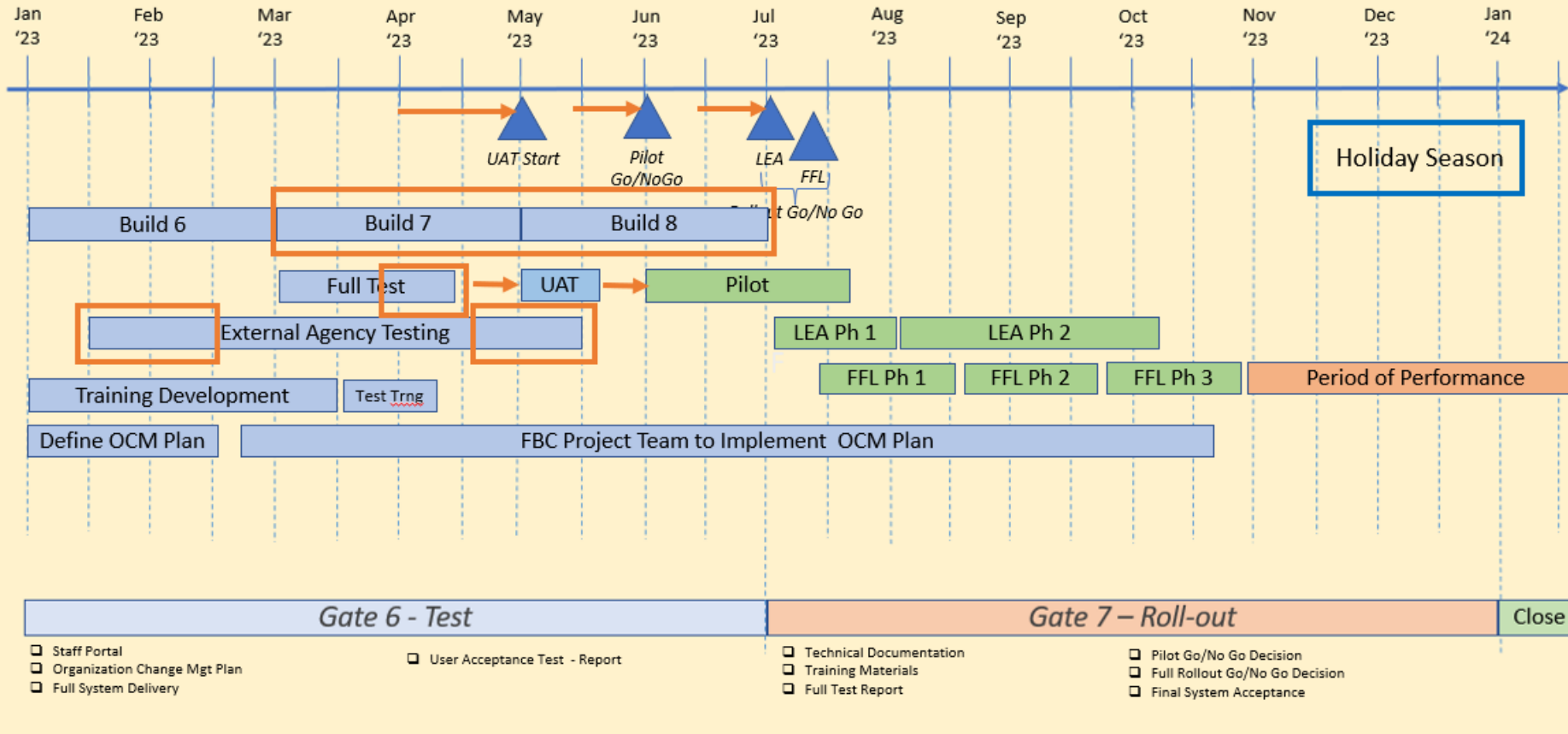
FBC – External Agency Status

- External agency connections to WSP VPN
 - DOL – connection confirmed and tested
 - AOC – connection confirmed and tested
 - HCA – connection confirmed and tested
 - LInX NW – connection confirmed and tested
- External agency interface testing
 - DOL – import of FFL list and transfer of FTA form data
 - AOC – tested, one field required for response
 - HCA – waiting for HCA to complete test environment updates
 - LInX NW – tested

FBC – Areas of Focus

- On-line Training – FFL Portals in progress
- OCM Plan – in progress
- External system connections:
 - Rapsheet parsing using Nlets – Coordination with Datamaxx in progress
 - WATCH integration with PIIES for LEA to submit HCA checks - Coordination with LEIDOS in progress
 - FFL Statements – discussions with ARIS regarding export to SAFE
 - GPS coordinates for LEA assignments – working with WaTech
- Cross reference of Use Cases to confirm SAFE functionality
- Completion of Build 6 – CCG progress improving

FBC Project Timeline



Milestones



Completed Gate Deliverable



Live Production Rollout



Schedule Change

- Staff Portal
- Organization Change Mgt Plan
- Full System Delivery

- User Acceptance Test - Report

- Technical Documentation
- Training Materials
- Full Test Report

- Pilot Go/No Go Decision
- Full Rollout Go/No Go Decision
- Final System Acceptance

Risks

WSP FBC Project Risks

Updated 1/6/2023

FBC Project Risk Matrix		Probability		
		Low	Medium	High
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	Medium	E-4 S-19 T-20	S-21 T-23	T-21
	Low	E-2, E-3, E-21		

Risk Classifications –

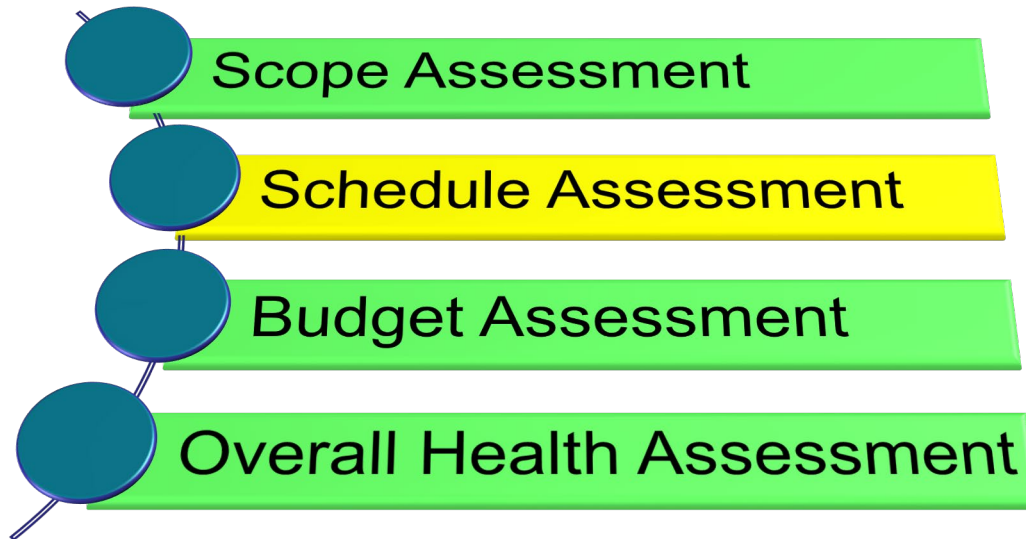
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High Risk Mitigations

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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"> 1. Increase project coordination between each agency 2. JSON Schema developed to confirm the technical details for request and response messages 3. Phased test plan developed for interface confirmation

January 2023 – Overall Project Health is **STABLE**



January 2023 – QA Recommendations

Open Recommendations

There are two open recommendations:

Recommendation #1 (QFP 3 – Project Schedule): Increase the pace of development to get the schedule back on track and prioritize functionality to be ready for pilot testing. The pace of development and delivery is behind schedule due in part to the Thanksgiving, Christmas, and New Years holidays. The WSP PM has escalated the lack of vendor progress according to our schedule and will be actively working with the CCG management team to get the required resources to bring the project back on track to the agreed project schedule. **The PM will review the current mitigation strategies and identify the triggering date for activating mitigation plans.**

WSP Actions Taken:

Two additional builds have been added to complete the project. The Project Manager has been working with the vendor to bring the schedule back on track within 30-60 days. The goal is not to change the dates for the pilot rollout and the original go-live date. The SAFE system must be operational for completing background checks during the upcoming holiday season.

Testing will be extended by 2-4 weeks, but the delay will not change the planned Pilot release and go-live roll-out.

January 2023 – QA Recommendations

Open Recommendations (continued)

Recommendation #2 (QFP 6 – Vendor Performance): Develop a detailed CCG staffing plan identifying all technical resources assigned to the project, confirm staff availability and assignments, and identify any new project tasks and timeframes to get the project back on track. **The vendor staffing changes must get approval from the FB Division Commander and the Project Manager in January 2023.**

WSP Actions Taken:

The WSP PM is working with CCG management to resolve the staffing needs for this project.

January 2023 – QA Recommendations

Watch List (WL) Items

One new watch list item for this report

Under QFP 9. Project Resources, the rating has moved from **Stable** to **Needs Attention**. The issue is that WSP Human Resources (HR) has not approved the position descriptions and salary ranges for the 14 planned hires. Any delay will directly impact the hiring plan and potentially delay the project's go-live date.

WSP Actions Taken:

The Project Sponsor is meeting with HR and AC Lamoreaux the week of February 6, 2023, to try and resolve this issue. Depending on the outcome of these meetings with HR, QA will work with the PM to review all possible risks to the project deployment date.

Firearms Background Division (FBD)

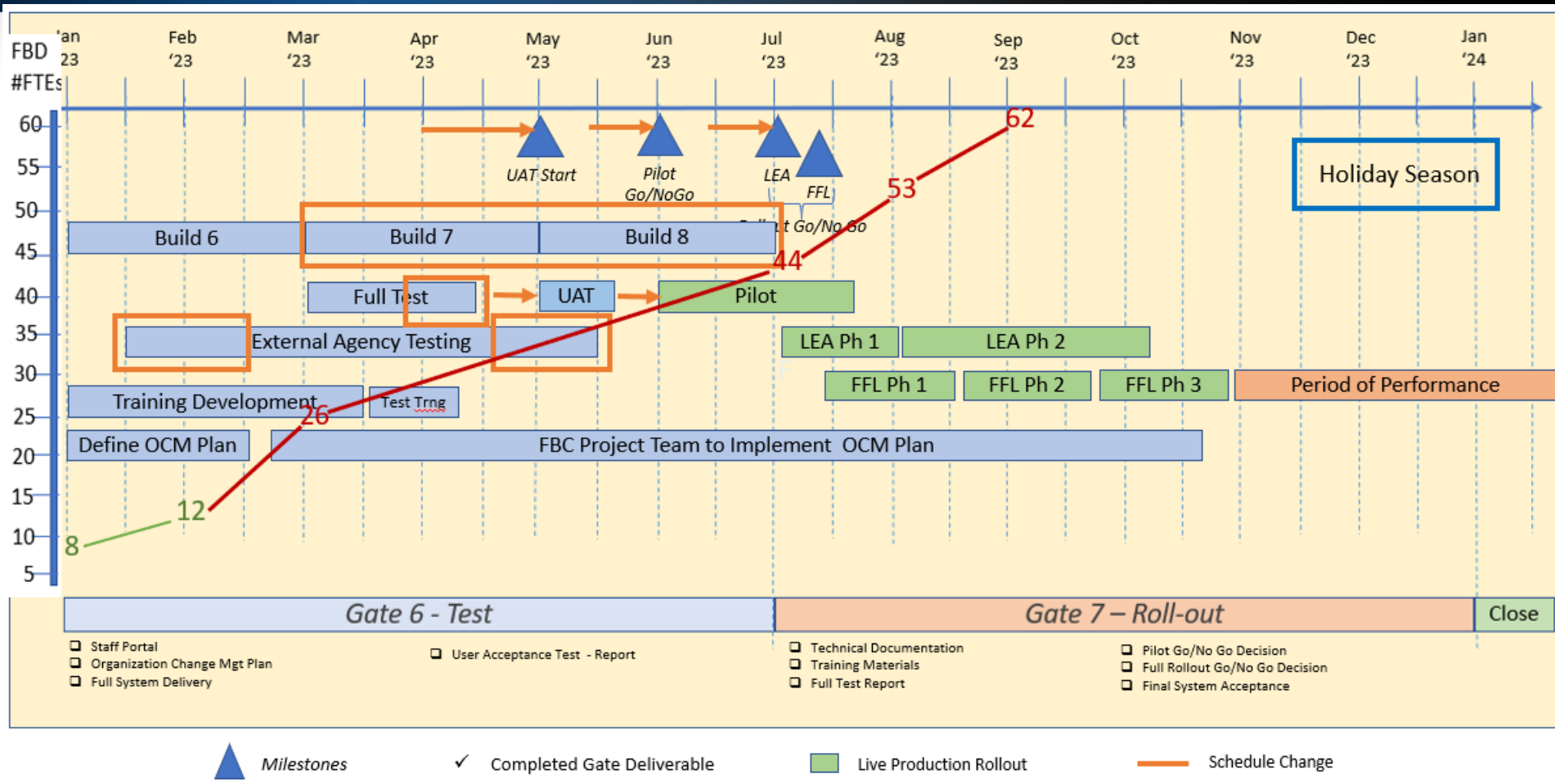
FB Division - Agenda

- 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)
 - On target to move-in end of February 2023
 - Remaining portion of office furniture to be delivered by 2/21/23
- Communication
 - Listserv sent 2/1 with a survey to identify the ‘current state’ for FFLs and to request for some FFLs that could help us test the FFL portal.
 - LEA survey sent to establish baseline of SAFE software and implementation
 - WSP Evidence Officers survey sent to establish baseline of SAFE software and implementation
- Staff Hiring
 - (4) new hires started and are going through training
 - (14) positions have been provided to HR to be established which were to be posted by mid Jan 2023

FBD Hiring Plan



- Staff Portal
- Organization Change Mgt Plan
- Full System Delivery

- User Acceptance Test - Report

- Technical Documentation
- Training Materials
- Full Test Report

- Pilot Go/No Go Decision
- Full Rollout Go/No Go Decision
- Final System Acceptance

▲ Milestones
 ✓ Completed Gate Deliverable
 Live Production Rollout
 Schedule Change

FBC Project Budget – by Gate

Firearm Background Check IT Project Budget
Full project by gate
actual expenditure data as of February 2, 2023

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	\$ 646,836	\$ 159,372	\$ 6,192
Gate 6 - Test	\$ 680,831		\$ 26,562	\$ 654,269
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	\$ 4,202,033	\$ 1,876,647	\$ 617,238	\$ 1,708,148

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

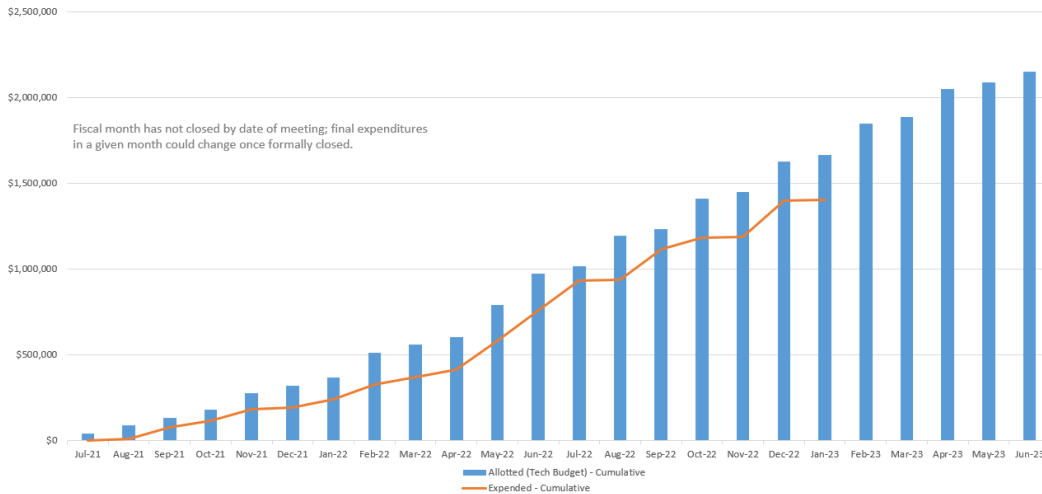
for In-Kind Expenditures, expenditures are shown in the gate open during month the expenditure hit

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

FBC Project Budget

FBC Tech Budget vs. Actual 2021-23 Biennium

FBC Gated vs. Actual



Firearm Background Check IT Project Budget 2021-23 Biennium

actual expenditure data as of February 2, 2023

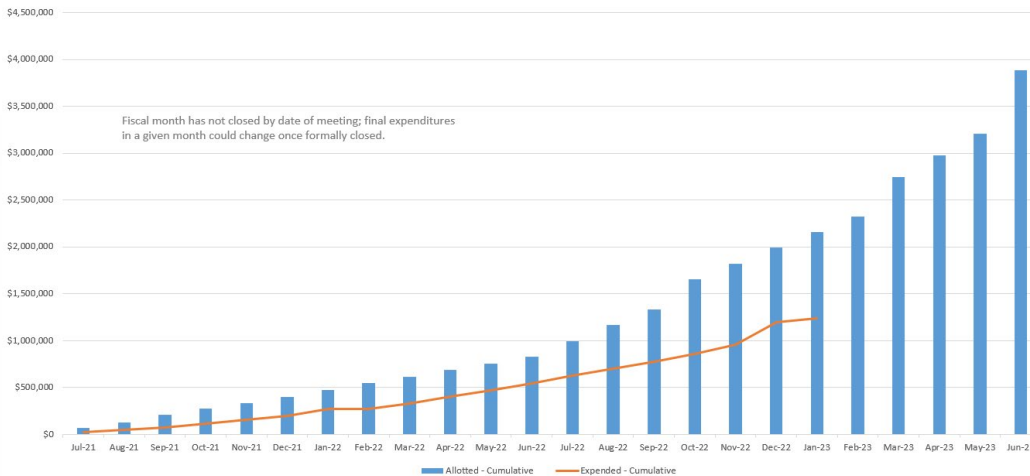
Firearms Background Check IT Project

Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 1,133,903	\$ 708,665	\$ 425,238
Project Manager & Technical Architect	\$ 859,200	\$ 589,320	\$ 269,880
Quality Assurance	\$ 144,000	\$ 108,710	\$ 35,290
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	\$ 2,151,843	\$ 1,406,695	\$ 745,148

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 1,406,695	\$ 745,148
In-kind Agency Funding	\$ -	\$ -	\$ -
	\$ 2,151,843	\$ 1,406,695	\$ 745,148

FBD Budget

FBD Budget vs. Actual
2021-23 Biennium
FBD Allotted vs. Actual



Firearm Background Division Budget
2021-23 Biennium
actual expenditure data as of February 2, 2023

Firearms Background Division

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,935,173	\$ 996,112	\$ 939,061
Contracts/Goods/Services	\$ 1,103,552	\$ 63,661	\$ 1,039,891
Travel	\$ 55,550	\$ 1,766	\$ 53,784
Equipment	\$ 791,956	\$ 176,143	\$ 615,813
	\$ 3,886,231	\$ 1,237,682	\$ 2,648,549

Funding	Budget	Actual	Variance*
State Firearms Background Check Funding	\$ 3,567,526	\$ 1,053,446	\$ 2,514,080
General Fund FY22	\$ 135,325	\$ 90,841	\$ 44,484
General Fund FY23	\$ 183,380	\$ 93,393	\$ 89,987
	\$ 3,886,231	\$ 1,237,680	\$ 2,648,551

* Actual available balance is \$2,604,067 (FY22 funds no longer available)

Notes

State Firearms Background Check System Account balance was \$5,357,565 as of 02/02/23.

Questions/Discussion



Firearms Background Check Program Advisory Board Meeting




March 8, 2023

FBC Project - Agenda

- Overall Status
- Areas of Focus
- Project Timeline with Gate Deliverables
- Risks
- QA Report

FBC Project Status

Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

Deliverables – Gate 6: January 1, 2023 – June 30, 2023

Deliverable	Status
WSP Staff Portal Delivery	In Progress
Organization Change Management Plan	In Progress
Full SAFE Delivery	In Progress
User Acceptance Test Plan	Not Started

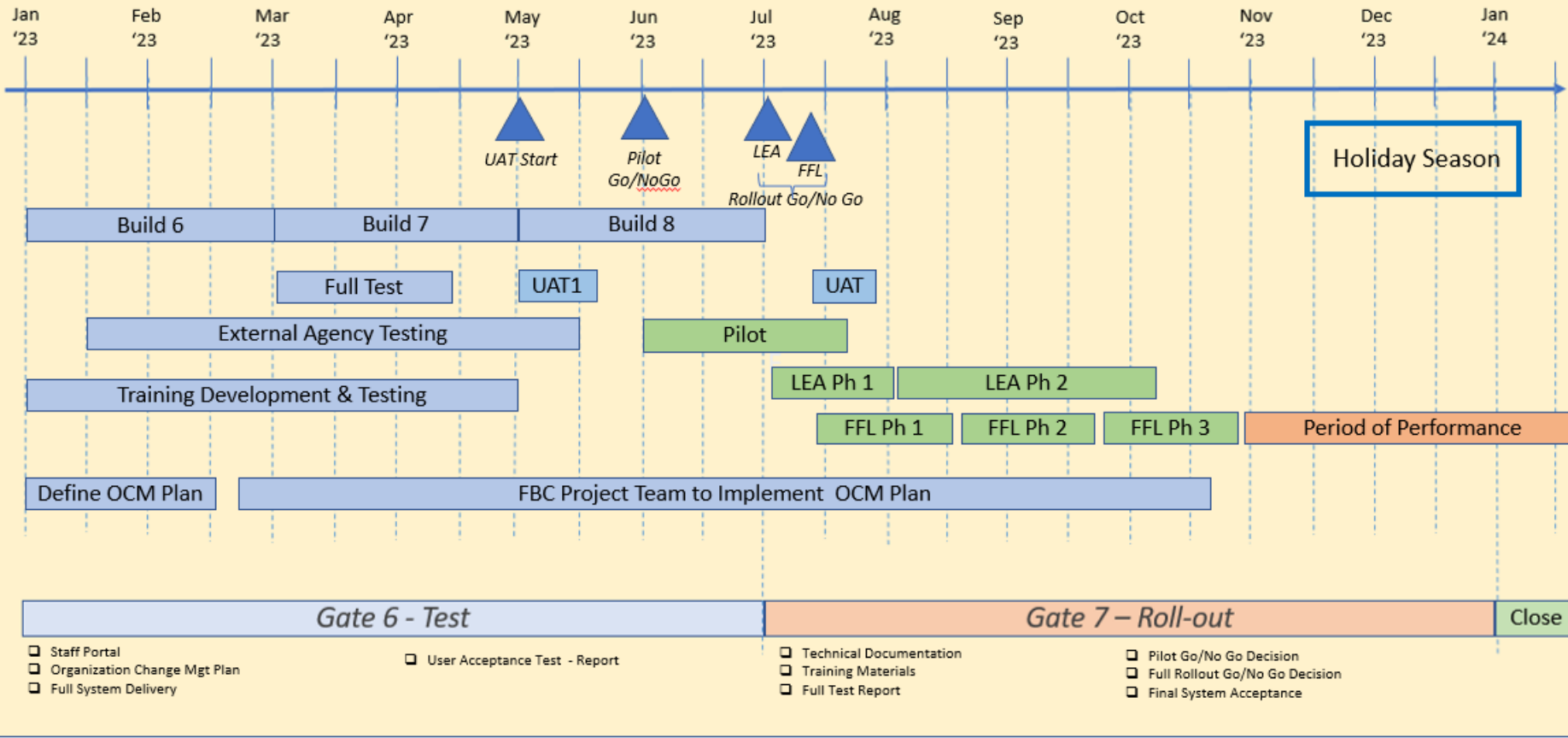
FBC – External Agency Status

- External agency interface testing
 - DOL – tested and confirmed
 - AOC – tested and confirmed
 - HCA – tested and confirmed
 - LInX NW – tested and confirmed
- Preparing for full system testing
 - Requires coordination to test against each agency test bed
 - AOC - provided test records
 - HCA – ready for testing
 - DOL – prepared to conduct testing end of March

FBC – Areas of Focus

- On-line Training – FFL Owner module in progress
- Prohibitor rules mostly defined
- Parsing rapsheets – working with Nlets and discussing configuration changes with WSP ESD
- Reviewing reporting tool and requirements
- SAFE API readiness for outside vendor testing
- Preparing production environment
- Confirmation of requirements
 - Review of FFL Portal by (7) FFLs
 - Cross reference of Use Cases to confirm SAFE functionality

FBC Project Timeline



- Staff Portal
- Organization Change Mgt Plan
- Full System Delivery

User Acceptance Test - Report

- Technical Documentation
- Training Materials
- Full Test Report

- Pilot Go/No Go Decision
- Full Rollout Go/No Go Decision
- Final System Acceptance

Milestones

Completed Gate Deliverable

Live Production Rollout

Schedule Change

Risks

WSP FBC Project Risks

Updated 1/6/2023

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

Risk Classifications –

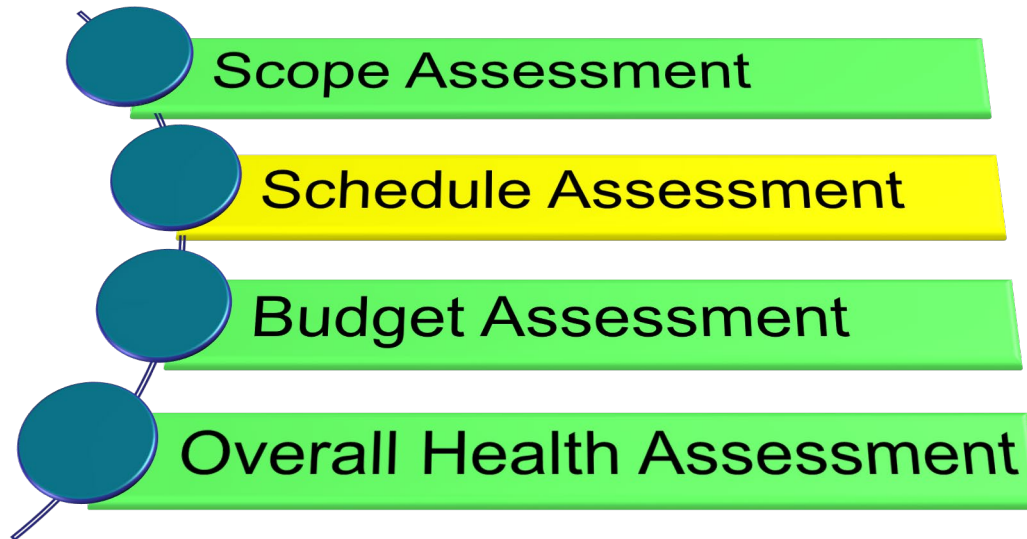
- Technical (T)
- External (E)
- Organizational (O)
- Project Management (PM)

Risk #	Risk Description
PM-15	Increased Probability - Development time is greater than planned
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume
O-26	Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan
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-24	<i>Deleted</i> - FBI is transitioning their information endpoints and the structure of the responses
T-23	<i>Deleted</i> - New AR system is not in place in time for implementation.

High Risk Mitigations

Risk #	Risk Description	Mitigations
PM-15	Increased probability - Development time is greater than planned	<ol style="list-style-type: none"> 1. Shorter sprint cycles to increase feedback and confirmation of work 2. FBC Tech Arch in role of Product Owner for Agile team 3. Focus is to complete difficult components first to ensure we can adjust if issues are encountered 4. Meeting each week between FBC Tech Architect and CCG Tech Lead to discuss sprint tasks in detail to ensure clear understanding
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume	<ol style="list-style-type: none"> 1. Increase project coordination communication with HCA 2. Confirm with HCA that script can be run multiple times per day 3. Confirm with HCA that script and 'no hit' transactions can be run on weekends and holidays
O-26	Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan	Mitigations to be defined
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"> 1. Increase project coordination between each agency 2. JSON Schema developed to confirm the technical details for request and response messages 3. Phased test plan developed for interface confirmation

February 2023 – Overall Project Health is **STABLE**



February 2023 – QA Open Recommendations

Open Recommendations

There are two open recommendations:

Recommendation #1 (QFP 3 – Project Schedule): Increase the pace of development to get the schedule back on track and prioritize functionality to be ready for pilot testing. The pace of development and delivery is behind schedule due in part to the Thanksgiving, Christmas, and New Years holidays. The WSP PM has escalated the lack of vendor progress according to our schedule and will be actively working with the CCG management team to get the required resources to bring the project back on track to the agreed project schedule. **The PM will review the current mitigation strategies and identify the triggering date for activating mitigation plans.**

WSP Actions Taken:

Two additional builds have been added to complete the project. The Project Manager has been working with the vendor to bring the schedule back on track within 30-60 days. The goal is not to change the dates for the pilot rollout and the original go-live date. The SAFE system must be operational for completing background checks during the upcoming holiday season.

Testing will be extended by 2-4 weeks, but the delay will not change the planned Pilot release and go-live roll-out.

Meeting the schedule timeline has improved over the last month. QA will be monitoring March accomplishments to confirm the current project schedule is accurate and the Pilot Go-Live date can be met.

February 2023 – QA Open Recommendations

Open Recommendations (continued)

Recommendation #2 (QFP 6 – Vendor Performance): Develop a detailed CCG staffing plan identifying all technical resources assigned to the project, confirm staff availability and assignments, and identify any new project tasks and timeframes to get the project back on track. **The vendor staffing changes must get approval from the FB Division Commander and the Project Manager in January 2023.**

WSP Actions Taken:

The WSP PM is working with CCG management to resolve the staffing needs for this project.

Catalyst Consulting Group has made progress in providing CCG staff time to complete the Build /Sprint user stories according to the schedule. QA will be monitoring the planned accomplishments in the current project schedule to the planned Pilot Go-Live date.

February 2023 – QA Watch List Items

Watch List (WL) Items

One new watch list item for this report

CLOSED

Under QFP 9. Project Resources, the rating has moved from **Stable** to **Needs Attention**. The issue is that WSP Human Resources (HR) has not approved the position descriptions and salary ranges for the 14 planned hires. Any delay will directly impact the hiring plan and potentially delay the project's go-live date.

WSP Actions Taken:

The Project Sponsor met with HR in early February and resolved the issue with the job descriptions. Twelve (12) open positions are being actively recruited in March for hiring in April 2023. The division's full staffing timeline has been extended from September to November 2023.

QA Next Month's Focus for March 2023

Project Schedule

- Review tasks, activities, and progress according to the schedule
- Review the proposed vendor staffing changes to get the schedule on track
- Identify “slack” in the project schedule, what are the critical dates to keep the project roll-out on track with the schedule
- Identify mitigation “trigger dates” identified in the Risk Matrix.

Review the Project Risk Matrix in mid-March 2023

Review progress in the Testing Phase – Gate 6

Review progress on Interfaces

Review the status of the SAFE Training Plan

Firearms Background Division (FBD)

FB Division - Agenda

- Location
- Staffing
- Stakeholder Communication
- Baseline Survey Results – FFL and LEA
- Budget
 - FBC Project – Gated
 - FBC Project – Contracted Services
 - FBD

Firearm Background Division (FBD) Status

- Location of FBD – Helen Sommers Building (HSB)
 - Working to move-in in the next few weeks – end of March
 - Final cleaning and small fixes to be completed
 - Temporary Occupancy Permit
- Staff Hiring
 - (12) positions posted, resulting in (18) scheduled interview this week
 - AA4 position reposted
 - Job shadow conducted
- Communication
 - Listserv sent 3/1 with a high level Powerpoint of SAFE overview
 - FFL and LEA Baseline Survey Results

FFL Baseline #2

Thursday, February 16, 2023

254

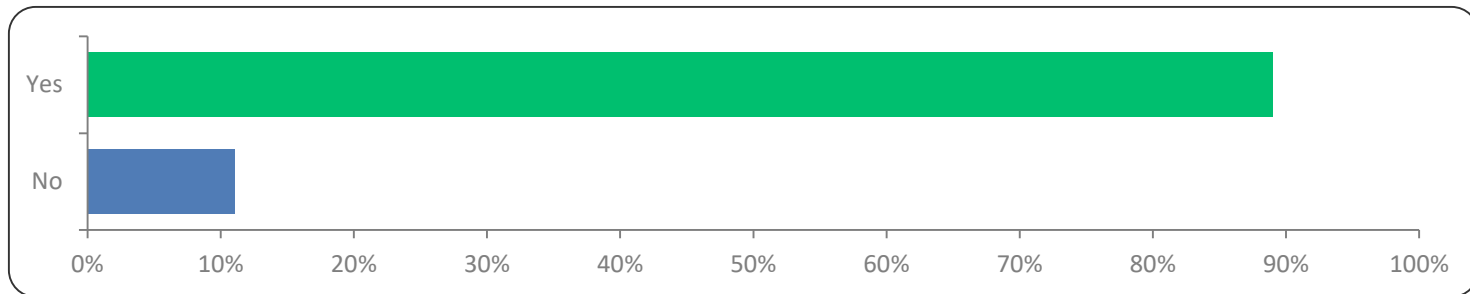
Total Responses

Date Created: Tuesday, February 07, 2023

Complete Responses: 254

Q1: Are you aware of RCW 43.43.580 that states: The Washington state patrol shall establish a firearms background check unit to serve as a centralized single point of contact for dealers to conduct background checks for firearms sales or transfers required under chapter 9.41 RCW and the federal Brady handgun violence prevention act (18 U.S.C. Sec. 921 et seq.). The Washington state patrol shall establish an automated firearms background check system to conduct background checks on applicants for the purchase or transfer of a firearm.

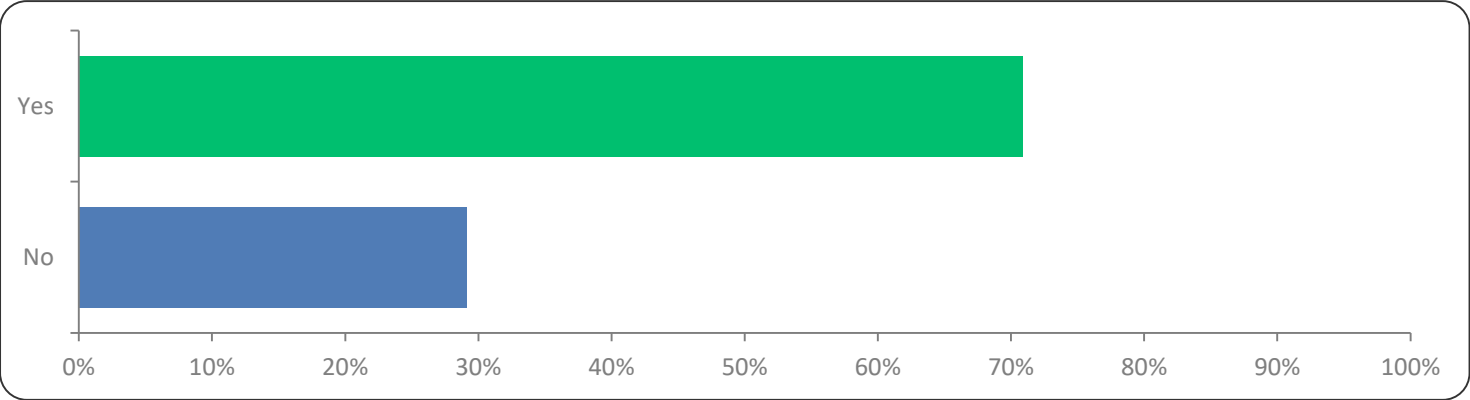
Answered: 254 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	88.98%	226
No	11.02%	28
TOTAL		254

Q2: Did you know that later this year ALL firearm transfer background checks will be submitted to the WSP to process? This includes, long guns, handguns, semi-automatic rifles and other (frames and receivers)

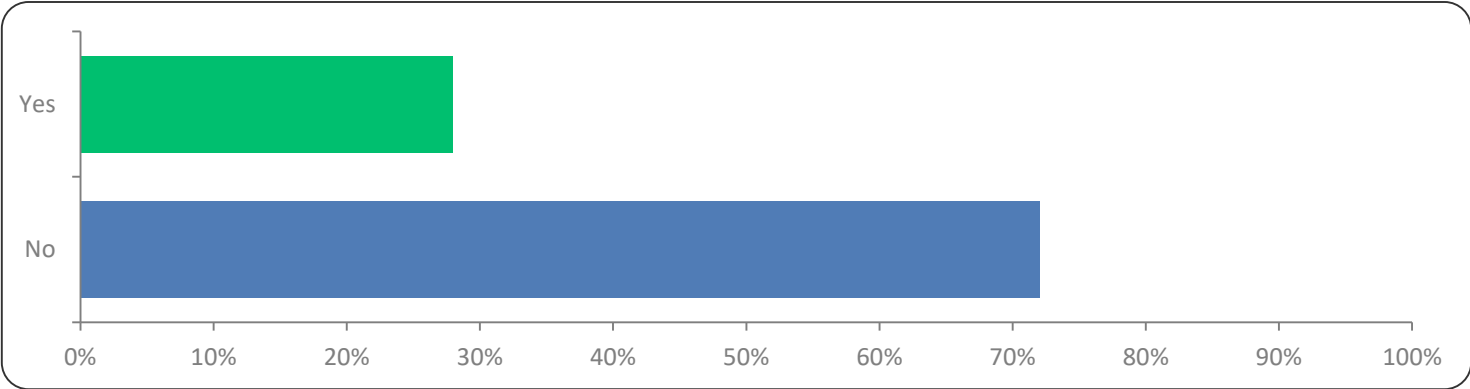
Answered: 254 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	70.87%	180
No	29.13%	74
TOTAL		254

Q3: Did you know that there will be a \$18 fee associated with every firearm background check transaction (per transaction, not per firearm) once WSP announces they are the centralized point of contact for all firearm transfers, excluding pawned.

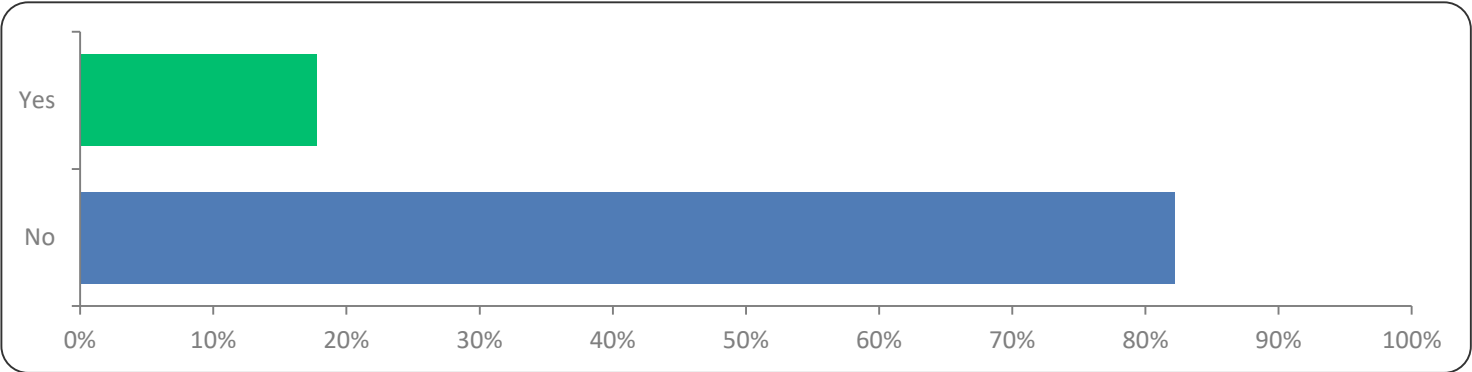
Answered: 254 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	27.95%	71
No	72.05%	183
TOTAL		254

Q4: Do you currently use third party software or a point of sale system to submit your background checks?

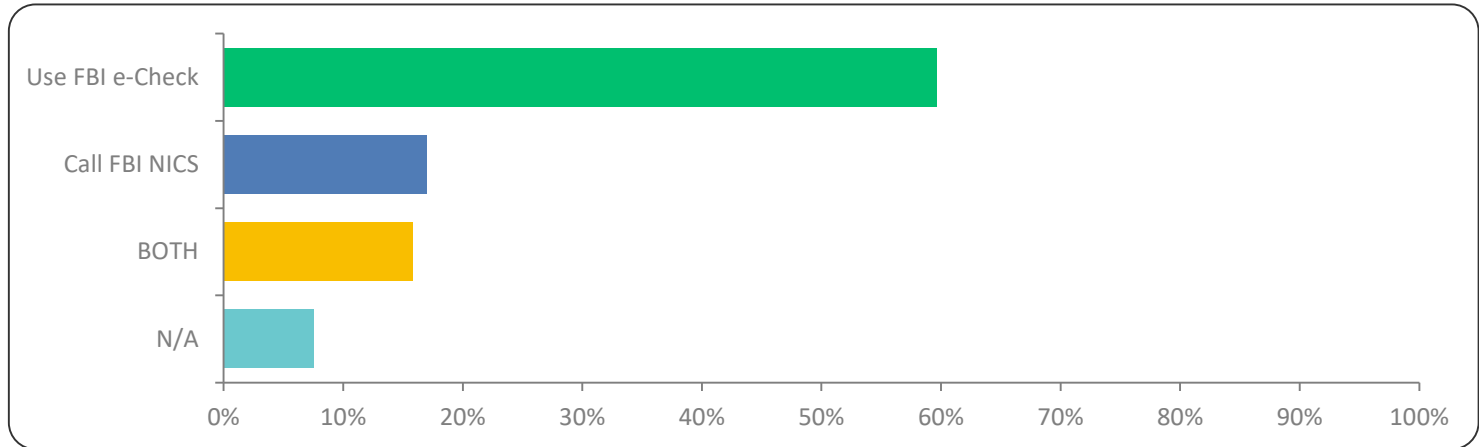
Answered: 253 Skipped: 1



ANSWER CHOICES	RESPONSES	
Yes	17.79%	45
No	82.21%	208
TOTAL		253

Q5: How do you submit background checks for long guns, not including semi-automatic rifles (SAR)?

Answered: 253 Skipped: 1



ANSWER CHOICES	RESPONSES	
Use FBI e-Check	59.68%	151
Call FBI NICS	17.00%	43
BOTH	15.81%	40
N/A	7.51%	19
TOTAL		253

LEA Baseline

Thursday, February 16, 2023

152

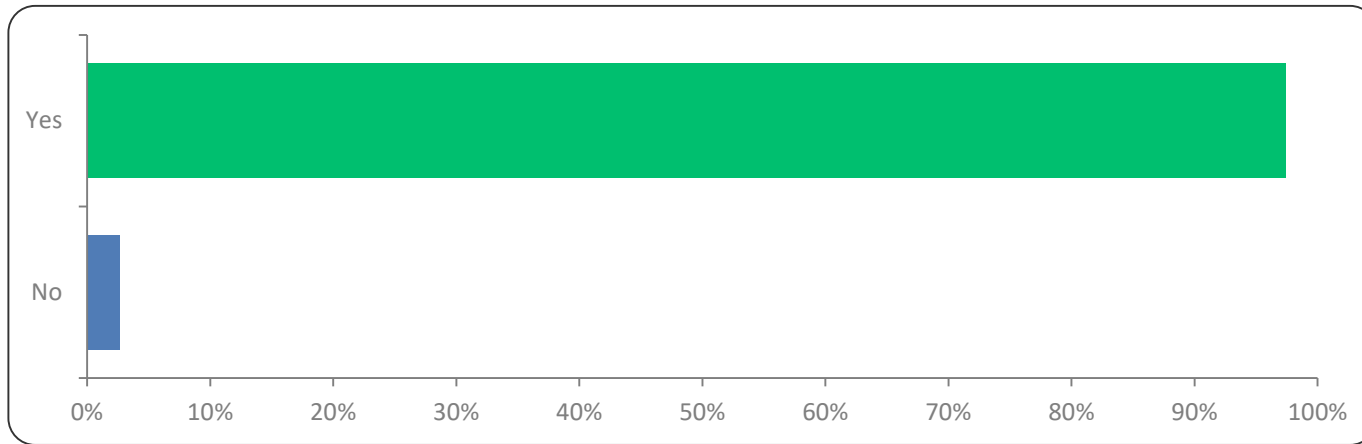
Total Responses

Date Created: Monday,
January 30, 2023

Complete Responses: 152

Q1: Do you currently submit health care authority checks for all of your firearm transfers, alien firearm licenses, and concealed pistol license background checks?

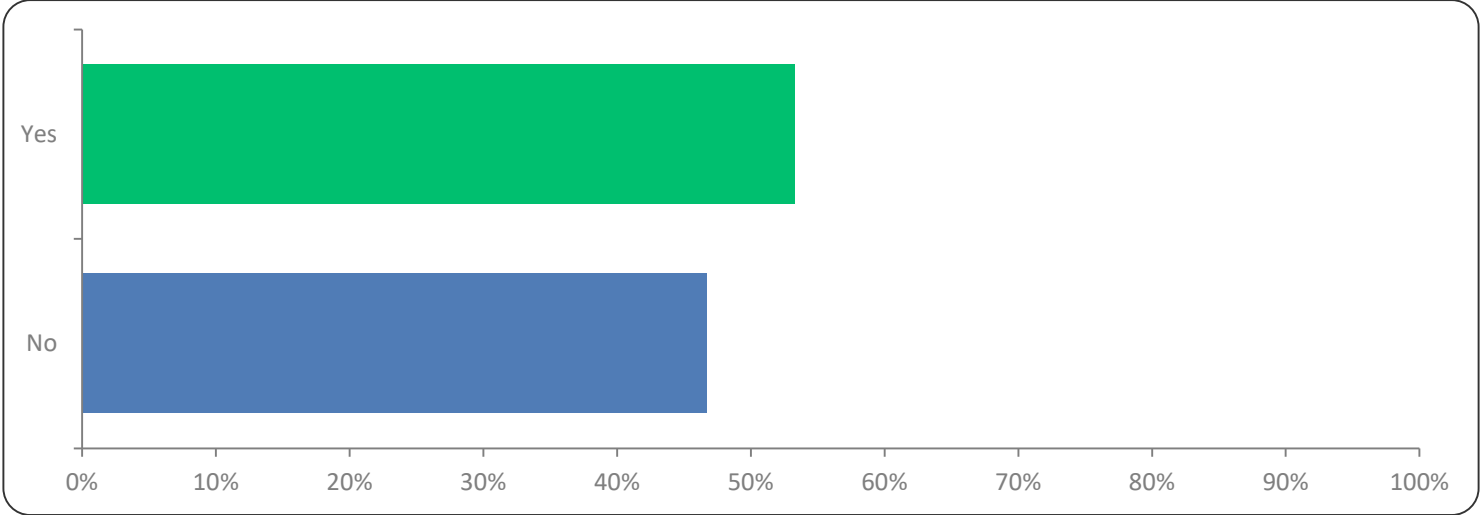
Answered: 152 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	97.37%	148
No	2.63%	4
TOTAL		152

Q2: Are you aware that this year you will begin using the WSP portal - (PIES Personal Identifiable Information Exchange System) to submit these checks?

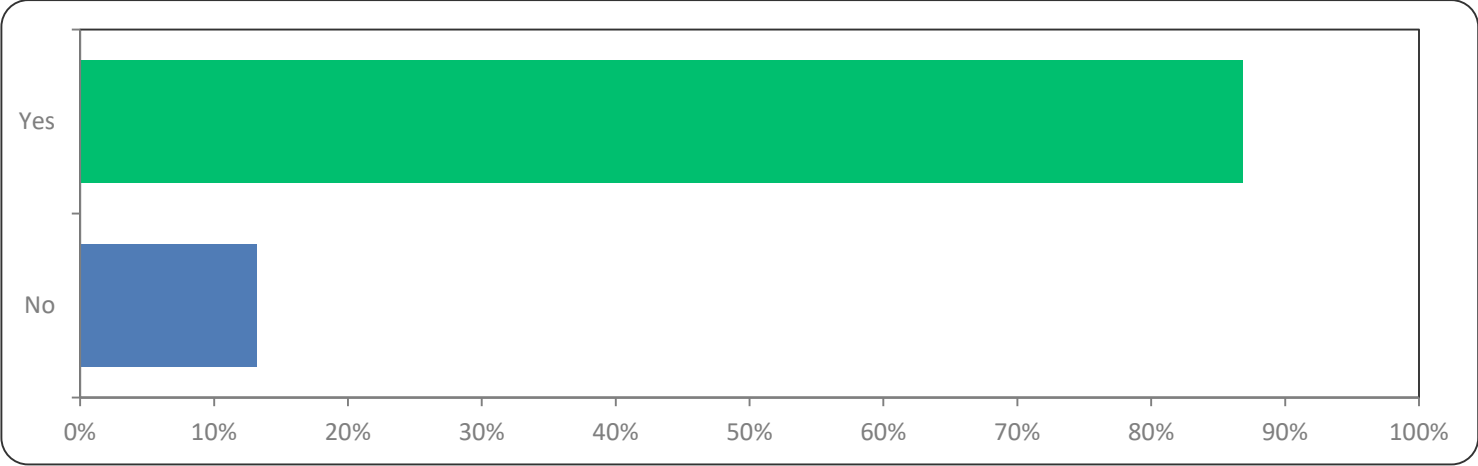
Answered: 152 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	53.29%	81
No	46.71%	71
TOTAL		152

Q3: Did you know that your agency will no longer have anything to do with be conducting firearm transfers once WSP stands up the centralized point of contact?

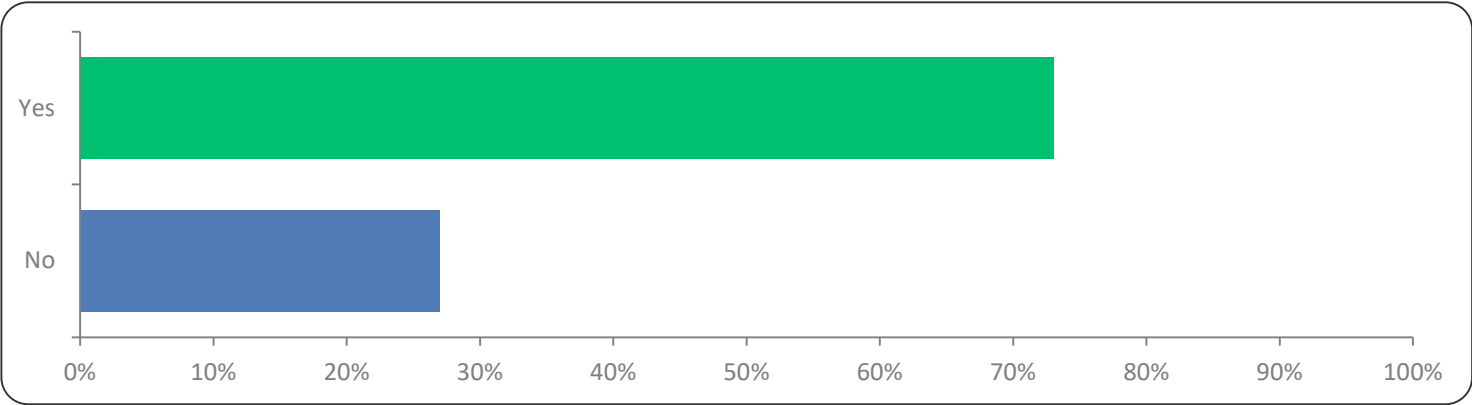
Answered: 152 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	86.84%	132
No	13.16%	20
TOTAL		152

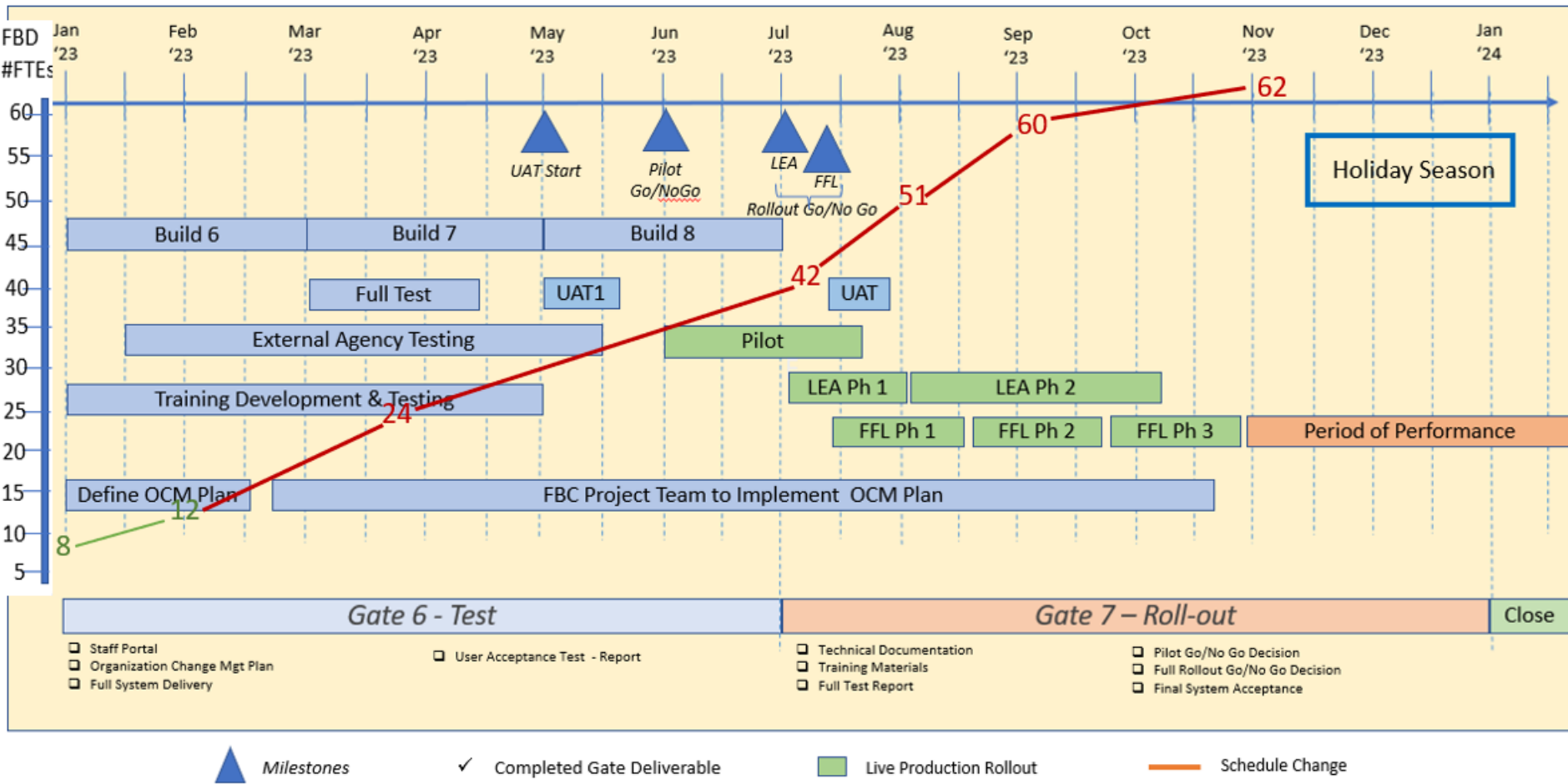
Q4: Do you process State Firearm Dealer license applications?

Answered: 152 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	73.03%	111
No	26.97%	41
TOTAL		152

FBD Hiring Plan



FBC Project Budget – by Gate

Firearm Background Check IT Project Budget
Full project by gate
actual expenditure data as of March 2, 2023

Firearms Background Check IT Project

	Budget	Expenditures to- date	Estimated In-Kind Staff to-date	Variance
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Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	\$ 4,202,033	\$ 1,925,677	\$ 643,800	\$ 1,632,556

Monthly Notes

None

Standard Notes

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

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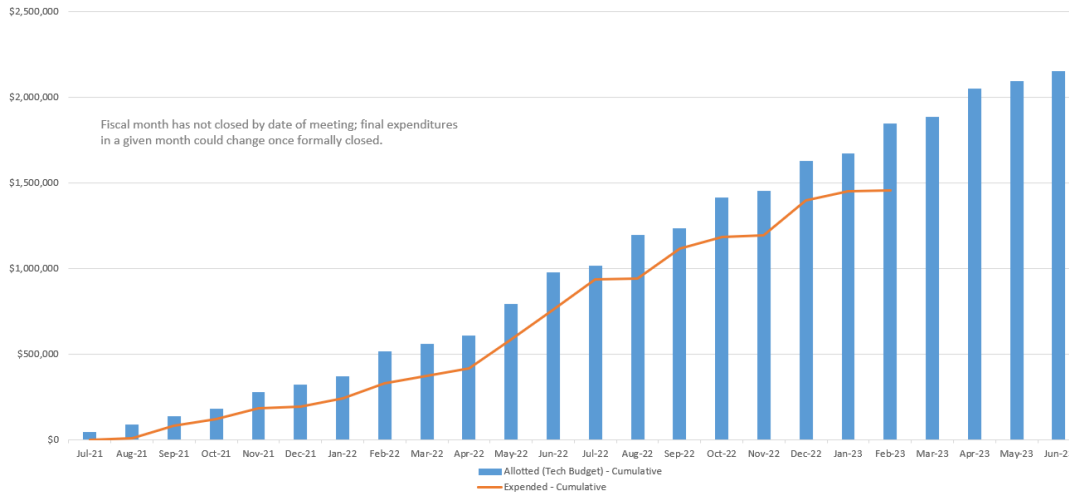
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In-Kind Staff Costs are not tracked in AFRS. Numbers represented are per IT Tech Budget.

FBC Project Budget

FBC Tech Budget vs. Actual 2021-23 Biennium

FBC Gated vs. Actual



Firearm Background Check IT Project Budget 2021-23 Biennium

actual expenditure data as of March 2, 2023

Firearms Background Check IT Project

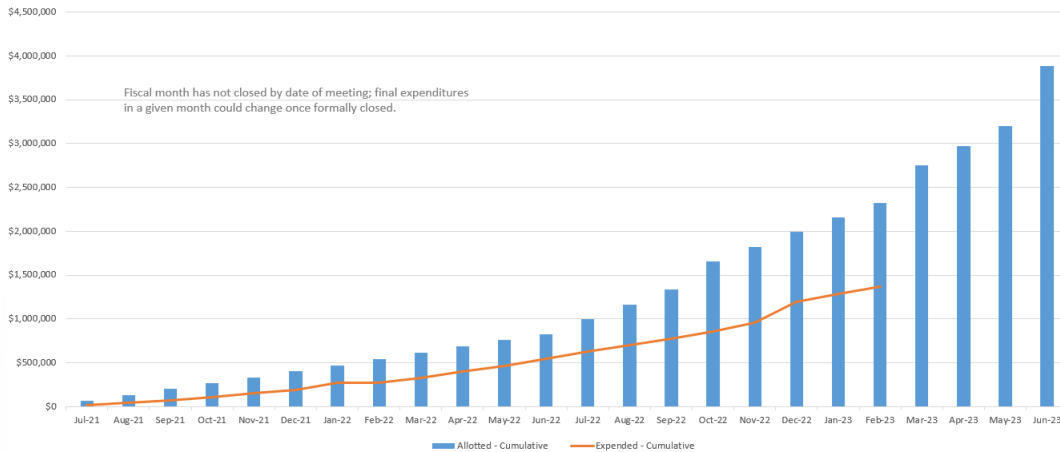
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Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 1,455,725	\$ 696,118
In-kind Agency Funding	\$ -	\$ -	\$ -
	\$ 2,151,843	\$ 1,455,725	\$ 696,118

FBD Budget

FBD Budget vs. Actual
2021-23 Biennium

FBD Allotted vs. Actual



Firearm Background Division Budget
2021-23 Biennium
actual expenditure data as of March 2, 2023

Firearms Background Division

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,935,173	\$ 1,101,547	\$ 833,626
Contracts/Goods/Services	\$ 862,978	\$ 65,863	\$ 797,115
Travel	\$ 55,550	\$ 1,766	\$ 53,784
Equipment	\$ 791,956	\$ 201,808	\$ 590,148
	\$ 3,645,657	\$ 1,370,984	\$ 2,274,673

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* Actual available balance is \$2,230,189 (FY22 funds no longer available)

Notes

State Firearms Background Check System Account balance was \$5,151,450 as of 03/02/23.

Questions/Discussion



Firearms Background Check Program Advisory Board Meeting







April 12, 2023

FBC Project - Agenda

- Overall Status
- Areas of Focus
- Project Timeline with Gate Deliverables
- Risks
- QA Report

FBC Project Status

Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

Deliverables – Gate 6: January 1, 2023 – June 30, 2023

Deliverable	Status
WSP Staff Portal Delivery	In Progress
Organization Change Management Plan	Completed
Full SAFE Delivery	In Progress
User Acceptance Test Plan	Not Started

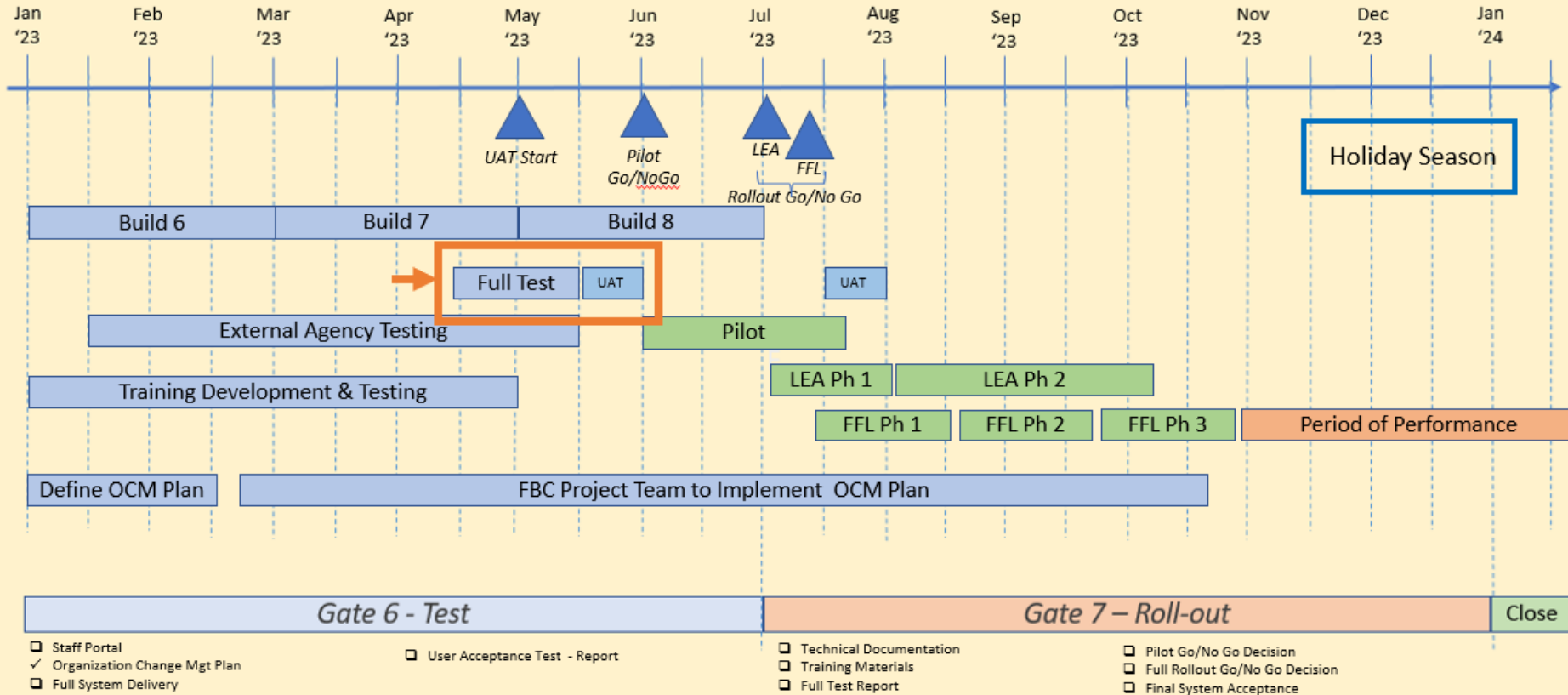
FBC – External Agency Status

- Initial External agency Interface testing - *completed*
- Preparing for full system testing
 - Requires coordination to test against each agency test bed
 - AOC - provided test records and test scenarios
 - HCA – provided test records and test scenarios
 - DOL – preparing to conduct testing in April

FBC – Areas of Focus

- Requirements tracking and confirmation
- End-to-End Testing
 - Mock endpoints
 - External Agencies
 - Scenario testing
 - User Acceptance
- Parsing rapsheets using Nlets – requires WSP Architect involvement and proxy setup
- SAFE API readiness for outside vendor testing
- On-line Training Modules
- SAW integration – to be tested in SAFE PROD environment
- Preparation of SAFE PROD environment, including external agencies

FBC Project Timeline



Updated 4/10/2023



Milestones



Completed Gate Deliverable



Live Production Rollout



Schedule Change

Use Case Status for Pilot

Use Case Status	Full System	Pre-Pilot	%	Post-Pilot	%
Total Use Cases	37	26	70%	5	14%
Done	11	11		0	
Cancelled	6	-		-	16%
CCG Done-Ready for WSP Testing	9	8		1	
Incomplete Use Cases (detail below):	11	7	64%	4	36%
<i>In Progress</i>	<i>4</i>	<i>4</i>		<i>0</i>	
<i>Development Ready</i>	<i>1</i>	<i>0</i>		<i>1</i>	
<i>In Code Review</i>	<i>1</i>	<i>0</i>		<i>1</i>	
<i>To be done</i>	<i>5</i>	<i>3</i>		<i>2</i>	

Due	Key Remaining Use Case Descriptions
Pre-Pilot	Federated Query / workflow engine
Pre-Pilot	Onboarding FFLs
Pre-Pilot	Denied transactions – notifications and reversals
Pre-Pilot	Review Background Check
Pre-Pilot	Reporting & Analysis
Pre-Pilot	Notify of Delay

Risks

WSP FBC Project Risks

Updated 3/15/2023

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High	E-6 O-10, O-12 T-27	E-22 O-26 T-17	PM-31, PM-15
	Medium	E-4 S-19 T-20	S-21 T-23, T-28	T-21, T-29
	Low	E-2, E-3, E-21	PM-30	

Risk Classifications –

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

Risk #	Risk Description
PM-31	New – CCG technical resources are released from project before development is complete and system is 'live'
PM-15	Development time is greater than planned
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume
O-26	Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan
T-17	Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project
E-6	Linux-NW will not become the primary means for FB division to access local law enforcement records
O-12	FB Division staff are not trained adequately to handle the workload
T-27	New – Unable to use Nlets service to parse rapsheets
T-28	New – Leidos work is not complete for the PIIES portal
T-29	New – Unable to resolve mismatch between ATF download and DOL Dealer list
PM-30	New – Identification of enhancements required for go-live increases schedule and/or increases budget
O-10	Deleted - FBD facility and procedures not ready
T-20	Deleted - ACCESS sends unstructured text
T-23	Deleted - New AR system is not in place in time for implementation.

High Risk Mitigations

Risk #	Risk Description	Mitigations
PM-15	Development time is greater than planned	<ol style="list-style-type: none"> 1. Shorter sprint cycles to increase feedback and confirmation of work 2. FBC Tech Arch in role of Product Owner for Agile team 3. Focus is to complete difficult components first to ensure we can adjust if issues are encountered 4. Meeting each week between FBC Tech Architect and CCG Tech Lead to discuss sprint tasks in detail to ensure clear understanding
PM-31	<i>Added</i> - CCG technical resources are released from project before development is complete and system is 'live'	<ol style="list-style-type: none"> 1. Validation of use case status and needed use cases for pilot 2. Coordination with CCG management to confirm resource assignment 3. Contract Amendment #3
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume	<ol style="list-style-type: none"> 1. Increase project coordination communication with HCA 2. Confirm with HCA that script can be run multiple times per day 3. Confirm with HCA that script and 'no hit' transactions can be run on weekends and holidays
O-26	Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan	<ol style="list-style-type: none"> 1. Reposting of positions numerous times per type to increase candidates and keeping the posting more current 2. Prioritize FBD candidates in the background processing
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"> 1. Increase project coordination between each agency 2. JSON Schema developed to confirm the technical details for request and response messages 3. Phased test plan developed for interface confirmation

Updated 3/15/2023

QA Report #23 March 2023

FBC Project Steering Committee Meeting
April 12, 2023

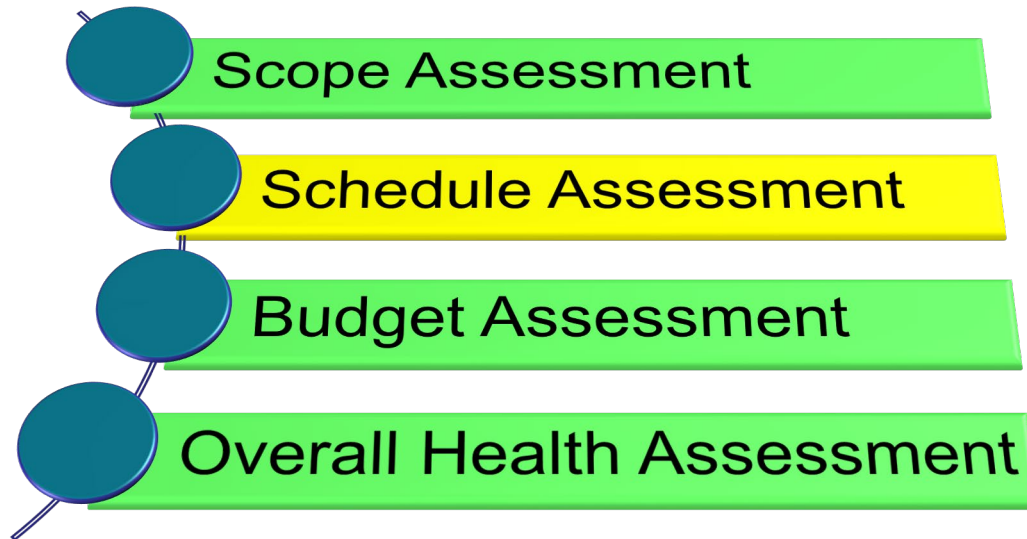
QA Report #23 – March 2023

Independent Quality Assurance Report
CASE Associates Inc.

Dan Kruger



March 2023 – Overall Project Health is **STABLE**



March 2023 – QA New Recommendations

New Recommendations

There are no new recommendations for March 2023

Open Recommendations

There are two (2) open recommendations

Watch List (WL) Items

There are no watch list items for March 2023.

March 2023 – QA Open Recommendations

Open Recommendation 1

There are two open recommendations:

Recommendation #1 (QFP 3 – Project Schedule): Increase the pace of development to get the schedule back on track and prioritize functionality to be ready for pilot testing. The pace of development and delivery is behind schedule due in part to the Thanksgiving, Christmas, and New Years holidays. The WSP PM has escalated the lack of vendor progress according to our schedule and will be actively working with the CCG management team to get the required resources to bring the project back on track to the agreed project schedule. **The PM will review the current mitigation strategies and identify the triggering date for activating mitigation plans.**

WSP Actions Taken:

Two additional builds have been added to complete the project. The Project Manager has been working with the vendor to bring the schedule back on track within 30-60 days. The goal is not to change the dates for the pilot rollout and the original go-live date. The SAFE system must be operational for completing background checks during the upcoming holiday season.

Testing will be extended by 2-4 weeks, but the delay will not change the planned Pilot release and go-live roll-out.

Meeting the schedule timeline has improved over the last month. QA will be monitoring April 2023 accomplishments to confirm the current project schedule is accurate and the Pilot Go-Live date can be met.

March 2023 – QA Open Recommendations

Open Recommendations (continued)

Recommendation #2 (QFP 6 – Vendor Performance): Develop a detailed CCG staffing plan identifying all technical resources assigned to the project, confirm staff availability and assignments, and identify any new project tasks and timeframes to get the project back on track. **The vendor staffing changes must get approval from the FB Division Commander and the Project Manager in January 2023.**

WSP Actions Taken:

The WSP PM is working with CCG management to confirm the current project team members will remain on the project.

Firearms Background Division (FBD)

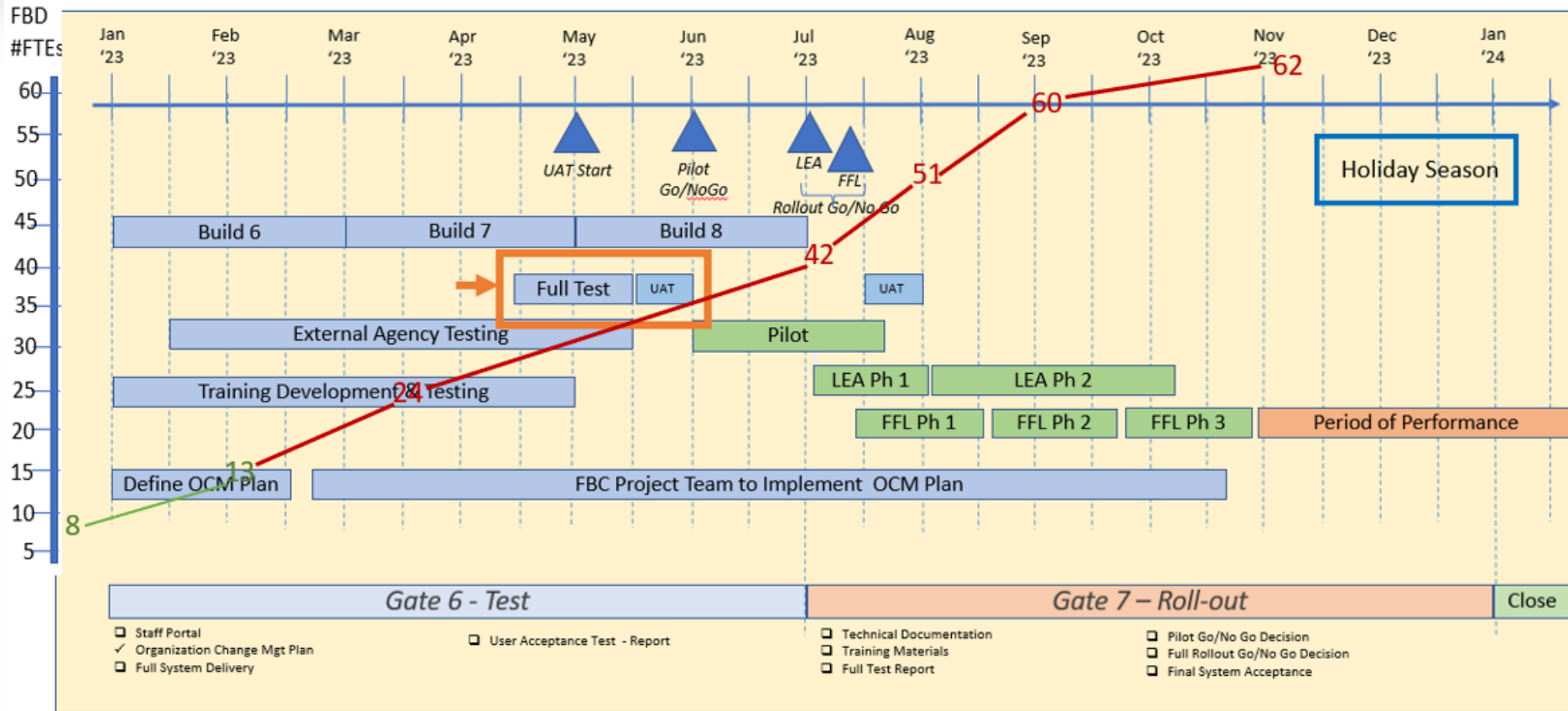
FB Division - Agenda

- 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)
 - Passed inspection !!
 - Final cleaning to be completed
 - Moving in within the next few weeks
- Staff Hiring
 - (3) rounds of PS2 interviews resulted in (18) candidates submitted for background checks
 - New AA4 resource started 4/3
 - Ready to post PS3 and PS4 positions in coming weeks
- Communication
 - Listserv sent 4/3 with Survey Link as part of FBC OCM Plan

FBD Hiring Plan



Updated 4/10/2023



Milestones



Completed Gate Deliverable



Live Production Rollout



Schedule Change

FBC Project Budget – by Gate

Firearm Background Check IT Project Budget
Full project by gate
actual expenditure data as of March 30, 2023

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	\$ 646,836	\$ 159,372	\$ 6,192
Gate 6 - Test	\$ 680,831	\$ 90,310	\$ 79,686	\$ 510,835
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	\$ 4,202,033	\$ 1,966,957	\$ 670,362	\$ 1,564,714

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

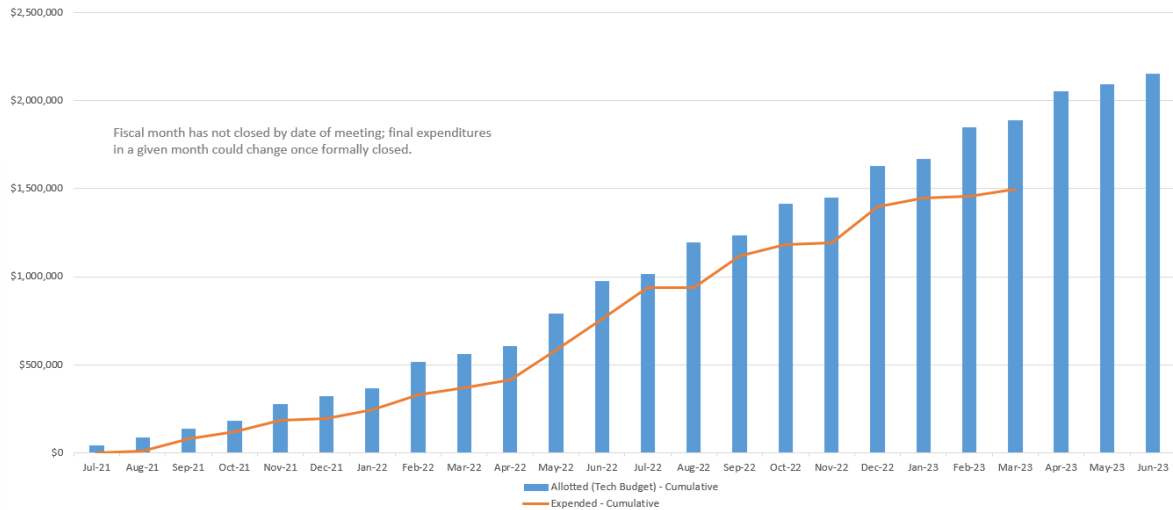
for In-Kind Expenditures, expenditures are shown in the gate open during month the expenditure hit

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

FBC Project Budget

FBC Tech Budget vs. Actual 2021-23 Biennium

FBC Gated vs. Actual



Firearm Background Check IT Project Budget 2021-23 Biennium

actual expenditure data as of March 30, 2023

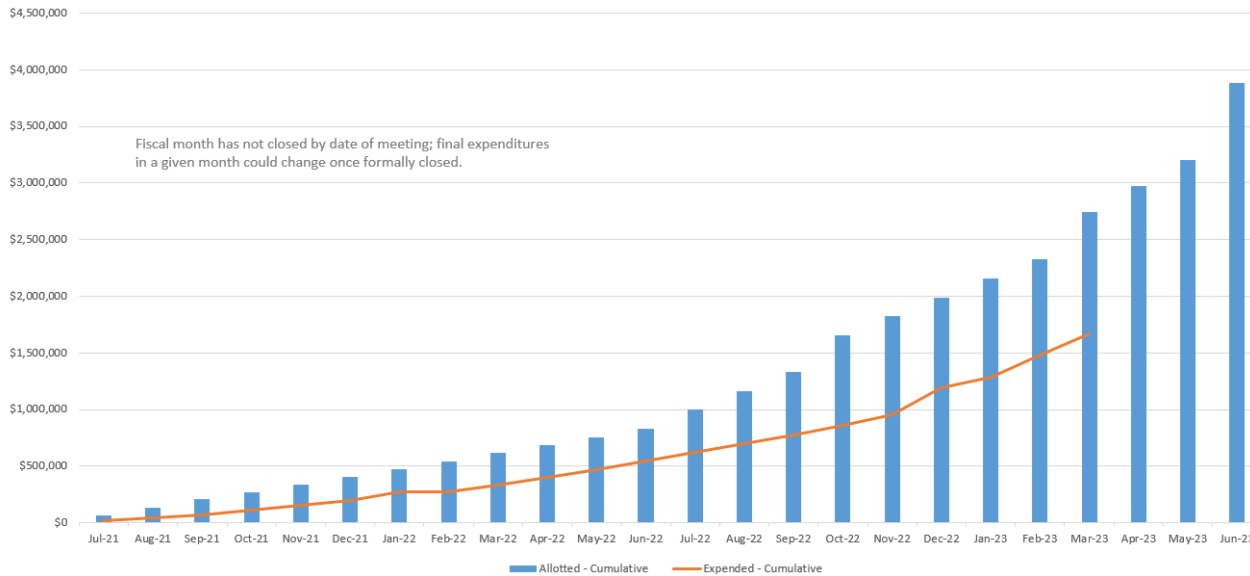
Firearms Background Check IT Project

Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 1,133,903	\$ 708,665	\$ 425,238
Project Manager & Technical Architect	\$ 859,200	\$ 667,590	\$ 191,610
Quality Assurance	\$ 144,000	\$ 120,750	\$ 23,250
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	\$ 2,151,843	\$ 1,497,005	\$ 654,838

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 1,497,004	\$ 654,839
In-kind Agency Funding	\$ -	\$ -	\$ -
	\$ 2,151,843	\$ 1,497,004	\$ 654,839

FBD Budget

FBD Budget vs. Actual
2021-23 Biennium
FBD Allotted vs. Actual



Firearm Background Division Budget
2021-23 Biennium
actual expenditure data as of March 30, 2023

Firearms Background Division

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,935,173	\$ 1,101,547	\$ 833,626
Contracts/Goods/Services	\$ 862,978	\$ 65,863	\$ 797,115
Travel	\$ 55,550	\$ 1,766	\$ 53,784
Equipment	\$ 791,956	\$ 201,808	\$ 590,148
	<u>\$ 3,645,657</u>	<u>\$ 1,370,984</u>	<u>\$ 2,274,673</u>

Funding	Budget	Actual	Variance*
State Firearms Background Check Funding	\$ 3,326,952	\$ 1,486,150	\$ 1,840,802
General Fund FY22	\$ 135,325	\$ 90,841	\$ 44,484
General Fund FY23	\$ 183,380	\$ 91,762	\$ 91,618
	<u>\$ 3,645,657</u>	<u>\$ 1,668,753</u>	<u>\$ 1,976,904</u>

* Actual available balance (reduced by FY22 fund balance) \$ 1,932,420

Notes

State Firearms Background Check System Account balance was \$4,754,423 as of 03/30/23.

Questions/Discussion



Firearms Background Check Program Advisory Board Meeting










June 14, 2023

FBC Project - Agenda

- Overall Status
- Areas of Focus
- Project Timeline with Gate Deliverables
- Risks
- QA Report

FBC Project Status

Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

Deliverables – Gate 6: January 1, 2023 – June 30, 2023

Deliverable	Status
WSP Staff Portal Delivery	In Progress
Organization Change Management Plan	Completed
Full SAFE Delivery	In Progress
User Acceptance Test Plan	Completed

FBC – Areas of Focus

- Completion of backlog items
 - 21 tasks needed for Pilot
 - 30 additional tasks needed after Pilot for full system acceptance
- End-to-End Testing
 - Use of mock endpoints allows FBC SME to test all types of scenarios
 - Easy switch to agency testbed interfaces
 - Need to retest 'delayed' transaction issue found and PIIES in E2E
- PIIES interface for LEAs
- SAW setup
- SAFE API readiness and testing by outside vendor
- Production environment setup – WSP and external agencies
- Reporting – working to identify best tool for SAFE analytics

Status of Use Cases Needed for Pilot

Use Case Status	Full System	Pre-Pilot	%	Post-Pilot
Total Use Cases	36	25		5
Done	13	12	48%	1
Cancelled	6	-		-
CCG Done-Ready for WSP Testing	11	9	36%	2
Incomplete Use Cases (detail below):	6	4	16%	2
<i>In Progress</i>	<i>2</i>	<i>1</i>		<i>1</i>
<i>Development Ready</i>	<i>1</i>	<i>0</i>		<i>1</i>
<i>In Code Review</i>	<i>0</i>	<i>0</i>		<i>0</i>
<i>To be done</i>	<i>3</i>	<i>3</i>		<i>0</i>

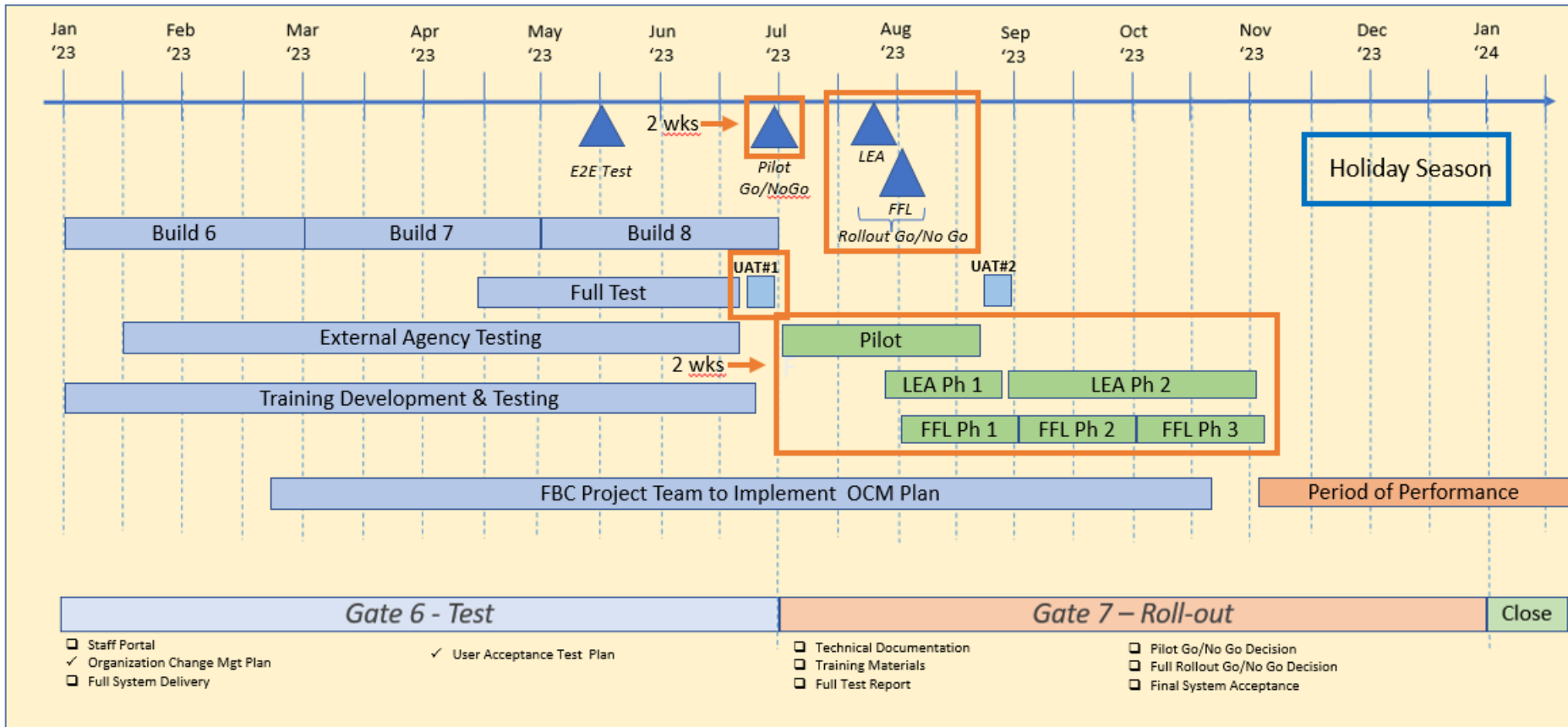
Due	Key Remaining Use Case Descriptions
Pre-Pilot	SAW Integration
Pre-Pilot	Denied transactions – notifications and reversals
Pre-Pilot	RAPsheet parsing – WA and other key states
Pre-Pilot	PIIES Integration
Pre-Pilot	Open API

FBC – Testing Schedule

Type	Description	Resources	Duration / Date	Status
SIT	System Integration Test (SIT) Pilot version of system testing with mock endpoints. Ability to test all scenarios.	FBC Testers SAFE IT	4 weeks 4/24-5/12 5/16 – 6/16	In Progress
E2E	End To End (E2E) Coordinated test of full workflow with active external agency interfaces.	FBC Testers SAFE IT CCG Architect Ext. Agencies (AOC,HCA)	Prep – 1d Test – 1d 5/11 –5/15 6/15-6/16	Retest required
UAT#1	User Acceptance Test (UAT) #1 – Pilot Test Functionality that will be used for the pilot done by actual users, including external stakeholders. Step #1 will be to test with the mock endpoints, step #2 will be with external agency interfaces to testbeds.	FBC Testers SAFE IT CCG Architect Ext. Users (FFL Owner, FFL User, LEA)	Prep – 2d Test – 3d 6/21-6/28	Planned
UAT#2	User Acceptance Test (UAT) #2 – Full System Full system test, including all functionality not ready or needed for pilot. Format will be the same as used for UAT#1. <i>** Timing is planned to not conflict with rollout</i>	FBC Testers SAFE IT CCG Architect Ext. Users (FFL Owner, FFL User, LEA)	Prep – 1d Test – 2d **Wk of 8/21	Planned

FBC Project Timeline

Firearms Background Check (FBC) Project Timeline



Updated 6/12/2023

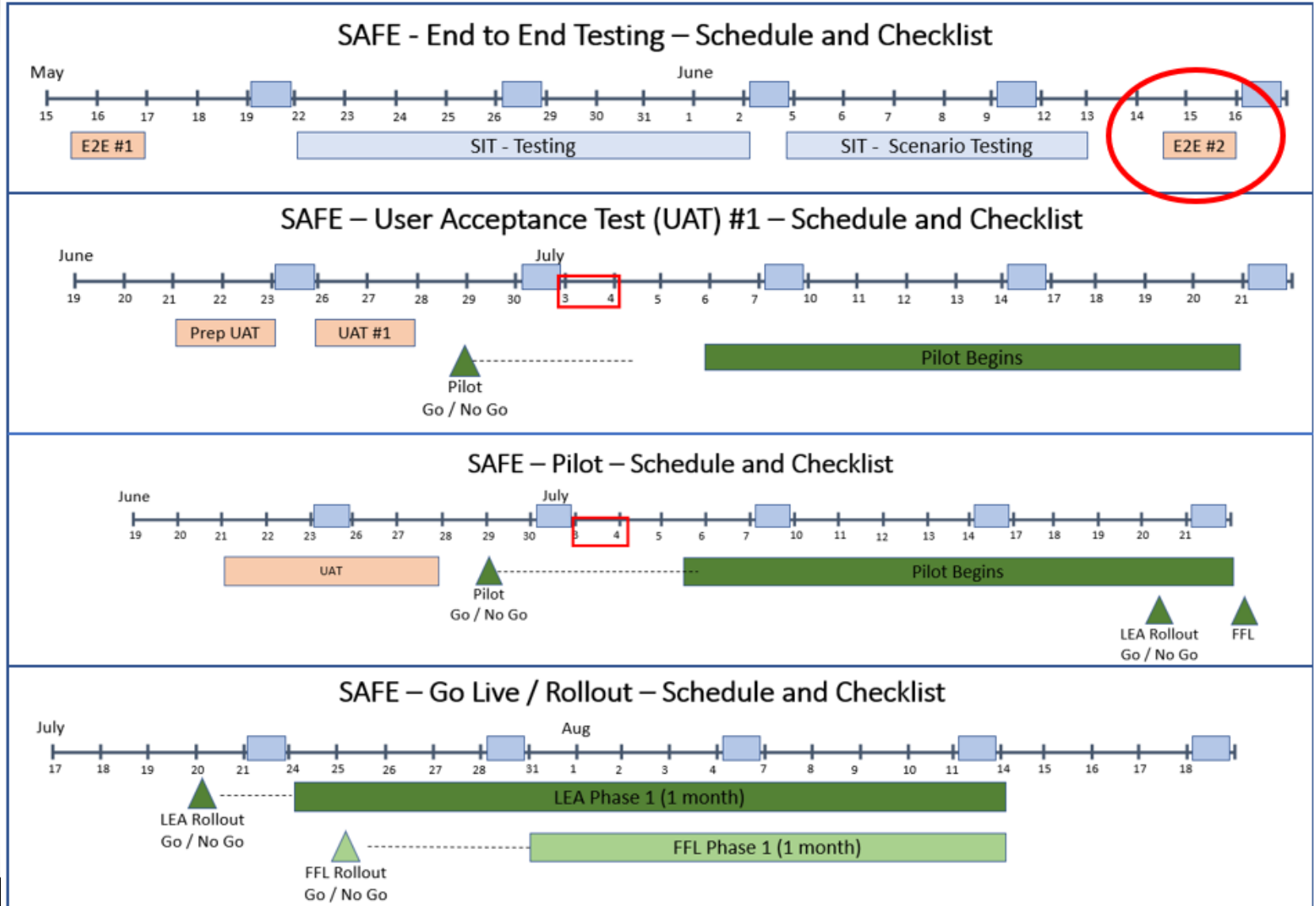
Milestones

Completed Gate Deliverable

Live Production Rollout

Schedule Change

Key Milestone Timelines



Risks

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High	E-6 O-12 T-17, T-27, T-28	E-22 O-26 PM-30	PM-31, PM-15
	Medium	E-4		T-21, T-29
	Low	E-2, E-3, E-21		

Updated 5/24/2023

Risk Classifications –

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

Risk #	Risk Description
PM-31	CCG technical resources are released from project before development is complete and system is 'live'
PM-15	Development time is greater than planned
PM-30	<i>Incr Prob</i> – Identification of enhancements required for go-live increases schedule and/or increases budget
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume
O-26	Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan
E-6	LinX-NW will not become the primary means for FB division to access local law enforcement records
O-12	FB Division staff are not trained adequately to handle the workload
T-17	<i>Decr Prob</i> - Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project
T-27	Unable to use Nlets service to parse RAPsheets
T-28	<i>Decr Prob, Incr Impact</i> – Leidos work is not complete for the PIIES portal
T-21	<i>Deleted</i> - Datamaxx ACCESS update is delayed (no longer relevant)

High Risk Mitigations

Risk #	Risk Description	Mitigations
PM-15	Development time is greater than planned	<ol style="list-style-type: none"> 1. Shorter sprint cycles to increase feedback and confirmation of work 2. FBC Tech Arch in role of Product Owner for Agile team 3. Focus is to complete difficult components first to ensure we can adjust if issues are encountered 4. Meeting each week between FBC Tech Architect and CCG Tech Lead to discuss sprint tasks in detail to ensure clear understanding
PM-31	CCG technical resources are released from project before development is complete and system is 'live'	<ol style="list-style-type: none"> 1. Validation of use case status and needed use cases for pilot 2. Coordination with CCG management to confirm resource assignment 3. Contract Amendment #3
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume	<ol style="list-style-type: none"> 1. Increase project coordination communication with HCA 2. Confirm with HCA that script can be run multiple times per day 3. Confirm with HCA that script and 'no hit' transactions can be run on weekends and holidays
O-26	Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan	<ol style="list-style-type: none"> 1. Reposting of positions numerous times per type to increase candidates and keeping the posting more current 2. Prioritize FBD candidates in the background processing
PM-30	Identification of enhancements that are required for go-live could affect budget and/or schedule.	<ol style="list-style-type: none"> 1. Increase project coordination between CCG and FBC <u>Proj Mgrs</u> 2. Regular meetings between FBC Business Sponsor and CCG <u>Acct Mgr</u> 3. Detailed descriptions and review of contract / requirements

Updated 5/24/2023

QA Report #25 May 2023

FBC Project Steering Committee Meeting
June 13, 2023

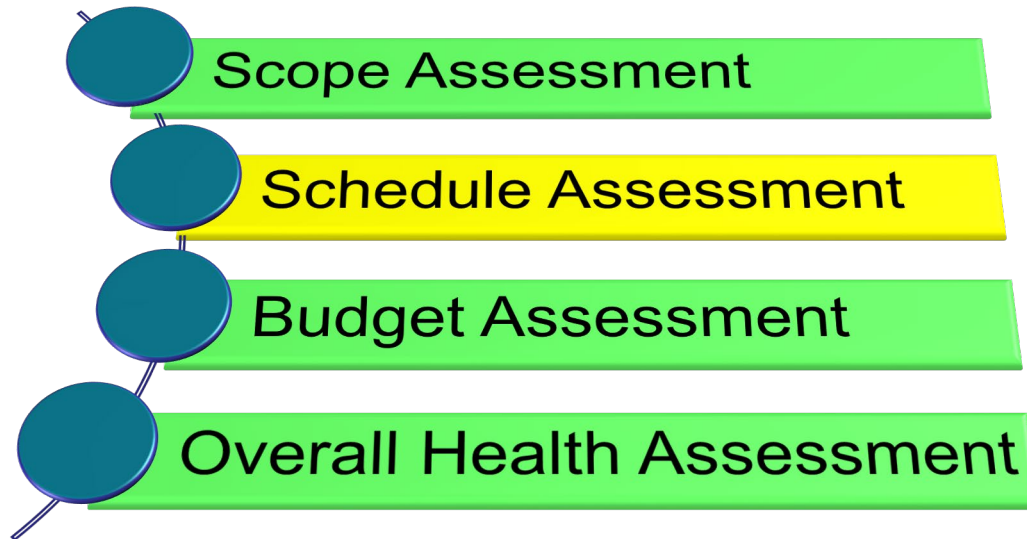
QA Report #25 – May 2023

Independent Quality Assurance Report
CASE Associates Inc.

Dan Kruger



May 2023 – Overall Project Health is **STABLE**



May 2023 – Quality Focal Points Rated (25 of 27)

Quality Focal Point (QFP) Assessment	Impact	March 2023 Monthly Status	April 2023 Monthly Status	May 2023 Monthly Status	Next Month's Trending Indicator
1. Project Phase Readiness/Completion	High	STABLE	STABLE	STABLE	↔
2. Requirements Management	High	STABLE	STABLE	STABLE	↔
3. Project Schedule	High	NEEDS ATTENTION	NEEDS ATTENTION	NEEDS ATTENTION	↓
4. Communications	High	STABLE	STABLE	STABLE	↔
5. Risk and Issue Management	High	STABLE	STABLE	STABLE	↔
6. FBC Vendor Performance	High	NEEDS ATTENTION	NEEDS ATTENTION	NEEDS ATTENTION	↓
7-T. Technical Transition (T)	High	STABLE	STABLE	STABLE	↔
7-B. Business Process Re-engineering (B)	High	STABLE	STABLE	STABLE	↔
8. Project Organization and Leadership	High	STABLE	STABLE	STABLE	↔
9. Project Resources	High	STABLE	STABLE	STABLE	↔
10. Project/Quality Management and Reporting	Medium	STABLE	STABLE	STABLE	↔
11. Budget Planning and Tracking	Medium	STABLE	STABLE	STABLE	↔
12. Scope and Change Control	Medium	STABLE	STABLE	STABLE	↔
13. Roles, Responsibilities, and Communications	High	STABLE	STABLE	STABLE	↔
14. IT Architecture	High	STABLE	STABLE	STABLE	↔
15. IT Acquisition Management	High	STABLE	STABLE	STABLE	↔
16. Project Library and Configuration Management	Medium	STABLE	STABLE	STABLE	↔

Quality Focal Point (QFP) Assessment	Impact	March 2023 Monthly Status	April 2023 Monthly Status	May 2023 Monthly Status	Next Month's Trending Indicator
17. System Definition Process	High	STABLE	STABLE	STABLE	↔
18. System Design Process	High	STABLE	STABLE	STABLE	↔
19. Data Conversion/Migration	High	STABLE	STABLE	STABLE	↔
20. Configuration/Construction	High	STABLE	STABLE	STABLE	↔
21. Testing (Functional, Capacity, Performance)	High	STABLE	STABLE	STABLE	↔
22. User Acceptance, Business Process Transition	High	Not Rated	STABLE	STABLE	↔
23. Training	High	Not Rated	STABLE	STABLE	↔
24. Inter/Intra-Agency Coordination and Implementation	High	STABLE	STABLE	STABLE	↔
25. Implementation Process	High	Not Rated	Not Rated	Not Rated	↔
26. Deployment Process	High	Not Rated	Not Rated	Not Rated	↔
27. Interface Design and Implementation	Medium	STABLE	STABLE	STABLE	↔

Next month's indicators signify expected changes in the QFP ratings.	Rating
This Quality Focal Point (or group of QFPs) is expected to have the same rating in next month's Periodic QA Evaluation.	↔
Risk is increasing on the Quality Focal Point. It may be changed to Alert in next month's evaluation	↑
Risk is decreasing on the Quality Focal Point. It may be changed to Attention or Stable in next month's evaluation.	↓
Risk is increasing on the Quality Focal Point. It may be changed to Attention in next month's evaluation.	↑
Risk is decreasing on the Quality Focal Point. It may be changed to Stable in next month's evaluation.	↓

May 2023 – QA New Recommendations

New Recommendations

There are no new recommendations for May 2023

Open/Closed Recommendations

There are no open recommendations

There are two (2) closed recommendations

Watch List (WL) Items

There are no watch list items for May 2023.

QA Next Month's Focus for June 2023

Project Schedule

- Focus on WSP preparation for proceeding with UAT, and Pilot activities
- Review tasks, activities, and progress according to the schedule
- Identify “slack” in the project schedule; what are the critical dates to keep the project roll-out on track with the schedule

Review progress in the Schedule

Review progress on Interfaces

Review the status of the SAFE System Training Materials

Review Risk and Mitigations

Firearms Background Division (FBD)

FB Division - Agenda

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

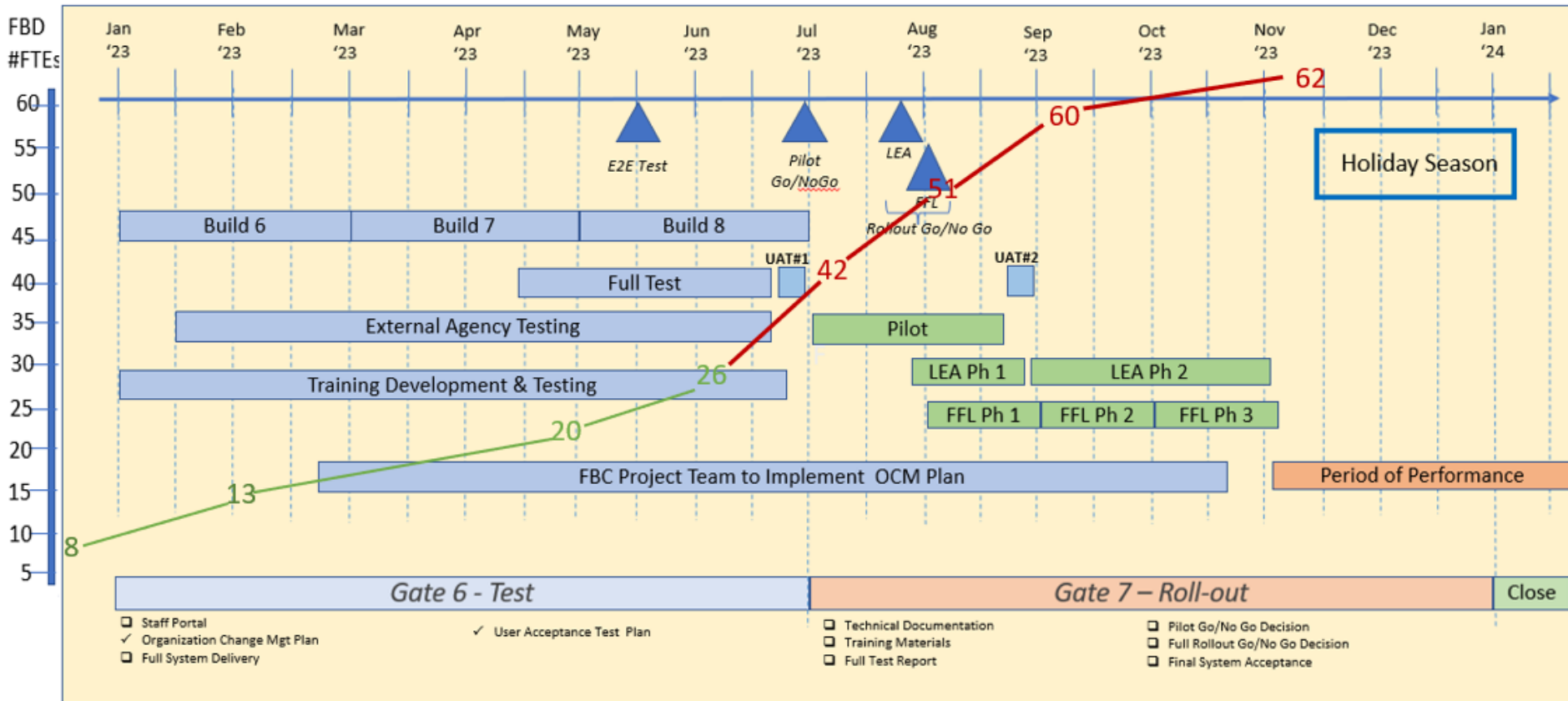
Firearm Background Division (FBD) Status

- Staff Hiring
 - (6) PS2 and (1) PS4 resources started June 1st Staff Training session
 - Plan is to have (10) new hires in place for the July 5th training session
- Communication
 - Listserv sent 6/1 with information regarding SAFE Rollout and how FFLs will be need to confirm / enter their information prior to using SAFE
 - Presented to the WASPC conference in Spokane to provide an update on project and answer any questions.

FBD Hiring Plan

Firearms Background Check (FBC) Project Timeline

Updated 6/12/2023



Updated 6/12/2023

▲ Milestones

✓ Completed Gate Deliverable

■ Live Production Rollout

— Schedule Change

FBC Project Budget – by Gate

Firearm Background Check IT Project Budget

Full project by gate

actual expenditure data as of June 05, 2023

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	\$ 646,836	\$ 159,372	\$ 6,192
Gate 6 - Test	\$ 680,831	\$ 322,818	\$ 132,810	\$ 225,203
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	\$ 4,202,033	\$ 2,199,465	\$ 723,486	\$ 1,279,082

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

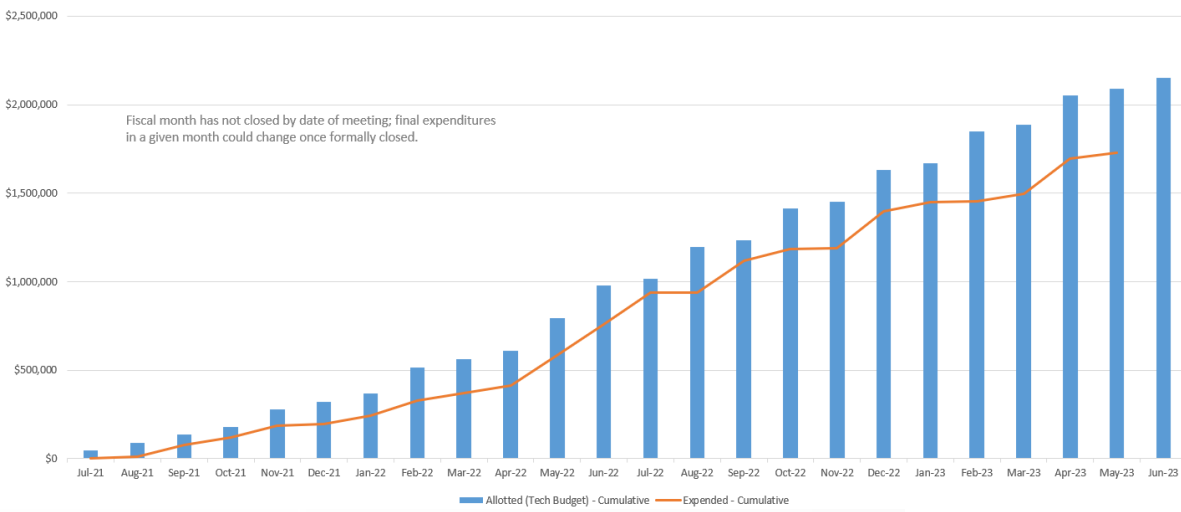
for In-Kind Expenditures, expenditures are shown in the gate open during month the expenditure hit

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

FBC Project Budget

FBC Tech Budget vs. Actual 2021-23 Biennium

FBC Gated vs. Actual



Firearm Background Check IT Project Budget 2021-23 Biennium *actual expenditure data as of June 05, 2023*

Firearms Background Check IT Project

Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 1,133,903	\$ 863,333	\$ 270,570
Project Manager & Technical Architect	\$ 859,200	\$ 739,970	\$ 119,230
Quality Assurance	\$ 144,000	\$ 126,210	\$ 17,790
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	<u>\$ 2,151,843</u>	<u>\$ 1,729,513</u>	<u>\$ 422,330</u>

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 1,729,512	\$ 422,331
In-kind Agency Funding	\$ -	\$ -	\$ -
	<u>\$ 2,151,843</u>	<u>\$ 1,729,512</u>	<u>\$ 422,331</u>

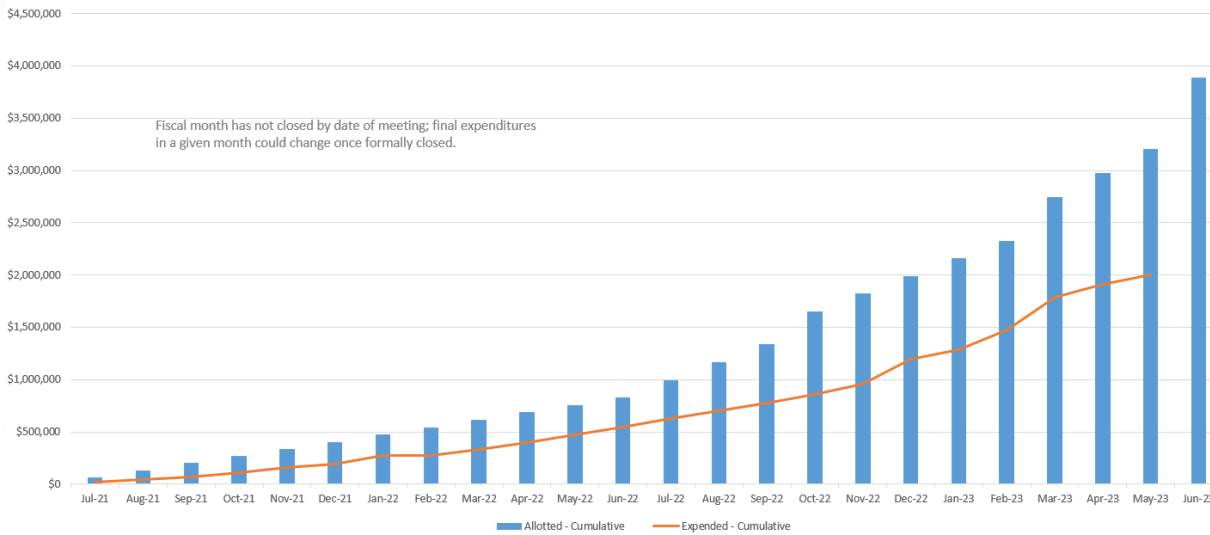
Notes

FBD Budget

FBD Budget vs. Actual

2021-23 Biennium

FBD Allotted vs. Actual



Firearm Background Division Budget 2021-23 Biennium

actual expenditure data as of June 05, 2023

Firearms Background Division

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,935,173	\$ 1,452,852	\$ 482,321
Contracts/Goods/Services	\$ 862,978	\$ 213,211	\$ 649,767
Travel	\$ 55,550	\$ 3,379	\$ 52,171
Equipment	\$ 791,956	\$ 328,696	\$ 463,260
	\$ 3,645,657	\$ 1,998,138	\$ 1,647,519

Funding	Budget	Actual	Variance*
State Firearms Background Check Funding	\$ 3,326,952	\$ 1,782,995	\$ 1,543,957
General Fund FY22	\$ 135,325	\$ 90,841	\$ 44,484
General Fund FY23	\$ 183,380	\$ 124,302	\$ 59,078
	\$ 3,645,657	\$ 1,998,138	\$ 1,647,519

* Actual available balance (reduced by FY22 fund balance)

\$ 1,603,035

Notes

State Firearms Background Check System Account balance was \$3,989,286 as of 06/05/23.

Questions/Discussion



Firearms Background Check Program Advisory Board Meeting




July 12, 2023

FBC Project - Agenda

- Overall Status
- User Acceptance Test (UAT) Results
- Areas of Focus
- Project Timeline with Gate Deliverables
- Risks
- QA Report

FBC Project Status

Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

Deliverables – Gate 7: July 1, 2023 – December 30, 2023

Deliverable	Status
Technical Documentation	In Progress
Training Materials	In Progress
Final Test Report	In Progress
Go - No Go Decision - Pilot	Re-planned
Go - No Go Decision - Full Rollout	Planned

User Acceptance Test (UAT)

- UAT background
 - (4) Participants
 - SIT environment with mock endpoints for external agencies
- Test Results
 - Changes required on the 4473 entry
 - Queue processing needs some changes
 - Method to manage 10-day waiting period would be helpful
 - PIIES testing was not included – functionality not complete
- Participant impression were primarily 'positive'

FBC – Testing Schedule

Type	Description	Resources	Duration / Date	Status
SIT	System Integration Test (SIT) Pilot version of system testing with mock endpoints. Ability to test all scenarios.	FBC Testers SAFE IT	4 weeks 4/24-5/12 5/16 – 6/16	On going
E2E	End To End (E2E) Coordinated test of full workflow with active external agency interfaces.	FBC Testers SAFE IT CCG Architect Ext. Agencies (AOC,HCA)	Prep – 1d Test – 1d 5/11 –5/15 6/15-6/16	To be redone – PIIES, new fields
UAT#1	User Acceptance Test (UAT) #1 – Pilot Test Functionality that will be used for the pilot done by actual users, including external stakeholders. Step #1 will be to test with the mock endpoints, step #2 will be with external agency interfaces to testbeds.	FBC Testers SAFE IT CCG Architect Ext. Users (FFL Owner, FFL User, LEA)	Prep – 2d Test – 3d 6/21-6/28	Complete
UAT#2	User Acceptance Test (UAT) #2 – Full System Full system test, including all functionality not ready or needed for pilot. Format will be the same as used for UAT#1. <i>** Timing is planned to not conflict with rollout</i>	FBC Testers SAFE IT CCG Architect Ext. Users (FFL Owner, FFL User, LEA)	Prep – 1d Test – 2d **Wk of 8/21	To be Planned

FBC – Areas of Focus

- Completion of backlog items
 - 26 total in backlog
 - 12 needed for Pilot and 14 needed for Full System Acceptance
- Production environment – external agency connections
- Rapsheet parsing – criminal history prohibitor rules
- Federated Query – scenario testing
- PIIES functionality for LEAs
- SAFE API readiness and testing by (4) outside vendors

Status of Use Cases Needed for Pilot

Use Case Status	Full System	Pre-Pilot	%	Post-Pilot
Total Use Cases	36	25		5
Done		12	48%	1
Cancelled	6	-		-
CCG Done-Ready for WSP Testing	13	9	36%	2
Incomplete Use Cases (detail below):	6	4	16%	2
<i>In Progress</i>	<i>4</i>	<i>3</i>		<i>1</i>
<i>Development Ready</i>	<i>1</i>	<i>0</i>		<i>1</i>
<i>In Code Review</i>	<i>0</i>	<i>0</i>		<i>0</i>
<i>To be done</i>	<i>1</i>	<i>1</i>		<i>0</i>

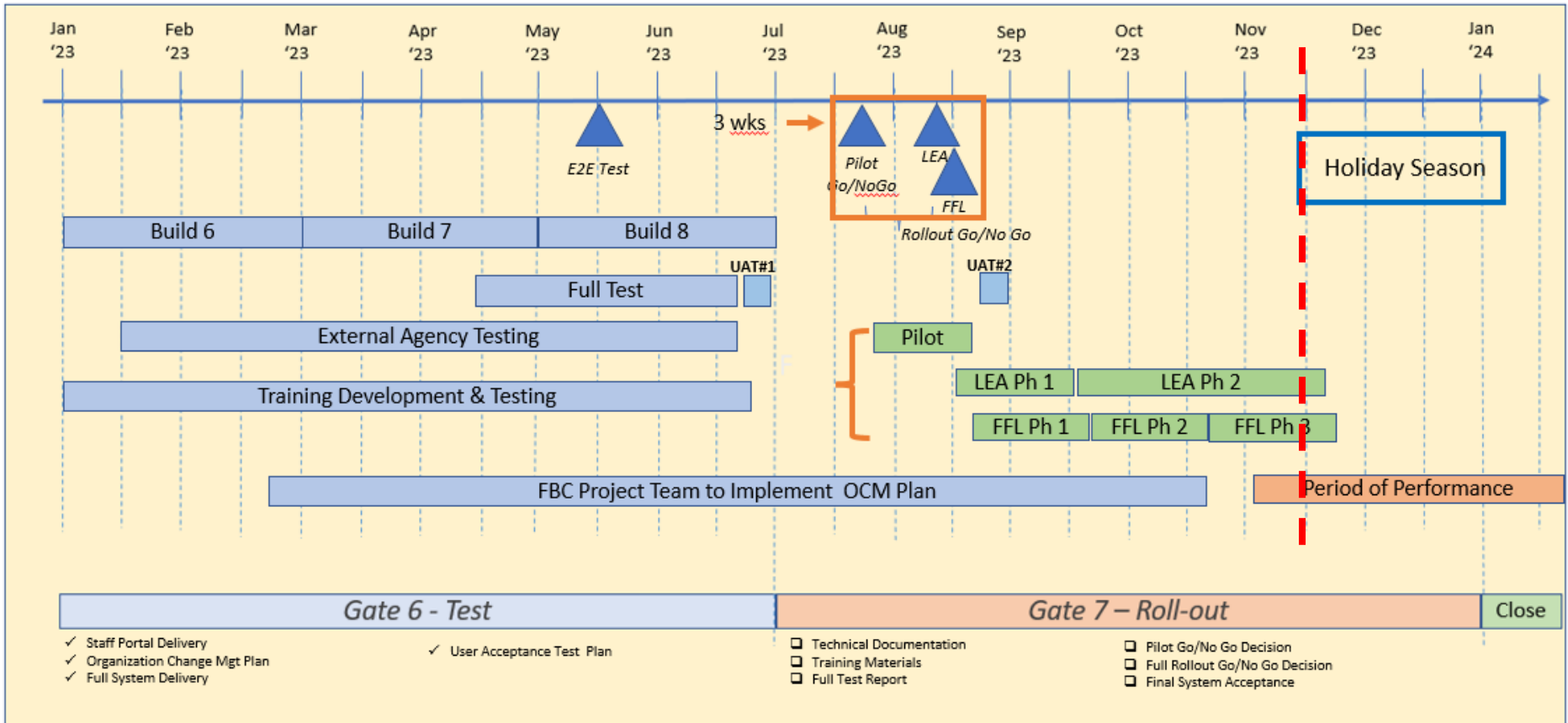
Due	Key Remaining Use Case Descriptions
Pre-Pilot	Full system searches – scenario testing
Pre-Pilot	Denied transactions – notifications and reversals
Pre-Pilot	RAPsheet parsing – WA and other key states
Pre-Pilot	PIIES Integration
Pre-Pilot	Error handling

Pilot Readiness Checklist

Stage	Category	Description	Status
Prep	Interface	HCA - Production -	x
Prep	Interface	AOC - Production -	x
Prep	Interface	DOL - Production	x
Prep	Interface	ACCESS - Production	x
Prep	Interface	Nlets - Production	x
Prep	Interface	LInX-NW Production	x
Prep	Interface	PIIES - Production	x
Prep	SFTP	DOL (FTA)	x
Prep	SFTP	WASPC (Denial .CSV)	x
Prep	Envirom	SAW is ready and available	x
Prep	Envirom	Azure AD is ready and available	x
Prep	Envirom	YARP Proxy - functional	x
Prep	Product	FFL Portal - Owner	x
Prep	Product	FFL Portal - User	x
Prep	Product	FFL Portal - Transferee	x
Prep	Product	Staff Portal - Prohibitor Detection	x
Prep	Product	Staff Portal - Denials	x
Prep	Product	Staff Portal - Appeals	x
Prep	Product	PIIES - CPL	x
Prep	Product	PIIES - DOF	x
Prep	Product	PIIES - Denials	x
Prep	Product	SAFE Admin Rights	x

FBC Project Timeline

Firearms Background Check (FBC) Project Timeline



Updated 7/10/2023



Milestones



Completed Gate Deliverable



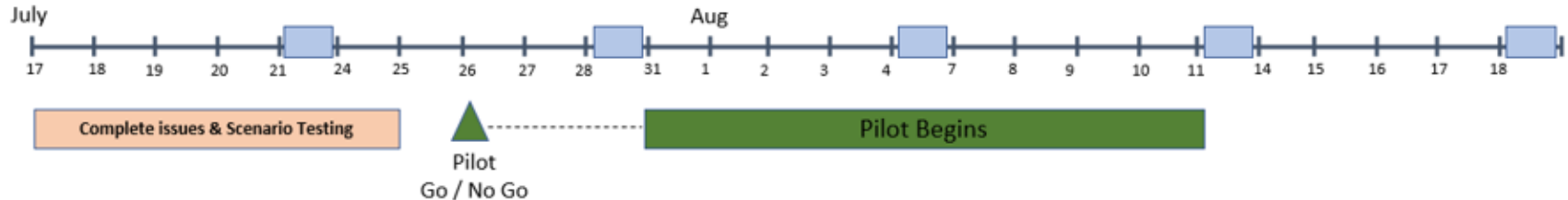
Live Production Rollout



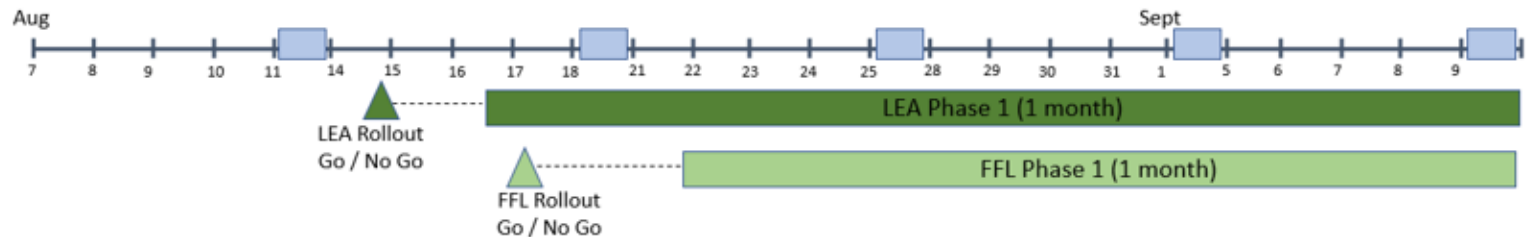
Schedule Change

Key Milestone Timelines

SAFE – Pilot – Schedule and Checklist



SAFE – Go Live / Rollout – Schedule and Checklist



Risks

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High	E-6 O-12 T-17, T-27, T-28	E-22 O-26 PM-30	PM-31, PM-15
	Medium	E-4		T-21, T-29
	Low	E-2, E-3, E-21		

Updated 5/24/2023

Risk Classifications –

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

Risk #	Risk Description
PM-31	CCG technical resources are released from project before development is complete and system is 'live'
PM-15	Development time is greater than planned
PM-30	<i>Incr Prob</i> – Identification of enhancements required for go-live increases schedule and/or increases budget
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume
O-26	Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan
E-6	LinX-NW will not become the primary means for FB division to access local law enforcement records
O-12	FB Division staff are not trained adequately to handle the workload
T-17	<i>Decr Prob</i> - Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project
T-27	Unable to use Nlets service to parse RAPsheets
T-28	<i>Decr Prob, Incr Impact</i> – Leidos work is not complete for the PIIES portal
T-21	<i>Deleted</i> - Datamaxx ACCESS update is delayed (no longer relevant)

High Risk Mitigations

Risk #	Risk Description	Mitigations
PM-15	Development time is greater than planned	<ol style="list-style-type: none"> 1. Shorter sprint cycles to increase feedback and confirmation of work 2. FBC Tech Arch in role of Product Owner for Agile team 3. Focus is to complete difficult components first to ensure we can adjust if issues are encountered 4. Meeting each week between FBC Tech Architect and CCG Tech Lead to discuss sprint tasks in detail to ensure clear understanding
PM-31	CCG technical resources are released from project before development is complete and system is 'live'	<ol style="list-style-type: none"> 1. Validation of use case status and needed use cases for pilot 2. Coordination with CCG management to confirm resource assignment 3. Contract Amendment #3
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume	<ol style="list-style-type: none"> 1. Increase project coordination communication with HCA 2. Confirm with HCA that script can be run multiple times per day 3. Confirm with HCA that script and 'no hit' transactions can be run on weekends and holidays
O-26	Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan	<ol style="list-style-type: none"> 1. Reposting of positions numerous times per type to increase candidates and keeping the posting more current 2. Prioritize FBD candidates in the background processing
PM-30	Identification of enhancements that are required for go-live could affect budget and/or schedule.	<ol style="list-style-type: none"> 1. Increase project coordination between CCG and FBC <u>Proj Mgrs</u> 2. Regular meetings between FBC Business Sponsor and CCG <u>Acct Mgr</u> 3. Detailed descriptions and review of contract / requirements

Updated 5/24/2023

QA Report #26 June 2023

FBC Project Steering Committee Meeting
July 12, 2023

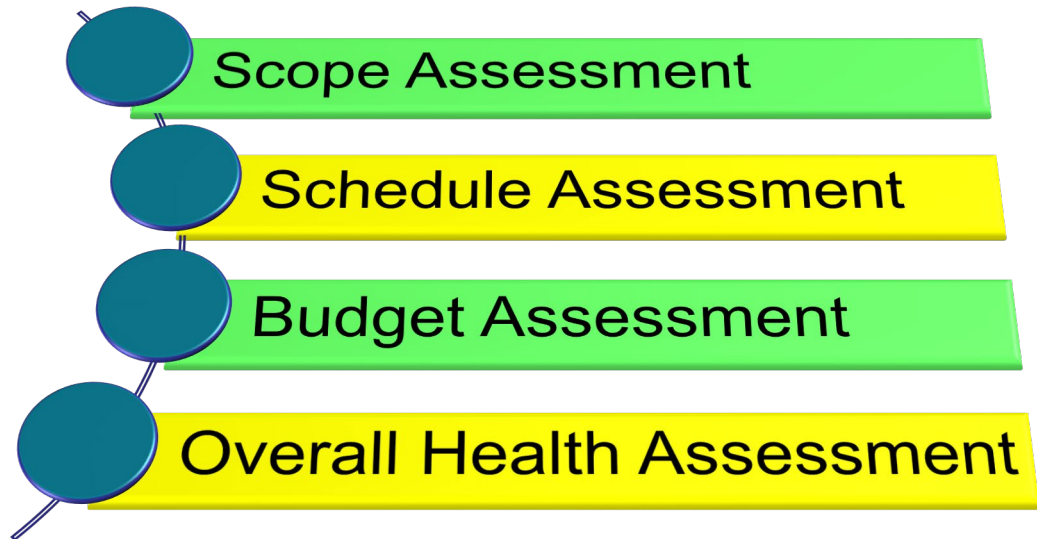
QA Report #26 – June 2023

Independent Quality Assurance Report
CASE Associates Inc.

Dan Kruger



June 2023 – Overall Project Health is **NEEDS ATTENTION**



June 2023 – Quality Focal Points Rated (27 of 27)

Quality Focal Point (QFP) Assessment	Impact	April 2023 Monthly Status	May 2023 Monthly Status	June 2023 Monthly Status	Next Month's Trending Indicator
1. Project Phase Readiness/Completion	High	STABLE	STABLE	STABLE	↔
2. Requirements Management	High	STABLE	STABLE	STABLE	↔
3. Project Schedule	High	NEEDS ATTENTION	NEEDS ATTENTION	NEEDS ATTENTION	↓
4. Communications	High	STABLE	STABLE	STABLE	↔
5. Risk and Issue Management	High	STABLE	STABLE	STABLE	↔
6. FBC Vendor Performance	High	NEEDS ATTENTION	NEEDS ATTENTION	NEEDS ATTENTION	↓
7-T. Technical Transition (T)	High	STABLE	STABLE	STABLE	↔
7-B. Business Process Re-engineering (B)	High	STABLE	STABLE	STABLE	↔
8. Project Organization and Leadership	High	STABLE	STABLE	STABLE	↔
9. Project Resources	High	STABLE	STABLE	STABLE	↔
10. Project/Quality Management and Reporting	Medium	STABLE	STABLE	STABLE	↔
11. Budget Planning and Tracking	Medium	STABLE	STABLE	STABLE	↔
12. Scope and Change Control	Medium	STABLE	STABLE	STABLE	↔
13. Roles, Responsibilities, and Communications	High	STABLE	STABLE	STABLE	↔
14. IT Architecture	High	STABLE	STABLE	STABLE	↔
15. IT Acquisition Management	High	STABLE	STABLE	STABLE	↔
16. Project Library and Configuration Management	Medium	STABLE	STABLE	STABLE	↔

Quality Focal Point (QFP) Assessment	Impact	April 2023 Monthly Status	May 2023 Monthly Status	June 2023 Monthly Status	Next Month's Trending Indicator
17. System Definition Process	High	STABLE	STABLE	STABLE	↔
18. System Design Process	High	STABLE	STABLE	STABLE	↔
19. Data Conversion/Migration	High	STABLE	STABLE	STABLE	↔
20. Configuration/Construction	High	STABLE	STABLE	STABLE	↔
21. Testing (Functional, Capacity, Performance)	High	STABLE	STABLE	STABLE	↔
22. User Acceptance, Business Process Transition	High	Not Rated	STABLE	STABLE	↔
23. Training	High	Not Rated	STABLE	STABLE	↔
24. Inter/Intra-Agency Coordination and Implementation	High	STABLE	STABLE	STABLE	↔
25. Implementation Process	High	Not Rated	Not Rated	ATTENTION	↔
26. Deployment Process	High	Not Rated	Not Rated	ATTENTION	↔
27. Interface Design and Implementation	Medium	STABLE	STABLE	STABLE	↔

Next month's indicators signify expected changes in the QFP ratings.	Rating
This Quality Focal Point (or group of QFPs) is expected to have the same rating in next month's Periodic QA Evaluation.	↔
Risk is increasing on the Quality Focal Point. It may be changed to Alert in next month's evaluation	↑
Risk is decreasing on the Quality Focal Point. It may be changed to Attention or Stable in next month's evaluation.	↓
Risk is increasing on the Quality Focal Point. It may be changed to Attention in next month's evaluation.	↗
Risk is decreasing on the Quality Focal Point. It may be changed to Stable in next month's evaluation.	↘

June 2023 – UAT Test Environment Findings

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	Priority / Order	Category	Description	UAT	Pilot	Full Rollout	Dependencies	FBD Resource	SAFE IT Resource	CCG Resource	Other Resource	Start Date	End Date	Comments
2	Prep	Interface	HCA - Mock endpoint	x					x	x				
4	Prep	Interface	AOC - Mock endpoint	x					x	x				
6	Prep	Interface	DOL - API to confirm FFL - Mock endpoint	x					x	x				
8	Prep	Interface	ACCESS - Mock endpoint	x					x	x				
10	Prep	Interface	PIIES - SIT	x	x	x			x	x				
17	Prep	Interface	Nlets - Mock endpoint	x					x	x				
19	Prep	Product	FFL Portal - Owner	x	x	x		x						
20	Prep	Product	FFL Portal - User	x	x	x		x						
21	Prep	Product	FFL Portal - Transferee	x	x	x		x						
22	Prep	Product	Staff Portal - Prohibitor Detection	x	x	x		x						6/25 - MC - initial criminal history prohibitor detection implemented. Will update when new rules are identified.
23	Prep	Product	Staff Portal - Denials	x	x	x		x						6/25 - MC - waiting for WSP's details on LEA Denial notifications in PIIES environment.
24	Prep	Product	Staff Portal - Appeals	x	x	x		x						
25	Prep	Product	PIIES - CPL	x	x	x		x						
26	Prep	Product	PIIES - DOF	x	x	x		x						
27	Prep	Product	PIIES - Denials	x	x	x		x						
29	Prep	PreComm	FFL email sent with instructions to start SAFE Setup	x	x	x			x					
33	Prep	Training	FFL User, FFL Owner, Staff, LEA - approved and available on website	x	x	x				x				
34	Prep	PreComm	Teams meeting space scheduled to monitor operations per phase	x	x	x					x			
35	Prep	Resources	Roles & Responsibilities - CCG, WSP, external agencies	x	x	x					x			
36	Prep	Resources	Identified supporting resources are aware of schedule / ready	x	x	x					x			
37	Prep	Resources	CCG resources are scheduled / ready	x	x	x				x				
65														
66														
67														
68														
69														

Ready
 In Progress / approved workaround
 Not working as needed

UAT SUCCESSFUL in TEST

June 2023 – QA New Recommendations

New Recommendations

There are no new recommendations for June 2023

Open/Closed Recommendations

There are no open recommendations

There are two (2) closed recommendations

Watch List (WL) Items

There are no watch list items for June 2023.

QA Next Month's Focus for July 2023

Project Schedule

- Focus on WSP preparation for proceeding with UAT2 and the initial Pilot with a small number of FFLs and LEAs
- Review tasks, activities, and progress according to the schedule
- Review deployment options and alternatives to meet the deadlines

Review progress in the Schedule

Review progress on Interfaces

Review the final status of the SAFE System Training Materials

Review Risk and Mitigations

Firearms Background Division (FBD)

FB Division - Agenda

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

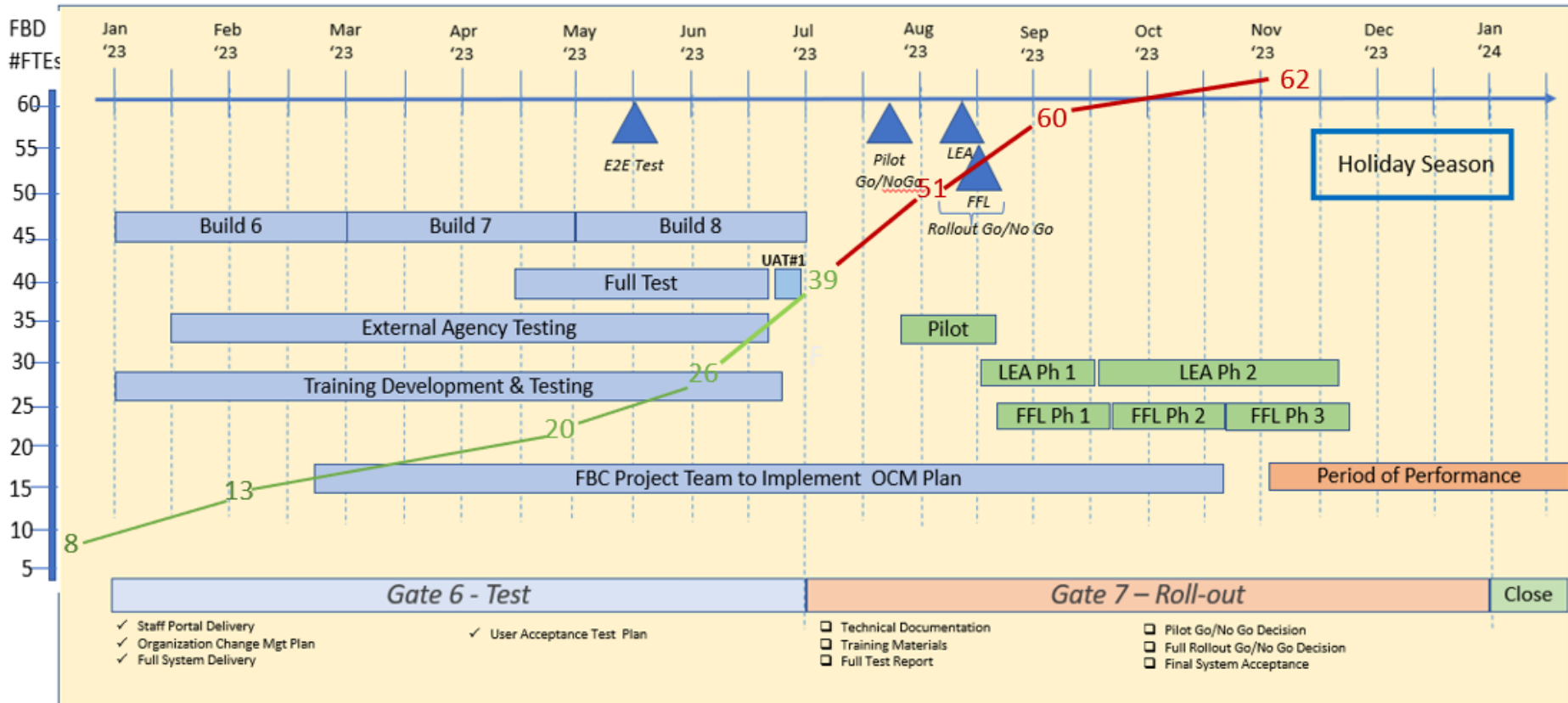
Firearm Background Division (FBD) Status

- Staff Hiring
 - (39) resources currently working for FBD, need (24) more hires by end of year
 - (13) resources confirmed for the July 5th training session, originally planned for (10)
 - Working to fill the September Training Session
- Communication
 - Listserv sent 7/3 with UAT results and upcoming Migration Plan. Included list of counties and the planned phase for migration.
 - Survey sent to FFLs and LEAs to continue to understand their level of understanding of SAFE and the SAFE implementation. This is part of the OCM Plan.

FBD Hiring Plan

Firearms Background Check (FBC) Project Timeline

Updated 7/11/2023



Updated 7/10/2023

▲ Milestones

✓ Completed Gate Deliverable

■ Live Production Rollout

— Schedule Change

FBC Project Budget – by Gate

Firearm Background Check IT Project Budget
Full project by gate
actual expenditure data as of July 05, 2023

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	\$ 646,836	\$ 159,372	\$ 6,192
Gate 6 - Test	\$ 602,612	\$ 329,748	\$ 159,372	\$ 113,492
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	\$ 4,123,814	\$ 2,206,395	\$ 750,048	\$ 1,167,371

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

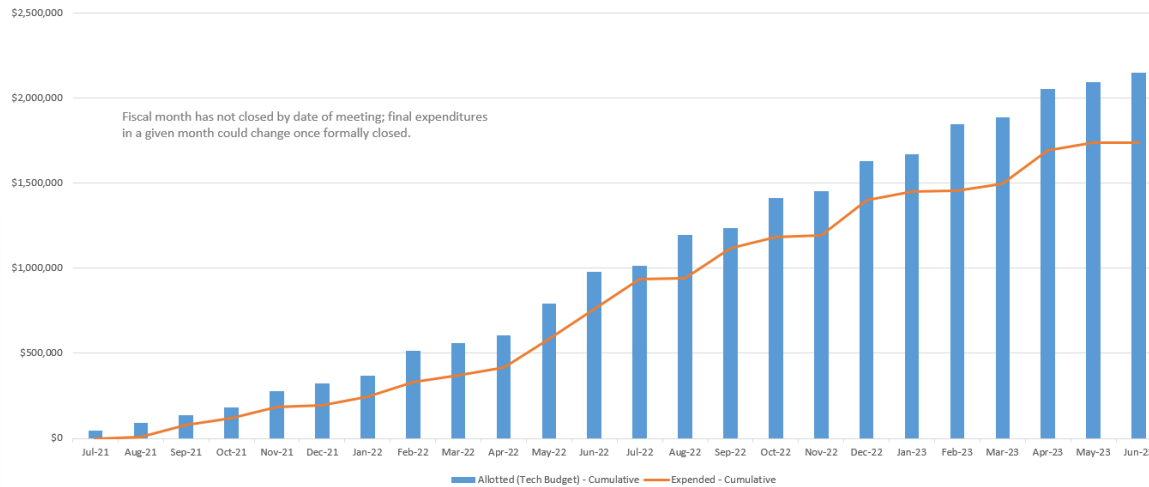
for In-Kind Expenditures, expenditures are shown in the gate open during month the expenditure hit

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

FBC Project Budget

FBC Tech Budget vs. Actual 2021-23 Biennium

FBC Gated vs. Actual



Firearm Background Check IT Project Budget 2021-23 Biennium

actual expenditure data as of July 05, 2023

Firearms Background Check IT Project

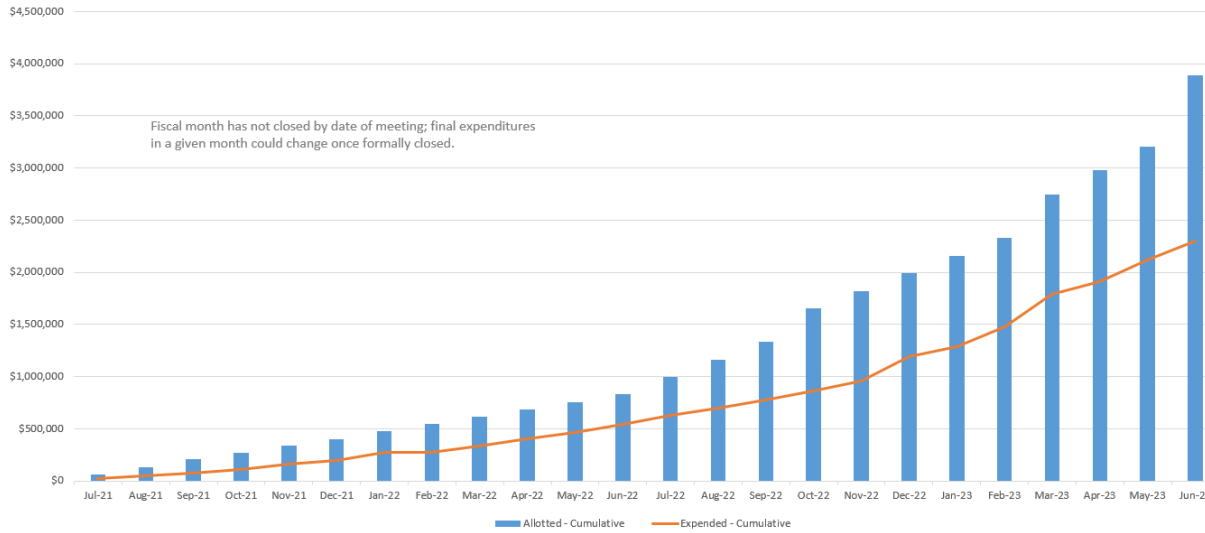
Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 1,133,903	\$ 863,333	\$ 270,570
Project Manager & Technical Architect	\$ 859,200	\$ 739,970	\$ 119,230
Quality Assurance	\$ 144,000	\$ 133,140	\$ 10,860
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	\$ 2,151,843	\$ 1,736,443	\$ 415,400

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 1,736,443	\$ 415,400
In-kind Agency Funding	\$ -	\$ -	\$ -
	\$ 2,151,843	\$ 1,736,443	\$ 415,400

Notes

FBD Budget

FBD Budget vs. Actual
2021-23 Biennium
FBD Allotted vs. Actual



Firearm Background Division Budget
2021-23 Biennium

actual expenditure data as of July 05, 2023

Firearms Background Division

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,935,173	\$ 1,623,897	\$ 311,276
Contracts/Goods/Services	\$ 862,978	\$ 311,109	\$ 551,869
Travel	\$ 55,550	\$ 3,379	\$ 52,171
Equipment	\$ 791,956	\$ 362,192	\$ 429,764
	\$ 3,645,657	\$ 2,300,577	\$ 1,345,080

Funding	Budget	Actual	Variance*
State Firearms Background Check Funding	\$ 3,326,952	\$ 2,067,623	\$ 1,259,329
General Fund FY22	\$ 135,325	\$ 90,841	\$ 44,484
General Fund FY23	\$ 183,380	\$ 142,112	\$ 41,268
	\$ 3,645,657	\$ 2,300,576	\$ 1,345,081

* Actual available balance (reduced by FY22 fund balance) \$ 1,300,597

Notes

State Firearms Background Check System Account balance was \$3,657,663.73 as of 07/05/23.

Questions/Discussion



Firearms Background Check Program Advisory Board Meeting

August 9, 2023

FBC Project - Agenda









- Overall Status
- Areas of Focus
- Project Timeline with Gate Deliverables
- Stakeholder Survey Results
- Risks
- QA Report

Pilot is Operational

- 4 FFLs – signed in and ready to process background checks
- 4 Background Checks processed

FBC Project Status

Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

Deliverables – Gate 7: July 1, 2023 – December 30, 2023

Deliverable	Status
Technical Documentation	In Progress
Training Materials	Complete
Final Test Report	In Progress
Go - No Go Decision - Pilot	Complete
Go - No Go Decision - Full Rollout	Planned

FBC – Areas of Focus

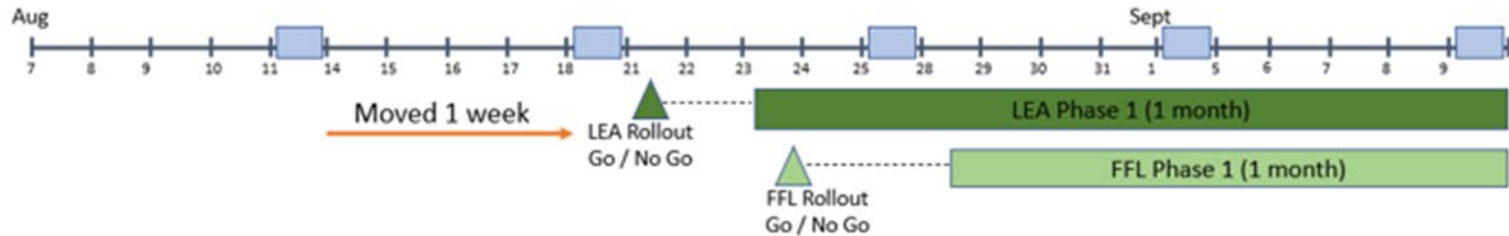
- Monitor Pilot progress and address any issues
- Evaluate rollout plan based on Pilot progress
- External agency coordination
- Expand prohibitor detection rules
- Continue to address Backlog items

Key Milestone Timelines

SAFE – Pilot – Schedule and Checklist

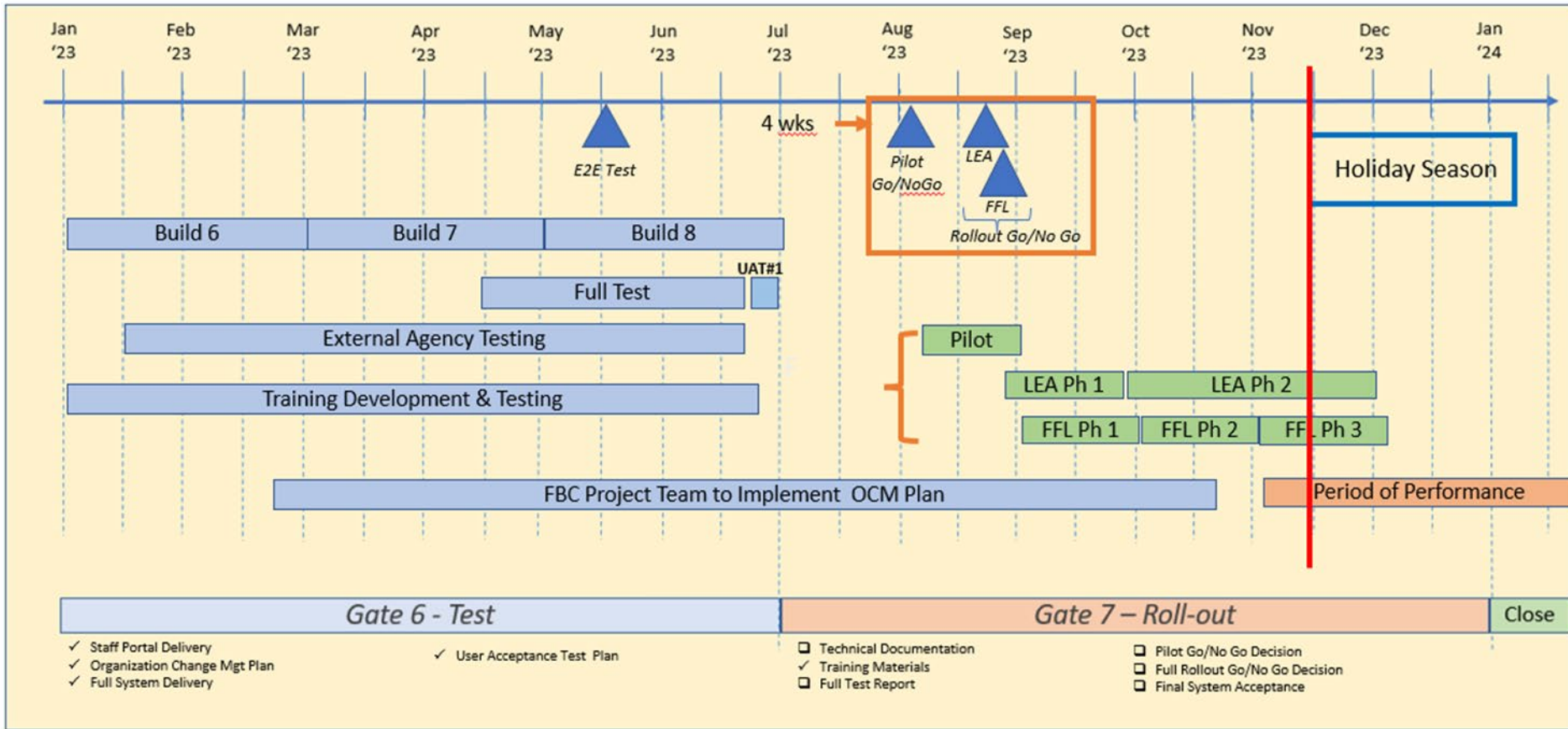


SAFE – Go Live / Rollout – Schedule and Checklist



FBC Project Timeline

Firearms Background Check (FBC) Project Timeline



Updated 8/3/2023



Milestones



Completed Gate Deliverable



Live Production Rollout



Schedule Change

FFL Pilot Preparation

Tuesday, July 18, 2023

37

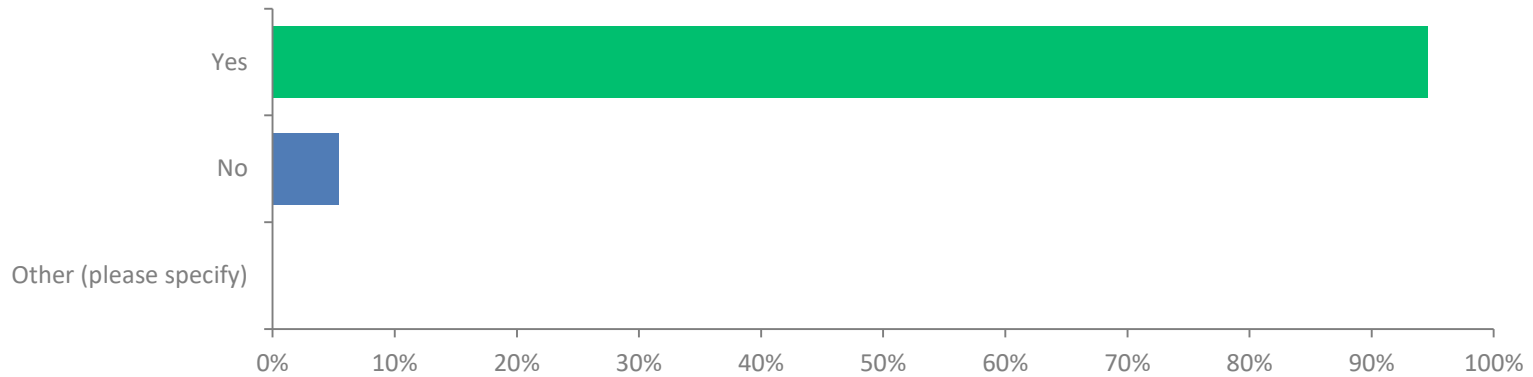
Total Responses

Date Created: Monday, July 03, 2023

Complete Responses: 37

Q1: Are you aware that all FFLs will be required to submit their background checks through the WSP Secure Automated Firearm E-check (SAFE) effective January 1, 2024?

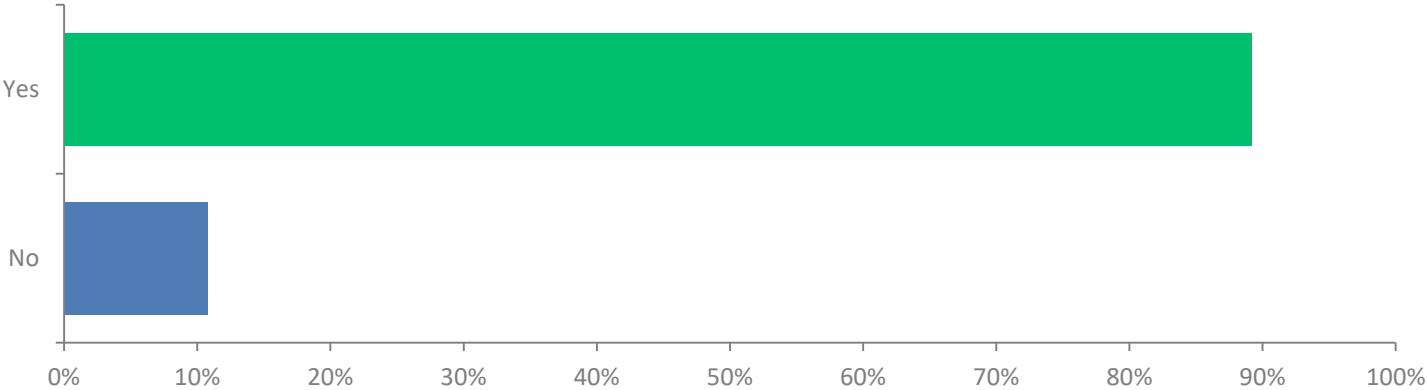
Answered: 37 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	94.59%	35
No	5.41%	2
Other (please specify)	0%	0
TOTAL		37

Q2: Are you aware that the pilot program for SAFE will launch mid July and that we will be onboarding FFLs by county, and not all at once?

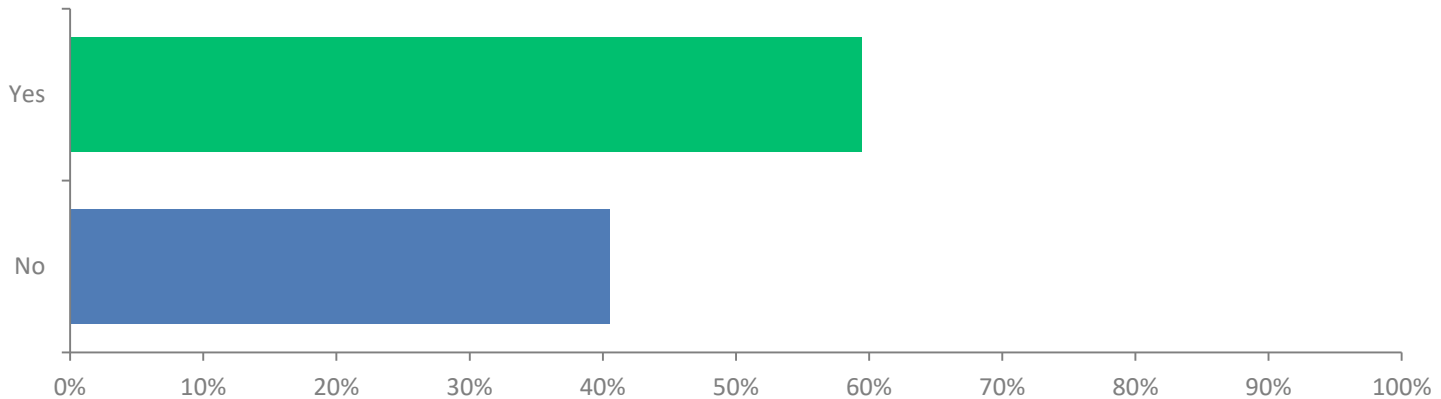
Answered: 37 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	89.19%	33
No	10.81%	4
TOTAL		37

Q3: Are you aware that when an FFL begins using the SAFE system, any denied transferees can contact the WSP Firearms Background Division to appeal? WSP will provide FFLs a pamphlet to give to the customer pursuant to RCW 43.43.823

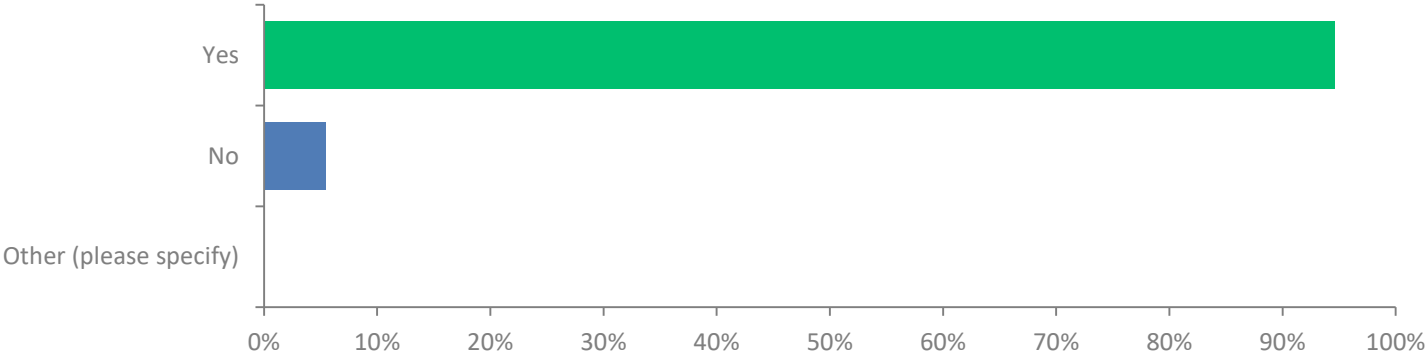
Answered: 37 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	59.46%	22
No	40.54%	15
TOTAL		37

Q4: Are you aware that SHB1143 enacted a mandatory 10 business day waiting period on all firearm transactions effective January 1, 2024?

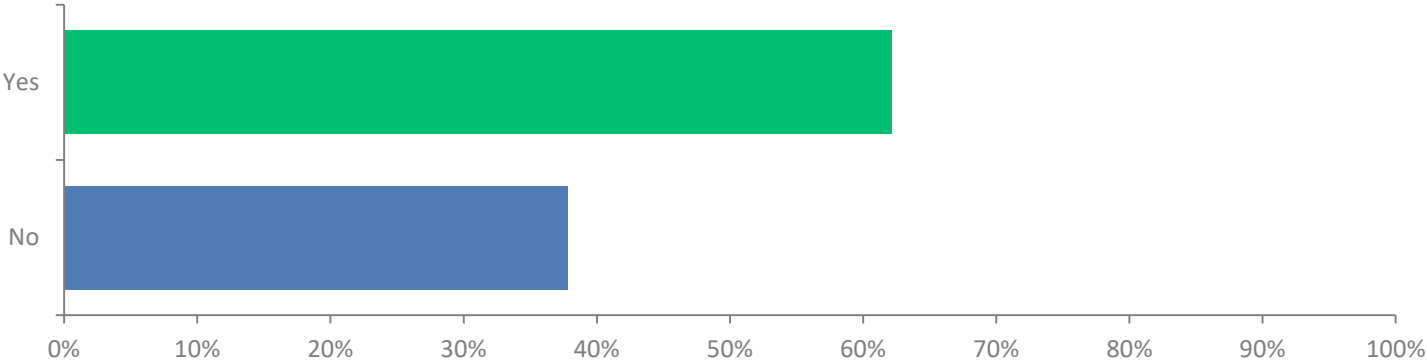
Answered: 37 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	94.59%	35
No	5.41%	2
Other (please specify)	0%	0
TOTAL		37

Q5: Are you aware that FFLs will receive an official letter from WSP Firearms Background Division with a secret code to initiate the onboarding process?

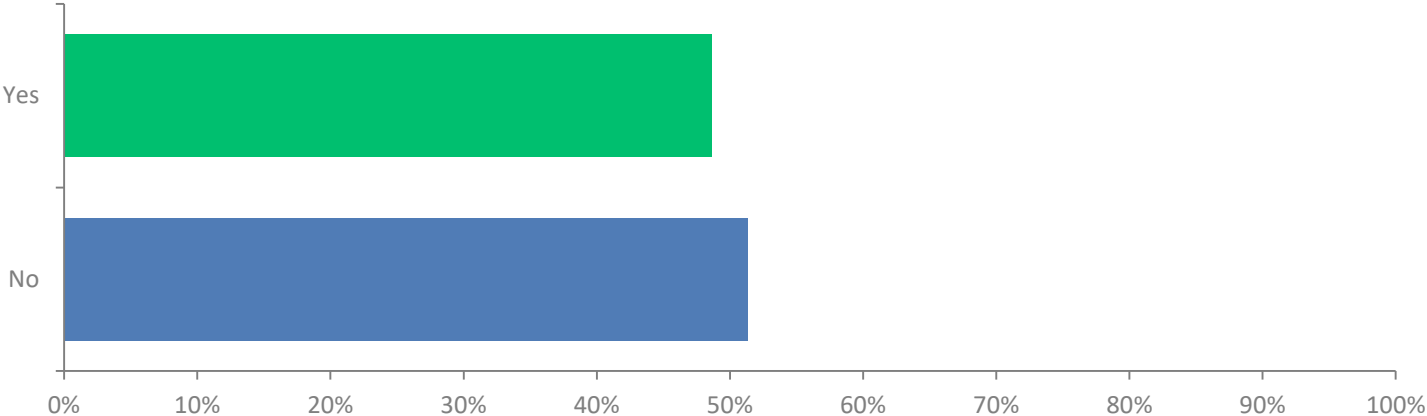
Answered: 37 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	62.16%	23
No	37.84%	14
TOTAL		37

Q6: Are you aware that the WSP Firearms Background Division has a website containing contact information and documentation to assist dealers, customers, and other agencies with firearm transfers? <https://www.wsp.wa.gov/firearms-background-division/>

Answered: 37 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	48.65%	18
No	51.35%	19
TOTAL		37

Q7: Please provide any additional comments, feedback, or questions (and if you would like an answer to them, your contact information, as the submissions are anonymous) Answered: 10 Skipped: 27

1	great job keeping us updated and the training was very thorough.	7/11/2023 3:47 PM
2	Does the Buyer have to login and get a "code" on order to have the FFL submit their background check?	7/11/2023 9:43 AM
3	With WA States Semi Auto Rifle ban and on going talk about banning other guns/gun accessories, will there be any new form for the gunlock acknowledgement form going out? or any new updates on any form for the WA State side of any forms indicating anything about Semi Auto weapons?	7/11/2023 9:30 AM
4	I would like to see a firm date that the firearm may be transferred to the buyer. Does the waiting period include weekends and holidays OR just business days.	7/10/2023 8:23 PM
5	What would be helpful: A video with a screencast (e.g. a YouTube video), actually demonstrating step-by-step, how to conduct a background check using your system. As short and as succinct as possible. (do not let lawyers write or narrate this video! Some "real world" person, please.) Currently the images and long, long chunk of text attempting to communicate the process is very arduous. Thank you!	7/10/2023 7:20 PM
6	Where's my letter-----	7/10/2023 5:17 PM
7	I have been receiving updates but there is no mechanism to begin the process of establishing a SAFE account. When will this become available? Will step-by-step processes be provided?	7/10/2023 4:46 PM
8	THANK YOU FOR YOUR HARD WORK!	7/10/2023 4:44 PM
9	When has centralized system ever benefited the citizens? Socialism sucks and that why am moving Let you guys live in the hell hole you created!	7/10/2023 3:05 PM
10	Why are we wasting money on this program when NICS does the same thing?	7/10/2023 2:41 PM

LEA Pilot Preparation

Tuesday, July 18, 2023

178

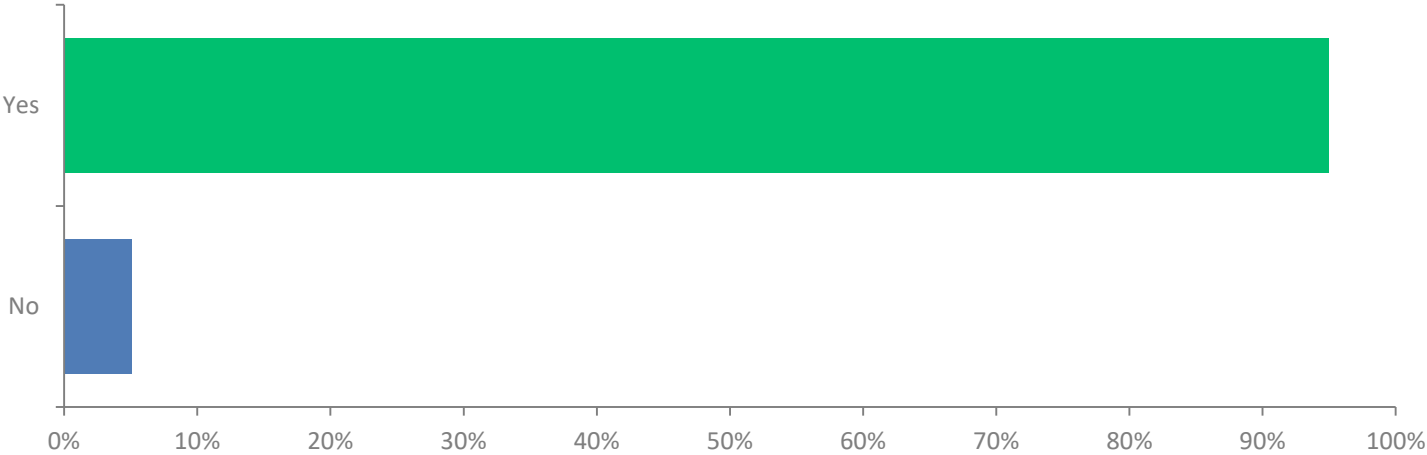
Total Responses

Date Created: Monday, July 03, 2023

Complete Responses: 178

Q1: Are you aware that the pilot program for WSP Secure Automated Firearms E-check (SAFE) will launch mid July 2023, and that we will be onboarding FFLs and LEAs by county, and not all at once?

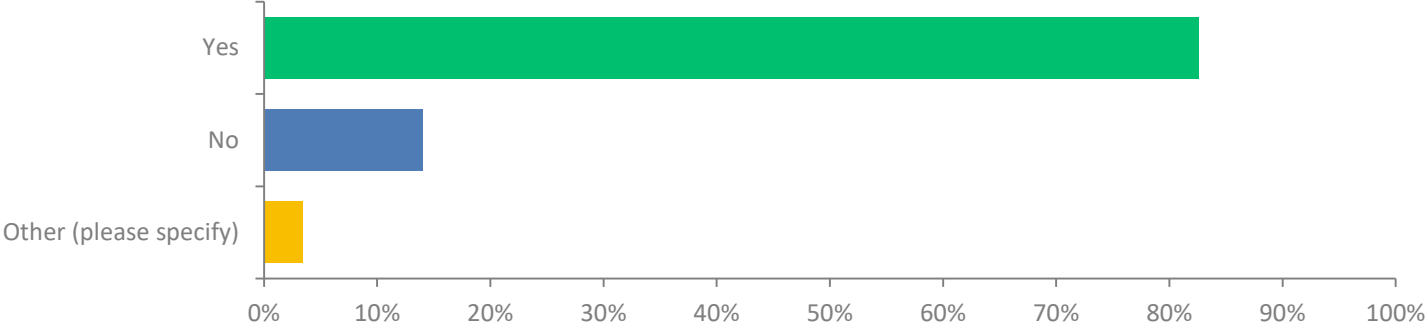
Answered: 178 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	94.94%	169
No	5.06%	9
TOTAL		178

Q2: Are you aware that once an FFL is onboarded onto SAFE that they will no longer submit FTA forms to your agency?

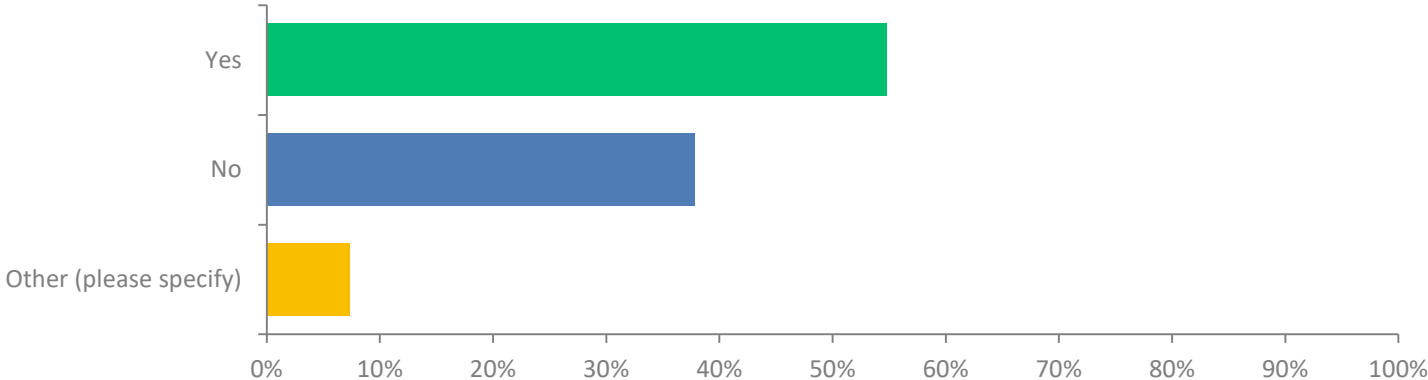
Answered: 178 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	82.58%	147
No	14.04%	25
Other (please specify)	3.37%	6
TOTAL		178

Q3: Are you aware that once your agency has the capability to submit Health Care Authority (HCA) checks through the Personal Identifiable Information Exchange System (PIIES), your agency will no longer be able to submit HCA checks through other means?

Answered: 177 Skipped: 1



ANSWER CHOICES	RESPONSES	
Yes	54.80%	97
No	37.85%	67
Other (please specify)	7.34%	13
TOTAL		177

Q4: Please provide any additional comments, feedback, or questions (and if you would like an answer to them, your contact information, as the submission are anonymous).

Answered: 26 Skipped: 152

#	RESPONSES	DATE
1	Training opportunities?	7/14/2023 3:15 AM
2	When will we get access to PIIES? how soon will it be available for agencies to use. or is it available now for use.	7/13/2023 8:22 AM
3	<p>There is no good explanation regarding what form is to be uploaded for a bulk mental health submission. Will it be the Excel form we have been using just submitted by other means? Will the HCA send out a new form in a .csv format for us to use? I know we were told that LE's were doing background checks on CPL's still, are we still doing background checks for dealer's licenses? Or do we submit them to you folks somehow? I do not believe it was mentioned to us that we would be responsible for providing unique codes to FFL's and also provide printed up-loading instructions to new FFL's so they can submit FTA's to you. Seems like that should be DOL's responsibility as it is their license we issue on DOL's behalf. Maybe it should be part of the process FFL's do to get set up with your system. To put it on LE's shoulders to provide these codes or printed instructions for your process seems a misplaced responsibility not to mention the cost of office supplies for providing these printed instructions. Once this unique code has been issued and provided to the FFL, what happens if they lose the code? Do we have to resubmit for a new one? Or can the one issued prior be found again somehow? Seems like it would be better for the FFL to just have access through your system for themselves. What if they are trying to submit to you on a weekend and they lose sales because they can't get a hold of our office on the weekends regarding a misplaced code? It would be smarter to not have LE's involved in this part of the process.</p>	7/12/2023 10:32 AM
4	The firearms background division has been great at keeping agencies up to date on what and when things are happening. Thank you!	7/11/2023 5:10 PM

Q4: Cont....

5	Based on prior communication, submitting HCA thought PIIES was supposed to start in July. Do you have a tentative date for this yet?	7/11/2023 12:08 PM
6	Appreciate all the information that has been coming and would really appreciate at the time of transition to have very clear written instructions.	7/11/2023 9:26 AM
7	Other than this was mandated by the legislature, I have heard much information at all... other than rumors.	7/11/2023 9:20 AM
8	Communication has been excellent. Looking forward to further updates.	7/11/2023 8:45 AM
9	I would like more information about the PIIES system, and how the submission process for mental health will work. Also, do you know when that change is supposed to take place?	7/11/2023 7:24 AM
10	Don't know what PIIES is and will this also impact do mental health checks for CPL's and FDL's. J.Richards@TukwilaWA.gov	7/10/2023 10:30 AM
11	Looking forward to SAFE launching for Jefferson County. Hoping for very clear instructions of what is needed from the agency.	7/10/2023 10:09 AM
12	I am a new TAC as of April and the 1st time I heard of this was your email last week.	7/10/2023 8:42 AM
13	I would like more information on upcoming changes for HCA. I knew that at some point we were going to get responses from them through the WSP portal but I'm unsure what PIIES is and how this will work. Thank you	7/10/2023 8:23 AM
14	My supervisor will fill me in on all changes.	7/7/2023 6:31 PM
15	Do we need to do anything proactively to prepare for the PIIES system?	7/7/2023 5:50 PM

Q4: Cont....

16	The state should take over CPLs also.	7/7/2023 4:02 PM
17	I am impressed with how quickly you were able to create the new department and the information provided along the way. Can't wait for the pilot program to begin. Thank you	7/7/2023 4:00 PM
18	Regarding item #3, for the CPL's, are we still suppose to send HCA checks via the "Old" process? For us, we emailed the HCA our list of applicants.	7/7/2023 3:50 PM
19	We are excited for this!! I hope the pilot goes well.	7/7/2023 3:35 PM
20	We would like more information on how and when the PIIES portal is going to be up and running and how we get signed up on it. Thank you, you have been doing a fantastic job communicating about the transition!	7/7/2023 3:22 PM
21	How will we know when a firearms dealer has been onboarded by WSP ? Once WSP has taken over ALL what do we do with a transfer if we get one ? Thanks!	7/7/2023 3:16 PM
22	How will we receive registration for the PIIES? Will it be an agency log in or an individual user log in? Will there be a formal training on how the new process will work? If the FTA goes through the firearms background division, what will we receive to be notified that we need to submit an HCA check? Also, do you send the responses to the FFLs for proceed/denials etc. or do we?	7/7/2023 3:10 PM
23	Just hoping that the pilot goes well and things progress to phase 3 quickly. There was also a question as to the future plans of WSP on whether CPLs will eventually move to a state issued license than by jurisdiction. Heather Rhoades Federal Way PD Records Supervisor heather.rhoades@cityoffederalway.com	7/7/2023 3:10 PM
24	Is there an estimated go-live date for the PIIES portal?	7/7/2023 3:06 PM

Q4: Cont....

25	Hello - We have been building a new CPL issuing system that will contain historical and current license information. Will this new PIIES process utilize the same Excel formatted form? Are you able to supply an example of what the submittal process/form will look like? This information is pertinent to our programmers creation of this list. Thank you, Terri Johnson King County Sheriff's Office terri.johnson@kingcounty.gov	7/7/2023 3:05 PM
26	Can't wait!	7/7/2023 2:57 PM

Risks

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High	E-6 O-12 T-17, T-27, T-28	E-22 O-26 PM-30	PM-31, PM-15
	Medium	E-4		T-21, T-29
	Low	E-2, E-3, E-21		

Updated 5/24/2023

Risk Classifications –

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

Risk #	Risk Description
PM-31	CCG technical resources are released from project before development is complete and system is 'live'
PM-15	Development time is greater than planned
PM-30	<i>Incr Prob</i> – Identification of enhancements required for go-live increases schedule and/or increases budget
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume
O-26	Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan
E-6	LinX-NW will not become the primary means for FB division to access local law enforcement records
O-12	FB Division staff are not trained adequately to handle the workload
T-17	<i>Decr Prob</i> - Interfaces with other agencies (AOC, HCA and DOL) are not complete in the time planned for the project
T-27	Unable to use Nlets service to parse RAPsheets
T-28	<i>Decr Prob, Incr Impact</i> – Leidos work is not complete for the PIIES portal
T-21	<i>Deleted</i> - Datamaxx ACCESS update is delayed (no longer relevant)

High Risk Mitigations

Risk #	Risk Description	Mitigations
PM-15	Development time is greater than planned	<ol style="list-style-type: none"> 1. Shorter sprint cycles to increase feedback and confirmation of work 2. FBC Tech Arch in role of Product Owner for Agile team 3. Focus is to complete difficult components first to ensure we can adjust if issues are encountered 4. Meeting each week between FBC Tech Architect and CCG Tech Lead to discuss sprint tasks in detail to ensure clear understanding
PM-31	CCG technical resources are released from project before development is complete and system is 'live'	<ol style="list-style-type: none"> 1. Validation of use case status and needed use cases for pilot 2. Coordination with CCG management to confirm resource assignment 3. Contract Amendment #3
E-22	HCA current script and process will not be sufficient to process the anticipated transaction volume	<ol style="list-style-type: none"> 1. Increase project coordination communication with HCA 2. Confirm with HCA that script can be run multiple times per day 3. Confirm with HCA that script and 'no hit' transactions can be run on weekends and holidays
O-26	Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan	<ol style="list-style-type: none"> 1. Reposting of positions numerous times per type to increase candidates and keeping the posting more current 2. Prioritize FBD candidates in the background processing
PM-30	Identification of enhancements that are required for go-live could affect budget and/or schedule.	<ol style="list-style-type: none"> 1. Increase project coordination between CCG and FBC <u>Proj Mgrs</u> 2. Regular meetings between FBC Business Sponsor and CCG <u>Acct Mgr</u> 3. Detailed descriptions and review of contract / requirements

Updated 5/24/2023

QA Report #27 July 2023

FBC Project Steering Committee Meeting
August 9, 2023

QA Report #27 – July 2023

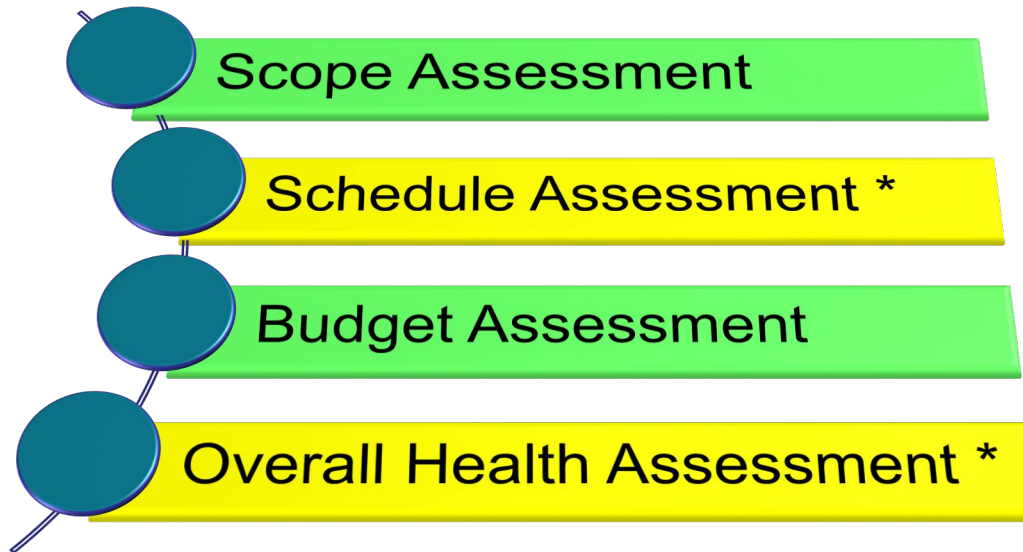
Independent Quality Assurance Report
CASE Associates Inc.

Dan Kruger

NOTE: Critical testing in Production was completed in the first week of August 2023. This late August information is included in this report.



July 2023 – Overall Project Health is **NEEDS ATTENTION**



The schedule is yellow based the original planned initial pilot release date in July 2023. The actual pilot roll-out dates are August 8-15, 2023.

The statutory deadline is January 1, 2024.

July 2023 – Quality Focal Points Rated (27 of 27)

Quality Focal Point (QFP) Assessment	Impact	May 2023 Monthly Status	June 2023 Monthly Status	July 2023 Monthly Status	Next Month's Trending Indicator
1. Project Phase Readiness/Completion	High	STABLE	STABLE	STABLE	↔
2. Requirements Management	High	STABLE	STABLE	STABLE	↔
3. Project Schedule	High	NEEDS ATTENTION	NEEDS ATTENTION	NEEDS ATTENTION	↓
4. Communications	High	STABLE	STABLE	STABLE	↔
5. Risk and Issue Management	High	STABLE	STABLE	STABLE	↔
6. FBC Vendor Performance	High	NEEDS ATTENTION	NEEDS ATTENTION	NEEDS ATTENTION	↓
7-T. Technical Transition (T)	High	STABLE	STABLE	STABLE	↔
7-B. Business Process Re-engineering (B)	High	STABLE	STABLE	STABLE	↔
8. Project Organization and Leadership	High	STABLE	STABLE	STABLE	↔
9. Project Resources	High	STABLE	STABLE	STABLE	↔
10. Project/Quality Management and Reporting	Medium	STABLE	STABLE	STABLE	↔
11. Budget Planning and Tracking	Medium	STABLE	STABLE	STABLE	↔
12. Scope and Change Control	Medium	STABLE	STABLE	STABLE	↔
13. Roles, Responsibilities, and Communications	High	STABLE	STABLE	STABLE	↔
14. IT Architecture	High	STABLE	STABLE	STABLE	↔
15. IT Acquisition Management	High	STABLE	STABLE	STABLE	↔
16. Project Library and Configuration Management	Medium	STABLE	STABLE	STABLE	↔

Quality Focal Point (QFP) Assessment	Impact	May 2023 Monthly Status	June 2023 Monthly Status	July 2023 Monthly Status	Next Month's Trending Indicator
17. System Definition Process	High	STABLE	STABLE	STABLE	↔
18. System Design Process	High	STABLE	STABLE	STABLE	↔
19. Data Conversion/Migration	High	STABLE	STABLE	STABLE	↔
20. Configuration/Construction	High	STABLE	STABLE	STABLE	↔
21. Testing (Functional, Capacity, Performance)	High	STABLE	STABLE	STABLE	↔
22. User Acceptance, Business Process Transition	High	STABLE	STABLE	STABLE	↔
23. Training	High	STABLE	STABLE	STABLE	↔
24. Inter/Intra-Agency Coordination and Implementation	High	STABLE	STABLE	STABLE	↔
25. Implementation Process	High	Not Rated	ATTENTION	ATTENTION	↔
26. Deployment Process	High	Not Rated	ATTENTION	ATTENTION	↔
27. Interface Design and Implementation	Medium	STABLE	STABLE	STABLE	↔

Next month's indicators signify expected changes in the QFP ratings.	Rating
This Quality Focal Point (or group of QFPs) is expected to have the same rating in next month's Periodic QA Evaluation.	↔
Risk is increasing on the Quality Focal Point. It may be changed to Alert in next month's evaluation	↑
Risk is decreasing on the Quality Focal Point. It may be changed to Attention or Stable in next month's evaluation.	↓
Risk is increasing on the Quality Focal Point. It may be changed to Attention in next month's evaluation.	↑
Risk is decreasing on the Quality Focal Point. It may be changed to Stable in next month's evaluation.	↓

July / August 2023 – Pilot Go No/Go Checklist

Priority / Order	Category	Description	Status	Comments
Prep	Interface	HCA - Production -	x	
Prep	Interface	AOC - Production -	x	
Prep	Interface	DOL - Production	x	
Prep	Interface	ACCESS - Production	x	8/4 - IAQ fix in development.
Prep	Interface	Nlets - Production	x	
Prep	Interface	LinX-NW Production	x	
Prep	Interface	PIIES - Production	x	
Prep	Interface	DOL (FTA)	x	
Prep	SFTP	WASPC (Denial .CSV)	x	
Prep	Envirom	SAW is ready and available	x	
Prep	Envirom	Azure AD is ready and available	x	
Prep	Envirom	YARP Proxy - functional	x	

Priority / Order	Category	Description	Status	Comments
Prep	Product	FFL Portal - Owner	x	
Prep	Product	FFL Portal - User	x	
Prep	Product	FFL Portal - Transferee	x	
Prep	Product	Staff Portal - Prohibitor Detection	x	
Prep	Product	Staff Portal - Denials	x	
Prep	Product	Staff Portal - Appeals	x	Appeals are not needed for Pilot. WSP will supply the remaining appeal process details.
Prep	Product	PIIES - CPL	x	
Prep	Product	PIIES - DOF	x	
Prep	Product	PIIES - Denials	x	
Prep	Product	SAFE Admin - rights in SAFE based on ADFS and AWS	x	

Priority / Order	Category	Description	Status	Comments
Prep	Interface	HCA - Production -	x	
Prep	Interface	AOC - Production -	x	
Prep	Interface	DOL - Production	x	
Prep	Interface	ACCESS - Production	x	8/4 - IAQ fix in development.
Prep	Interface	Nlets - Production	x	
Prep	Interface	LinX-NW Production	x	
Prep	Interface	PIIES - Production	x	
Prep	Interface	DOL (FTA)	x	
Prep	SFTP	WASPC (Denial .CSV)	x	
Prep	Envirom	SAW is ready and available	x	
Prep	Envirom	Azure AD is ready and available	x	
Prep	Envirom	YARP Proxy - functional	x	

ESC decision to “Go” forward with the initial Pilot Release of the SAFE system on August 7, 2023.

July 2023 – QA New Recommendations

New Recommendations

There are no new recommendations for July 2023

Open/Closed Recommendations

There are no open recommendations

There are two (2) closed recommendations

Watch List (WL) Items

There are no watch list items for July 2023.

QA Next Month's Focus for August 2023

Project Schedule

- Focus on WSP review of the initial Pilot Roll-out in the Production Environment with a small number of FFLs and LEAs
- Debriefing on the initial Pilot roll-out – Lessons Learned – Next Steps
- Complete testing and fixing all remaining SAFE bugs for the full phased roll-out after the Pilot
- Review Final Go / No Go checklist and get Steering Committee feedback
- Review the communications for the full release of the SAFE system
- Review phased deployment options and alternatives to meet the deadlines

Review Risks and Mitigations

Review overall project schedule

Firearms Background Division (FBD)

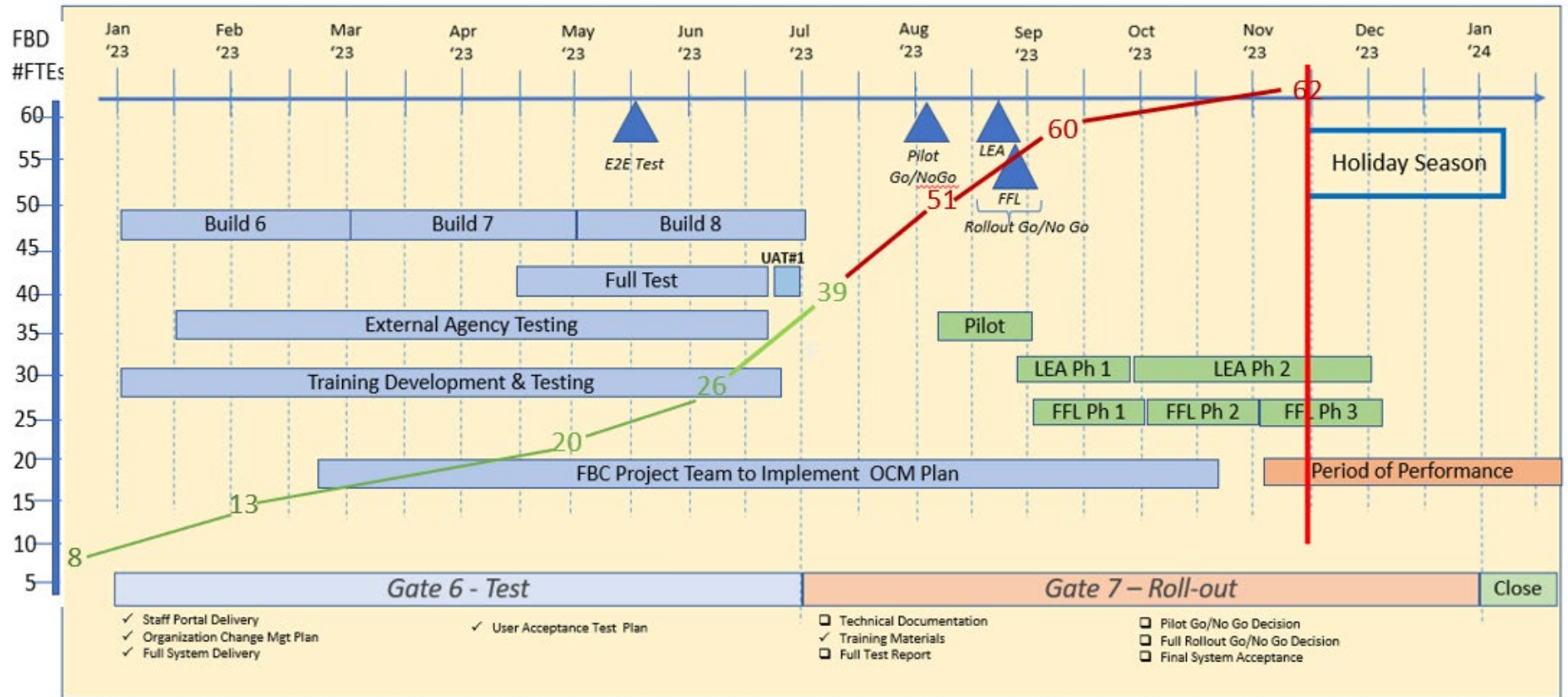
FB Division - Agenda

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

Firearm Background Division (FBD) Status

- Staff Hiring
 - (39) resources currently working for FBD, need (24) more hires by end of year
 - Interviewing to fill the September Training Session, (2) people hired
 - Posted the PS5 supervisor position, resulted in (8) applications to review
 - Posting the (2) PS3 lead positions this week
- Communication
 - Listserv sent 8/1 focused on Pilot schedule and list of FFLs per phase of rollout.
 - Survey results summarized and reported.

FBD Hiring Plan



Updated 8/3/2023



Milestones



Completed Gate Deliverable



Live Production Rollout



Schedule Change

FBC Project Budget – by Gate

Firearm Background Check IT Project Budget
Full project by gate
actual expenditure data as of August 03, 2023

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	\$ 646,836	\$ 159,372	\$ 6,192
Gate 6 - Test	\$ 602,612	\$ 371,628	\$ 159,372	\$ 71,612
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	\$ 4,123,814	\$ 2,248,275	\$ 750,048	\$ 1,125,491

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

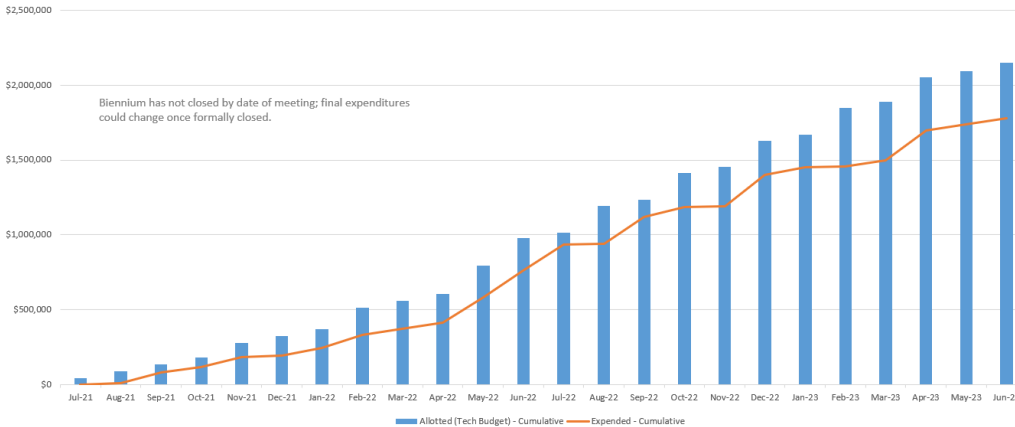
for In-Kind Expenditures, expenditures are shown in the gate open during month the expenditure hit

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

FBC Project Budget

FBC Tech Budget vs. Actual
2021-23 Biennium

FBC Gated vs. Actual



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

actual expenditure data as of August 03, 2023

Firearms Background Check IT Project

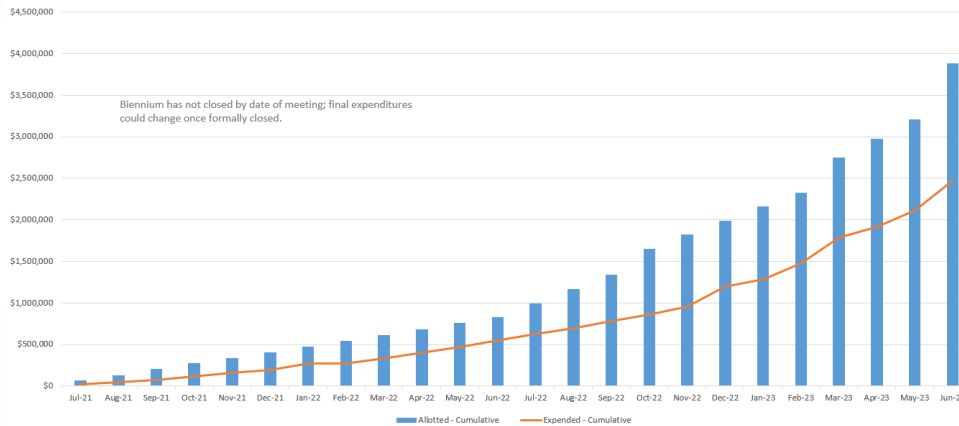
Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 1,133,903	\$ 863,333	\$ 270,570
Project Manager & Technical Architect	\$ 859,200	\$ 774,710	\$ 84,490
Quality Assurance	\$ 144,000	\$ 140,280	\$ 3,720
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	\$ 2,151,843	\$ 1,778,323	\$ 373,520

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 1,778,322	\$ 373,521
In-kind Agency Funding	\$ -	\$ -	\$ -
	\$ 2,151,843	\$ 1,778,322	\$ 373,521

Notes

FBD Budget

FBD Budget vs. Actual
2021-23 Biennium
FBD Allotted vs. Actual



Firearm Background Division Budget 2021-23 Biennium

actual expenditure data as of August 03, 2023

Firearms Background Division

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,935,173	\$ 1,703,279	\$ 231,894
Contracts/Goods/Services	\$ 862,978	\$ 318,884	\$ 544,094
Travel	\$ 55,550	\$ 3,379	\$ 52,171
Equipment	\$ 791,956	\$ 438,944	\$ 353,012
	<u>\$ 3,645,657</u>	<u>\$ 2,464,486</u>	<u>\$ 1,181,171</u>

Funding	Budget	Actual	Variance*
State Firearms Background Check Funding	\$ 3,326,952	\$ 2,224,480	\$ 1,102,472
General Fund FY22	\$ 135,325	\$ 90,841	\$ 44,484
General Fund FY23	\$ 183,380	\$ 149,164	\$ 34,216
	<u>\$ 3,645,657</u>	<u>\$ 2,464,485</u>	<u>\$ 1,181,172</u>

* Actual available balance (reduced by FY22 fund balance) \$ 1,136,688

Notes

State Firearms Background Check System Account balance at the end of the 21-23 BI was \$3,386,543.57 as of 08/03/23.

Questions/Discussion



Firearms Background Check Program Advisory Board Meeting



September 13, 2023

FBC Project - Agenda

- Overall Status
- Areas of Focus
- Project Timeline with Gate Deliverables
- Risks
- QA Report

FBC Project Status

Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

Deliverables – Gate 7: July 1, 2023 – December 30, 2023

Deliverable	Status
Technical Documentation	In Progress
Training Materials	Complete
Final Test Report	In Progress
Go - No Go Decision - Pilot	Complete
Go - No Go Decision - Full Rollout	Complete

System is Operational

- Full Rollout started
 - FFL – 2 out of 3 phases begun, final with start 9/18
 - LEA – opened the PIIES system to ALL LEAs with a target of 10/1/23 for total migration
- 150 FFLs have migrated to SAFE, 88 submitting background checks
- 139 LEAs have begun processing via PIIES
- 1774 background submissions
 - 28 Denials
 - 3 Appeals for the denial
- Complete rollout again targeted to end BEFORE the start of the holiday season

FBC – Areas of Focus

- Monitor SAFE and address any issues
- External agency coordination
- Expand prohibitor detection rules
- Test AR functionality with ARIS test environment
- Open API – (2) vendors are getting close to testing with SAFE IT group
- Complete Gate 7 Deliverables
- Technical Budget completion and submission for approval

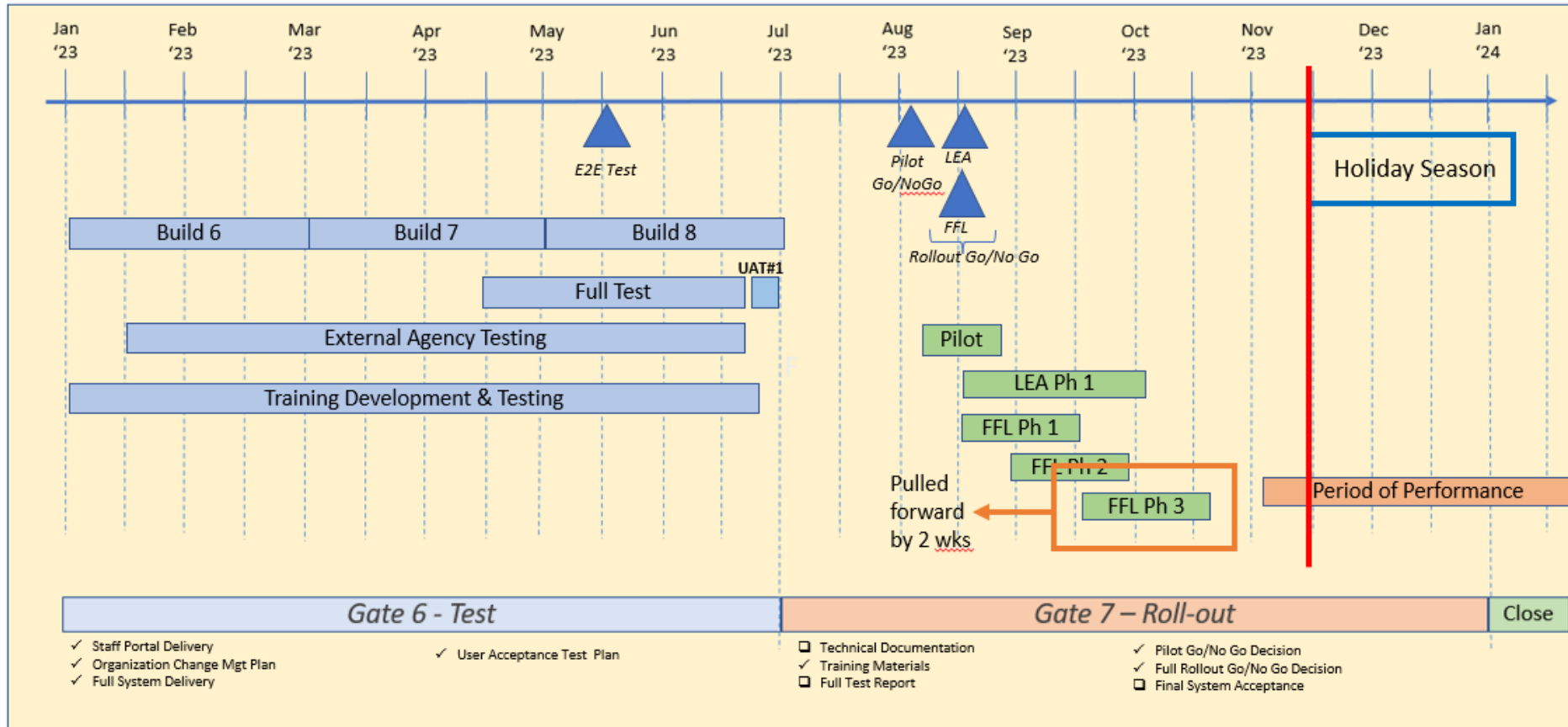
Use Case Traceability

Use Case Status	Full System	%
Total Use Cases	36	100%
Done	27	75%
Cancelled	7	19%
CCG Done-Ready for WSP Testing	2	6%
Incomplete Use Cases (detail below):	0	0%
<i>In Progress</i>	<i>0</i>	
<i>Development Ready</i>	<i>0</i>	
<i>In Code Review</i>	<i>0</i>	
<i>To be done</i>	<i>0</i>	

Outstanding Use Case	Status
AR.I2 Accounts Receivable – Record Receivable Endpoint	To be tested with BFS
DP.U1.4 Open API – Interface with Outside Vendor System	To be tested with Outside Vendor

FBC Project Timeline

Firearms Background Check (FBC) Project Timeline



Updated 9/7/2023



Milestones

✓ Completed Gate Deliverable

■ Live Production Rollout

— Schedule Change

Risks

WSP FBC Project Risks

Updated 9/7/2023

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High	E-6 O-12 I-17, I-27, I-28	O-26 PM-30	
	Medium	E-4, E-22 PM-15, PM-31		T-29
	Low	E-2, E-3, E-21		

Risk Classifications –

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

Risk #	Risk Description
O-26	Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan
PM-15	<u>Decr Prob, Decr Impact</u> - Development time is greater than planned
PM-30	<u>Deleted</u> – Identification of enhancements required for go-live increases schedule and/or increases budget
PM-31	<u>Decr Prob, Decr Impact</u> - CCG technical resources are released from project before development is <u>complete</u> and system is 'live'
E-6	<u>Deleted</u> - LInX-NW will not become the primary means for FB division to access local law enforcement records
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T-27	<u>Deleted</u> - Unable to use <u>Nlets</u> service to parse <u>rap sheets</u>
T-28	<u>Deleted</u> – Leidos work is not complete for the PIIES portal

No Risks Added

High Risk Mitigations

Risk #	Risk Description	Mitigations
O-26	Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan	<ol style="list-style-type: none"><li data-bbox="929 562 1794 629">1. Reposting of positions numerous times per type to increase candidates and keeping the posting more current<li data-bbox="929 629 1794 662">2. Prioritize FBD candidates in the background processing

QA Report #28 August 2023

FBC Project Steering Committee Meeting
September 13, 2023

QA Report #28 – August 2023

Independent Quality Assurance Report
CASE Associates Inc.

Dan Kruger



August 2023 – Overall Project Health is **STABLE**



August 2023 – Quality Focal Points

Quality Focal Point (QFP) Assessment	Impact	June 2023 Monthly Status	July 2023 Monthly Status	August 2023 Monthly Status	Next Month's Trending Indicator
1. Project Phase Readiness/Completion	High	STABLE	STABLE	STABLE	↔
2. Requirements Management	High	STABLE	STABLE	STABLE	↔
3. Project Schedule	High	NEEDS ATTENTION	NEEDS ATTENTION	STABLE	↔
4. Communications	High	STABLE	STABLE	STABLE	↔
5. Risk and Issue Management	High	STABLE	STABLE	STABLE	↔
6. FBC Vendor Performance	High	NEEDS ATTENTION	NEEDS ATTENTION	STABLE	↔
7-T. Technical Transition (T)	High	STABLE	STABLE	STABLE	↔
7-B. Business Process Re-engineering (B)	High	STABLE	STABLE	STABLE	↔
8. Project Organization and Leadership	High	STABLE	STABLE	STABLE	↔
9. Project Resources	High	STABLE	STABLE	STABLE	↔
10. Project/Quality Management and Reporting	Medium	STABLE	STABLE	STABLE	↔
11. Budget Planning and Tracking	Medium	STABLE	STABLE	STABLE	↔
12. Scope and Change Control	Medium	STABLE	STABLE	STABLE	↔
13. Roles, Responsibilities, and Communications	High	STABLE	STABLE	STABLE	↔
14. IT Architecture	High	STABLE	STABLE	STABLE	↔
15. IT Acquisition Management	High	STABLE	STABLE	STABLE	↔
16. Project Library and Configuration Management	Medium	STABLE	STABLE	STABLE	↔

Quality Focal Point (QFP) Assessment	Impact	June 2023 Monthly Status	July 2023 Monthly Status	August 2023 Monthly Status	Next Month's Trending Indicator
17. System Definition Process	High	STABLE	STABLE	STABLE	↔
18. System Design Process	High	STABLE	STABLE	STABLE	↔
19. Data Conversion/Migration	High	STABLE	STABLE	STABLE	↔
20. Configuration/Construction	High	STABLE	STABLE	STABLE	↔
21. Testing (Functional, Capacity, Performance)	High	STABLE	STABLE	STABLE	↔
22. User Acceptance, Business Process Transition	High	STABLE	STABLE	STABLE	↔
23. Training	High	STABLE	STABLE	STABLE	↔
24. Inter/Intra-Agency Coordination and Implementation	High	STABLE	STABLE	STABLE	↔
25. Implementation Process	High	ATTENTION	ATTENTION	STABLE	↔
26. Deployment Process	High	ATTENTION	ATTENTION	STABLE	↔
27. Interface Design and Implementation	Medium	STABLE	STABLE	STABLE	↔

Next month's indicators signify expected changes in the QFP ratings.	Rating
This Quality Focal Point (or group of QFPs) is expected to have the same rating in next month's Periodic QA Evaluation.	↔
Risk is increasing on the Quality Focal Point. It may be changed to Alert in next month's evaluation	↑
Risk is decreasing on the Quality Focal Point. It may be changed to Attention or Stable in next month's evaluation.	↓
Risk is increasing on the Quality Focal Point. It may be changed to Attention in next month's evaluation.	↗
Risk is decreasing on the Quality Focal Point. It may be changed to Stable in next month's evaluation.	↘

August 2023 – QA Recommendations

New Recommendations

There are no new recommendations for August 2023

Open/Closed Recommendations

There are no open recommendations

There are two (2) closed recommendations

Watch List (WL) Items

There are no watch list items for August 2023.

QA Next Month's Focus for September 2023

Project Schedule

- Focus on WSP review of the Roll-out in the Production Environment (LEAs, FFLs Phase 1 and 2)
- Complete testing and fixing all remaining SAFE bugs for the full phased roll-out after the Pilot
- Review the OCM communications for the full release of the SAFE system
- Formal review and update the Project Risk Matrix

Review Risks and Mitigations

Review the overall project schedule

Firearms Background Division (FBD)

FB Division - Agenda

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

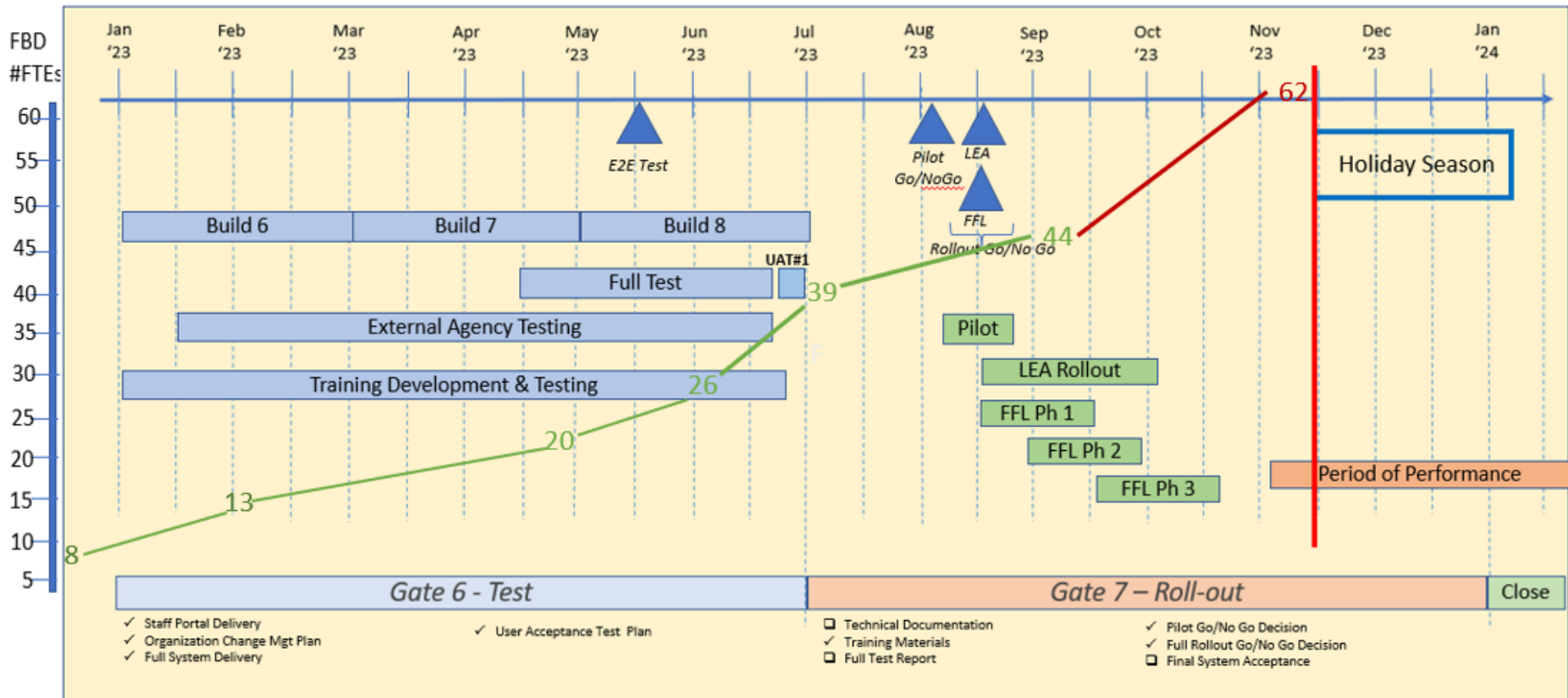
Firearm Background Division (FBD) Status

- Staff Hiring
 - (44) FBD resources, including the (5) new PS2s
 - Interviews for PS2 positions this week
 - September Training Session starts 9/18/23 for the (5) new PS2s
- Communication
 - Weekly email sent to LEAs, FBI, HCA, AOC and DOL with the list of new FFLs who migrated to SAFE during the previous week.

FBD Hiring Plan

Firearms Background Check (FBC) Project Timeline

Updated 9/8/2023



Updated 9/7/2023



Milestones



Completed Gate Deliverable



Live Production Rollout



Schedule Change

FBC Project Budget – by Gate

Firearm Background Check IT Project Budget
Full project by gate
actual expenditure data as of September 6th, 2023

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	\$ 646,836	\$ 159,372	\$ 6,192
Gate 6 - Test	\$ 602,612	\$ 408,788	\$ 159,372	\$ 34,452
Gate 7 - Roll-out	\$ 806,004			\$ 806,004
	\$ 4,123,814	\$ 2,285,435	\$ 750,048	\$ 1,088,331

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:

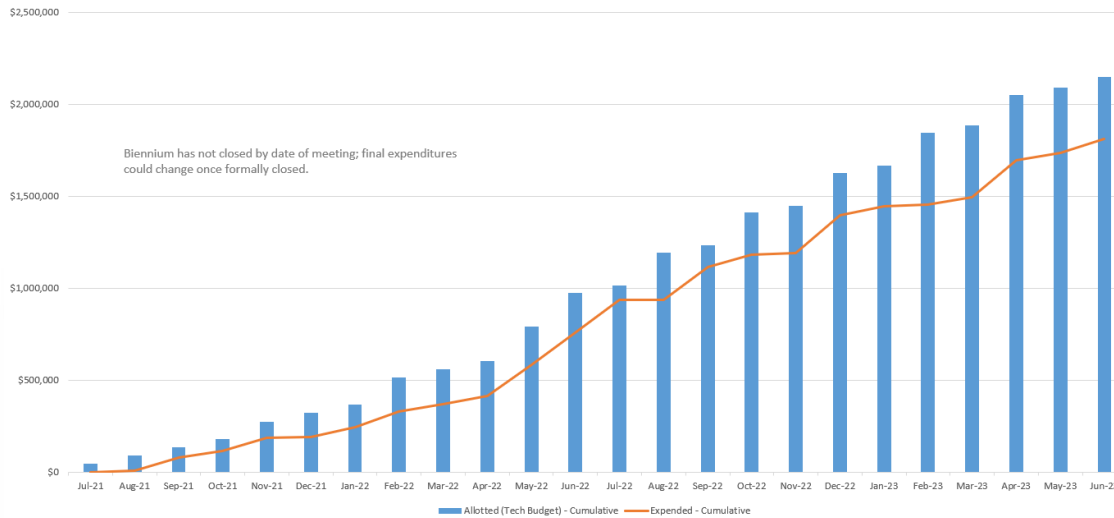
for Budgeted Expenditures, expenditures are assigned a specific project code for each gate

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

FBC Tech Budget vs. Actual
2021-23 Biennium



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

actual expenditure data as of September 6th, 2023

Firearms Background Check IT Project

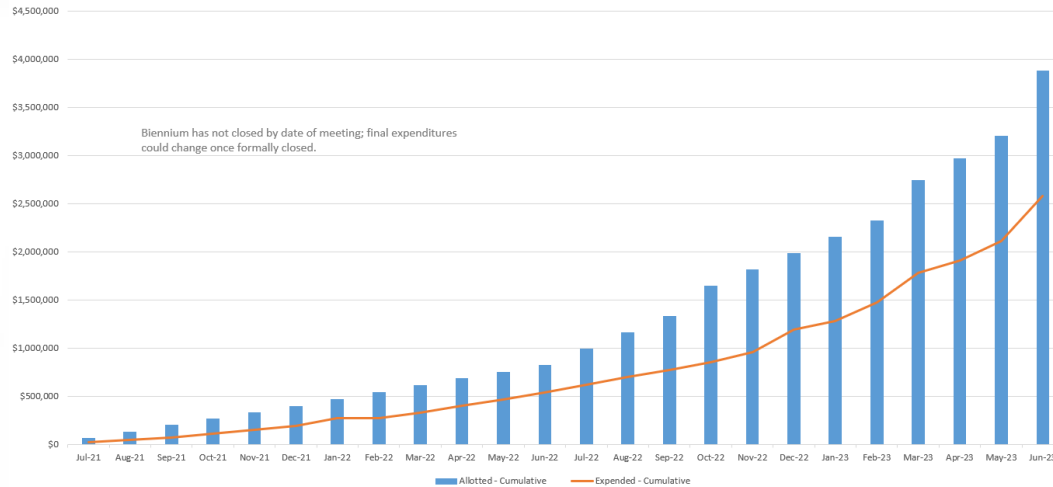
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Project Manager & Technical Architect	\$ 859,200	\$ 811,870	\$ 47,330
Quality Assurance	\$ 144,000	\$ 140,280	\$ 3,720
Software Licenses and Subscriptions	\$ 14,740	\$ -	\$ 14,740
	<u>\$ 2,151,843</u>	<u>\$ 1,815,483</u>	<u>\$ 336,360</u>

Funding	Budget	Actual	Variance
Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 1,815,483	\$ 336,360
In-kind Agency Funding	\$ -	\$ -	\$ -
	<u>\$ 2,151,843</u>	<u>\$ 1,815,483</u>	<u>\$ 336,360</u>

Notes

FBD Budget

FBD Budget vs. Actual
2021-23 Biennium



Firearm Background Division Budget 2021-23 Biennium

actual expenditure data as of September 6th, 2023

Firearms Background Division

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 1,935,173	\$ 1,704,528	\$ 230,645
Contracts/Goods/Services	\$ 862,978	\$ 323,104	\$ 539,874
Travel	\$ 55,550	\$ 3,642	\$ 51,908
Equipment	\$ 791,956	\$ 553,664	\$ 238,292
	\$ 3,645,657	\$ 2,584,938	\$ 1,060,719

Funding	Budget	Actual	Variance*
State Firearms Background Check Funding	\$ 3,326,952	\$ 2,344,933	\$ 982,019
General Fund FY22	\$ 135,325	\$ 90,841	\$ 44,484
General Fund FY23	\$ 183,380	\$ 149,164	\$ 34,216
	\$ 3,645,657	\$ 2,584,938	\$ 1,060,719

* Actual available balance (reduced by FY22 fund balance) \$ 1,016,235

Notes

State Firearms Background Check System Account balance at the end of the 21-23 BI was \$3,228,930.87 as of 09/06/23.

Questions/Discussion



Firearms Background Check Program Advisory Board Meeting







October 11, 2023

FBC Project - Agenda

- Overall Status
- Areas of Focus
- Project Timeline with Gate Deliverables
- Risks
- QA Report

FBC Project Status

Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

Deliverables – Gate 7: July 1, 2023 – December 30, 2023

Deliverable	Status
Technical Documentation	In Progress
Training Materials	Complete
Final Test Report	In Progress
Go - No Go Decision - Pilot	Complete
Go - No Go Decision - Full Rollout	Complete

SAFE Production Update

- System is open for all FFLs and LEAs
- Current user counts:
 - FFL – 184
 - LEA – 164
- Submissions – 5800 background checks
 - 7 stolen guns
 - 111 Denials
 - 15 Appeals
 - 8 Overturned
- Open API – first FFL submitting via Orchid vendor connection

System Success Stories

- Purchase in Walla Walla County – Denied
- Mt. Vernon with a possible “straw purchase”
- Number of Stolen Firearms Recovered

FBC – Areas of Focus

- Continue to monitor SAFE and address any issues
- AOC rule changes to be completed and tested
- FBC SME review of expanded prohibitor detection rules
- Approval of the remaining system functionality:
 - Test AR functionality with ARIS test environment
 - Technical Documentation
 - Open API – expand the use to other outside vendors
 - QuickSight reports
- Transition from Hypercare to Support & Maintenance

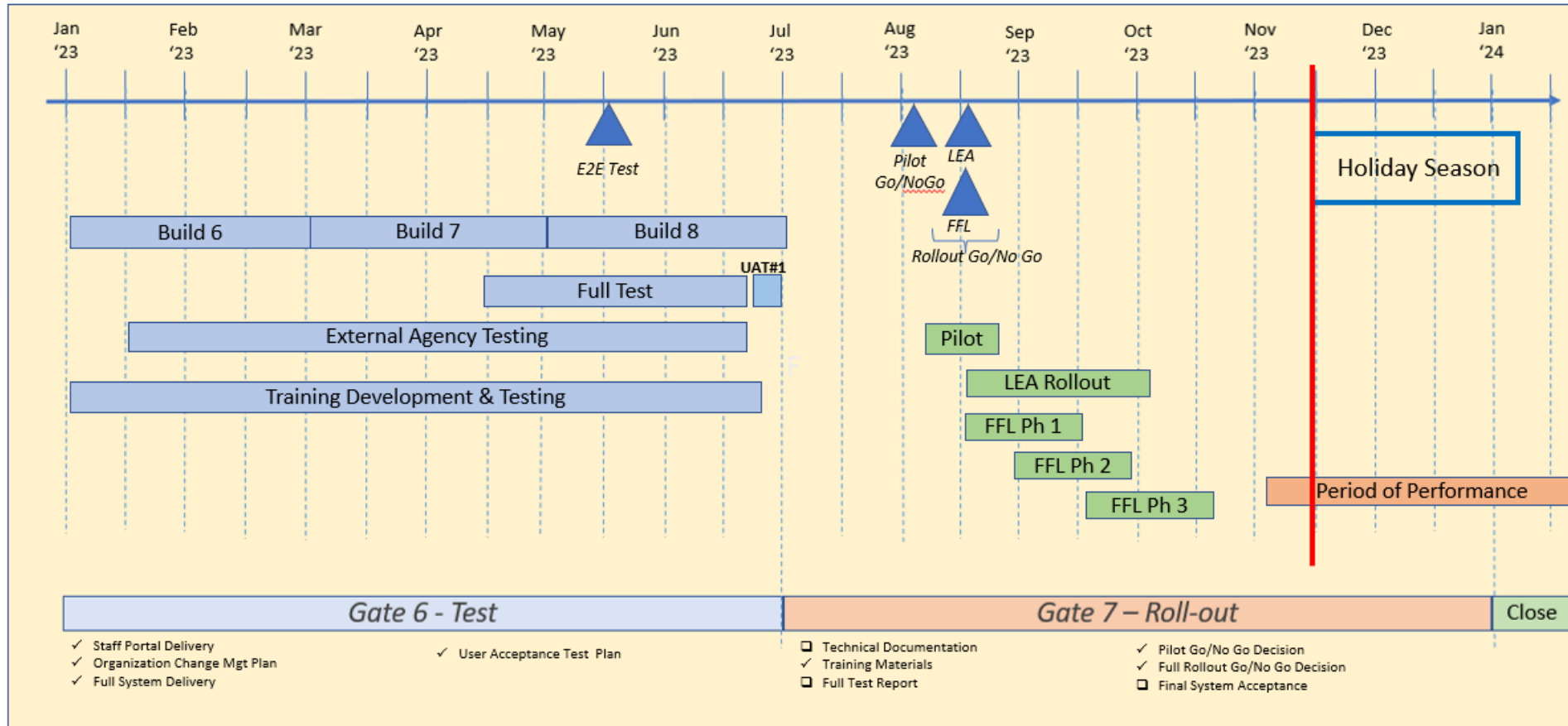
Use Case Traceability

Use Case Status	Full System	%
Total Use Cases	36	100%
Done	27	75%
Cancelled	7	19%
CCG Done-Ready for WSP Testing	2	6%
Incomplete Use Cases (detail below):	0	0%
<i>In Progress</i>	<i>0</i>	
<i>Development Ready</i>	<i>0</i>	
<i>In Code Review</i>	<i>0</i>	
<i>To be done</i>	<i>0</i>	

Outstanding Use Case	Status
AR.I2 Accounts Receivable – Record Receivable Endpoint	To be tested with BFS
DP.U1.4 Open API – Interface with Outside Vendor System	To be tested with Outside Vendor

FBC Project Timeline

Firearms Background Check (FBC) Project Timeline



Updated 10/6/2023



Milestones



Completed Gate Deliverable



Live Production Rollout



Schedule Change

Risks

WSP FBC Project Risks

Updated 9/7/2023

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High		O-26	
	Medium	E-4, E-22 PM-15, PM-31		T-29
	Low	E-2, E-3, E-21		

Risk Classifications –

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

Risk #	Risk Description
O-26	Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan

Risk #	Mitigations
O-26	<ol style="list-style-type: none"> 1. Reposting of positions numerous times per type to increase candidates and keeping the posting more current 2. Prioritize FBD candidates in the background processing

QA Report #29

September 2023

FBC Project Steering Committee Meeting
October 11, 2023

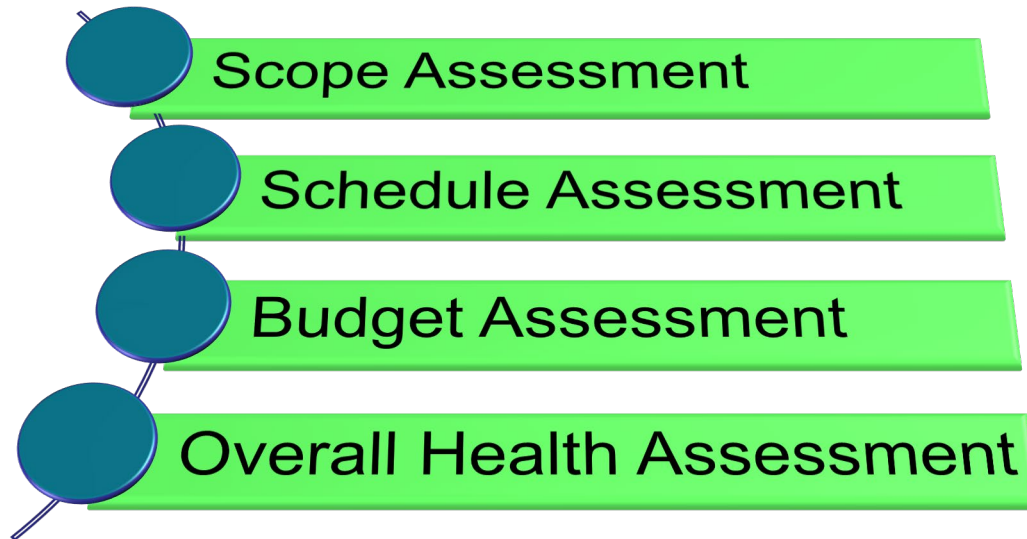
QA Report #29 – September 2023

Independent Quality Assurance Report
CASE Associates Inc.

Dan Kruger



September 2023 – Overall Project Health is **STABLE**



September 2023 – Quality Focal Points

Quality Focal Point (QFP) Assessment	Impact	July 2023 Monthly Status	August 2023 Monthly Status	Sept 2023 Monthly Status	Next Month's Trending Indicator
1. Project Phase Readiness/Completion	High	STABLE	STABLE	STABLE	↔
2. Requirements Management	High	STABLE	STABLE	STABLE	↔
3. Project Schedule	High	NEEDS ATTENTION	STABLE	STABLE	↔
4. Communications	High	STABLE	STABLE	STABLE	↔
5. Risk and Issue Management	High	STABLE	STABLE	STABLE	↔
6. FBC Vendor Performance	High	NEEDS ATTENTION	STABLE	STABLE	↔
7-T. Technical Transition (T)	High	STABLE	STABLE	STABLE	↔
7-B. Business Process Re-engineering (B)	High	STABLE	STABLE	STABLE	↔
8. Project Organization and Leadership	High	STABLE	STABLE	STABLE	↔
9. Project Resources	High	STABLE	STABLE	STABLE	↔
10. Project/Quality Management and Reporting	Medium	STABLE	STABLE	STABLE	↔
11. Budget Planning and Tracking	Medium	STABLE	STABLE	STABLE	↔
12. Scope and Change Control	Medium	STABLE	STABLE	STABLE	↔
13. Roles, Responsibilities, and Communications	High	STABLE	STABLE	STABLE	↔
14. IT Architecture	High	STABLE	STABLE	STABLE	↔
15. IT Acquisition Management	High	STABLE	STABLE	STABLE	↔
16. Project Library and Configuration Management	Medium	STABLE	STABLE	STABLE	↔

Quality Focal Point (QFP) Assessment	Impact	July 2023 Monthly Status	August 2023 Monthly Status	Sept 2023 Monthly Status	Next Month's Trending Indicator
17. System Definition Process	High	STABLE	STABLE	STABLE	↔
18. System Design Process	High	STABLE	STABLE	STABLE	↔
19. Data Conversion/Migration	High	STABLE	STABLE	STABLE	↔
20. Configuration/Construction	High	STABLE	STABLE	STABLE	↔
21. Testing (Functional, Capacity, Performance)	High	STABLE	STABLE	STABLE	↔
22. User Acceptance, Business Process Transition	High	STABLE	STABLE	STABLE	↔
23. Training	High	STABLE	STABLE	STABLE	↔
24. Inter/Intra-Agency Coordination and Implementation	High	STABLE	STABLE	STABLE	↔
25. Implementation Process	High	ATTENTION	STABLE	STABLE	↔
26. Deployment Process	High	ATTENTION	STABLE	STABLE	↔
27. Interface Design and Implementation	Medium	STABLE	STABLE	STABLE	↔

Next month's indicators signify expected changes in the QFP ratings.	Rating
This Quality Focal Point (or group of QFPs) is expected to have the same rating in next month's Periodic QA Evaluation.	↔
Risk is increasing on the Quality Focal Point. It may be changed to Alert in next month's evaluation	↑
Risk is decreasing on the Quality Focal Point. It may be changed to Attention or Stable in next month's evaluation.	↓
Risk is increasing on the Quality Focal Point. It may be changed to Attention in next month's evaluation.	↗
Risk is decreasing on the Quality Focal Point. It may be changed to Stable in next month's evaluation.	↘

September 2023 – Continued SAFE Pilot Open Channel

Pilot Open Channel Chat 4 more Join 13

Some people in this chat are outside your org. It's possible they have message-related policies that will apply to the chat. [Learn more](#)

WZ yeah 1

Friday

Baird, Kevin (WSP) (Guest) Friday 5:41 AM

KB Morning! Any idea why this one is showing as 'no state license' when it's in the DOL DB with the exact same UBI? He's expired in the DB, but otherwise, is a match.

6044776460010001	Sep 20, 2023	991077015K09319	Oct 1, 2025	T & T SHOOTERS SUPPLY	null	308 N 6TH AVE
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Wei Zheng (Guest) Friday 6:24 AM

WZ Looks like 6044776460010001 DOL was removed before that ffl was created. Our DOL matching logic during onboarding or daily syncing does not include removed DOL

Baird, Kevin (WSP) (Guest) Friday 6:25 AM

Suresh, Asha (WSP) (Guest) is out of office and may not respond

Type a message...

QA Hypercare Pilot Open Channel through October 2023

September 2023 – QA Recommendations

New Recommendations

There are no new recommendations for September 2023

Open/Closed Recommendations

There are no open recommendations

There are two (2) closed recommendations

Watch List (WL) Items

There are no watch list items for September 2023.

QA Next Month's Focus for October 2023

Project Schedule

- Review the Project Schedule, remaining tasks and activities
- Review the deployment schedule (LEAs, FFLs Phases 1, 2, and 3)
- Monitor Change Requests
- Continue monitoring the testing and fixing SAFE bugs and enhancements
- Review the SAFE OCM activities
- Review QuickSight operational and management reports
- Review the Project Charter success measures against system metrics

Review Risks and Mitigations

Firearms Background Division (FBD)

FB Division - Agenda

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

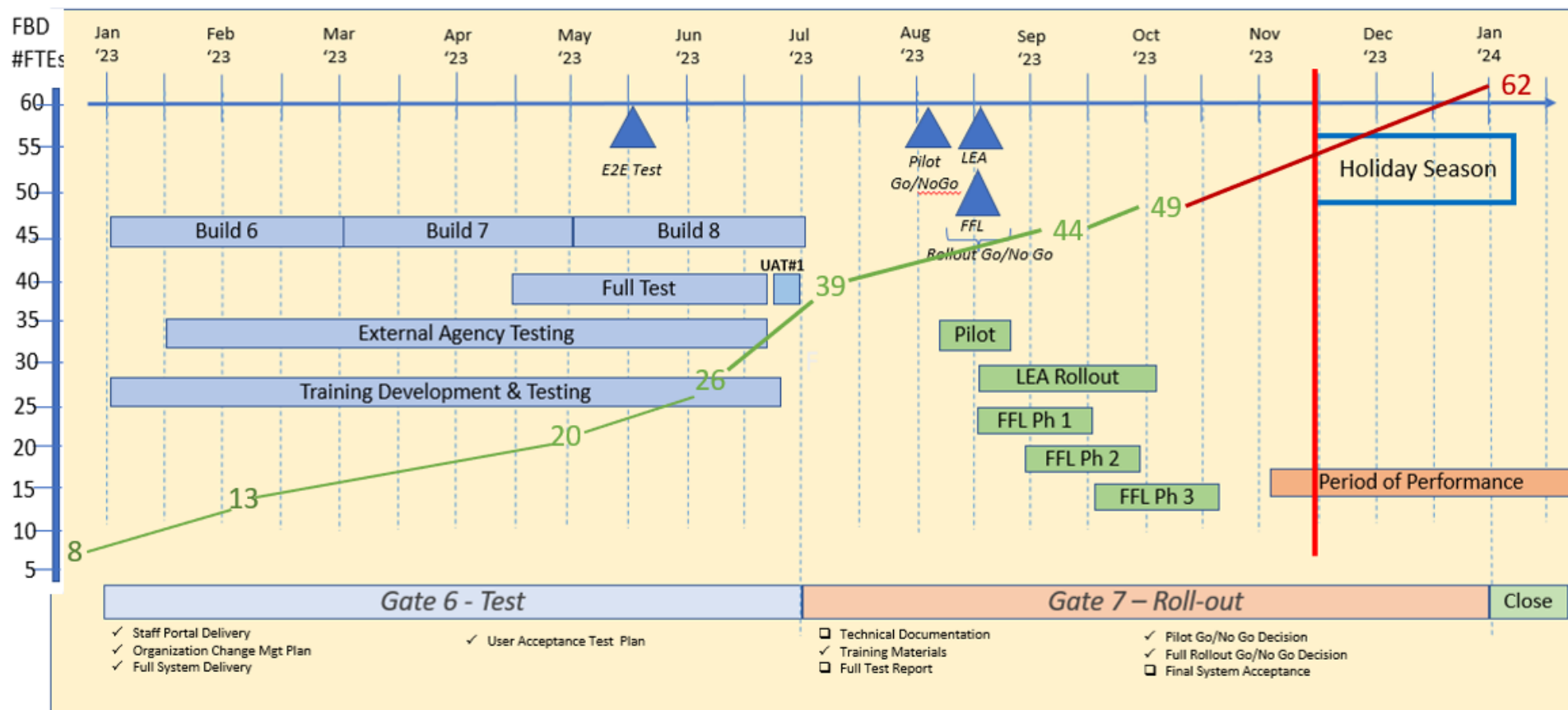
Firearm Background Division (FBD) Status

- Staff Hiring
 - (49) FBD resources
 - Interviews for PS2 positions being conducted this week
 - September Training Session in progress, next planned for November
 - Remaining Unit hiring (7 positions) will be put on hold until Jan 2023
- Communication
 - Weekly email sent to LEAs, FBI, HCA, AOC and DOL with the list of new FFLs who migrated to SAFE during the previous week.
 - FBD management attended ATF Seminar in Richland WA to provide a SAFE update to FFLs attending.
 - Email sent to LEAs to remind them of the 10/1 deadline to start using the PIIES system to submit Health Care Authority checks.
 - Survey sent to FFLs to obtain input for potentials system change

FBD Hiring Plan

Firearms Background Check (FBC) Project Timeline

Updated 10/6/2023



Updated 10/6/2023



Milestones



Completed Gate Deliverable



Live Production Rollout



Schedule Change

FBC Project Budget – by Gate

Firearm Background Check IT Project Budget
Full project by gate
actual expenditure data as of September 6th, 2023

Firearms Background Check IT Project

	Budget	Expenditures to-date	Estimated In-Kind Staff to-date	Variance
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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:

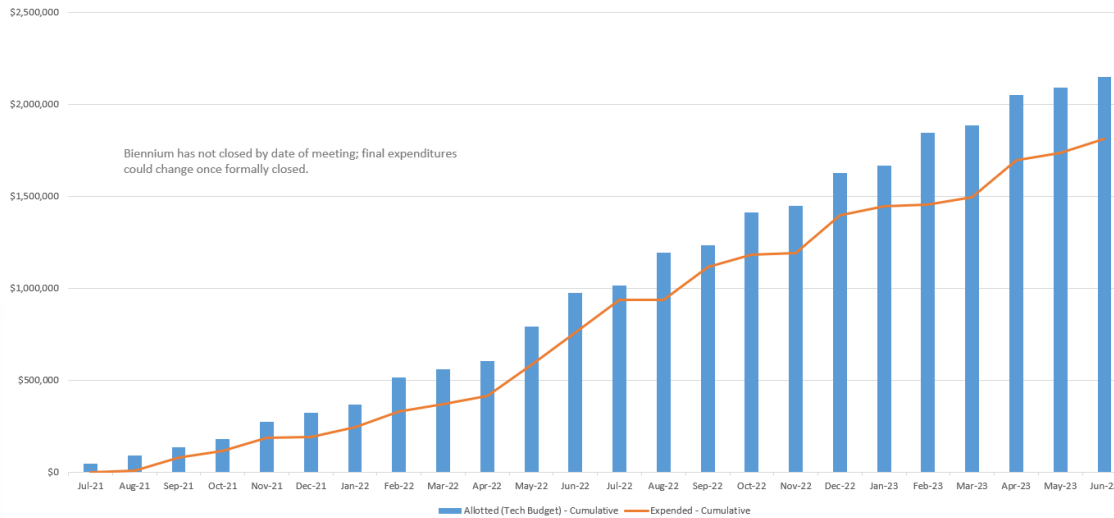
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FBC Project Budget

FBC Tech Budget vs. Actual
2021-23 Biennium



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

actual expenditure data as of September 6th, 2023

Firearms Background Check IT Project

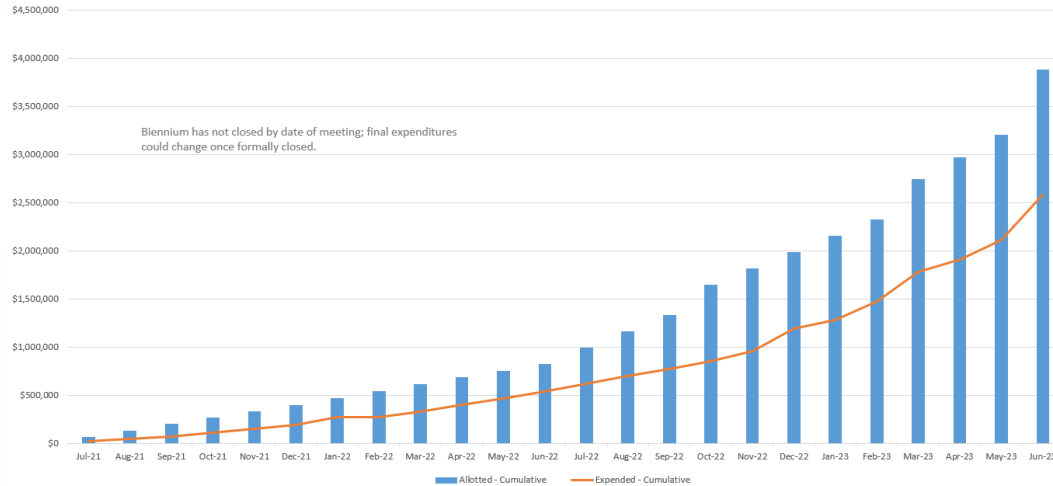
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Legislative Gated Funding (SFBC funding)	\$ 2,151,843	\$ 1,815,483	\$ 336,360
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Notes

FBD Budget

FBD Budget vs. Actual
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Firearm Background Division Budget 2021-23 Biennium

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Questions/Discussion



Firearms Background Check Program Advisory Board Meeting







November 8, 2023

FBC Project - Agenda

- Overall Status
- LEA Survey Results
- Areas of Focus
- Project Timeline with Gate Deliverables
- Risks
- QA Report

FBC Project Status

Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

Deliverables – Gate 7: July 1, 2023 – December 30, 2023

Deliverable	Status
Technical Documentation	In Progress
Training Materials	Complete
Final Test Report	In Progress
Go - No Go Decision - Pilot	Complete
Go - No Go Decision - Full Rollout	Complete

SAFE Production Update

- Current user counts:
 - FFL – 520 out of a total of 855 signed up for SAFE, 320 submitting background checks
 - LEA – no more submissions through HCA
- Submissions – 24,207 total background checks
 - Last meeting – total of 8,000 background checks
 - Statistics showing 38% auto adjudicated, 62% staff reviewed

Number of Autoadjudicated Background Checks last 15 days



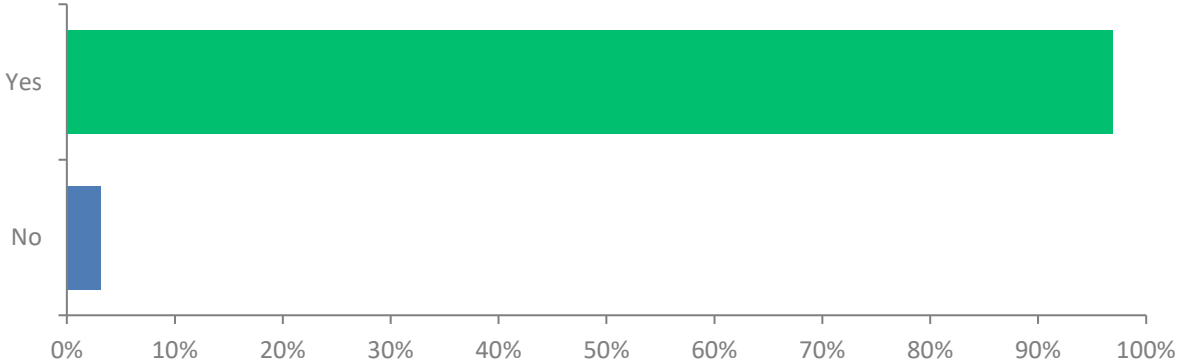
LEA SAFE Check In

Monday, October 30, 2023

Complete Responses: 97

Q1: Are you aware that once a local FFL is onboarded to use Secure Automated Firearms E-Check (SAFE), your agency no longer has to process their Firearm Transfer Application (FTA) forms?

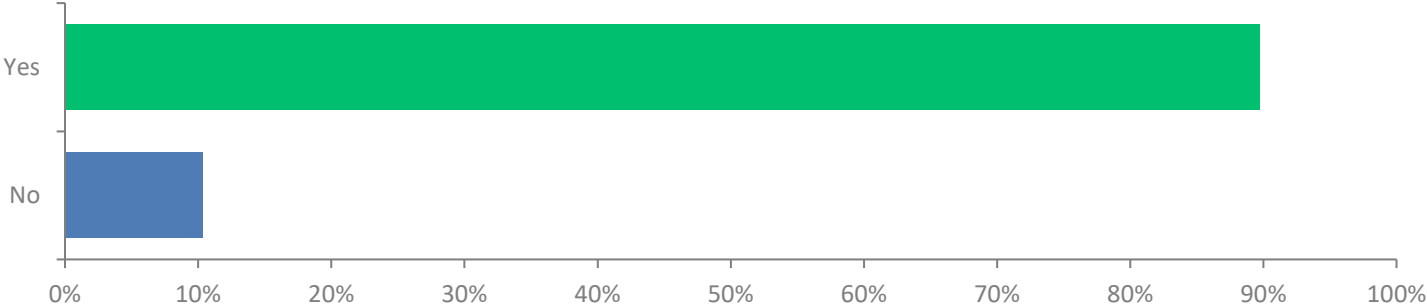
Answered: 97 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	96.91%	94
No	3.09%	3
TOTAL		97

Q2: Are you aware that onboarded FFLs can be found on the Washington State Patrol Firearms Background Division (FBD) website under FFL Migration Tracking, and is updated on a weekly basis? <https://www.wsp.wa.gov/firearms-background-division/>

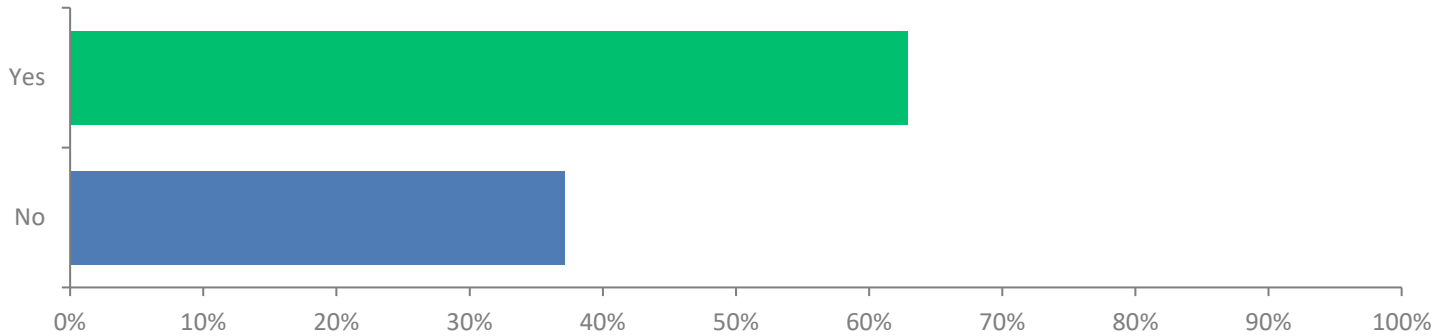
Answered: 97 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	89.69%	87
No	10.31%	10
TOTAL		97

Q3: Are you aware that once a local FFL is onboarded to use SAFE, your agency will still receive ATF Form 3310.4 (Multiple Sale of Pistol/Revolver) forms? This is best practice per ATF guidance

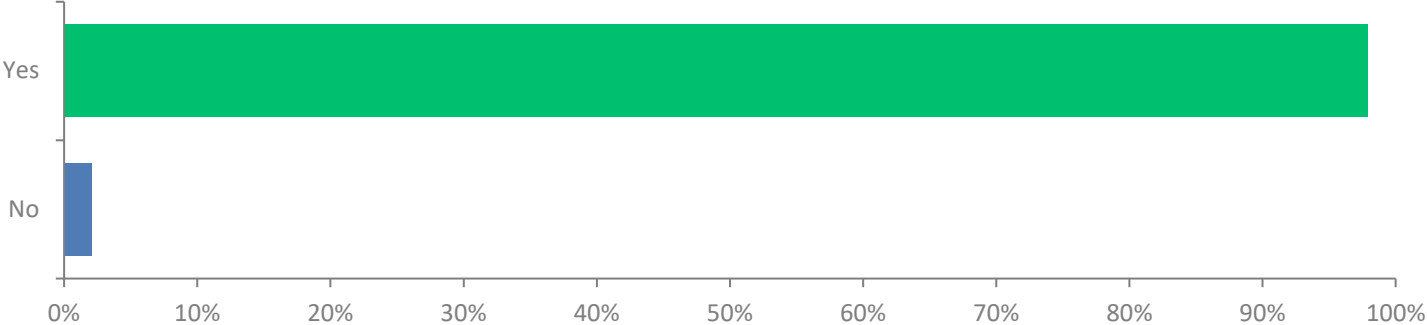
Answered: 97 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	89.69%	87
No	10.31%	10
TOTAL		97

Q4: Are you aware that your agency can receive Health Care Authority (HCA) check responses in as soon as 1-2 hours through the web portal?

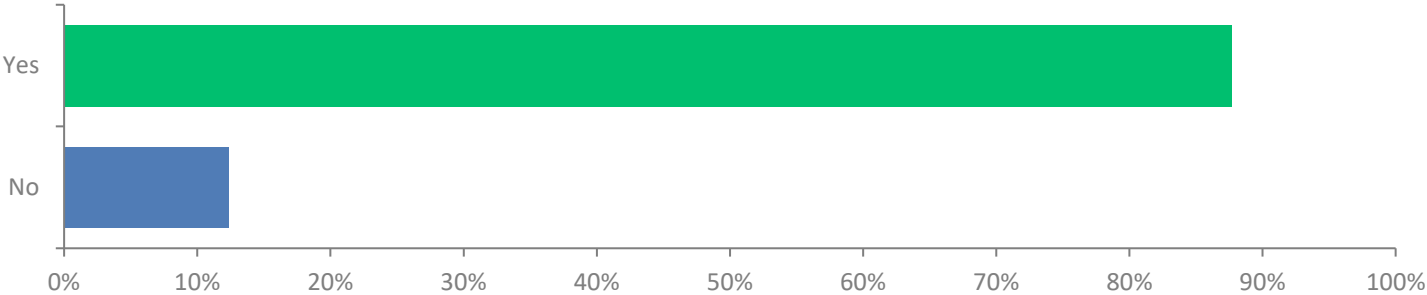
Answered: 96 Skipped: 1



ANSWER CHOICES	RESPONSES	
Yes	97.92%	94
No	2.08%	2
TOTAL		96

Q5: Are you aware that an HCA check can be submitted, and viewed, by anyone in your agency with HCA check permissions inside the web portal?

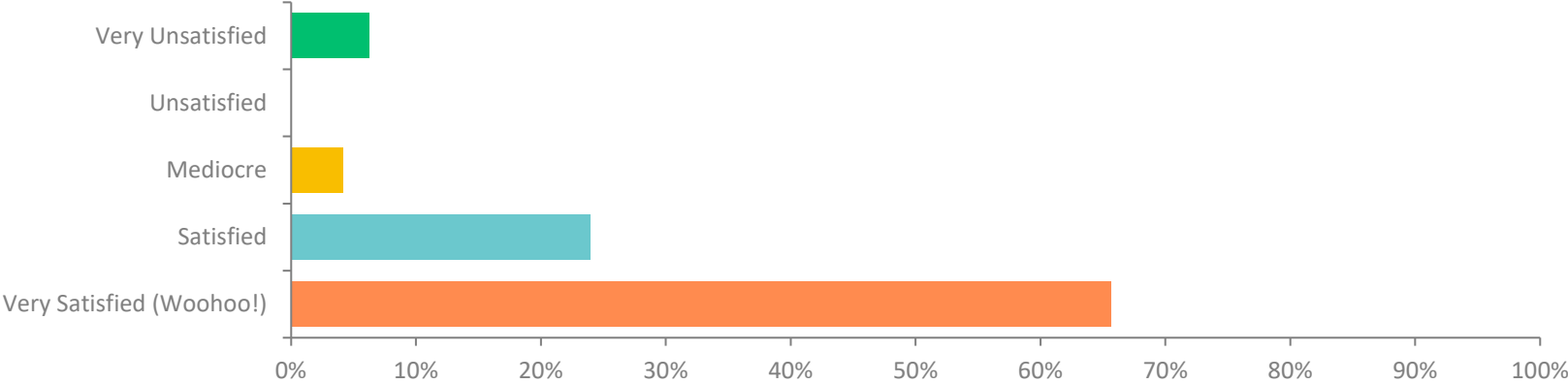
Answered: 97 Skipped: 0



ANSWER CHOICES	RESPONSES	
Yes	87.63%	85
No	12.37%	12
TOTAL		97

Q6: Please rank your experience with the HCA check capabilities inside the portal:

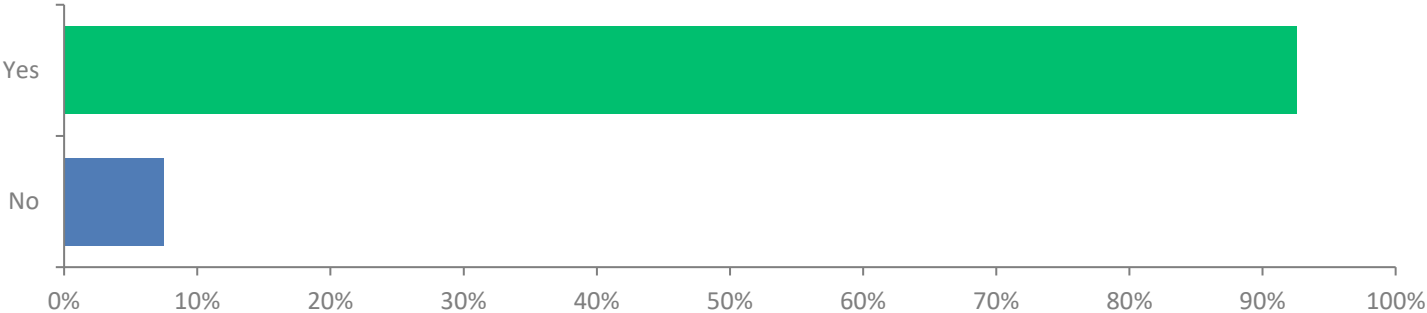
Answered: 96 Skipped: 1



ANSWER CHOICES	RESPONSES	
Very Unsatisfied	6.25%	6
Unsatisfied	0%	0
Mediocre	4.17%	4
Satisfied	23.96%	23
Very Satisfied (Woohoo!)	65.62%	63
TOTAL		96

Q7: Since all firearm transfer background checks will be submitted to WSP as of 2/1/2024, would you still be interested in NICS training for 2024?

Answered: 94 Skipped: 3



ANSWER CHOICES	RESPONSES	
Yes	92.55%	87
No	7.45%	7
TOTAL		94

Q8: Please provide any additional comments. If you would like a response, please include your email address.

Answered: 21 Skipped: 76

1	My agency would like a date on the response when we receive it. Also, it feels weird that the last name isn't the first field. I keep messing it up.	10/27/2023 6:40 PM
2	I love the new system! I only wish other pd's hadnt prevented your new dept from being the central point of contact for ALL CPL processing!!!!	10/24/2023 12:56 PM
3	What a great transition to a more efficient and effective system. I especially appreciate that the new system has empowered us to receive CPL fingerprint responses quickly and still have the option to retrieve them as needed.	10/24/2023 12:21 PM
4	You are doing great! Love the new HCA check system!	10/24/2023 11:32 AM
5	I wish there was an easier way to search and/or sort from the list of FFL's. It seems to be listed by date not name of FFL. Also the name of the FFL maybe the corporate name, not the daily business name used.	10/24/2023 11:32 AM
6	So far we have been very happy with the new HCA process and look forward to more FFL's joining SAFE. Seems to be going well so far.	10/24/2023 11:20 AM
7	Will the state ever take over CPL applications?	10/24/2023 10:56 AM
8	Notifications once the HCA check is done aren't working	10/24/2023 10:51 AM
9	There should be a place for the initials/PSN of the submitting person when we submit an HCA request that we could then sort by. Our Records Unit does not consistently archive the responses they receive so we have PAGES of responses just sitting there that they don't know what to do with now that its been more than a few weeks.	10/24/2023 10:45 AM
10	We would like to request the HCA check portal reverse the name entry fields to Last, First, Middle like all the forms. dani.bowerman@ridgfieldwa.us	10/24/2023 10:39 AM
11	I wish the HCA cvs sheet and the portal matched; as in, the way the names are entered. One is first, last, middle and the other is first , middle, last. I would prefer that everything be the same on both the sheet and the online system.	10/24/2023 10:37 AM

Q8: Please provide any additional comments. If you would like a response, please include your email address.

Answered: 21 Skipped: 76

12	You did not correctly capitalize the options in #6 - should read "WOOOHOOOO!" The HCA portal has been an absolute game-changer for me!	10/24/2023 10:35 AM
13	Printability is non existent for Submitted and Eligible responses. Thanks	10/24/2023 10:22 AM
14	Is there a way that you can get an email notification when you receive a response on an HCA check? For me, it's out of sight, out of mind. I rely on that email response to get me back to the CPL renewal I am working on.	10/24/2023 10:20 AM
15	You all are doing great! Communication has been fantastic, Thank you!!	10/24/2023 10:17 AM
16	Excited for the changeover!	10/24/2023 10:14 AM
17	I like the HCA online request. It would be nice if I could be notified when applicants that I submitted were returned. I don't submit many, and it would save time to be notified that the return is back.	10/24/2023 10:09 AM
18	Requirements for firearms dealers to obtain their licenses through the local LE agency rebecca.pina@uniongapwa.gov	10/24/2023 10:06 AM
19	We are very pleased with the transition	10/24/2023 10:06 AM
20	Please add backgrounds for firearms returns from Evidence to SAFE. It would make sense to have it all in the same system.	10/24/2023 10:04 AM
1 / 2		
LEA SAFE Check In		
21	Thank you! We LOVE the new HCA process and how quickly we obtain results!	10/24/2023 10:02 AM

FBC – Areas of Focus

- Complete the needed Change Requests
- Implement the AOC rule changes associated with criminal dispositions
- Define and implement expanded prohibitor detection rules based on received data that is not required
- Approval of the remaining system functionality:
 - Test AR functionality with ARIS test environment
 - Technical Documentation
 - QuickSight reports

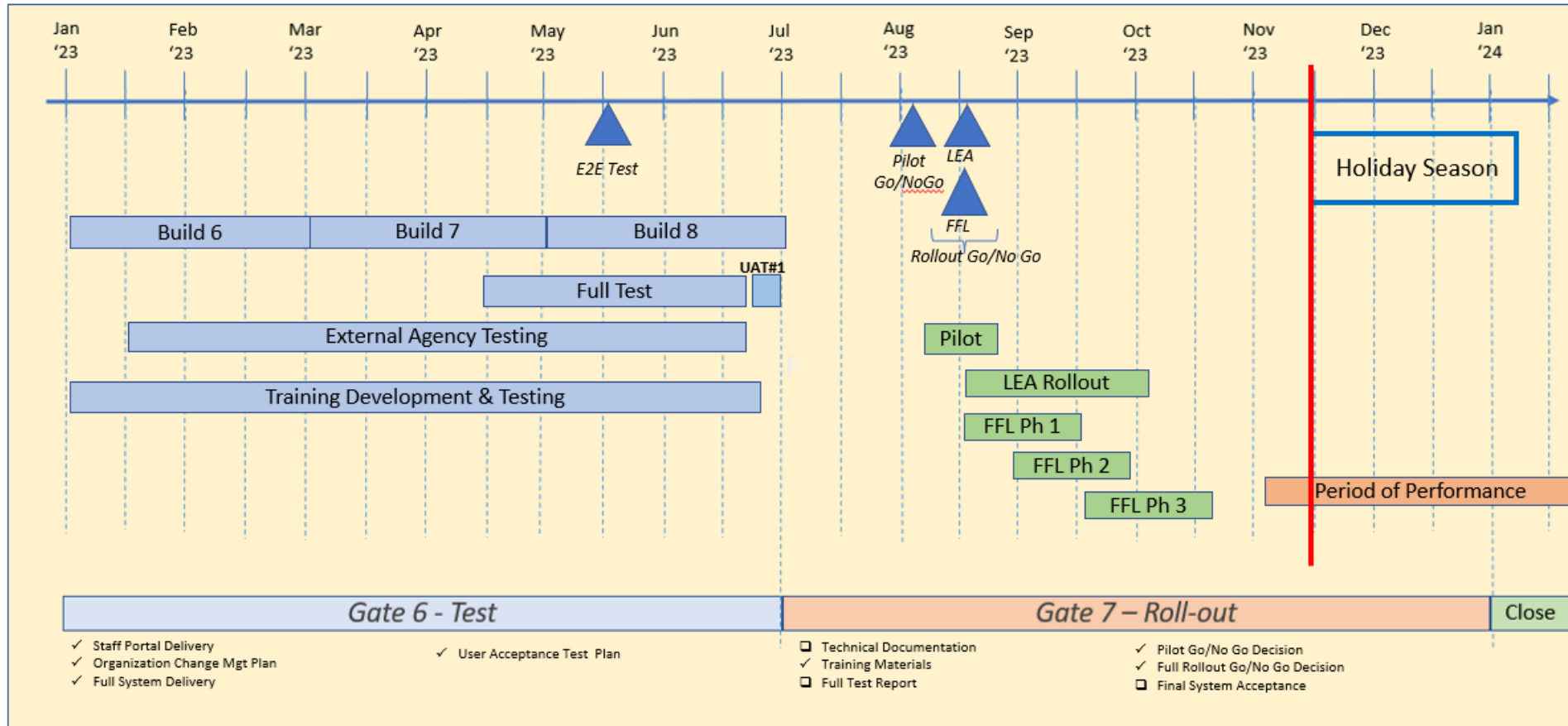
Use Case Traceability

Use Case Status	Full System	%
Total Use Cases	36	100%
Done	27	75%
Cancelled	7	19%
CCG Done-Ready for WSP Testing	2	6%
Incomplete Use Cases (detail below):	0	0%
<i>In Progress</i>	<i>0</i>	
<i>Development Ready</i>	<i>0</i>	
<i>In Code Review</i>	<i>0</i>	
<i>To be done</i>	<i>0</i>	

Outstanding Use Case	Status
AR.12 Accounts Receivable – Record Receivable Endpoint	To be tested with BFS

FBC Project Timeline

Firearms Background Check (FBC) Project Timeline



Updated 10/6/2023



Milestones



Completed Gate Deliverable



Live Production Rollout



Schedule Change

Risks

WSP FBC Project Risks

Updated 9/7/2023

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High		O-26	
	Medium	E-4, E-22 PM-15, PM-31		T-29
	Low	E-2, E-3, E-21		

Risk Classifications –

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

Risk #	Risk Description
O-26	Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan

Risk #	Mitigations
O-26	<ol style="list-style-type: none"> 1. Reposting of positions numerous times per type to increase candidates and keeping the posting more current 2. Prioritize FBD candidates in the background processing

FBC Project Steering Committee Meeting
November 11, 2023

QA Report #30 – October 2023

Independent Quality Assurance Report
CASE Associates Inc.

Dan Kruger

October 2023 – Overall Project Health is **STABLE**



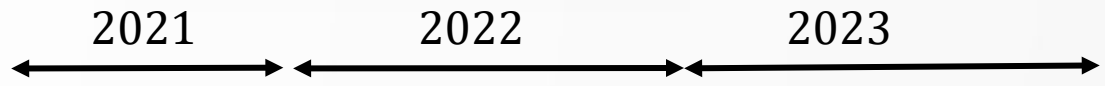
October 2023 – Quality Focal Points

Quality Focal Point (QFP) Assessment	Impact	August 2023 Monthly Status	Sept 2023 Monthly Status	October 2023 Monthly Status	Next Month's Trending Indicator
1. Project Phase Readiness/Completion	High	STABLE	STABLE	STABLE	↔
2. Requirements Management	High	STABLE	STABLE	STABLE	↔
3. Project Schedule	High	STABLE	STABLE	STABLE	↔
4. Communications	High	STABLE	STABLE	STABLE	↔
5. Risk and Issue Management	High	STABLE	STABLE	STABLE	↔
6. FBC Vendor Performance	High	STABLE	STABLE	STABLE	↔
7-T. Technical Transition (T)	High	STABLE	STABLE	STABLE	↔
7-B. Business Process Re-engineering (B)	High	STABLE	STABLE	STABLE	↔
8. Project Organization and Leadership	High	STABLE	STABLE	STABLE	↔
9. Project Resources	High	STABLE	STABLE	STABLE	↔
10. Project/Quality Management and Reporting	Medium	STABLE	STABLE	STABLE	↔
11. Budget Planning and Tracking	Medium	STABLE	STABLE	STABLE	↔
12. Scope and Change Control	Medium	STABLE	STABLE	STABLE	↔
13. Roles, Responsibilities, and Communications	High	STABLE	STABLE	STABLE	↔
14. IT Architecture	High	STABLE	STABLE	STABLE	↔
15. IT Acquisition Management	High	STABLE	STABLE	STABLE	↔
16. Project Library and Configuration Management	Medium	STABLE	STABLE	STABLE	↔
17. System Definition Process	High	STABLE	STABLE	STABLE	↔

Quality Focal Point (QFP) Assessment	Impact	August 2023 Monthly Status	Sept 2023 Monthly Status	October 2023 Monthly Status	Next Month's Trending Indicator
18. System Design Process	High	STABLE	STABLE	STABLE	↔
19. Data Conversion/Migration	High	STABLE	STABLE	STABLE	↔
20. Configuration/Construction	High	STABLE	STABLE	STABLE	↔
21. Testing (Functional, Capacity, Performance)	High	STABLE	STABLE	STABLE	↔
22. User Acceptance, Business Process Transition	High	STABLE	STABLE	STABLE	↔
23. Training	High	STABLE	STABLE	STABLE	↔
24. Inter/Intra-Agency Coordination and Implementation	High	STABLE	STABLE	STABLE	↔
25. Implementation Process	High	STABLE	STABLE	STABLE	↔
26. Deployment Process	High	STABLE	STABLE	STABLE	↔
27. Interface Design and Implementation	Medium	STABLE	STABLE	STABLE	↔

Next month's indicators signify expected changes in the QFP ratings.	Rating
This Quality Focal Point (or group of QFPs) is expected to have the same rating in next month's Periodic QA Evaluation.	↔
Risk is increasing on the Quality Focal Point. It may be changed to Alert in next month's evaluation	↑
Risk is decreasing on the Quality Focal Point. It may be changed to Attention or Stable in next month's evaluation.	↓
Risk is increasing on the Quality Focal Point. It may be changed to Attention in next month's evaluation.	↑
Risk is decreasing on the Quality Focal Point. It may be changed to Stable in next month's evaluation.	↓

October 2023 – Quality Focal Points - HEAT MAP



QUALITY FOCAL POINTS (QFP)	05/2021	06/2021	07/2021	08/2021	09/2021	10/2021	11/2021	12/2021	01/2022	02/2022	03/2022	04/2022	05/2022	06/2022	07/2022	08/2022	09/2022	10/2022	11/2022	12/2022	01/2023	02/2023	03/2023	04/2023	05/2023	06/2023	07/2023	08/2023	09/2023	10/2023	11/2023	12/2023	
QFP 1 - Project Phase Readiness/Completion	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 2 - Requirements Management	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 3 - Project Schedule	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 4 - Communications	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 5 - Risk and Issue Management	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 6 - FBC Vendor Performance	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 7-T - Technical Transition (T) and	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 7-B - Business Process Re-engineering (B)	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 8 - Project Organization and Leadership	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 9 - Project Resources	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 10 - Project/Quality Management and Reporting	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 11 - Budget Planning and Tracking	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 12 - Scope and Change Control	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 13 - Roles, Responsibilities, and Communications	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 14 - IT Architecture	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 15 - IT Acquisition Management	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 16 - Project Library and Configuration Management	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 17 - System Definition Process	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 18 - System Design Process	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 19 - Data Conversion/Migration	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 20 - Configuration/Construction	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 21 - Testing (Functional, Capacity, Performance)	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 22 - User Acceptance, Business Process Transition	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 23 - Training	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 24 - Inter/Intra-Agency Coordination and Implementation	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 25 - Implementation Process	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 26 - Deployment Process	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
QFP 27 - Interface Design and Implementation	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S

LEGEND

- STABLE
- NEEDS ATTENTION
- NOT RATED
- ALERT
- NO INFORMATION

October 2023 – Continued SAFE Pilot Open Channel

Pilot Open Channel Chat 4 more Join 13

Some people in this chat are outside your org. It's possible they have message-related policies that will apply to the chat. [Learn more](#)

WZ yeah 1

Friday

Baird, Kevin (WSP) (Guest) Friday 5:41 AM

KB Morning! Any idea why this one is showing as 'no state license' when it's in the DOL DB with the exact same UBI? He's expired in the DB, but otherwise, is a match.

Business Information

Business Information

Business Identifier (UBI)
991077015K09319

Account # (DO NOT CREATE WITHOUT HIS APPROVAL)
000001000

WSP does not have any state license information available for this given UBI. This may still be possible if the given provider continues using SAFE. With the expiration of this given period, users associated with this UBI will no longer be able to submit background checks.

I agree to License Information Check

The License Expires

Business Name* Business Alias
T & T Shooter's Supply T & T Shooter's Supply

Business Phone Number* Business Email
908-882-8471 hsh@tandtshooters.com

AFP License Number* Renewal AFP License Number
B-81-071-01-04-00019

Business Address [View Address](#)

6044776460010001	Sep 20, 2023	991077015K09319	Oct 1, 2025	T & T SHOOTERS SUPPLY	null	308 N 6TH AVE
------------------	--------------	-----------------	-------------	-----------------------	------	---------------

Wei Zheng (Guest) Friday 6:24 AM

WZ Looks like 6044776460010001 DOL was removed before that ffl was created. Our DOL matching logic during onboarding or daily syncing does not include removed DOL

Baird, Kevin (WSP) (Guest) Friday 6:25 AM

Suresh, Asha (WSP) (Guest) is out of office and may not respond

Type a message...

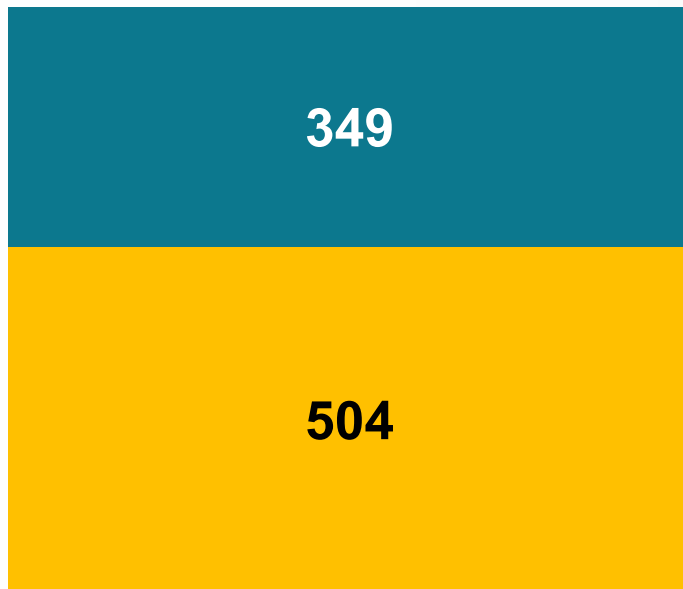
QA Hypercare Pilot Open Channel through October 2023

New Pilot Open Channel for Support to continue monitoring

October 2023 – OCM Progress

ONBOARDING PROGRESS 853 TOTAL FFLS

■ Onboarded ■ Remaining



OCT-23

✓ **SAFE has received over 20,450 BGC submissions!**

41 % Remaining FFLs to be Onboarded with 60 days to go

Kevin continues to encourage FFLs at every opportunity to Onboard and begin submitting BGCs

October 2023 – Change Request Status (CR)

CR#	Description	Cost	Status
CR001	Change 'location' to 'ATF License'	13,000	Approved / Complete
CR002	Reviewing, Submitting, viewing background checks	4,698	Approved / Complete
CR003	HCA changes in PIIES	25,670	Approved
CR004	Staff Portal Enhancements	7,870	Approved
TBD	ACCESS Resend	4,420	CCG defining
TBD	NLETS Proxy setup	8,470	CCG defining
	Total Approved CRs	51,238	
	Total Approved and TBD CRs	64,128	

The 2023 Decision Package had an increase of CCG funds = \$156,889

October 2023 – QA Recommendations

New Recommendations

There are no new recommendations for October 2023

Open/Closed Recommendations

There are no open recommendations

There are two (2) closed recommendations

Watch List (WL) Items

There are no watch list items for October 2023.

QA Next Month's Focus for November 2023

Project Schedule

- Review the Project Schedule, remaining tasks and activities
- Monitor Change Requests
- Continue monitoring the testing and fixing SAFE bugs and enhancements
- Review the SAFE OCM activities
- Review QuickSight operational and management reports
- Review the Project Charter success measures against system metrics

Review Risks and Mitigations

- No new risks are expected

Firearms Background Division (FBD)

FB Division - Agenda

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

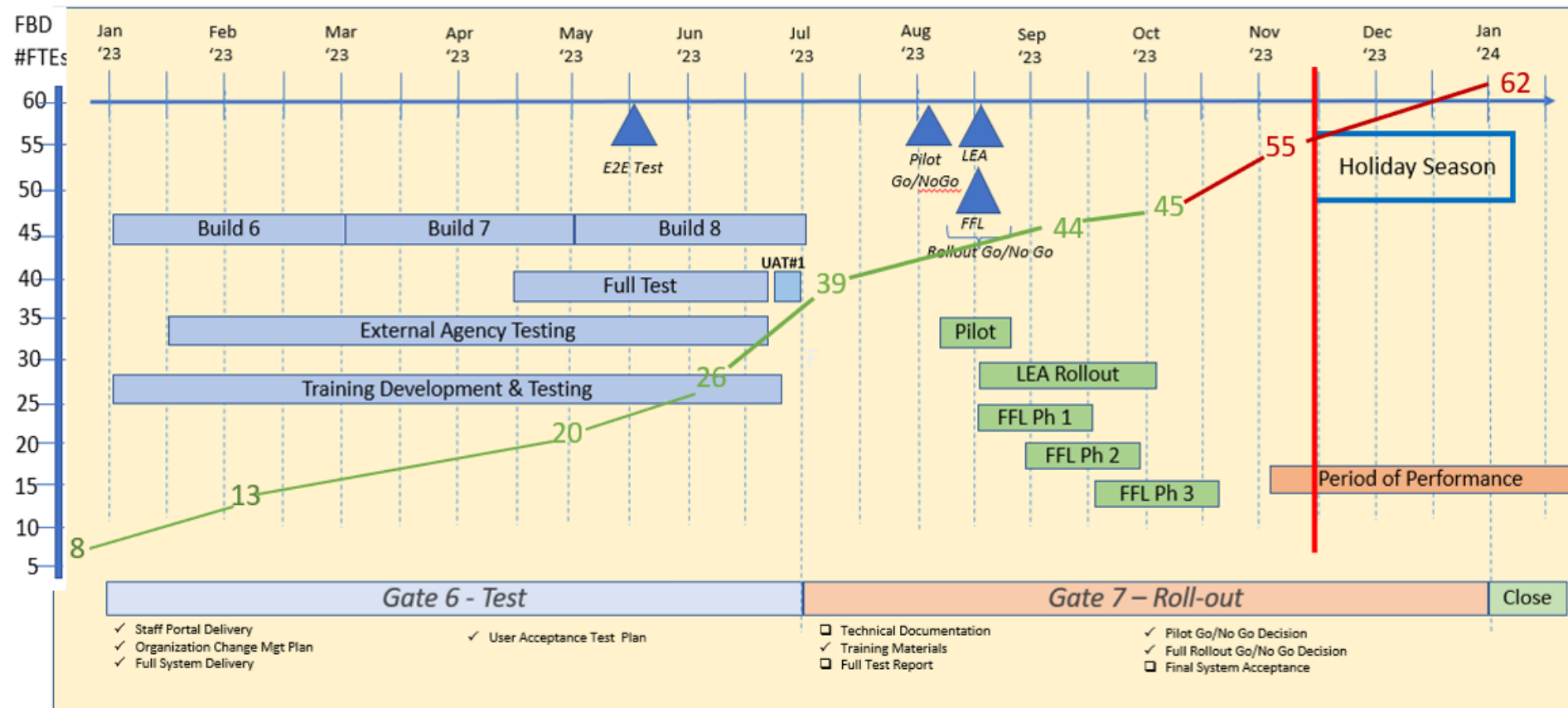
Firearm Background Division (FBD) Status

- Staff Hiring
 - (45) FBD resources
 - Interviews for PS2 positions being conducted this week
 - Remaining Unit hiring (9 positions) - Started the paperwork to get the positions established to support hiring dates in Jan / Feb 2024.
- Communication
 - Weekly email sent to LEAs, FBI, HCA, AOC and DOL with the list of new FFLs who migrated to SAFE during the previous week.
 - Listserv message sent to FFLs and LEAs emphasizing the importance of implementing before the holiday season.
 - Survey sent to LEAs to check their understanding of the SAFE system impact on their workload and some benefits available for LEAs.

FBD Hiring Plan

Firearms Background Check (FBC) Project Timeline

Updated 11/8/2023



Updated 10/6/2023



Milestones



Completed Gate Deliverable



Live Production Rollout



Schedule Change

FBC Project Budget – by Gate

Firearm Background Check IT Project Budget
Full project by gate
Data as of November 1st, 2023

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	\$ 646,836	\$ 159,372	\$ 6,192
Gate 6 - Test	\$ 602,612	\$ 408,788	\$ 159,372	\$ 34,452
Gate 7 - Roll-out	\$ 1,263,939	\$ 251,278	\$ 115,992	\$ 896,669
	\$ 4,581,749	\$ 2,536,713	\$ 866,040	\$ 1,178,996

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 2023-25 Biennium

Data as of November 1st, 2023

Firearms Background Check IT Project

Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 585,908	\$ 140,608	\$ 445,300
Project Manager & Technical Architect	\$ 385,697	\$ 84,350	\$ 301,347
Quality Assurance	\$ 113,924	\$ 26,320	\$ 87,604
Software Licenses and Subscriptions	\$ 4,422	\$ -	\$ 4,422
	<u>\$ 1,089,951</u>	<u>\$ 251,278</u>	<u>\$ 838,673</u>

Funding	Budget	Actual	Variance
Legislative Gated Funding	\$ 877,818	\$ 251,278	\$ 626,540
In-kind Agency Funding	\$ 212,133	\$ -	\$ 212,133
	<u>\$ 1,089,951</u>	<u>\$ 251,278</u>	<u>\$ 838,673</u>

Notes

FBD Budget

Firearm Background Division Budget 2023-25 Biennium

Data as of November 1st, 2023

Firearms Background Division

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 5,356,454	\$ 1,027,209	\$ 4,329,245
Contracts/Goods/Services	\$ 1,148,473	\$ 23,610	\$ 1,124,863
Travel	\$ 81,051	\$ 1,695	\$ 79,356
Equipment	\$ 372,859	\$ 17,189	\$ 355,670
	<u>\$ 6,958,837</u>	<u>\$ 1,069,703</u>	<u>\$ 5,889,134</u>

Funding	Budget	Actual	Variance*
IT Pool Funding	\$ 6,065,049	\$ -	\$ 6,065,049
State Firearms Background Check Funding	\$ 584,783	\$ 1,020,768	\$ (435,985)
General Fund FY24	\$ 133,336	\$ 48,935	\$ 84,401
General Fund FY25	\$ 175,669	\$ -	\$ 175,669
	<u>\$ 6,958,837</u>	<u>\$ 1,069,703</u>	<u>\$ 5,889,134</u>

* Actual available balance (reduced by FY25 fund balance) \$ 5,713,465

Notes

Funding does not include any estimated revenue.

Questions/Discussion



Firearms Background Check Program Advisory Board Meeting






December 13, 2023

FBC Project - Agenda

- Overall Status
- Areas of Focus
- Project Timeline with Gate Deliverables
- Risks
- QA Report

FBC Project Status

Project Assessments:

	Overall	Scope	Schedule	Budget
FBC Team				
OCIO				
QA				

Deliverables – Gate 7: July 1, 2023 – December 30, 2023

Deliverable	Status
Technical Documentation	In Progress
Training Materials	Complete
Final Test Report	Complete
Go - No Go Decision - Pilot	Complete
Go - No Go Decision - Full Rollout	Complete

FBC – Remaining Items

- Remaining scope
 - Report – Stolen Guns
 - Screen for System Admin functions
 - Technical Documentation
- Prohibitor Detection Rules – continue to define and implement
- Project Close Out Report – QA and Project Manager

SAFE Production Update

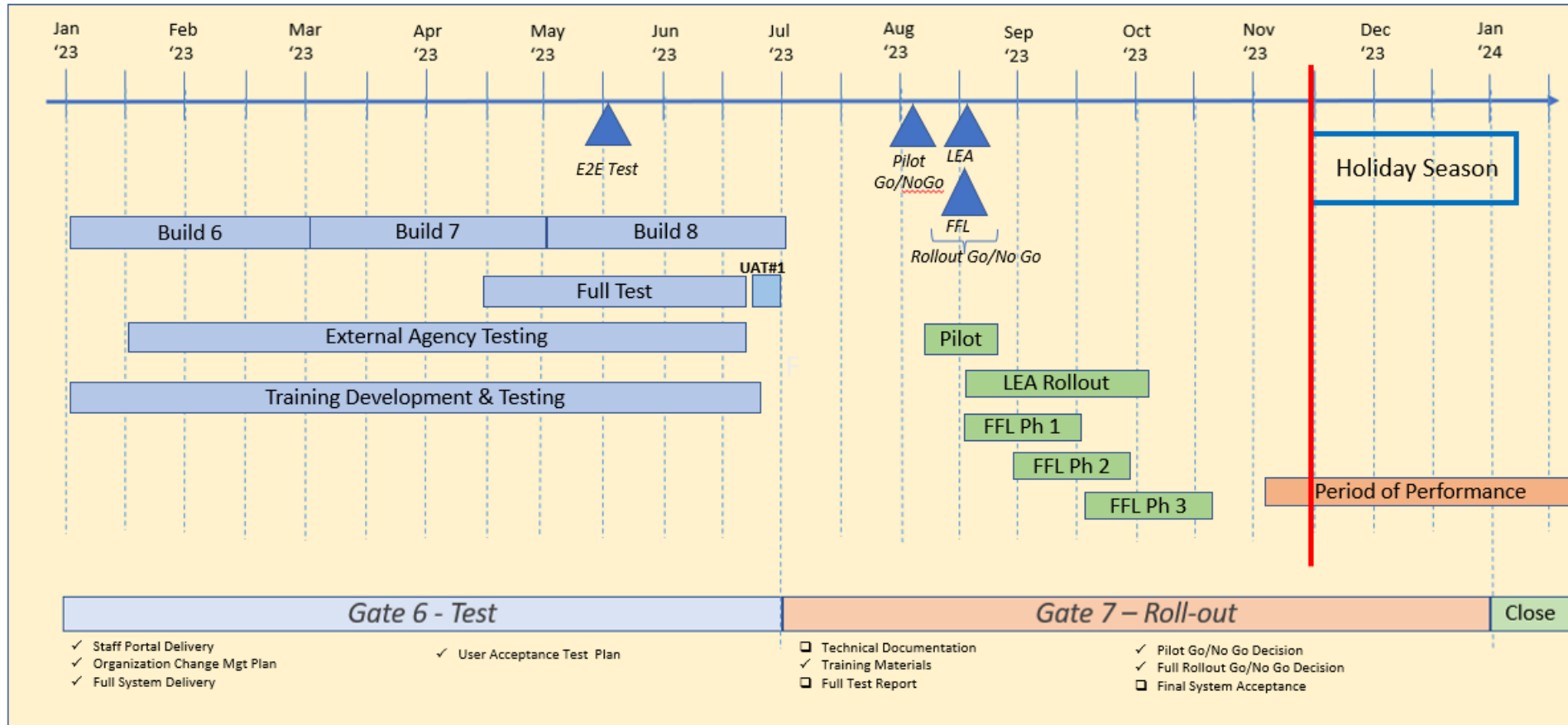
- Current user counts:
 - FFLs – 520 out of a total of 804 signed up for SAFE, 320 submitting background checks.
- Submissions – Over 53,000 total background checks
 - Black Friday – 2295 checks submitted. Adjudicated 2046 total that day (1142 were adjudicated by humans and 906 by SAFE). 44% auto adjudication rate by SAFE.
 - Only 71 checks out of 42250 were called in by FFLs – Risk (O-26) can be closed.

FBC – Areas of Focus

- Complete final project deliverables
- Complete the outstanding Change Requests
- Continue to define and implement expanded prohibitor detection rules based on received data that is not required
- Work on Project Close Out Report

FBC Project Timeline

Firearms Background Check (FBC) Project Timeline



Updated 10/6/2023



Milestones



Completed Gate Deliverable



Live Production Rollout



Schedule Change

Risks

WSP FBC Project Risks

Updated 12/12/2023

FBC Project Risk Matrix		Probability		
		Low	Medium	High
Impact	High			
	Medium	E-4	O-26	
	Low			

Risk Classifications –

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

Risk #	Risk Description
O-26	Closed - Unable to fill the FBD positions in the timeframe defined in the FBD Hiring Plan
E-4	Closed - Less than 90% of background checks are submitted electronically which will put more of a burden on the FB division staff.

Change:

Added - None
Closed - E-4, O-26

No Open Risks

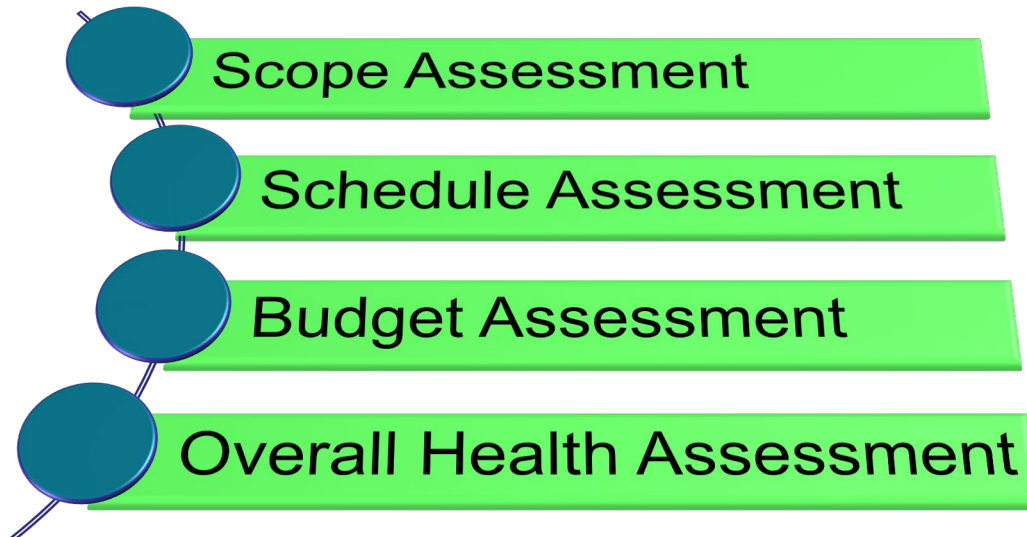
FBC Project Steering Committee Meeting
December 13, 2023

QA Report #31 – November 2023

Independent Quality Assurance Report
CASE Associates Inc.

Dan Kruger

November 2023 – Overall Project Health is **STABLE**



November 2023 – Quality Focal Points

Quality Focal Point (QFP) Assessment	Impact	Sept 2023 Monthly Status	Oct 2023 Monthly Status	Nov 2023 Monthly Status	Next Month's Trending Indicator
1. Project Phase Readiness/Completion	High	STABLE	STABLE	STABLE	↔
2. Requirements Management	High	STABLE	STABLE	STABLE	↔
3. Project Schedule	High	STABLE	STABLE	STABLE	↔
4. Communications	High	STABLE	STABLE	STABLE	↔
5. Risk and Issue Management	High	STABLE	STABLE	STABLE	↔
6. FBC Vendor Performance	High	STABLE	STABLE	STABLE	↔
7-T. Technical Transition (T)	High	STABLE	STABLE	STABLE	↔
7-B. Business Process Re-engineering (B)	High	STABLE	STABLE	STABLE	↔
8. Project Organization and Leadership	High	STABLE	STABLE	STABLE	↔
9. Project Resources	High	STABLE	STABLE	STABLE	↔
10. Project/Quality Management and Reporting	Medium	STABLE	STABLE	STABLE	↔
11. Budget Planning and Tracking	Medium	STABLE	STABLE	STABLE	↔
12. Scope and Change Control	Medium	STABLE	STABLE	STABLE	↔
13. Roles, Responsibilities, and Communications	High	STABLE	STABLE	STABLE	↔
14. IT Architecture	High	STABLE	STABLE	STABLE	↔
15. IT Acquisition Management	High	STABLE	STABLE	STABLE	↔
16. Project Library and Configuration Management	Medium	STABLE	STABLE	STABLE	↔
17. System Definition Process	High	STABLE	STABLE	STABLE	↔

Quality Focal Point (QFP) Assessment	Impact	Sept 2023 Monthly Status	Oct 2023 Monthly Status	Nov 2023 Monthly Status	Next Month's Trending Indicator
18. System Design Process	High	STABLE	STABLE	STABLE	↔
19. Data Conversion/Migration	High	STABLE	STABLE	STABLE	↔
20. Configuration/Construction	High	STABLE	STABLE	STABLE	↔
21. Testing (Functional, Capacity, Performance)	High	STABLE	STABLE	STABLE	↔
22. User Acceptance, Business Process Transition	High	STABLE	STABLE	STABLE	↔
23. Training	High	STABLE	STABLE	STABLE	↔
24. Inter/Intra-Agency Coordination and Implementation	High	STABLE	STABLE	STABLE	↔
25. Implementation Process	High	STABLE	STABLE	STABLE	↔
26. Deployment Process	High	STABLE	STABLE	STABLE	↔
27. Interface Design and Implementation	Medium	STABLE	STABLE	STABLE	↔

Next month's indicators signify expected changes in the QFP ratings.	Rating
This Quality Focal Point (or group of QFPs) is expected to have the same rating in next month's Periodic QA Evaluation.	↔
Risk is increasing on the Quality Focal Point. It may be changed to Alert in next month's evaluation	↑
Risk is decreasing on the Quality Focal Point. It may be changed to Attention or Stable in next month's evaluation.	↓
Risk is increasing on the Quality Focal Point. It may be changed to Attention in next month's evaluation.	↗
Risk is decreasing on the Quality Focal Point. It may be changed to Stable in next month's evaluation.	↘

November 2023 – Quality Focal Points - HEAT MAP



QUALITY FOCAL POINTS (QFP)	05/2021	06/2021	07/2021	08/2021	09/2021	10/2021	11/2021	12/2021	01/2022	02/2022	03/2022	04/2022	05/2022	06/2022	07/2022	08/2022	09/2022	10/2022	11/2022	12/2022	01/2023	02/2023	03/2023	04/2023	05/2023	06/2023	07/2023	08/2023	09/2023	10/2023	11/2023	12/2023	01/2024	02/2024			
QFP 1 - Project Phase Readiness/Completion	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S		
QFP 2 - Requirements Management	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S		
QFP 3 - Project Schedule	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S		
QFP 4 - Communications	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S		
QFP 5 - Risk and Issue Management	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S		
QFP 6 - FBC Vendor Performance	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S		
QFP 7-T - Technical Transition (T) and																																					
QFP 7-B - Business Process Re-engineering (B)																																					
QFP 8 - Project Organization and Leadership	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S		
QFP 9 - Project Resources	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	
QFP 10 - Project/Quality Management and Reporting	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	
QFP 11 - Budget Planning and Tracking	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	
QFP 12 - Scope and Change Control	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	
QFP 13 - Roles, Responsibilities, and Communications	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	
QFP 14 - IT Architecture																																					
QFP 15 - IT Acquisition Management	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	
QFP 16 - Project Library and Configuration Management	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	
QFP 17 - System Definition Process																																					
QFP 18 - System Design Process																																					
QFP 19 - Data Conversion/Migration																																					
QFP 20 - Configuration/Construction																																					
QFP 21 - Testing (Functional, Capacity, Performance)																																					
QFP 22 - User Acceptance, Business Process Transition																																					
QFP 23 - Training																																					
QFP 24 - Inter/Intra-Agency Coordination and Implementation																																					
QFP 25 - Implementation Process																																					
QFP 26 - Deployment Process																																					
QFP 27 - Interface Design and Implementation																																					

LEGEND

- STABLE
- NEEDS ATTENTION
- NOT RATED
- ALERT
- NO INFORMATION

November 2023 – System Metrics



Date	Aug-23	Sep-23	Oct-23	Nov-23	Dec-23	Jan-24
Total FFLs	853	853	853	804		
FFLs registered in SAFE	150	410	508	584		
FFLs submitting BGCs	88	222	320	409		
BG Checks submitted				22,669	9,780 as of 12/11/2023	
Total Cumulative BGCs Processed in SAFE	1,774	8,000	20,455	43,124		
Monthly Planned BGCs	58,333	58,333	58,333	58,333		

November 2023 – Change Request Status (CR)

CR#	CR Description	Estimated Cost	Actual Cost	CR Status
CR001	Change 'location' to 'ATF License'	\$13,000	\$13,000	Complete / Invoiced
CR002	Reviewing, Submitting, viewing background checks	\$4,698		Approved by WSP/ Complete Need training piece confirmed
CR003	HCA changes in PIIES	\$25,670		Approved by WSP/ Ready for PROD Except (1) task to be done later
CR004	WSP Staff Portal Enhancements	\$7,830		Approved by WSP
CR005	Background Check Development	\$5,050		Approved by WSP /sent to CCG for signature
CR006	Dealer Background Check Review	\$4,698		Approved by WSP
TBD	ACCESS Resend (completed work)	\$4,420		CCG defining
TBD	NLETS Proxy setup (completed work)	\$8,470		CCG defining – WSP Contracts to send formatted CR version to CCG
TBD	11/3 Requirement change requests	TBD		Not yet agreed upon CR details
TBD	11/13 Requirement change requests	TBD		Not yet agreed upon CR details
TBD	11/20 Requirement change requests	\$13,029		Not yet agreed upon CR details
	Total Approved CRs	\$60,946	13,000	
	Total Approved CRs plus two unknown cost estimates	\$86,865		



November 2023 – QA Recommendations

New Recommendations

There are no new recommendations for November 2023

Open/Closed Recommendations

There are no open recommendations

There are two (2) closed recommendations

Watch List (WL) Items

There are no watch list items for November 2023.

QA Next Month's Focus for December 2023

Project Schedule

- Review the Project Schedule, remaining tasks and activities
- Monitor Change Requests
- Continue monitoring the testing and fixing SAFE bugs and enhancements
- Review the SAFE OCM activities
- Review QuickSight operational and management reports
- Review the Project Charter success measures against system metrics
- ❖ **Begin the review of the project artifacts and begin scheduling interviews in December and January for the Project Close and Lesson Learned Report to be completed by February 28, 2024**

Firearms Background Division (FBD)

FB Division - Agenda

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

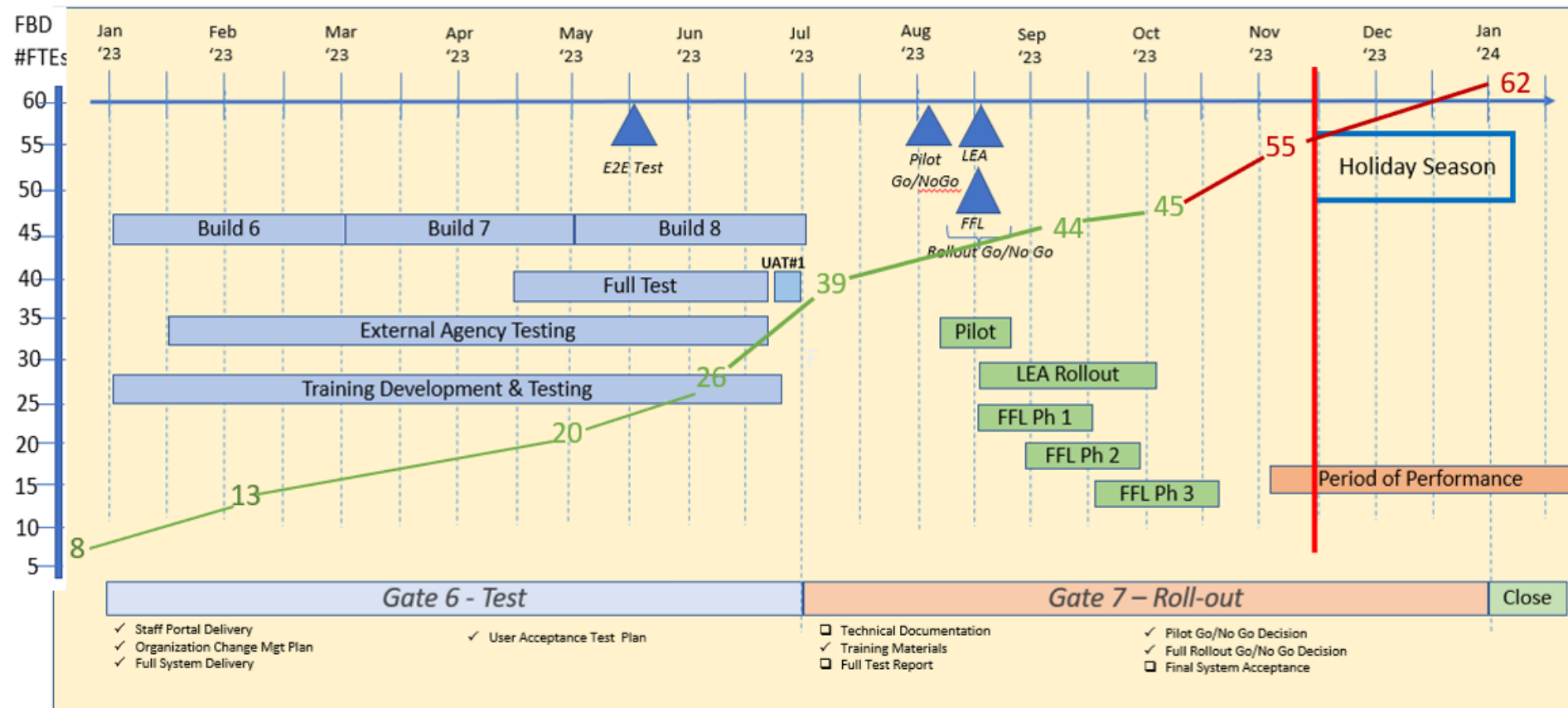
Firearm Background Division (FBD) Status

- Staff Hiring
 - (45) FBD resources
 - Continue to post / interviews for remaining positions.
 - Remaining Unit hiring (9 positions) – Positions established and are hiring with starting dates in Jan / Feb 2024.
- Communication
 - Weekly email sent to LEAs, FBI, HCA, AOC and DOL with the list of new FFLs who migrated to SAFE during the previous week.
 - Communication sent to FFLs to remind them of the upcoming deadline after the official announcement is made in Jan 2024.

FBD Hiring Plan

Firearms Background Check (FBC) Project Timeline

Updated 11/8/2023



Updated 10/6/2023



Milestones



Completed Gate Deliverable



Live Production Rollout



Schedule Change

FBC Project Budget – by Gate

Firearm Background Check IT Project Budget

Full project by gate

Data as of December 6th, 2023

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	\$ 646,836	\$ 159,372	\$ 6,192
Gate 6 - Test	\$ 602,612	\$ 408,788	\$ 159,372	\$ 34,452
Gate 7 - Roll-out	\$ 1,263,939	\$ 251,278	\$ 144,990	\$ 867,671
	\$ 4,581,749	\$ 2,536,713	\$ 895,038	\$ 1,149,998

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

2023-25 Biennium

Data as of December 6th, 2023

Firearms Background Check IT Project

Expenditures	Budget	Actual	Variance
Implementation Contractor	\$ 585,908	\$ 140,608	\$ 445,300
Project Manager & Technical Architect	\$ 385,697	\$ 84,350	\$ 301,347
Quality Assurance	\$ 113,924	\$ 26,320	\$ 87,604
Software Licenses and Subscriptions	\$ 4,422	\$ -	\$ 4,422
	<u>\$ 1,089,951</u>	<u>\$ 251,278</u>	<u>\$ 838,673</u>

Funding	Budget	Actual	Variance
Legislative Gated Funding	\$ 877,818	\$ 251,278	\$ 626,540
In-kind Agency Funding	\$ 212,133	\$ -	\$ 212,133
	<u>\$ 1,089,951</u>	<u>\$ 251,278</u>	<u>\$ 838,673</u>

Notes

FBD Budget

Firearm Background Division Budget

2023-25 Biennium

Data as of December 6th, 2023

Firearms Background Division

Expenditures	Budget	Actual	Variance
Salary/Benefits	\$ 5,356,454	\$ 1,339,875	\$ 4,016,579
Contracts/Goods/Services	\$ 1,148,473	\$ 30,538	\$ 1,117,935
Travel	\$ 81,051	\$ 2,571	\$ 78,480
Equipment	\$ 372,859	\$ 29,231	\$ 343,628
	<u>\$ 6,958,837</u>	<u>\$ 1,402,215</u>	<u>\$ 5,556,622</u>

Funding	Budget	Actual	Variance*
IT Pool Funding	\$ 6,065,049	\$ -	\$ 6,065,049
State Firearms Background Check Funding	\$ 584,783	\$ 1,340,513	\$ (755,730)
General Fund FY24	\$ 133,336	\$ 61,702	\$ 71,634
General Fund FY25	\$ 175,669	\$ -	\$ 175,669
	<u>\$ 6,958,837</u>	<u>\$ 1,402,215</u>	<u>\$ 5,556,622</u>

* Actual available balance (reduced by FY25 fund balance) \$ 5,380,953

Notes

Funding does not include any estimated revenue.

Questions/Discussion