

I. Project Identification

Project Title:

Agency Name	Agency Business Unit
Dept. of Emergency Service and Public Protection/Connecticut State Police	Special Licensing & Firearms Unit

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II. Project Description

A. Project Dates

Proposed Start Date (MM/DD/YYYY)	Expected Completion Date (MM/DD/YYYY)	Project Duration (in months)
5/15/2014	11/15/2015	6 months

B. **Project Description** - This information will be used for listings and report to the Governor and General Assembly on capital funded projects.

In the wake of the Newtown shootings, the demand for firearm permits, gun sale authorizations and associated background checks has increased by about 25%. In addition to this increase in demand, there is a continuing expectation that background checks are performed as carefully as possible. Unfortunately, the current information system at the State Police that manages gun sale authorizations, gun permits, and associated background checks for the entire state is old and has very limited e-government (online self-service) capabilities. The current project seeks to upgrade this information system and provide additional e-government services so that State Police staff can manage the additional volume of permits and ensure that the utmost care is taken in properly vetting each gun sale authorization and permit application.

C. Summary.

Summary - Describe the high level summary of this project in plain English without technical jargon

In the Department of Emergency Service and Public Protection (DESPP), Division of State Police, Special Licensing and Firearms Unit (SLFU), the Special Licensing and Weapons Registration System (SLWRS) manages all gun sale authorizations, gun permits, and associated background checks for the entire state. SLWRS was written in a technology (VB 6) that is over ten years old and will not be supported in any form by Microsoft after 4/8/2014 (when the end of support for Windows XP occurs). Currently, SLWRS does not expose important e-government functionality to gun dealers, including self-service gun sale authorizations, online payments for renewed permits, and online verification of permit-holder identities. In addition, SLWRS does not include support for new types of licenses that were introduced (or reassigned to the State Police) as a result of recent legislation (pawn brokers, second-hand dealers, precious metals and stones, boxing, explosives and fireworks). Similarly, as it is presently written, SLWRS cannot adequately parse critical data from the FBI, but instead must use very primitive "screen scraping" technology to display the FBI data; accordingly, data from the FBI cannot be evaluated other than through visual inspection by staff. Finally, over the last thirteen years, new legislation has significantly expanded the scope of work conducted in SLFU. We anticipate that emerging and future legislation will continue this trend. As new mandates impact SLFU, it is imperative that we have an information system that can be adapted to meet the new demands, including more storage capabilities, better tracking/auditing mechanisms, and more self-service capabilities.

The current project seeks to obtain an updated Commercial Off-The Shelf (COTS) product that uses the latest Java and Microsoft technology (JavaEE 7 and SQL Server 2012); provides support for online payments for gun permit renewals, online permit-holder verification (allow gun dealers to query SLWRS and see photos of licensed individuals), and online gun authorizations (allow gun dealers to do online, self-service gun sale authorizations through SLWRS); and provides support for all printed licenses that the Special Licensing and Firearms Unit now performs. In addition, the COTS solution will provide updated interfaces with the FBI (via the new COLLECT system). The new COTS solution will enable the State Police to perform more firearm-related services in considerably less time and also ensure the continuing integrity of those services. The solution will ensure that SLFU is well-positioned technologically to respond to new legislation and the additional demands that this legislation creates as well as reduce or even eliminate the current backlog within the unit.

Purpose – Describe the purpose of the project

The purpose of the SLWRS replacement is to improve firearm-related services and other licensing services offered by the State Police using the latest technologies and e-government capabilities. The project will ensure the timeliness, integrity, accessibility, and security of those services in the context of increasing demands for the services and increasing public scrutiny.

Importance – Describe why this project is important

Firearm safety and accountability is of paramount importance in our state, especially in light of the recent Newtown shootings. It is critical that persons who seek to obtain firearms are carefully checked against relevant state and national records to ensure that these persons are legally permitted to possess the firearms. At the same time, it is important to ensure that firearm-related services offered by the State Police are provided in a timely manner and with the minimum required resources involved. The current project seeks to replace the Special Licensing and Weapons Registration System (SLWRS) so that the system provides careful but timely and efficient services to an increasing number and diversity of customers.

The replacement of the SLWRS is important for security reasons as well – namely, Microsoft will discontinue support for the SLWRS's programming language (the VB6 runtime, bundled with Windows XP) in April 2014, just far enough in the future for SLWRS to be rewritten in a modern and maintainable

programming language (Java). Security patches for code upon which SLWRS depends will not be available, and hence security vulnerabilities in SLWRS may be exposed. Such security vulnerabilities would prevent the State from unveiling important SLWRS functionality as e-government services, including online gun sale authorizations, online permit-holder identification checks, and online payments.

This project would impact a significant percentage of citizens and firearm business' as well as state, local and federal governments as it pertains to firearms permitting and sales.

Outcomes – What are the expected outcomes of this project

The project will result in a new SLWRS with several features:

- Written on the latest Java and SQL Server platforms
- Avoids security vulnerabilities associated with the current system
- Integrates better with the FBI via the new COLLECT system
- Provides online self-service gun sales authorizations to 400 gun dealers across the state
 - Significantly reduces the number of gun sale authorizations conducted over the phone by SLFU personnel
 - Eliminates a limited and antiquated integrated voice response (IVR) system used by some gun dealers for after-hours authorizations
 - Eliminates costly dedicated COLLECT lines that are used by SLFU for a few gun dealers for after-hours authorizations
- Provides online identity verification of licensees (including photos)
- Provides capability for online payments for permit-related services
- Provides canned and ad-hoc reporting to accommodate information requests from law enforcement agencies and legislative leaders.
- Includes additional security measures to be in compliance with state and federal regulations and law to ensure protections against possible intrusions and threats via internet
- Includes integrated support for all licenses/permits issued by SLFU
- Includes miscellaneous quality control code to ensure that names and addresses are entered correctly

Approach and Success Evaluation – Provide details of how the success of the project will be evaluated

The project will be successful to the extent that (a) each of the above features are implemented without significant defect and utilized by the intended users, (b) a significant percentage (>50% after several months) of firearm-related services are performed online by gun dealers, (c) no security vulnerability is identified for which there is no imminent fix.

D. **Business Goals.** List up to 10 key business goals you have for this project, when (FY) the goal is expected to be achieved, and how you will measure achievement, Must have at least one. Please use action phrases beginning with a verb to state each goal. Example: "Reduce the Permitting process by 50%". In the Expected Result column, please explain what data you will use to demonstrate the goal is being achieved and any current metrics.

Business Goal (Action Phase)	Target FY for Goal	Current Condition	Expected Result
Provide on-line interactive access to all registered federally licensed firearms dealers to obtain firearms sale	FY15	3 largest dealers have access via dial up modem. Remainder of dealers have access for permit only sales	All dealers will be able to utilize internet system for sale authorizations.

authorizations		through Interactive Voice Response system (IVR)	
Self-service (online) gun sale authorizations utilized by at least 25% of gun dealers	FY16	Currently, only 3 dealers have the ability to perform gun sale authorizations	Relevant database query (already constructed)
Self-service (online) gun sale authorizations utilized by at least 50% of gun dealers	FY17	Currently, only 3 dealers have the ability to perform gun sale authorizations	Relevant database query (already constructed)
Self-service (online) gun sale authorizations account for at least 60% of authorizations	FY18	Currently, only 29% of gun sale authorizations are done online.	Relevant database query (already constructed)
Self-service (online) gun sale authorizations account for at least 75% of authorizations	FY19	Currently, only 29% of gun sale authorizations are done online.	Relevant database query (already constructed)
Online payments account for 25% of all payments for permit-related services	FY16	Currently, no permit-related services are paid for via online payments	Relevant database query (to be constructed)
Online payments account for 50% of all payments for permit-related services	FY17	Currently, no permit-related services are paid for via online payments	Relevant database query (to be constructed)
Generate all licenses (including new licenses) through SLWRS	FY15	Currently, the system cannot generate the following licenses: pawn brokers, second-hand dealers, precious metals and stones, boxing, explosives and fireworks	Relevant database query – total licenses issued by license type

E. **Technology Goals.** From a technical perspective, following the above example, list up to 10 key technology goals you have for this project and in which Fiscal Year (FY) the goal is expected to be achieved. Please use action phrases beginning with a verb to state each goal. Example: "Improve transaction response time by 10%".

Technology Goal	Target FY for Goal
Replace outdated application platform (Visual Basic version 6.0 runtime) with possible security vulnerabilities before Microsoft officially no longer supports this platform (April 2014)	FY15
Replace Oracle database with SQL Server 2012 to ensure better state-level support for the database	FY15
Replace two-tier architecture with three-tier (web, application, database) architecture	FY15

F. **Priority Alignment.** The criteria in this table, in concert with other factors, will be used to determine project priorities in the capital funding approval process. Briefly describe how the proposed projects will align with each criterion.

Priority Criterion	Y/N	Explanation
Is this project aligned with the Governor's Key Priorities?	Yes	The project will increase the number of user friendly, e-government (online) services offered by the state.
Is this project aligned with business and IT goals of your agency?	Yes	The project will improve efficiencies in agency services offered to the public and reduce backlogs for these services.
Does this project reduce or prevent future increases to the agency's operating budget?	Yes	The project will increase general fund costs for software maintenance; however, the project will result in a reduction in overtime costs.
Will this project result in shared capabilities?	Yes	Information will continue to be shared with agencies that are mandated by C.G.S. and MOU. Otherwise confidential by statute.
Is this project being Co-developed through participation of multiple agencies?	Yes	BEST would host the web and application servers. BEST or DESPP would host the database server.
Has the agency demonstrated readiness to manage project of this size and scope?	Yes	Yes, the agency has a project manager who can manage the project from its inception.
Is the agency ready to deliver the business value proposed?	Yes	Yes, we are confident that the business value will be delivered with the implementation of the product.

G. **Organizational Preparedness.** Is your agency prepared to undertake this project? Is senior management committed, willing to participate, and willing to allocate the necessary time, energy and staffing resources? How will the project be managed and/or governed and who will make the key project decisions?

Sworn management staff at DESPP/CSP will assign dedicated staff when approved. IT staff are well-informed of the project and committed to ensuring its success.

H. **Project Ramp Up.** If capital funds are awarded for this project, how long will it take to ramp up? What are the key ramp-up requirements and have any of these already been started? For example, has a project manager been identified? Has an RFI been issued? Is a major procurement required such as an RFP?

Utilizing existing source codes the project should take less than 1 year. Assignment of project manager would be done immediately upon approval. As this project would be an enhancement of an existing application, the procurement process would follow a sole-source approach.

I. **Organizational Skills.** Do you have the experienced staff with the proper training to sustain this initiative once it's a production system? Do you anticipate having to hire additional staff to sustain this? What training efforts are expected to be needed to maintain this system?

DESPP IT staff have the proper training and existing knowledge to support the project. The vendor will provide ongoing end-to-end technical support for the system.

J. **Financial Estimates.** From IT Capital Investment Fund Financial Spreadsheet

Estimated Total Development Cost	Estimated total Capital Funding Request	Estimated Annual Operating Cost	One Time Financial Benefit	Recurring Annual Financial Benefit
\$556,820	\$556,820	\$95,965		
Explanation of Estimates				
*software and hardware maintenance				

III. Expanded Business Case

- A. **Project Impact.** Beyond the top business goals identified in Section II, 1) What impacts will this project have, if any, in the targeted areas below 2) What would be the impact of not doing this project 3) How will the project demonstrate benefits are achieved.

(1) Impact Area (Vision)	Description of Project Impact
Will this project provide efficient and easily accessible services for all constituents?	Firearms dealers will have access to an application to run their business effectively and efficiently.
Will this project promote open and transparent government with the citizens of the state?	Project will be user friendly with real-time data keeping the dealers up to date.
Will this project establish efficient and modern business processes?	Project allows business' access by electronic means
Will this project increase accuracy and timeliness of data for policy making, service delivery and results evaluation?	Project accomplishes this by allowing staff to perform quality control for completeness and compliance with state laws.

2) What is the expected impact of NOT doing this project?
Delaying this project could result in significant security vulnerabilities when VB6 is no longer supported by Microsoft. As more and more demands are placed on SLFU personnel for firearm-related services, unless some of these services are provided online as self-service offerings, the result will be either (a) increased backlog of special licensing and firearm-related services and/or (b) increased costs (overtime and/or additional personnel) for performing special licensing and firearm-related services.

(3) How will you demonstrate achievement of benefits?
As stated previously, benefits will be demonstrated via database queries of gun authorizations and other transactions. We will also run queries to show the extent of off-hours self-service gun authorizations.

- B. **Statutory/Regulatory Mandates.** 1) Cite and describe federal and state mandates that this project in intended to address. 2) What would be the impact of non-compliance?

(1) Statutory / Regulatory Mandates:

Connecticut General Statute § 29-36l, mandates the Commissioner to establish a state database by which can be accessed by telephone or other electronic means in addition to the telephone for obtaining immediate information of whether a permit to carry pistols or revolvers is valid and issuance of a sales authorization number, which is mandated in C.G.S. § 29-33 Sale, delivery or transfer of pistols or revolvers, Procedure. Penalty., and C.G.S. § 29-37a Sale or delivery at retail of firearm other than pistol or revolver, Procedure. C.G.S. 29-36l, also mandates that DESPP shall be the point of contact (POC) for the National Instant Criminal Background Check System (NICS). As POC for NICS all Federal laws and regulations must be adhered to as well under Title 18 USC 922.

(2) Impact of non-compliance:

The State of Connecticut will never be not in compliance due to state and federal laws and regulations; however, again as mention previously the real threat of system crashes is within this sphere of possibilities.

C. Primary Beneficiaries. Who will benefit from this project (citizens businesses, municipalities, other state agencies, staff in your agency, other stakeholders) and in what way?

Having an upgraded SLFU system will benefit several state agencies (DMHAS, Probate, Judicial) that share interfaces with the system and visa versa, and all law enforcement agencies whose primary responsibility is to safeguard public safety