



# Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

## 1.1 General Information

Agency or State Entity Name:	Department of Justice
Organization Code:	0820
Proposal Name:	Firearms IT Systems Modernization
Proposal Description:	The Department of Justice proposes to consolidate multiple existing firearms information technology systems to achieve greater timeliness and efficiency when responding to changing Bureau of Firearms business requirements.
When do you want to start this project?:	1/3/2022
Department of Technology Project Number:	0820-228

## 1.2 Submittal Information

Contact Information:	
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Contact Email	Contact Phone Number
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Submission Date:	1/13/2020
Version Number:	
Project Approval Executive Transmittal	
Attachment:	Include the Project Approval Executive Transmittal as an attachment to your email submission.

## 1.3 Business Sponsorship

Executive Sponsors			
Title	First Name	Last Name	Business Program Area
Acting Bureau Director	Brent	Orick	Bureau of Firearms
Bureau Director	Rodney	Smith	Application Development Bureau
Select + to add additional Executive Sponsors			
Business Owners			
Title	First Name	Last Name	Business Program Area
Assistant Bureau Director	Allison	Mendoza	Bureau of Firearms, Regulatory Programs
Select + to add additional Business Owners			

### Program Background and Context

The anticipated Firearms IT Systems Modernization will impact all areas of the Bureau of Firearms (BOF). Therefore, it will be necessary to describe processes throughout the bureau. This section discusses the following topics to establish the context for the upcoming study and project proposal:

- Overview of Department of Justice (DOJ) mission critical firearms regulatory functions.
- BOF profile and high-level descriptions of business processes used by the bureau to meet its regulatory requirements.
- Business functionality of the information technology (IT) systems that support BOF processes.



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Within the DOJ Division of Law Enforcement, the BOF provides oversight, enforcement, education, and regulation of California's firearms and ammunitions laws by conducting firearms eligibility background checks and administering over thirty different state-mandated firearms-related programs. The bureau conducts firearms dealer and manufacturer inspections for compliance, and provides training as needed. Special Agents conduct investigations on armed and prohibited persons and other investigations resulting in the seizure of firearms, magazines, and ammunition. Agents also conduct investigations to monitor and prevent illegal firearm trafficking at permitted gun shows in accordance with state and federal laws. The bureau carries out the following mission critical regulatory functions:

- Identify persons who are ineligible to acquire or possess firearms upon a transaction for delivery, sale or transfer, pursuant to Penal Code (PC) Section 28220.

When a person attempts to purchase a firearm, California law requires a 10-day waiting period before the firearm is released to the purchaser. This requirement not only provides a "cooling off" period, but is also intended to allow the DOJ sufficient time to perform a firearms eligibility check to determine if the purchaser is prohibited by state or federal law from possessing, receiving, owning, or purchasing a firearm. This is referred to as the Dealer Record of Sale (DROS) process.

The DROS process is not limited to gun shop retail sales. For example, transactions conducted through gun show vendors and pawnbrokers are among those subject to these requirements. In addition, firearm transfers between private parties, with the exception of specified ownership reports, must be conducted through a licensed firearm dealer.

- Identify persons who are ineligible to acquire or possess firearms upon receipt of a self-report. The BOF receives the following ownership self-reports from individuals:
  - Firearm Ownership Report (FOR). A voluntary report of firearms acquisition or ownership. (PC Section 28000)
  - New Resident Report of Firearm Ownership. Required within 60 days of bringing any firearm into the state and becoming a resident. (PC Section 27560)
  - Collector's Report of Instate Acquisition of Curio or Relic Long Gun required within 30 days of taking possession of a curio or relic long gun as defined in Section 478.11 of Title 27 of the Code of Federal Regulations or its successor. (PC Section 27966)
  - Curio or Relic Firearm Report. Report required within five days of the collector's transport of a curio or relic firearm into the state. (PC Section 27565)
  - Report of Operation of Law or Intra-Familial Firearm Report required within 30 days by the person taking possession of a firearm from a member of the immediate family by bequest or intestate succession or, for example, an estate executor or administrator. (PC Sections 27875 and 27920)
  - Law Enforcement Gun Release (LEGR) is filed by a person claiming title to a previously confiscated, stolen, or lost firearm that is in custody or control of a court or law enforcement agency. The applicant must undergo a firearms eligibility check. If cleared, the custodian or controlling agency may return the firearm. If denied, the applicant must transfer or sell the firearm to a licensed dealer. (PC Sections 33850-33895)
- Determine if a prospective ammunition purchaser or transferee may be approved for a single ammunition transaction or purchase pursuant to PC Section 30370.

A person who has a matching entry in the Automated Firearms System (AFS) indicating current firearms ownership and is not prohibited from owning or possessing a firearm as indicated by a record in the Prohibited Armed Persons file (commonly referred to as the Armed and Prohibited Persons System (APPS)), may complete an ammunition purchase on the same day. This process is the Standard Ammunition Eligibility Check (SAEC). A person who has a valid Certificate of Eligibility (COE) may also complete an ammunition purchase on the same



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day so long as their COE information matches the DOJ COE database. This process is referred to the Certificate of Eligibility Verification Check. Otherwise, the purchaser is required to undergo a Basic Ammunition Eligibility Check (BAEC). In this process, the DOJ examines its files to determine if the person is prohibited from owning or possessing a firearm under state law. The DOJ is not authorized to check federal files for ammunition purchases. The BAEC process could take several days prior to authorization to release the ammunition to the purchaser.

- Identify persons who are ineligible to acquire or possess dangerous weapons.

The BOF is authorized to issue licenses and permits to possess, sell, or manufacture dangerous weapons. The bureau ensures license and permit holders maintain compliance with Dangerous Weapon licensing requirements and have an ongoing, genuine need for a license or permit. Permits are issued for Short-Barreled Shotguns/Rifles upon a showing of good cause and if the permit would not endanger public safety (PC Sections 33300, 33305); Destructive Devices (PC Sections 18900, 18905); and for possession, manufacture, and/or transportation of Machine Guns upon a showing of good cause (PC Sections 32650, 32655). Licenses are issued to permit the sale of Machine Guns at a specified location (PC Sections 32700-32715).

- Issue Certificates of Eligibility, pursuant to PC Section 26710.

The COE states the DOJ has checked its records and the records available to the Department in the National Instant Criminal Background Check System (NICS) and determined that the applicant is not prohibited from acquiring or possessing firearms pursuant to state or federal law at the time the check was performed. It ensures that a person who handles, sells, delivers, or has under his or her custody or control any ammunition, is eligible to do so. Persons required to obtain a COE include the following: firearms dealer, ammunition vendor, employee, collector, consultant, gun show producer, gunsmith, explosive permit holder, firearm importer, firearm manufacturer, pawnbroker, prop master, certified instructor, and others who possess or control firearms in the course of business. The COE may be revoked at any time it is determined the certificate holder has become prohibited from acquiring or possessing firearms.

- Maintain a Centralized List (CL) of the following who are licensed to operate in California or are exempt from state licensing requirements:
  - All persons licensed to sell firearms pursuant to PC Section 26715 (firearms dealers). The list also identifies firearms dealers who hold a dangerous weapons permit or a large-capacity magazine Permit (LCMP). The BOF requires a "good cause" statement prior to issuing the LCMP. (PC Sections 32310-32450)
  - Licensed firearms manufacturers (PC Sections 29010 and 29050).
  - Exempted federal firearms licensees (FFL). The DOJ is required to keep a list of persons who identify themselves as holding a federal license as a dealer, importer, or manufacturer of firearms whose licensed premises are within this state and who declare to the department an exemption from state firearms dealer licensing requirements of PC Section 26500.
  - Ammunition Vendors. A valid ammunition vendor license is required for any person, firm, corporation, or other business enterprise to sell more than 500 rounds of ammunition in any 30-day period. Licensed California firearms dealers are automatically licensed to sell ammunition. However, there are vendors who sell ammunition, but not firearms. (PC Sections 30342 and 30395)
- Determine firearms eligibility for Carry Concealed Weapon (CCW) applicants, in compliance with PC Sections 26185-26195. A person may apply with the local police department or county sheriff of residence or principal employment, under specified conditions, for a license to carry a pistol, revolver, or other firearm capable of being concealed upon the person. Based on information provided by the sheriff or police chief, the DOJ is required to promptly furnish the forwarding licensing authority with a report of all data and information



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pertaining to any applicant of which there is a record in its office. This includes information as to whether the person is prohibited by state or federal law from possessing, receiving, owning, or purchasing a firearm.

- Determine firearms eligibility for peace officer applicants (PC Section 832.15), non-law enforcement agency-sponsored Peace Officer Standards and Training (POST) basic academy candidates (PC Section 13511.5), and armed security guard applicants (Business & Professions Code [BPC] Sections 7583.24-7583.27).
- Administer the Firearm Safety Certificate (FSC) program. Pursuant to PC Sections 31610-31670, individuals are required to obtain an FSC or meet specified exemption criteria before acquiring a firearm.
- Determine the eligibility of local explosive permit applicants, pursuant to Health and Safety Code Section 12101.

Law enforcement agencies issue permits for the manufacture, sale, possession, transport, storage, use, etc., of explosives. For applicants who do not possess a current COE or a dangerous weapons permit, the explosive permit issuing authority must submit the applicant's fingerprints and personal information to the DOJ to determine if the person is prohibited from possessing, receiving, owning, or purchasing a firearm under state or federal law.

- Certify Handgun and Firearm Safety Device testing laboratories, pursuant to PC Sections 23650-23655 and 32010.

The DOJ has adopted minimum safety standards for firearm safety devices and gun safes to significantly reduce the risk of firearm-related injuries to children 17 years of age and younger. The BOF certifies independent laboratories to verify compliance with standards for firearm safety devices.

The Department has developed standards to determine if a pistol, revolver, or other firearm capable of being concealed upon the person is an "unsafe handgun." The BOF certifies independent laboratories to determine whether a firearm submitted by a manufacturer or importer meets or exceeds DOJ standards and may be considered a "not unsafe handgun."

- Post rosters of approved firearms safety devices and handguns certified for sale in California. PC Sections 23635 and 32015.

Certified firearm safety device and handgun testing laboratories submit testing results to the BOF. Devices and handguns that meet or exceed DOJ standards are listed on rosters posted to the Attorney General's website.

[Roster of Firearm Safety Devices Certified for Sale.](#) [Roster of Handguns Certified for Sale.](#)

## Eligibility Checks

Processes employed by the BOF to fulfill its mission are layered and interconnected, creating a complexity that may be difficult to navigate at first. As a starting point, it is helpful to understand establishment of personal firearms eligibility is a core component of, or prerequisite to, virtually all BOF critical regulatory functions, such as issuance of licenses and permits, clearing firearms and ammunition transactions, or performing background clearances for peace officer and armed security guard employment. That is, an individual must not be prohibited from owning or possessing a firearm based on California law and, in most cases, federal law. Most BOF processes build on this base. The following examples illustrate this concept:

- A person who wishes to sell firearms in California must be included on the DOJ Centralized List of licensed firearms dealers. To be placed on the list, the person must undergo a firearms eligibility check and receive a DOJ COE stating they are not prohibited from acquiring or possessing a firearm. The person must also have a valid Federal Firearms License and all other requirements noted in PC section 26700.
- Likewise, anyone who wishes to purchase a firearm in California must conduct the transaction through a California licensed firearms dealer and undergo an eligibility check to determine whether they are prohibited.



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- Upon reporting any firearms in their possession as required, a person who moves to California from another state must undergo a firearms eligibility check.
- California Firearms Licensee Check: If an out-of-state FFL wishes to ship a firearm to California, the recipient must be a dealer who is on the Centralized List, which means the California dealer has previously undergone an eligibility check and holds a COE.

Related critical BOF functions involve identification and response to subsequent prohibition of individuals who legally acquired firearms under California law.

The BOF performs the following eligibility checks:

Eligibility Checks		
Type	Search	Note
Basic Firearms Eligibility Check (BFEC) with Full Set of Fingerprints	<ul style="list-style-type: none"><li>• BFEC with fingerprints searches the following files: <u>California</u> –<ul style="list-style-type: none"><li>○ Department of Motor Vehicles (DMV) files to verify the purchaser's identification and address</li><li>○ California Identification (Cal-ID) System/ Automated Fingerprint Identification System (AFIS)</li><li>○ Automated Criminal History System (ACHS)</li><li>○ Mental Health Reporting System (MHRS)</li><li>○ Wanted Persons System (WPS)</li><li>○ California Restraining and Protective Order System (CARPOS)</li></ul> <u>Federal</u><ul style="list-style-type: none"><li>○ Federal Bureau of Investigation (FBI) National Instant Criminal Background Check System (NICS)</li></ul></li></ul>	Applicant fingerprints are submitted to the DOJ through a certified Live Scan operator. Following a database search, the BFEC results are returned to the DOJ Applicant Processor for BOF review.
BFEC without Fingerprints	<ul style="list-style-type: none"><li>• BFEC without fingerprints searches all of the above files except the AFIS.</li></ul>	The CFIS performs the non-fingerprint based automated BFEC and returns the results to the DROS System for BOF review.



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Personal Firearms Eligibility Check (PFEC) – Voluntary	<ul style="list-style-type: none"> <li>No fingerprints are submitted.</li> <li>A BOF analyst searches California files through the LEAWEb. No federal files are searched.</li> <li>The DOJ is not authorized to request or search information regarding any firearm in association with the PFEC request.</li> </ul>	The PFEC is performed on behalf of a person who wishes to determine eligibility in advance of an attempt to purchase or possess a firearm.
Standard Ammunition Eligibility Check (SAEC)	<p>The SAEC is used when the prospective ammunition purchaser or transferee knows they have an up-to-date record in the DOJ AFS indicating current firearms ownership. This process can typically be performed in about two minutes.</p> <ul style="list-style-type: none"> <li>If the subject's information is found in the AFS and does not match an entry in the APPS, then the ammunition vendor is authorized to approve the transaction. This search is conducted upon request by the purchaser or transferee.</li> </ul>	
Basic Ammunition Eligibility Check (BAEC)	<p>The BAEC is used when the purchaser knows they do not have an AFS record, or they do not have a COE. The BAEC searches California files only, and may take days to determine eligibility.</p> <p>The DOJ is authorized to search California files, but not federal files for ammunition purchases.</p>	

## BOF Organizational Profile

The BOF is staffed by 293.5 Positions (Source: 2019 State Budget Salaries and Wages Supplement). The bureau is comprised of Regulatory Programs and Enforcement Programs.

Firearms enforcement staff, Criminal Intelligence Specialists and sworn Special Agents, conduct and support investigations through regional offices in Sacramento and San Diego; and field offices in Richmond, Fresno, Los Angeles, and Riverside. These resources are consumers of information processed by the Regulatory Programs.

Located in Sacramento, regulatory staff process state level licensing and permit applications, firearm registrations, certifications, and background clearances for purposes such as firearm and ammunition purchases, firearm ownership reports, and employment. Note: In this narrative, the term “analyst” is used generically to refer to BOF staff regardless of the classification used to perform the task. It may refer to a technician, specialist, analyst, or manager.





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- Firearms Clearance Programs
  - Background Clearance Units (Firearms DROS and Ammunition DROS)
    - Firearms dealers and ammunition vendors submit information on prospective purchasers to the DOJ electronically via the DROS Entry System (DES). The DROS form contains personal descriptors (name, date of birth, etc.), Driver License/Identification Number, and (for firearm purchases) description of the firearm and (for ammunition purchases) descriptions of the ammunition. The transactions are routed to the Consolidated Firearms Information System (CFIS), which performs a search of several databases. Eligibility for about 10 to 12 percent of the DROS transactions is automatically approved by the system. Eligibility check results for transactions that cannot be automatically approved are routed to a queue within the DROS Application for review by the Background Clearance Unit to determine if the purchaser is prohibited from purchasing or possessing a firearm and/or ammunition. BOF responds to the dealer or vendor electronically through the DES. While California law establishes a mandatory 10-day waiting period before a firearm may be delivered, eligibility check processing could be delayed for up to 30 days while the BOF attempts to resolve issues such as location of missing dispositions. If the BOF is unable to provide a determination within 30 days, the dealer is authorized by law to deliver the firearm to the purchaser. By law, there is no mandatory turnaround time for ammunition only purchases; however, the BOF makes every attempt to process those transactions within 10 days.
- Special Assignment Section/ Reporting and Quality Assurance
  - Dealer Record of Sale Quality Assurance Unit
    - This unit performs a quality assurance check on 10 percent of the Firearms DROS and Ammunition transactions processed by the Background Clearance Unit. The BFEC is again processed to ensure the initial determination is correct.
    - The unit conducts a PFEC at the request of a person who wishes to determine eligibility in advance of an attempt to purchase or possess a firearm.
    - The unit processes No Longer in Possession (NLIP) documents submitted by persons who have sold or transferred their firearm, are no longer a resident of California, or have destroyed the firearm.
  - California Reporting Information System (CRIS) Dealer Record of Sale Processing Unit
    - The CRIS Unit processes firearm ownership self-reports, except the Law Enforcement Gun Release. These reports and photocopies of supporting documents are received from individuals, not firearms dealers, via U.S. mail with checks or money orders or electronically through the California Firearms Application Reporting System (CFARS). If the reports are submitted manually, following a review for completeness, the documents are scanned into the CFARS. An analyst key enters the information into a CRIS form in the CFARS. For both manual and electronic submissions, an analyst validates the supporting information. The analyst then initiates a BFEC. For manually submitted reports, the determination letters are sent via U.S. mail.
    - The CRIS Unit also processes AFS Personal Information Update Requests. The applications are submitted by individuals through the CFARS. If an individual attempts to update their address, the update to their AFS record is processed electronically. If the individual attempts to update their name, date of birth, or Identification type or number, the



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application and supporting documentation drops into a queue for an analyst to validate the change. Once the analyst has validated the change the request is processed electronically.

- Licensing, Compliance, and Customer Support Programs
  - Training Information and Compliance Section
    - BOF Field Representatives conduct periodic compliance inspections of firearms manufacturers, firearms dealers, exempted FFLs and ammunition vendors on the Centralized List.
  - Customer Support Center. This unit provides the following services:
    - As the point of contact for dealers and vendors, law enforcement agencies, district attorneys, out-of-state agencies, the public, etc., the unit responds to phone calls and emails for assistance with online BOF systems and general bureau information.
    - Provide help desk services for DES users.
    - DES invoice reconciliation.
    - “Undelivered DROS” follow-up. When a dealer delivers a firearm to the purchaser upon receipt of a DROS approval from the DOJ, the dealer must complete the transaction in the DES by clicking a “Deliver” button. This action triggers creation of a firearm record in the AFS. If the Deliver button is not clicked, the firearm will not be recorded. The BOF receives monthly system-generated Undelivered DROS reports identifying the transactions that have not been completed. Follow up with the dealer is required.
  - Licensing and Certificate of Eligibility Section
    - Certificate of Eligibility Unit
      - Open mail and deposit checks received from out-of-state applicants. If unable to submit live scan fingerprints, out-of-state applicants are allowed to provide hard copy fingerprints, and then must apply for the COE online through the CFARS. All California COE applicants must submit live scan fingerprints and apply through CFARS.
      - Review online COE applications in the CFARS and associated firearms eligibility check results in the DOJ Applicant Processor. All COE eligibility check results are reviewed by an analyst. i.e., there are no automated approvals.
      - Send electronic approval letter with COE or denial letter to applicant.
      - Review Explosive Permit background check results in the Applicant Processor based on fingerprints submitted by law enforcement agencies on behalf of permit applicants.
      - Send Explosive Permit approval or denial letter to the submitting agency.
      - Manage renewals.
    - Centralized List (CL) Unit
      - Open mail and log/deposit checks. CL applications and fees are only submitted through the mail.
      - Review CL applications for completeness.
      - Call applicants to obtain missing information.





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- Key enter the application into the CL database.
- Perform checks to validate the following:
  - COE number and expiration date in the CFARS.
  - Federal Firearms License number and expiration date with the Bureau of Alcohol Tobacco and Firearms (ATF).
  - Local Firearms License number and expiration date with the issuing authority.
  - Seller's Permit number issued by the California Department of Tax and Fee Administration (DTFA).
  - Secondhand dealer/pawnbroker license number (if applicable).
- Add applicant to the Centralized List.
- Print and mail CL letters of acceptance.
- If a large-capacity magazine permit application was submitted, include the permit in the letter.
- Manage CL renewals.
- Manage license updates.
- Review California Firearms Licensee Check (CFLC) System Enrollment Applications that have been received by mail, fax, or by email. Firearms dealers may also enroll using the on line CFLC System.
- The BOF analyst key enters information from hard copy Enrollment Applications into the online CFLC System. Upon acceptance, a login ID and password are emailed to the dealer.
- Ammunition Vendor Licensing Unit
  - The ammunition vendor licensing process generally mirrors the process described above to add firearm dealers to the Centralized List.
- Maintenance of Handgun and Firearm Safety Device Roster and Laboratory Certification Unit
  - Certify Handgun and Firearm Safety Device testing laboratories.
  - Update rosters of approved firearm safety devices and handguns certified for sale in California.
- Records and Prohibited Persons Program
  - Automated Firearms System Unit. The AFS unit processes the following:
    - Citizen Records Request – Individuals may submit a notarized application, including a photocopy of a valid identification card, requesting a record of all firearms in the AFS under their name. Upon completing an AFS search, a BOF analyst responds to the requester with a letter identifying associated firearms, but no dealer information. Records associated with individuals born prior to 1961 may not be in the AFS and will require a special search.
    - Subpoena Duces Tecum for deceased – An order received from an Attorney or Court to identify any firearms owned by the deceased as part of legal proceedings.



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- AFS Law Enforcement Searches
  - Special Search – Some requests require a special ad hoc report which might require HDC assistance. Such requests might be received from law enforcement agencies, BOF Executive staff, or other BOF staff via mail, email, or fax.
  - More than 12 hit search – Due to file size limitations, online AFS query responses cannot exceed 12 matches (“hits”). Law enforcement agencies must contact the BOF to request a special search when the response exceeds 12 hits.
- AFS Statistical Project – Each year, the AFS unit engages in a months long effort to compile a report identifying all records entered into the AFS by each law enforcement agency in the preceding year. The report is mailed to each agency during the first half of the calendar year.
- Mental Health Unit – The unit responds to information requests, processes reports, and performs specialized tasks in the Mental Health Reporting System (MHRS) and the Mental Health Firearms Prohibition System (MHFPS).
  - Confidential Reports: Courts, BOF Special Agents, district attorneys, local law enforcement agencies, and out-of-state law enforcement agencies request mental health firearms prohibition information on subjects in the course of official business.
  - Restoration of rights: Upon or after discharge from a mental health facility, a person subject to firearms prohibition may request a superior court hearing to determine whether their right(s) to own, possess, control, receive, or purchase firearms will be restored by court order. The court sends a notice of hearing to the BOF with a request for information on the subject stored in the MHFPS. The BOF responds with a Confidential Report. If rights are reinstated, the court sends a Minute Order. The BOF then deletes the subject’s record from the MHFPS. If the subject still has a federal firearm prohibition, the records will remain in the NICS.
  - NICS Appeal: Persons who are denied an out-of-state firearm purchase based on a California mental health firearm prohibition are notified by the NICS of their right to appeal. The person will request information from the BOF by forwarding the NICS denial letter and a copy of their driver license. The BOF responds to the NICS with any information from MHFPS files and notifies the requester to contact the NICS. The BOF is not notified of any subsequent action taken by the NICS.
  - Graph Mail-outs: The BOF sends graph reports to each mental health facility (bi-monthly) and each superior and juvenile court (quarterly) depicting the number of transactions submitted during the previous reporting period. Production of these reports is accomplished by exporting MHFPS data to an Excel spreadsheet.
  - Thirty percent (30%) drop: When BOF records indicate a 30% drop in a facility’s reporting from one quarter to the next, an analyst will contact the facility to determine the cause. When a 30% reporting decrease from a court is discovered, the BOF notifies the Judicial Council which then follows up with the court.
  - Background checks: When clarification is needed with regard to a potential mental health prohibition during a firearm eligibility check, other BOF units often request that the MH Unit follow up with the mental health facility.



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- Miscellaneous tasks include:
  - Manual synchronization of the BOF mental health facility list with the Department of Health Care Services (DHCS) facility listing. The facilities must be approved/licensed by the DHCS.
  - Manual compilation of quarterly workload statistics report in Excel for management.
  - Provide assistance to external MHRS users.
- Serial Number Unit – This unit reviews Unique Serial Number Applications (USNA) for self-manufactured or self-assembled firearms by unlicensed subjects.
  - The application, including a description of the firearm, must be submitted to the BOF in the CFARS before the firearm is manufactured. New California residents who wish to retain possession of a self-manufactured firearm shall submit the USNA within 60 days. Supporting documentation must be mailed or faxed.
  - Within CFARS, the BOF analyst initiates a BFEC to determine if the USNA applicant is prohibited from possessing a firearm.
  - The Department is required to grant or deny the application within 15 days of the receipt of the application.
  - The serial number is programmatically generated within the CFARS.
  - Applicants are notified of determinations within the CFARS.
  - The BOF informs applicants who are denied an application of the reasons for denial in writing.
  - Approved applicants must build the firearm within 30 days after approval and submit photos of the firearm with the engraved serial number.
  - If the manufactured firearm is non-compliant, a Special Agent will personally inspect and confiscate it.
- Armed and Prohibited Persons Section

When a person is approved to purchase a firearm through the DROS process, identifying information for that person and the firearm are added to the APPS. A subset of the APPS is persons who have been identified as prohibited from purchasing or possessing a firearm.

  - Prohibiting Triggering Event: Each night, the CFIS initiates a check of the California prohibiting databases to identify changes in any records that match subjects in the APPS. Records with changes are placed in a Prohibiting Triggering Event (PTE) queue within the APPS. A subject's presence in the queue is merely an indication that something has changed in an associated record in one of the databases that might contain a firearms prohibition, but not necessarily a positive indication of firearms prohibition. BOF analysts must review each record in the PTE queue to identify prohibitions and non-prohibitions. Pursuant to PC Section 30020, the BOF must complete this review within seven days.
  - Weapon Triggering Event: Similar to the PTE process, a nightly DOJ Criminal Justice Information System batch process copies AFS records that have been changed by law enforcement agency and DOJ users. This Weapon Triggering Event (WTE) file is loaded into the APPS. Likewise, the CFIS creates a nightly WTE file containing DROS and Assault Weapon Registration (AWR) System records that have been changed due to additions, updates, or



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deletions. An APPS program reads this file to match to a person associated with an APPS record and updates the APPS database by identifying a partial match. Partial matches of WTE Persons to APPS Persons in these processes are placed in an APPS WTE queue for analyst review.

- Processes related to prohibitions and/or agent investigations
  - Weapon Discrepancy: A BOF analyst must research via phone calls, fax, and/or online searches if the description of a weapon recorded in the AFS does not match the weapon BOF Special Agents retrieve from a prohibited person.
  - No Longer In Possession: When in the course of an attempt to retrieve a weapon from a prohibited person, a Special Agent learns the person is no longer in possession of that weapon, a BOF analyst must research, update the AFS, and provide a letter to the subject acknowledging the change in possession status.
  - Firearm relinquishment or temporary storage: The APPS Unit receives notifications related to compliance during probation, restraining orders, and mental health prohibitions. This information is maintained in Excel spreadsheets.
  - Problem Resolution: BOF APPS analysts perform records tasks related to various conditions.
    - A new firearm owner is prohibited, as determined by the BFEC when a firearm ownership report is submitted (e.g., FOR or LEGR).
    - A prohibited subject may be incarcerated or out of state.
    - A DROS or AWR record may be listed in the AFS as "Under Observation" (a record describing a firearm that is of special interest to an agency, but is not in their possession).
    - The subject may be deceased.
- Carry Concealed Weapons (CCW) Unit – CCW licenses are issued by County Sheriffs or designated head of a police department within the applicant's county of residence.
  - The issuing authority submits the CCW application and the subject's live scan fingerprints to the DOJ.
  - The Applicant Processor receives and electronically forwards the results of the database search to the CCW System.
  - The BOF analyst accesses the CCW system via the DOJ Portal.
  - The analyst reviews the results of the firearms eligibility check to determine whether the applicant is prohibited.
  - The BOF responds to the issuing authority with a letter indicating the applicant's eligibility status (eligible or prohibited).
  - Approved applicants are added to the Firearms Applicant Eligibility File (FEAF), which receives and relays to the CCW Unit subsequent notifications of potential prohibiting information from the WPS, CARPOS, and MHFPS.
  - When the issuing agency receives a BOF notification that the CCW applicant is not prohibited from possessing a firearm and the agency issues a CCW license, it forwards a hard copy of the license to the BOF.



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- License processing includes verification that the applicant is in the FEAF, and then entry of the license holder's personal and gun information into the CCW database. Another BFEC is performed.
- Dangerous Weapons Permits Unit
  - Permits are issued for short-barreled shotguns/rifles, assault weapons/.50 BMG rifles, destructive devices, and machine guns. Licenses are issued for the sale of machine guns. Applicants might be firearms dealers, motion picture employees, peace officer trainers, etc. This unit receives hard copy applications and checks or money orders through the U.S. Mail. The application packages include extensive documentation required to support the applicant's claim for good cause. Applicants also submit live scan fingerprints to facilitate the BFEC process.
  - Upon determination that the applicant is not prohibited from possessing a firearm, the analyst forwards the package to BOF Special Agents who will conduct an in-depth background investigation, which includes an inspection of the applicant's business/vehicle for security and safe storage purposes.
  - When the investigation is completed, the Special Agent files an Investigation Report and recommendation for BOF managers and executives. The recommendation may be approved or denied.
  - Each approved permit includes conditions, some standard and others unique to the permit holder. Special Agents will refer to the conditions list during subsequent inspections.
  - Annual renewal is required.
  - The Dangerous Weapons Permits Unit logs and tracks applications and inspections in Excel spreadsheets.
- Tear Gas Permits
  - The Dangerous Weapons Permits Unit also processes applications for tear gas dealers permits and protective tear gas system permits. The dealers' permits are typically sought by business that sell tear gas to law enforcement agencies or sell and install protective tear gas systems to financial institutions (banks, credit unions, etc.). Financial institutions apply for permits to purchase and install protective tear gas systems.
  - Any employee (e.g., a bank security officer) who has direct control over protective tear gas systems must receive a BFEC clearance.
- Peace Officer Assault Weapon Registration – Some peace officers are required to purchase an assault weapon for use while on duty. These weapons must be registered with the BOF. As of July 1, 2018, civilians can no longer register assault weapons in California. Previous registrations are honored.
  - Hard copy Peace Officer Assault Weapon Registration applications are submitted to the BOF.
  - The AWR analyst key enters the applicant's personal information and weapon description into the AWR system.
  - A BFEC is initiated from the AWR system.
  - The AWR analyst issues a letter to the peace officer and head of the law enforcement agency for approvals, rejections, or denials.



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- When a registration is approved, the AWR system sends the data to the AFS as a registration record.
- Assault Weapon De-registration – An Assault weapon may be “de-registered” when a peace officer retires or otherwise leaves service. Assault weapon functionality must be disabled. A civilian who owns a registered assault weapon may de-register the weapon upon disabling the functionality that makes it an assault weapon or upon sale or transfer out of the state.
  - The applicant sends a written de-registration request to the BOF.
  - The BOF analyst manually deletes the assault weapon registration from the AFS and creates a new firearm record (firearm ownership record).
- Entertainment Firearm Permits Unit – The DOJ issues entertainment firearms permits, which authorize the permit holders to possess firearms loaned for use solely as a prop in a motion picture, television, video, theatrical, or other entertainment production or event.
  - The applicant must submit a set of fingerprints to the DOJ through a certified live scan operator for the initial request. The automated BFEC is performed upon receipt of the fingerprints at the DOJ.
  - The Entertainment Firearms Permits Unit receives applications only via U.S. Mail with check or money order.
  - The applications and fees are logged into an Excel spreadsheet.
  - Forms may be rejected for incomplete information.
  - If the application is acceptable, the analyst reviews the BFEC results in an Applicant Processor queue. Normal BFEC processing occurs, culminating in an eligibility determination.
  - If the applicant is eligible, the BOF analyst issues a permit, an accompanying letter, and a wallet-sized permit card.
  - The permit is good for one year and may be renewed. Fingerprint submission is not required for renewals.

Hard copy applications are stored in a physical file cabinet. Applicants and licensees are tracked in Excel spreadsheets on a departmental shared drive with restricted access at the folder level.

- Gun Show Permits Unit – Persons who produce, promote, sponsor, operate, or otherwise organize a gun show or event (“gun show producers”) must possess a valid COE (PC Section 27200). Once that requirement has been met, prospective Gun Show Producers must go through a two-step process specific to Gun Show Producer licensees. 1) They must obtain a DOJ Gun Show Producer license. 2) They must obtain a permit for each gun show or event.
  - Guns show producer license: The Gun Show Permits Unit receives proof of COE and acknowledge familiarity with Penal Code provisions that govern gun shows or events and a check or money order via U.S. Mail. (Sections 27200-27415).
    - Upon reviewing the documents, the Gun Show Permits Unit responds with a license and cover letter or with a rejection letter. Licenses must be renewed annually.
  - Gun show permits: The gun show producer is required to provide to the Gun Show Permits Unit an annual list of the gun shows or events they plan to promote, produce, sponsor, operate, or otherwise organize. The list includes date, time, and location of each event. The





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producer must notify the DOJ of changes or additional gun shows no later than 30 days prior to the gun show.

- The events are added to a master calendar in Excel that is shared with BOF Special Agents.
  - Producers must provide the Gun Show Permits Unit with annual security plans, vendor lists, and proof of insurance for upcoming events. The unit's analyst determines whether each prospective vendor is on the Centralized List of firearms dealers and are thus eligible to participate in the show.
  - Within seven calendar days of the start of an event, but no later than noon Friday for a show held on a weekend, the producer must submit the final vendor list.
  - The unit provides the producer with confirmation of each vendor's eligibility or ineligibility to participate.
- Employment Subsequent Notification Unit (ESNU) – This unit processes the following:
- Peace officer applicant background clearances.
  - Non-law enforcement sponsored POST applicants background clearances (peace officer academy training).
  - Armed security guard applicant background clearances.
  - Armed security guard renewals (requires a fresh background clearance every two years).
  - Subsequent notification of prohibiting events for peace officer, armed security guard, and CCW applicants.

The initial applications processed by the ESNU require a fingerprint-based eligibility background check. Armed security guards must submit fingerprints for each renewal.

Applicants not cleared for firearms eligibility are added to the Prohibited Applicant (PA) database. The PA includes the reason for denial.

Peace officer and armed security guard applicants cleared for firearms eligibility are added to the FEAF in the DOJ Criminal Justice Information System. The FEAF monitors the firearms eligibility status of these subjects and provides the BOF on a drop printer with a subsequent notification when a related firearm prohibition occurs in the WPS, the CARPOS, and/or the MHFPS.

An applicant record and/or entry is created in the ACHS for each applicant. The ACHS notifies the BOF of subsequent potential firearms prohibiting events related to peace officer and armed security guard applicants through a report generated by the DOJ Subsequent Arrest Processor.

The ESNU also administers the Firearm and Ammunition Record Review processes. When a person's firearm or ammunition transaction has been delayed, undetermined (not applicable to ammunition purchases), or denied, that person is entitled to request a copy of the criminal history record and other potential disqualifying information pertaining to themselves. They may examine the records for accuracy and completeness. The request requires submission of a set of fingerprints and fee through a certified live scan operator. The DOJ Bureau of Criminal Information and Analysis (BCIA) Record Review Unit performs an initial review and then forwards the request to the BOF Record Review Queue in the Applicant Processor. The BOF analyst reviews matching state and federal (not applicable for Ammunition Record Review) records from prohibiting databases. The requester's Criminal history and other potential disqualifying information are forwarded to the requester or



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their designee with information on how to challenge alleged inaccuracy or incompleteness in the records.

- Law Enforcement Gun Release Unit – The BOF receives LEGR applications via the CFARS or through the U.S. Mail. The LEGR form is sent by persons wishing to claim title to a previously confiscated, stolen, or lost firearm that is in custody or control of a court or law enforcement agency.
  - The analyst opens mail, logs in checks and money orders, scans the hard copy applications, and reviews for completeness.
  - Hard copies with missing or incomplete information are returned to the sender.
  - The analyst key enters information from acceptable hard copy applications into the CRIS database in the CFARS.
  - From within the CFARS, the analyst initiates the BFEC for LEGR applications received electronically or entered from hard copies.
  - If the LEGR application is approved based on the BFEC, a letter bearing a gold BOF seal is sent to the applicant. The letter is to be presented to the court or law enforcement agency that has custody or control of the firearm.
  - If the application is denied, and the firearm is otherwise legal, the applicant is notified and instructed to sell or transfer the firearm to a licensed dealer. A similar process for ammunition will take effect in July 2020.
- Phone Resolution Unit – The PRU receives requests from the Background Clearance, LEGR and ESN Units to obtain missing dispositions for firearms and/or ammunition eligibility checks. PRU analysts accomplish this search by phone, fax, email, or direct access into local records management systems. Approximately 70% of the dispositions are found. When no disposition is found, a note is added to the DROS transaction indicating “No Disposition Information Available” (NDIA). After all attempts are made, the transaction is returned to the requesting unit for further processing.

## DOJ IT Organization Support

BOF IT systems are hosted and maintained by the DOJ Application Development Bureau in Sacramento.

## Supporting Information Technology Systems

This section describes the business-level functionality of information technology systems and databases that support BOF processes and how they are used to fulfill BOF’s regulatory and enforcement responsibilities. For convenience, the descriptions are organized in the following categories:

- Firearms Applications
- Firearms Applications in the DOJ Criminal Justice Information System – Accessed through the California Law Enforcement Telecommunications System (CLETS)
- Non-Firearms Applications/Databases – DOJ non-firearms systems that are used by Firearms staff and processes

Non-firearms applications/databases are included in this discussion to provide context for a more complete understanding of BOF processes.



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## Firearms Applications

### DROS Entry System

The DES is the public-facing web-based application used by firearms dealers to report to the BOF the potential sale, loan, transfer, redemption, and acquisition of handguns and long guns. Ammunition vendors use the DES to report potential ammunition purchases that do not involve a firearm purchase. The DES hands off purchaser information to the CFIS for initiation of the BFEC. Within the DES, the firearms dealer or ammunition vendor receives electronic notifications of the status of each DOJ determination and the final determination. Upon delivery of a firearm or ammunition to the purchaser, the dealer or vendor is required to complete the transaction in the DES indicating delivery. This action causes the DES to create a firearm record within the AFS or an ammunition purchase record in the Ammunition Purchase Records File (APRF). The DES also enables authorized users to perform system administration tasks such as managing employee accounts, viewing/paying DES invoices, etc.

### Dealer Record of Sale Application

The DROS Application is the “back-end” system that receives information dealers, vendors, and individuals have submitted through the DES or CFARS. It facilitates BOF review of BFEC results. BOF staff initiate BFEC status and final determination notifications delivered to dealers, vendors, and individuals through the DES or by mail. The system generates letters, reports, and statistics. The DROS Application is a component of the CFIS and is accessed only by BOF staff.

### Consolidated Firearms Information System

The CFIS includes the following Firearms applications used to process and store purchase, permit, license, and registration information and transactions:

- DROS Application.
- Centralized List.
- California Reporting Information System.
- Assault Weapon Registration System.
- Armed and Prohibited Persons System.
- Certificate of Eligibility Application.

The CFIS performs the electronic part of the BFEC for purposes that do not require fingerprints. The DROS Application transmits firearms purchaser information to the CFIS, which sends inquiries through the California Firearms Information Gateway (CFIG) to other electronic databases. The BFEC first queries California’s DMV database, to ensure the purchaser’s driver license information is valid. DMV rejects and mismatches are routed to a DROS System queue for BOF analyst resolution. If the DMV match is successful, the BFEC checks the AFS database to determine if the firearm has been reported lost or stolen. Under California law, a person can lawfully purchase only one handgun in a 30-day period. CFIS queries its own records to ensure the purchaser has not purchased another handgun in the prior thirty days. Next, the BFEC checks the following state and federal criminal and mental-health databases to confirm the purchaser is not prohibited from purchasing firearms under state or federal law:

- Automated Criminal History System.
- Wanted Persons System.
- California Restraining Order and Protective System.
- Mental Health Firearms Prohibition System.
- National Instant Criminal Background Check System. The following sources are checked:



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- Interstate Identification Index.
- National Crime Information Center.
- Immigration and Customs Enforcement.
- National Instant Check System.

Any “hits” or “matches” in the background check process, are sorted for manual review by a BOF analyst through the DROS Application.

## **California Firearms Information Gateway**

The CFGI is “middleware” that facilitates communication between the CFIS and external systems via the CLETS.

## **California Firearms Application Reporting System**

The CFARS is a public facing web-based application that allows an individual to do the following:

- Self Report firearm ownership information.
- Request a unique serial number for a self-manufactured or self-assembled firearm.
- Apply for or manage a COE.
- Update personal information on an AFS record.

While the system accepts major credit cards, all payments are conducted through a third party payment processing company (Fiserv, Inc., formerly First Data Corporation) using secured transactions. The DOJ does not process credit card payments, nor does it retain records of the credit card data. The BFEC for job types processed through the CFARS, except the COE, is handled by the CFIS. The BOF analyst clicks a link from within the CFARS to initiate the BFEC.

## **California Reporting Information System**

The CRIS is a database within the CFARS that allows individuals to submit firearm ownership reports and LEGRs.

## **Certificate of Eligibility**

The COE database is accessed from within the CFARS. A COE is required for all prospective licensed firearms dealers, licensed ammunition vendors, manufacturers, certified instructors, gun show promoters, explosive permit holders, and other firearm related employment activities, including, any agent or employee of a vendor who handles, sells, or delivers firearms and ammunition. The COE states the DOJ has checked its records and the records available to the Department in the NICS and determined that the applicant is not prohibited from acquiring or possessing firearms at the time the check was performed.

## **Centralized List**

The CL, maintained by the BOF, is a listing that contains the following:

- Persons licensed to sell firearms in California (firearms dealers).
- Firearms manufacturers.
- Exempted federal firearms licensees.
- Persons licensed to sell ammunition in California (ammunition vendors).
- Identification of firearms dealers who also possess a dangerous weapons permit.
- Identification of firearms dealers who also possess a large-capacity magazine permit.

BOF staff access the CL database through the DOJ Portal. The database does not communicate with other BOF systems.



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## **California Firearms License Check System**

The CFLC System is a web-based application that enables federal firearms licensees nationwide, other than exempted FFLs, to obtain approval to ship firearms to an FFL in California. The CFLC system validates a California FFL's active status against the California Centralized List. The CFLC generates a Firearms Shipment Approval letter including the verification approval number, if the intended California FFL recipient of the firearm shipment is properly licensed and listed in the state's database. If the intended CA FFL recipient is not listed in the state's database, the transaction will result in a Do Not Ship letter. The CFLC System is available 24 hours a day, 7 days a week.

## **Firearms Certificate System**

The FCS enables DOJ Certified Instructors to issue Firearms Safety Certificates (FSC) to persons who have passed the FSC exam on firearms safety. In addition, individuals who want to become a DOJ Certified Instructor can apply online and enroll in the Firearms Certification System.

## **Carry Concealed Weapon System**

Local issuing law enforcement agencies send fingerprints of CCW license applicants to the DOJ via the Live Scan System. Following the fingerprint-based BFEC search, the Applicant Processor electronically forwards the BFEC results to the CCW System, enabling BOF review to determine firearms eligibility. The CCW system generates and sends approval and denial letters to the Applicant Processor, to be forwarded to the submitting agency. Information on approved applicants is added to the FEAF. Upon receipt of the hard copy CCW license from the issuing agency, information on the subject and handgun(s) authorized by the license is entered into the CCW system.

## **Assault Weapon Registration System**

The AWR is a CFIS System that collects and stores person and weapon information of applicants requesting an assault weapon registration. BOF staff can initiate a BFEC from within the AWR System. Staff can then review the BFEC results that have been returned to the AWR. The system can also generate reports, letters, and statistics.

## **Prohibited Applicant**

The PA database contains information on peace officer and armed security guard applicants who have been determined prohibited from possessing a firearm during the initial BFEC process or when the BOF discovers, or is notified of, subsequent state or federal prohibitions.

## **Armed and Prohibited Persons System**

The APPS is a database of all persons who legally purchase or acquire firearms in California. The Prohibited Armed Persons File, within the APPS, identifies firearms purchasers who were later prohibited by law from possessing these weapons due to incidents such as felony convictions, domestic violence restraining orders, and mental health commitments. The APPS also contains queues that enable BOF staff to process work associated with nightly Prohibiting Triggering Event and Weapon Triggering Event comparisons (processes described earlier in this document). BOF Crime Analysts and sworn Special Agents use this information to locate and disarm prohibited persons.

## **Mental Health Reporting System**

The MHRS is a public facing web-based system that enables mental health facilities to report specified information regarding persons admitted on the basis of being a danger to themselves or others, or who are certified for intensive treatment. Pursuant to Welfare and Institutions Code (WIC) Section 8103(f)(1), such individuals shall not own, possess, control, receive, or purchase, or attempt to own, possess, control, receive, or purchase any firearm for a period of five years after the person is released from the facility. Reporting by the facility is required within 24 hours of admission exclusively by electronic means. The system is also used by superior courts, juvenile courts, and law enforcement agencies to report firearm-prohibiting events related to mental health. Information reported through the MHRS is stored in the MHFPS.



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## Firearms Applications in the DOJ Criminal Justice Information System

### **Mental Health Firearms Prohibition System**

The MHFPS is the “back end” component that receives information reported via the MHRS portal. It is one of the prohibiting information databases checked for firearms eligibility. Changes to the MHFPS database are compared to the Armed and Prohibited Persons database through a nightly batch process to determine if a previously approved individual may have become prohibited. MHFPS records are retained in the database only while the subject is prohibited and are deleted when the prohibition expires. Pursuant to Welfare and Institutions Code (WI) Sections 8103(b)(3) and 8105(d), firearms prohibition information reported to the DOJ must be kept “confidential, separate, and apart from all other records maintained by the Department of Justice.”

### **Automated Firearms System**

The AFS is a statewide, on-line database of serialized firearms records established by PC Section 11106. It is divided into two segments:

- Law Enforcement Records
  - Firearms reported as stolen, lost, found, under observation, held in evidence, crime guns, destroyed, institutionally registered, or retained for official use.
- Historical Records
  - Firearms associated with a person. These records show the Dealer’s Record of Sale (DROS) of revolvers or pistols; pawn, buy, or consignment transactions; licenses to carry concealed weapons; assault weapon registrations; voluntary firearm ownership records; firearms sold at auctions; operation of law; new residents; collectors; and pawn redemption.
  - As of July 1, 2019, an individual has the ability to update one or more AFS records through the CFARS to match his or her current name, date of birth, address, and California Driver License, California Identification Card, or Military Identification Number.

The electronic AFS was created in 1980. Prior to 2014, most entries in the AFS were handguns. Long guns have been entered into the system since 2014.

### **Ammunition Purchase Records File**

The APRF is a database within the AFS. Pursuant to PC Section 30352, the APRF receives and stores specified information reported by ammunition vendors for all sales and transfers of ownership of ammunition in California. The information is confidential and may be used by DOJ and CLETS users only for law enforcement purposes.

### **Firearms Eligibility Applicant File**

The FEAF is an internal DOJ system (no external law enforcement access) that houses applicant record information on peace officer, armed Security Guard, and CCW license applicants the DOJ has cleared for firearm eligibility. The system monitors the firearms eligibility status for these subjects and provides the BOF with subsequent notification when a firearm prohibition occurs. The database houses individual records containing the name, sex, date of birth, applicant record type, record notification flags, Social Security number, and/or California Driver’s License or identification number. The FEAF is checked when inquiries are made to WPS, CARPOS, and/or the MHFPS. The file notifies the BOF when a firearm prohibiting update to either the WPS, the CARPOS, and/or the MHFPS results in a subject becoming ineligible to possess, receive, or purchase firearms. The BOF verifies the information and notifies the contributing agency of the applicant’s prohibited status.





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## Non-Firearms Applications/Databases Used by BOF Processes

### **Automated Fingerprint Identification System**

The Cal-ID AFIS database stores searchable fingerprint data extracted from criminal offender and applicant fingerprint submissions received at the DOJ. During firearms eligibility checks that require fingerprint submissions, a search of the AFIS enables positive identification of subjects with an existing ACHS criminal history record and potential prohibiting information.

### **Applicant Processor**

The Applicant Processor is a comprehensive DOJ system that facilitates review of state and federal criminal history information for employment, licensing, and certification. These database checks are initiated by the submission of a set of fingerprint images from certified external live scan operators statewide. Exceptional cases are allowed to submit ink-rolled ("hard card") fingerprints (e.g., from out of state). Upon receipt of the fingerprints, the Cal-ID System searches for a matching record in the AFIS, California's ACHS, and federal databases. The database responses are compiled for analyst review through the Applicant Processor. BOF analysts access Applicant Processor information for firearms eligibility checks that require fingerprint submissions.

### **Subsequent Arrest Processor**

This system receives a notification when a new arrest is added to the ACHS record for a subject who previously received a criminal history background clearance for employment, licensing, or certification. While this system is not limited to BOF processes, it is used to inform the bureau of subsequent potential firearm prohibiting criminal offender events for peace officer, armed security guard, and CCW applicants who were cleared through the BFEC process. BOF staff access a Firearms queue within the Subsequent Arrest Processor to review these notifications.

### **Automated Criminal History System**

The ACHS is California's repository for state summary Criminal Offender Record Information. The system receives reports from law enforcement agencies, prosecutors, courts, supervision, and correctional facilities on criminal history events related to individual subjects in the criminal justice system from arrest through final disposition. The ACHS record is one of the primary sources for DOJ employment, licensing, and certification background checks. It is a source for firearms and ammunition prohibition information during the eligibility check and notification of subsequent prohibitions.

### **California Restraining Order and Protective Order System**

The CARPOS is the statewide central repository of active and historical restraining and/or protective orders, and their possible violations. It includes domestic violence restraining orders, civil harassment orders, criminal protective orders, emergency protective orders, temporary restraining orders, and workplace violence orders.

The system is used by law enforcement to identify persons named in restraining orders and to receive data on the terms and conditions of the restraining orders. The BOF accesses the CARPOS to process requests for firearms clearances. Any person identified as the subject of certain restraining orders is prohibited from possessing, owning, purchasing, or receiving firearms or ammunition. (PC Section 29825).

### **Wanted Persons System (WPS)**

The WPS is the statewide file of persons for whom arrest warrants have been issued. It is the DOJ's oldest online system, having been established in 1971. Outstanding warrants for felonies and certain misdemeanors prohibit ownership or possession of a firearm.



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## 1.4 Stakeholders

### Key Stakeholders

Org. Name	Name
DOJ Division of California Justice Information Services	Joe Dominic, Division Chief/DOJ Chief Information Officer
Internal or External?	<input checked="" type="checkbox"/> Internal <input type="checkbox"/> External

### When is the Stakeholder impacted?

Input to Business Process	During the Business Process	Output of the Business Process
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

### How are Stakeholders impacted?

Responsible for all DOJ IT assests.

### How will the Stakeholders participate in the project?

Executive decision-making with regard to IT support.

Org. Name	Name
DOJ Budget Office	Ashley Harp, Budget Officer
Internal or External?	<input checked="" type="checkbox"/> Internal <input type="checkbox"/> External

### When is the Stakeholder impacted?

Input to Business Process	During the Business Process	Output of the Business Process
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### How are Stakeholders impacted?

Monitors the condition of relevant funding accounts.

### How will the Stakeholders participate in the project?

Coordinate funding approvals for the project and ongoing maintenance and operations.

Org. Name	Name
Technology Support Bureau	Joe Adkins, Director
Internal or External?	<input checked="" type="checkbox"/> Internal <input type="checkbox"/> External

### When is the Stakeholder impacted?

Input to Business Process	During the Business Process	Output of the Business Process
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

### How are Stakeholders impacted?

The bureau administers DOJ servers, databases, storage, etc.

### How will the Stakeholders participate in the project?

Involved in system planning, design, and implementation.

Org. Name	Name
Bureau of Criminal Information & Analysis (BCIA), Applicant & Record Quality Services Branch	Chris Rogers, Assistant Director
Internal or External?	<input checked="" type="checkbox"/> Internal <input type="checkbox"/> External

### When is the Stakeholder impacted?

Input to Business Process	During the Business Process	Output of the Business Process
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>



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<b>How are Stakeholders impacted?</b>		
The branch owns the DOJ Applicant Processor, used for the BFEC.		
<b>How will the Stakeholders participate in the project?</b>		
Consulted for any potential impacts.		
<b>Org. Name</b>	<b>Name</b>	
BCIA Records & Biometric Identification Branch	Keith Dann, Assistant Director	
<b>Internal or External?</b>	<input checked="" type="checkbox"/> Internal <input type="checkbox"/> External	
<b>When is the Stakeholder impacted?</b>		
Input to Business Process	During the Business Process	Output of the Business Process
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>How are Stakeholders impacted?</b>		
The branch administers the DOJ Cal-ID AFIS, used in the BFEC		
<b>How will the Stakeholders participate in the project?</b>		
Consulted for any potential impacts		
<b>Org. Name</b>	<b>Name</b>	
BCIA Record Management Branch	Marc St. Pierre, Assistant Director	
<b>Internal or External?</b>	<input checked="" type="checkbox"/> Internal <input type="checkbox"/> External	
<b>When is the Stakeholder impacted?</b>		
Input to Business Process	During the Business Process	Output of the Business Process
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

<b>How are Stakeholders impacted?</b>		
The branch administers the DOJ ACHS, one of the databases that is queried when compiling information for the BFEC		
<b>How will the Stakeholders participate in the project?</b>		
Consulted for any potential impacts		
<b>Org. Name</b>	<b>Name</b>	
Justice Data and Investigative Services Bureau	Jenny Reich, Director	
<b>Internal or External?</b>	<input checked="" type="checkbox"/> Internal <input type="checkbox"/> External	
<b>When is the Stakeholder impacted?</b>		
Input to Business Process	During the Business Process	Output of the Business Process
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

<b>How are Stakeholders impacted?</b>		
The bureau administers the CARPOS and the WPS, which are databases used in the BFEC. The bureau includes Criminal Justice Statistics and the CLETS Administrative Section		
<b>How will the Stakeholders participate in the project?</b>		
Consulted for any potential impacts		
<b>Org. Name</b>	<b>Name</b>	
FBI, Criminal Justice Information Services Division		
<b>Internal or External?</b>	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External	
<b>When is the Stakeholder impacted?</b>		
Input to Business Process	During the Business Process	Output of the Business Process
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>



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## How are Stakeholders impacted?

Administers the NICS, source of federal criminal history information in firearms eligibility checks. Recipient of California information on persons prohibited from possessing a firearm pursuant to federal or state law (Denied Persons Files)

## How will the Stakeholders participate in the project?

Consulted for any potential impacts

Org. Name	Name
Firearm dealers and ammunition vendors	Contact Information on the Centralized List
Internal or External?	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External

## When is the Stakeholder impacted?

Input to Business Process	During the Business Process	Output of the Business Process
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

## How are Stakeholders impacted?

DES users. Applicants for COE and inclusion on the Centralized List

## How will the Stakeholders participate in the project?

Informed

Org. Name	Name
California State Legislature/ Joint Legislative Budget Committee and Fiscal Committees of both houses	
Internal or External?	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External

## When is the Stakeholder impacted?

Input to Business Process	During the Business Process	Output of the Business Process
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

## How are Stakeholders impacted?

Statutory program oversight responsibilities. Receive annual APPS report.

## How will the Stakeholders participate in the project?

Informed

Select + to add additional Stakeholders

## 1.5 Business Program

Org. Name	Name
Bureau of Firearms Regulatory Staff	

## When is the unit impacted?

Input to the Business Process	During the Business Process	Output of the Business Process
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

## How is the business program unit impacted?

Primary system users who process all information received by the BOF.

## How will the business program participate in the project?

Define and validate business requirements. Perform user acceptance testing.

Org. Name	Name
Bureau of Firearms Enforcement Staff	

## When is the unit impacted?

Input to the Business Process	During the Business Process	Output of the Business Process
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

## How is the business program unit impacted?

Crime Analysts and sworn Special Agents use BOF information to conduct investigations

## How will the business program participate in the project?



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Enforcement staff will have input to requirements definition.

Select + to add additional Business Programs

## 1.6 Business Alignment

### Business Driver(s)

#### Financial Benefit

Increased Revenue	Cost Savings	Cost Avoidance	Cost Recovery
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

#### Mandate(s)

State	Federal
<input type="checkbox"/>	<input type="checkbox"/>

#### Improvement

Better Services to Citizens	Efficiencies to Program Operations	Improved Health and/or Human Safety	Technology Refresh
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

#### Security

Improved Information Security	Improved Business Continuity	Improved Technology Recovery	Technology End of Life
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

### Strategic Business Alignment

Strategic Plan Last Updated?	11/1/2007
Strategic Business Goal	Alignment
Develop the processes and technology to enable the efficient and secure transfer and storage of information from citizens, firearms business entities and other public agencies to enable accurate and timely firearms licensing and program management.	<ul style="list-style-type: none"> <li>Replace manual/paper-based processes with electronic transactions (includes data capture, processing, storage and retrieval).</li> <li>Re-engineer business processes to exploit existing information technology tools.</li> </ul>

Select + to add additional Business Goals and Alignment

### Executive Summary of the Business Problem or Opportunity

The establishment of personal firearms eligibility is a core component of, or prerequisite to, virtually all BOF critical regulatory functions. Most of the factors that cause a person to be prohibited from purchasing or possessing a firearm in California are related to the demonstration of violent behavior or the potential to do so. Such prohibiting categories include, but are not limited to, the following:

- Any person who has been convicted of an offense enumerated in Penal Code sections 29900 or 29905 (Violent Offense).
- Any person who is subject to a restraining order, an injunction, or a protective order issued pursuant to specified sections in the Code of Civil Procedure, Family Code, Penal Code, or Welfare and Institutions Code.
- Any person who is taken into custody as a danger to self or others, assessed, and admitted to a mental health facility, or certified (all under specified Welfare and Institutions Code sections).
- A person who is found by a court to be a danger to himself, herself, or others because of a mental illness.



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The California State Legislature has declared that the illegal possession of firearms presents a substantial danger to public safety.<sup>1</sup> Legislative regulation of firearms in California dates back to at least the 1920s, when the state's population was about 3.4 million residents, less than the current population of the City of Los Angeles.

- 1923: The Legislature creates the Dealer Record of Sale, establishing a cooling off period by prohibiting purchasers from taking possession of the firearm on the day of the sale. Dealers are required to obtain identifying information about purchasers and mail a form on the day of sale to the local police or county clerk to be recorded.
- 1931: Dealers are required to provide the DOJ with copies of firearm sales registers.
- 1955: The firearms purchase waiting period is extended to three days.
- 1965: The Legislature extends the waiting period to five days to allow sufficient time for the DOJ and other law enforcement agencies to complete a background check.
- 1972: The DOJ is required to notify firearms dealers of purchasers who are prohibited.

In the years since the DROS weapon recording system was created, the once sleepy agricultural state has been transformed into the cosmopolitan mecca we know today. About 40 million people live in California, greater than the population of Canada. Technology has become more sophisticated and people more interconnected. Accordingly, the Legislature has steadily expanded the breadth of California's firearms legislation, much of which directly impacts the DOJ and the BOF. From 2013 to 2018 alone, 57 new firearms-related bills were enacted in California.

Legislation typically results in the establishment or expansion of firearms programs intended to increase the safety of California's citizens. Many parties receive and rely on the information processed by the BOF, which must be thorough, accurate, and timely. A sampling of information consumers follows:

- Internal BOF regulatory staff depend on the work completed and decisions made by each other in fulfillment of their own eligibility, licensing, permitting, and registration responsibilities.
  - For example, the Gun Show Permits Unit relies on Certificate of Eligibility Unit decisions to determine whether to approve permits for gun show producers. The unit checks the Centralized List for the validity of proposed gun show vendors. Likewise, Centralized List Unit decisions depend on those made by the Certificate of Eligibility Unit.
- BOF enforcement staff use information produced by regulatory staff for purposes that include the following:
  - Background investigations on individuals who apply for dangerous weapons permits.
  - Compliance inspections at gun show venues.
  - Investigations of persons who have become prohibited from possessing a firearm subsequent to approval of a firearms eligibility clearance.
  - Follow up to confiscate non-compliant firearms subsequent to approval of a unique serial number application.
- BOF field representatives conduct compliance inspections of firearms manufacturers, firearms dealers, ammunition vendors, and exempted FFLs on the Centralized List.
- Sheriff's Offices are informed of the attempted purchase of a firearm by the subject of a restraining order.
- District Attorneys are informed of the attempted purchase of a firearm by a prohibited person in their jurisdiction.

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<sup>1</sup> Senate Bill (SB) 140 (Chapter 2, Statutes of 2013)





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- In fulfillment of its oversight responsibilities, the State Legislature receives an annual DOJ report that addresses the backlog in the Armed and Prohibited Persons System and the illegal possession of firearms by those prohibited persons.

In Project Approval Lifecycle Stage 2 Alternatives Analysis, the DOJ will conduct a study to address the following problems:

- 1) The firearms systems can no longer be enhanced in a cost effective or efficient manner and cannot be further used to meet the changing needs of law enforcement and California as a whole.

BOF's reporting and processing are reliant on IT system support to function. Development of many of the firearms IT systems and subsequent modifications or enhancements to these systems has been in reaction to legislative mandates since the first system was built in 1980. As a result, the network of systems has become increasingly complex over the last several decades, with each system using different logic that cannot be applied to modifications needed across multiple systems. Firearms systems have been stitched together in a patchwork manner. They hold together, but are not efficient. The systems were designed to meet the immediate need at any given time and based on older system design practices. This has created a tightly-coupled system. Making one change for one application requires extensive testing of many systems to ensure there is no negative impact to other applications. The current design method results in longer development time, requires more resources. Integration and regression testing are longer and more extensive. This results in higher costs to make even a small change, such as changing the minimum age from 18 to 21 for a person who can purchase a long gun.

- 2) The Legislature recently enacted SB 94 (Chapter 25, Statutes 2019) requiring specific data on the collection of firearms from Armed and Prohibited Persons to be collected annually. Due to the antiquated state of the APPS system, many of the required data points cannot currently be tracked and maintained. As a result, it takes much longer to obtain critical public safety information requested by the state's policy makers.

- 3) Pockets of manual processes still exist within the BOF creating inconsistency and inefficiency.

Much of the BOF has benefitted from past efforts to create more efficient means to receive, process, and output information. This results in better public services. Individuals have the ability to comply with many of the state's firearms laws and regulations by submitting requests and payments online. However some areas within the BOF, such as the Centralized List Unit, still have the ability to only accept applications with checks or money orders through the mail, which then must be manually processed. Because there are no upfront controls on the quality of information submitted in hard copy application forms, staff must take the time to call applicants or mail back the applications to obtain missing information. Some processes are reliant on the use of Excel spreadsheets or standalone databases that prevent easy information sharing among all Bureau staff. In addition, there are inconsistencies in data fields between systems. Finally, a prime example of an antiquated process is the manual compilation of the AFS statistical report that identifies all records entered by each law enforcement agency for the preceding year. Generation of this report is a months long effort.

## Business Problem or Opportunity and Objectives Table

Problem ID	Problems/Opportunities
1	<b>The firearms systems can no longer be enhanced in a cost effective or efficient manner and cannot be further used to meet the changing needs of law enforcement and California as a whole.</b>
Objective ID	1.1
Objectives	Reduce the average time required to respond to new legislative requirements from x to x.
Metric	TBD
Baseline	TBD
Target	TBD



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Measurement Method	TBD
<i>Select + to add additional Objectives</i>	
2	<b>Due to the antiquated state of the APPS system, many of the data points cannot required by the Legislature cannot currently be tracked and maintained.</b>
Objective ID	2.1
Objectives	Increase the data points that can be tracked from x to x.
Metric	TBD
Baseline	TBD
Target	TBD
Measurement Method	TBD
<i>Select + to add additional Objectives</i>	
3	<b>Pockets of manual processes still exist within the BOF creating inconsistency and inefficiency.</b>
Objective ID	3.1
Objectives	Reduce processing times for Centralized List applications from x to x.
Metric	TBD
Baseline	TBD
Target	TBD
Measurement Method	TBD
Objective ID	3.2
Objectives	Decrease the time required to generate the AFS Statistical Report from several months to x.
Metric	TBD
Baseline	TBD
Target	TBD
Measurement Method	TBD
<i>Select + to add additional Objectives</i>	
<i>Select + to add additional Problems</i>	
<b>Project Approval Lifecycle Completion and Project Execution Capacity Assessment</b>	
1. Does the proposal development or project execution anticipate sharing resources (state staff, vendors, consultants or financial) with other priorities within the Agency/state entity (projects, PALs, or programmatic/technology workload)?	
<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Clear	
2. Does the Agency/ state entity anticipate this proposal will result in the creation of new business processes or changes to existing business processes?	
<input type="radio"/> No <input type="radio"/> New Processes <input type="radio"/> Existing Processes <input checked="" type="radio"/> Both New and Existing <input type="radio"/> Clear	
<b>1.7 Project Management</b>	
Project Management Risk Score:	44.5
Attach completed Statewide Information Management Manual (SIMM) Section 45 Appendix A:	Include the completed SIMM 45 Appendix A as an attachment to your email submission.
<b>Existing Data Governance and Data</b>	



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<p>1. Does the Agency/state entity have an established data governance body with well-defined roles and responsibilities to support data governance activities? If an existing data governance org chart is used, please attach.</p> <p><b>Note: The governance plan is in development.</b></p>	<p><input type="radio"/> Unknown <input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear</p>	<p>If applicable, include the data governance org chart as an attachment to your email submission.</p>
<p>2. Does the Agency/state entity have data governance policies (data policies, data standards, etc.) formally defined, documented, and implemented? If yes, please attach the existing data governance plan, policies or IT standards used.</p> <p><b>Note: The data standards, policies and controls are in development.</b></p>	<p><input type="radio"/> Unknown <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Clear</p>	<p>If applicable, include the data governance policies as an attachment to your email submission.</p>
<p>3. Does the Agency/state entity have data security policies, standards, controls, and procedures formally defined, documented, and implemented? If yes, please attach the existing documented security policies, standards, and controls used.</p> <p><b>Note: The CA DOJ follows the U.S. Department of Justice/FBI/ CJIS Division's CJIS Security Policy. The document can be found at:</b> <a href="https://www.fbi.gov/services/cjis/cjis-security-policy-resource-center">https://www.fbi.gov/services/cjis/cjis-security-policy-resource-center</a></p>	<p><input type="radio"/> Unknown <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Clear</p>	<p>If applicable, include the documented security policies, standards, and controls as an attachment to your email submission.</p>
<p>4. Does the Agency/state entity have user accessibility policies, standards, controls, and procedures formally defined, documented, and implemented? If yes, please attach the existing documented policies, accessibility governance plan, and standards used, or provide additional information below.</p> <p><b>NOTE: The DOJ follows the Web Content Accessibility Guidelines (WCAG) 2.0/2.1 for Information and Communication Technology (ICT) under Section 508. The WCAG requirements are located at:</b> <a href="https://www.w3.org/WAI/standards-guidelines/wcag/glance/">https://www.w3.org/WAI/standards-guidelines/wcag/glance/</a></p>	<p><input type="radio"/> Unknown <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Clear</p>	<p>If applicable, include the documented accessibility policies, standards, and controls as an attachment to your email submission.</p>
<p>5. Do you have existing data that you are going to want to access in your new solution?</p> <p><b>Note: The Data Migration Plan will be developed in PAL Stage 2.</b></p>	<p><input type="radio"/> Unknown <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Clear</p>	<p>If applicable, include the data migration plan as an attachment to your email submission.</p>
<p>6. If data migration is required, please rate the quality of the data.</p>	<p>No information available</p>	

## 1.8 Criticality Assessment

### Business Criticality

Legislative Mandates:	N/A <input checked="" type="checkbox"/>	
Bill Number(s)/Code(s):		
Language that includes system relevant requirements:		



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<b>Business Complexity Score</b>	1.6	Include the completed SIMM 45 Appendix C as an attachment to your email submission.			
<b>Noncompliance Issues</b>					
Indicate if your current operations include noncompliance issues and provide a narrative explaining the how the business process is noncompliant.					
Programmatic Regulations	HIPPA/CJIS/FTI/PII/PCI	Security	ADA	Other	N/A
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
1. What is the proposed project start date?					
				1/3/2022	
2. Is this proposal anticipated to have high public visibility?				<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear	
If "Yes," please identify the dynamics of the anticipated high visibility below:					
3. If there is an existing Privacy Information Assessment, include as an attachment to your email submission.					
4. Does this proposal affect business program staff located in multiple geographic locations?				<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear	
If "Yes," provide an overview of the geographic dynamics below and enter the specific information in the space provided.					
Note: Staff in the BOF Regulatory Programs, which receive and process mission critical information, are all located in Sacramento. Enforcement staff located in the six regional and field offices are BOF information consumers, but are not core system users.					
City	State	Number of Locations	Approximate Number of Staff		
Select + to add Locations					
<b>1.9 Funding</b>					
1. Does the Agency/state entity anticipate requesting additional resources through a budget action to complete the project approval lifecycle?				<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Clear	
2. Will the state possibly incur a financial sanction or penalty if this proposal is not implemented? If yes, please identify the financial impact to the state below:				<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear	
3. Has the funding source(s) been identified for this proposal?				<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Clear	
<b>FUNDING SOURCE</b>		<b>FUND AVAILABILITY DATE</b>			
General Fund	<input type="checkbox"/>	Date Picker			
Special Fund	<input checked="" type="checkbox"/>	7/1/2020			
Federal Fund	<input type="checkbox"/>	Date Picker			
Reimbursement	<input type="checkbox"/>	Date Picker			
Bond Fund	<input type="checkbox"/>	Date Picker			
Other Fund	<input type="checkbox"/>	Date Picker			
If "Other Fund" is checked, specify the funding:					



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## 1.10 Reportability Assessment

<p>1. Does the Agency/state entity's IT activity meet the definition of an IT Project found in the State administrative Manual (SAM) Section 4819.2? If "No," this initiative is not an IT project and is not required to complete the Project Approval Lifecycle.</p>	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Clear
<p>2. Does the activity meet the definition of Maintenance or Operations found in SAM Section 4819.2?  If "Yes," this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report. And provide an explanation below.</p>	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear
<p>3. Has the project/effort been previously approved and considered an ongoing IT activity identified in SAM Section 4819.2, 4819.40?  If "Yes," this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report.</p>	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear
<p>4. Is the project directly associated with any of the following as defined by SAM Section 4812.32?  Single-function process-control systems; analog data collection devices, or telemetry systems; telecommunications equipment used exclusively for voice communications; Voice Over Internet Protocol (VOIP) phone systems; acquisition of printers, scanners and copiers.  If "Yes," this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report.</p>	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear
<p>5. Is the primary objective of the project to acquire desktop and mobile computing commodities as defined by SAM Section 4819.34, 4989?  If "Yes," this initiative is a non-reportable project. Approval of the Project Approval Lifecycle is delegated to the head of the state entity. Submit a copy of the completed, approved Stage 1 Business Analysis to the CDT and track the initiative on the Agency Portfolio Report.</p>	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear
<p>6. Does the project meet all of the criteria for Commercial-off-the-Shelf (COTS) Software and Cloud Software-as-a-Services (SaaS) delegation as defined in SAM 4819.34, 4989.2 and SIMM 22  If "Yes," this initiative is a non-reportable project. Approval of the Project Approval Lifecycle is delegated to the head of the state entity; however, submit an approved SIMM Section 22 form to CDT.</p>	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear
<p>7. Will the project require a Budget Action to be completed?</p>	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Clear
<p>8. Is it anticipated that the project will exceed the delegated cost threshold assigned by CDT as identified in SIMM 10?</p>	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Clear



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9. Are there any previously imposed conditions place on the state entity or this project by the CDT (e.g., Corrective Action Plan)?	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear
If "Yes," provide the details regarding the conditions below.	
10. Is the system specifically mandated by legislation?	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear

Department of Technology Use Only	
Original "New Submission" Date	1/22/2020
Form Received Date	1/22/2020
Form Accepted Date	1/22/2020
Form Status	Completed
Form Status Date	6/23/2020
Form Disposition	Approved If "Other," specify:
Form Disposition Date	6/23/2020