Special Project Report

California Highway Patrol

Law Enforcement Records Management System (RMS)

3.0   Proposed Project Change

The project is seeking approval to rebaseline the California Department of Technology (CDT) approved Stage 1 Business Analysis (S1BA) and Project Delegation Request (PDR) scope, schedule, and costs with the project's currently planned scope, schedule, and costs to allow for the full implementation of the Mark43 Evidence Management module, additional arrest reporting requirements, and the integration of Active Directory (AD) for roles and permissions in a second project phase.

3.1   Project Background/Summary

The California Highway Patrol (CHP) reports crime data to the California Department of Justice (DOJ), who then reports statewide data to the Federal Bureau of Investigation (FBI). In 2016, the FBI Director informed all state Statistical Analysis Centers the FBI Uniformed Crime Reporting (UCR) Program would be transitioning to a National Incident Based Reporting System (NIBRS)-only data collection by January 1, 2021. Following the FBI's announcement of the NIBRS mandate, the DOJ announced it would be releasing California NIBRS (CIBRS) requirements (i.e., modified gender reporting terms). As law enforcement agencies (LEAs) move to NIBRS reporting, the DOJ will collect all NIBRS/CIBRS data from all California LEAs and report NIBRS data to the FBI on behalf of the entire state.

While working with the vendor on the completion of the statement of work (SOW) and initial project scoping, Mark43 advised the Evidence and Case Management modules would be required for NIBRS compliance, in addition to the Records Management System (RMS) module. The Department determined it would be in its best interest to leverage the RMS project to fully implement the Mark43 Evidence Management module and replace the existing Area Information System (AIS). The Department initiated an Evidence Management System (EMS) project several years ago but was unable to secure the funding required. The Department currently utilizes a custom-developed EMS, AIS, that operates on Microsoft Access 2003, which is no longer supported by Microsoft and, as such, no longer receives critical security updates and software patches.

Phase 2 seeks to fully implement the Evidence Management module, which will allow the Department to retire the current Microsoft Access-based AIS and manual paper-based evidence management processes. Also included in Phase 2 is the implementation of the Case Management module, customizations to collect additional arrest reporting data, and electronic submission of arrest reporting data to the DOJ.

3.2 Project Status
The table below provides an overview of the project milestones and current status.

Milestone	Start Date	Complete Date	Status
Project Approval Lifecycle (PAL)			
PAL Stage 1 PDR		03/09/2020	CDT-approved
PAL Stage 2		03/20/2020	CHP-approved
PAL Stage 3		04/23/2020	CHP-approved
PAL Stage 4		06/12/2020	CHP-approved

Milestone	Start Date	Complete Date	Status
Project Kick-off	06/23/2020	06/23/2020	Complete
Proof of Concept (POC)			
POC Planning Activities	06/23/2020	07/20/2020	Complete
POC Offense Codes/Setup	07/09/2020	08/03/2020	Complete
POC Workflow Validation	07/28/2020	08/21/2020	Complete
PHASE 1			
Scoping	06/24/2020	09/25/2020	Complete
RMS Tenant Provisioning	07/09/2020	02/05/2021	Complete
Evidence Label Printers			Deferred to Phase 2
Shape File	09/30/2020	01/12/2021	Complete
AD – Single Sign-On (SSO)	07/23/2020	07/28/2020	Complete
CAD Interface	11/16/2020	04/23/2021	Complete
Data Migration			Deferred to Phase 2
Workflow Validation	12/24/2020	04/16/2021	Complete
Training	10/15/2020	10/29/2021	Complete
Deploy	04/12/2021	11/01/2021	Complete
PHASE 2	07/07/2021	02/18/2025	In progress
Project Closeout Activities	04/01/2024	08/18/2025	Not started

3.3   Reason for Proposed Change

During Phase 1, it was determined the Evidence and Case Management modules would not be required to achieve NIBRS/CIBRS compliance. The project's Executive Steering Committee (ESC) approved a Project Change Request to delay implementation of the Evidence and Case Management modules to the second phase to allow the project to focus on achieving NIBRS compliance in Phase 1. Because the Department has been in need of a new EMS for several years, the CHP is seeking to leverage the full functionality of the Mark43 Evidence Management module to replace the current Microsoft Access-based EMS, AIS.

While conducting the analysis and documenting requirements for Phase 2, the Department determined additional time would be needed to complete the analysis and documentation of case management requirements, as needed for Investigative Services Units (ISU) and various task forces. Because the basic configuration of the case management module will provide value to officers, the project will move forward with implementation of the module in Phase 2. Should the Department identify the need to implement custom case management configurations for ISU purposes, a Project Change Request will be submitted for approval for inclusion in a third phase, or it may be completed as a separate project.

Special Project Report
2720-118 Law Enforcement Records Management System

The business drivers behind the implementation of the EMS are multi-faceted. A modern EMS will resolve the significant security risks of the current enterprisewide AIS. The EMS will proactively protect mission-critical data with role-based access control, SSO, Internet Protocol address white/blacklisting, and 256-bit encryption in transit and at rest. Additionally, the EMS will provide improved business services closely aligned with the Department's business strategic needs. This includes achieving compliance and best practices with standards established by the IAPE for LEAs.

In 1997, the Department developed the AIS to track arrest and collision reports at local CHP offices. In 2000, the Department customized AIS and began using it to book, track, and purge, within mandated retention schedules, property and evidence being entered and checked out of property and evidence rooms. However, AIS was not developed for the intricacies of an evidence program and, therefore, lacks many of the needed features found in modern EMS solutions currently in use by other LEAs.

This outdated technology does not allow the Department to have a centrally monitored and controlled evidence system and dramatically increases the likelihood one or more Area evidence system(s) are not being administered in compliance with law and policy. Because the AIS is Access-based, each Area office essentially has its own AIS, with data stored on a local server at the office. In addition, the CHP's accreditation from IAPE is detrimentally impacted by its current reliance on the AIS, which prevents proper oversight and control of the various property and evidence rooms across the state.

Since the establishment of the CHP in 1929, duties of the CHP have expanded to include canine narcotic enforcement, investigative services, horseback and bicycle patrol of the State Capitol, detective program, and special weapons and tactics. As a result, CHP's intake of evidence has grown as its responsibilities have increased. Due to the aging infrastructure throughout the state, many CHP facilities are not equipped to maintain the increase of property and evidence being booked into property and evidence rooms. This has made the need to purge, according to current statute and within the required retention schedules, a critical task that has become time consuming because of AIS's limitations. With the rapid change in technology, a suitable and secure software solution is a critical need. AIS is not equipped to store or share digital evidence with proper chain of possession tracking ability. It also hampers CHP's ability to safely store and share digital evidence, which continues to increase in both quantity and importance.

Currently, there are 116 departmental facilities that track and maintain over one million evidence inventory items statewide as part of AIS. Each office is responsible for its regional evidence collection and storage activities. This includes managing the evidence chain of possession and reviewing evidence for purging purposes. This is accomplished using the antiquated standalone, in-house built (Visual Basic/Access) automated bar-coded inventory system for evidence tracking purposes. AIS has several critical limitations that will be resolved by a new EMS. The following are the most critical limitations of AIS:

- Inability to store and securely share digital evidence.
- Barcode equipment is outdated, and replacement parts are not available.
- Barcode system has limited capabilities and cannot record the movement of items from one location to another.
- Inability to have information backed up in a secure location.

- Vulnerable to failure leading to loss of information.
- Limited ability to generate forms.
- Security to access AIS is vulnerable.
- Limited scope in the tracking history.
- Lack of Web-based functionality, making field use difficult for officers in the field.
- Lacks the ability to obtain digital signatures to track chain of possession.
- Unable to integrate with an electronic mail (e-mail) system to facilitate the purging of items and share information with courts and laboratories.
- Inability to provide notification for updates on status checks for items.
- Inability to generate statistical reports and perform analytics.

Due to AIS's limitations, the Office of Internal Affairs (OIA), as the business owner for evidence, does not possess the ability to centrally manage and provide statistical reports in response to Executive Management or public requests. Currently, when requests are made for statistical reports, OIA must contact each of the individual 116 property and evidence rooms to obtain the information. This inefficient procedure is time consuming for both OIA and personnel at the CHP offices.

3.4   Proposed Project Change

The CHP is seeking to fully implement the Mark43 Evidence Management module during Phase 2. This will enable the Department to automate its manual evidence management process with a centralized, secure, reliable system for handling and tracking physical and digital evidence, and management of all processing activities throughout its lifecycle, including check-in, check-out, distribution, and disposal. It will be used to track physical evidence, through efficient and reliable barcoding, and allow all evidence to be tracked and audited from the time of collection through the final court process. The system will store multiple forms of digital evidence, such as photographs, videos, audio files, and document files.

The Department's policy is to ensure evidence and property is properly handled, stored, and disposed of in a timely and lawful manner. The new EMS will further this goal through:

A. Enhanced Control Over Evidence
- Increase confidence in the Department's handling of property and evidence and, ultimately, in the integrity of the criminal justice system.
- Improve chain of possession/audit trail.
- Improve adherence to retention polices.
- Eliminate mishandling of evidence inventory that can increase liability for the Department.
- Eliminate loss or theft of property due to a more sophisticated tracking system with a reliable digital footprint indicating all movements of an item.
B. Easement of the Burden of Evidence Collection and Sharing
- Improve information sharing and reduce redundant work.
- Reduce time spent duplicating media and sharing with other agencies and prosecutors.
- Eliminate the potential for system failure and loss of data.

The benefits of a properly managed EMS include the increased ability to follow established departmental policy and law regarding retention periods and will provide more accurate tracking and security of the property and evidence in each command. Additionally, the EMS will result in increased reliability of the chain of possession, which could result in reduced liability to the Department and State

of California. The EMS will enable the Department to respond efficiently and in a timely manner to Public Records Act requests as required by statute, specifically as they increase with the initiation of Senate Bill 1421 and Assembly Bill 748, which involves digital evidence. As an additional benefit, the EMS will serve as a required standard needed to obtain accreditation for the CHP's evidence program by IAPE. Lastly, by providing centralized management of physical and digital evidence, the Department will improve internal operating efficiencies in investigations, responses to subpoena requests, and other routine functions.

Configuration and implementation of the Evidence Management module, including some custom configuration, will allow for the digitization of the Department's arrest and evidence/property forms. This added functionality will allow the Department to move from an entirely paper-based process to a fully electronic process for arrest reporting and evidence management.

Phase 2 will also include custom configuration to add data from CHP's arrest forms and DOJ's arrest disposition forms, as the DOJ is now requiring electronic data submission, basic configuration of the Evidence Management module, and AD integration for role-based permissions to automate time-intensive user management activities.

3.4.1   Accessibility
Not applicable.

3.4.2   Impact of Proposed Change on Project
Scope

The original scope of the project included the system configurations necessary to achieve NIBRS/CIBRS compliance only. This change will increase the project's scope to include the full configuration/implementation of Mark43's Evidence Management module, and additional customization to meet the Department's arrest reporting and evidence management needs.

Cost

The proposed changes will increase project costs significantly, primarily due to additional years of software licensing renewal and staff resources. Because the Evidence and Case Management modules were initially procured for NIBRS/CIBRS compliance, additional costs will be for Phase 2 implementation services, new evidence label printers/paper, iPads, and staff salaries and benefits. Budget Change Proposal 2720-010-BCP-2021-GB for software subscription renewal costs beginning in fiscal year (FY) 21/22 was approved by the Department of Finance. The Department is planning to absorb all other additional costs within the allotted departmental budget.

The project also seeks to adjust future operational costs. The FAW has been updated, primarily to reflect the appropriate resources required for ongoing system maintenance. Costs have also been added to support the replacement of 10 percent of the new evidence label printers and iPads annually, and cellular service for the iPads.

The table below provides a FY comparison between the CDT-approved and planned financials (one-time project costs, excluding planning).

Special Project Report
2720-118 Law Enforcement Records Management System

	FY 19/20	FY 20/21	FY 21/22	FY 22/23	FY 23/24	FY 24/25	TOTAL
S1BA/ PDR	$ 4,877,878	$ 377,877	$ -	$ -	$-	$-	$ 5,255,755
Special Project Report (SPR)	$ 4,217,785	$ 474,516	$ 3,739,996	$ 2,172,109	$ 4,649,767	$ 4,049,327	$ 19,303,499
Variance	$ (660,093)	$ 96,639	$ 3,739,996	$ 2,172,109	$ 4,649,767	$ 4,049,327	$14,047,744
%	-14%	26%	100%	100%	100%	100%	267%

The October 2022 Project Status Report table below provides the last CHP-approved budget, and cumulative actual costs.

Reporting Period: October 1, 2022 – October 31, 2022			
	Last Approved Budget ($)	Cumulative Actual Cost ($)	Comments
Information Technology (IT) Project Costs (One-Time, not including Planning)			
Staff (Salaries & Benefits)	**$755,755**	**$647,111**	Through September 2022
Staff OE&E Rollup (Gen. Exp.; Printing, Comm.; Postage; Ins.; Travel – In/Out of State; Training; Fac. Ops.; Utilities)	**$0**	**$2,605**	
Consulting & Professional Services: Interdepartmental	**$0**	**$24,402**	
Department of Technology - Project Approval Lifecycle / Oversight		$24,402	Through September 2022
Consulting & Professional Services: External	**$500,00**	**$726,007**	
Implementation Services: Software Configuration, Technical Support, Training by Software Vendor	$500,000	$726,007	
Consolidated Data Centers	**$0**	**$0**	
IT	**$4,000,000**	**$7,377,740**	
RMS Software as a Service Subscription	$4,000,000	**$7,294,970**	
Evidence Label Printers	$0	$81,135	

Special Project Report
2720-118 Law Enforcement Records Management System

Reporting Period: October 1, 2022 – October 31, 2022			
	Last Approved Budget ($)	Cumulative Actual Cost ($)	Comments
Geographic Information Systems	$0	$1,635	
Misc. OE&E Rollup (Dept. Services; Central Admin. Services; Office Equip.; Other; Unclassified/Special Adjustment; Local Assistance)	$0	$0	
Total IT Project Costs (One-Time):	**$5,255,755**	**$8,777,865**	

For an itemized breakdown and variance of approved and planned project costs, please refer to the table below.

Project Costs (One-Time)	S1BA/PDR	Current	Variance	%	Comments
Staff (Salaries & Benefits)	$755,755	$1,989,509	$1,233,754	163%	Updated to align with previous FY actual and to align with Phase 2 staffing plan.
Staff Operating Expenses & Equipment (OE&E) Rollup	$0	$223,919	$223,919	100%	Added anticipated travel costs for Phase 2 training and cell service for iPads.
Consulting & Professional Services: Interdepartmental	$0	$287,853	$287,853	100%	Added actual costs for California Department of Technology (CDT) review of the Stage 1 Business Analysis. Projected costs for CDT oversight.
Consulting & Professional Services: External	$500,000	$1,976,007	$1,476,007	295%	
Implementation Services	$500,000	$1,976,007	$1,476,007	295%	Updated to reflect actual Phase 1 and budgeted Phase 2 costs.
IT	**$4,000,000**	**$14,877,229**	**$10,877,229**	**272%**	

Special Project Report
2720-118 Law Enforcement Records Management System

Project Costs (One-Time)	S1BA/PDR	Current	Variance	%	Comments
RMS Software as a Service (SaaS) Subscription	$4,000,000	$14,295,000	$10,295,000	257%	Costs aligned to approved Budget Change Proposal. FY 22/23 costs reflect estimates for planned software renewals, to avoid >10% cost variance.
Evidence Label Printers	$0	$102,466	$102.466	100%	Added costs for replacement of current evidence label printers which are not compatible with Mark43.
Geographic Information System (GIS) Data	$0	$1,635	$1,635	100%	Added costs associated with geocoding.
iPads	$0	$138,128	$138,128	100%	Added costs for iPads needed for evidence officers.
Network Infrastructure Enhancements	$0	$340,000	$340,000	100$	Added estimated costs for installation for network ports in some evidence rooms and network connection to Conex/bulk storage boxes.
Total Project Costs (One-Time):	**$5,255,755**	**$19,354,516**	**$14,098,761**	**268%**	
Future Ops. IT Staff & OE&E Costs (Continuing)	**S1BA/PDR**	**Current**	**Variance**	**%**	**Comments**
Staff (Salaries & Benefits)	**$248,080**	**$67,963**	**$(180,117)**	**-73%**	Removed end users and made adjustments to support staff allocations. Updated to reflect current staffing plan for post go-live support.
IT	**$4,000,000**	**$3,540,922**	**$(459,078)**	-11%	

Project Costs (One-Time)	S1BA/PDR	Current	Variance	%	Comments
RMS SaaS Subscription	$4,000,000	$3,500,000	$(500,000)	-13%	Aligned to approved Budget Change Proposal amount.
Evidence Label Printers	$0	$23,412	$23,412	100%	Added costs for the annual replacement of 10 percent of evidence label printers.
GIS Data	$0	$0	$0	0%	
iPads	$0	$17,510	$17,510	100%	Added costs for the annual replacement of 10 percent of iPads.
Misc. OE&E Rollup (Departmental Services; Central Administrative Services; Office Equipment; Other; Unclassified/Special Adjustment; Local Assistance)	**$0**	**$94,367**	**$94,367**	**100%**	Added annual cost for cell service for iPads.
Total Future Ops. IT Staff & OE&E (Continuing):	**$4,248,080**	**$3,703,252**	**$(544,828)**	**-13%**	
Annual Fut. Ops. IT Costs (M&O):	**$4,248,080**	**$3,628,681**	**$(619,399)**	**-15%**	

Schedule

The project schedule has been revised to include the addition of Phase 2 and is adjusted to accommodate the delay in S1BA/PDR approval and the delay in procurement approval by the Department of General Services (DGS). The project initially estimated CDT approval of the S1BA/PDR would take approximately two months, to be approved in September 2019; however, CDT approval was not provided until March 2020. The dollar amount of the multi-year software procurement was higher than the Department's purchasing authority for Software Licensing Program procurements; therefore, the Department was required to submit a GSPD 14-001, Purchasing Authority Change Request, to request a transaction-based purchasing authority increase, for the DGS' approval. This approval was expected to take only a couple of weeks but took nearly two months. After final project scoping was completed, the project made schedule adjustments to ensure milestone and task durations were appropriate based on the final scope assessment.

The Project Team worked closely with Mark43 to thoroughly analyze the scope of Phase 2 to ensure the budgeted implementation costs and schedule are meaningful and achievable. Currently, the overall schedule change results in a variance of 425 percent.

Schedule as of:	Start Date	End Date
S1BA	09/01/2019	08/31/2020
Current	06/23/2020	02/18/2025

3.4.3   Feasible Alternatives Considered

The Department considered completing an EMS implementation as a separate project, but due to budget constraints in previous FYs, procuring has not been possible. The CHP has evaluated the Mark43 Case Management module and has determined it meets the Department's requirements for general case management for patrol officers. Leveraging the evidence and case management functionality of the modules already procured for the project is not only the most effective use of State resources, but will also reduce the costs required to procure and maintain separate systems, and meet the business needs of the Department. Utilization of one system will reduce the time patrol officers would spend entering data into separate systems, allowing the officers to dedicate more time to their mission critical patrol duties and provide for more robust data analysis and reporting capabilities for Executive Management.

3.4.4   Implementation Plan

The Implementation Plan has been updated to reflect the new three-phased approach. The new approach will allow for a POC, referred to as Phase 0, NIBRS compliance in Phase 1, and evidence and case management in Phase 2. Work for Phase 1 began during Phase 0, to allow for the implementation of Phase 1 as close to the NIBRS January 1, 2021, deadline as possible. The timeline for all three phases is reflected in the table below.

Phase	Start Date	End Date	Status
Phase 0 – POC	06/23/2020	08/21/2020	Complete
Phase 1 – NIBRS/CIBRS	06/23/2020	12/15/2021	Complete
Phase 2 – Evidence Management/Arrest Reporting Enhancements	07/07/2021	02/18/2025	In progress

4.0   Updated Project Management Plan

The Project Management Plan (PMP) has been updated to reflect the addition of OIA as a project Stakeholder and the business owner for evidence management processes and policy. The Resource Management (Human Resources and Staff Management) Plan section has been updated to include a staff resource allocation table.

4.1   Project Manager Qualifications

As part of the PAL process, a Complexity Assessment was completed. The Complexity Assessment has been updated to reflect the scope of Phase 2. With a Technical Complexity score of 1.2 and a Business Complexity of 1.4, this project falls within Zone I. Below is a summary of the skills and level of project management experience required to successfully manage this project. The Department has assigned a Project Manager (PM) and Technical PM to work collaboratively with the Mark43 PM for the duration of the project. The PM is classified as an Information Technology (IT) Specialist II, the Technical PM is

classified as an IT Supervisor I, and the Project Director is classified as an IT Manager I. Both PMs possess the skills, training, and experience necessary to implement the project successfully.

Per the SIMM 45, Appendix C, Complexity Assessment, the following experience and professional knowledge is required for PMs managing Zone I projects:

"Experience: Three to five years as a key team member on a medium to large IT project or as a Project Manager on small or medium IT project. Technical experience commensurate with proposed technology.

Professional Knowledge: Strong working knowledge of the California Project Management Methodology, Department's project management methodology, and Software Development Cycle. Familiar with budgeting, procurement, and contracting processes."
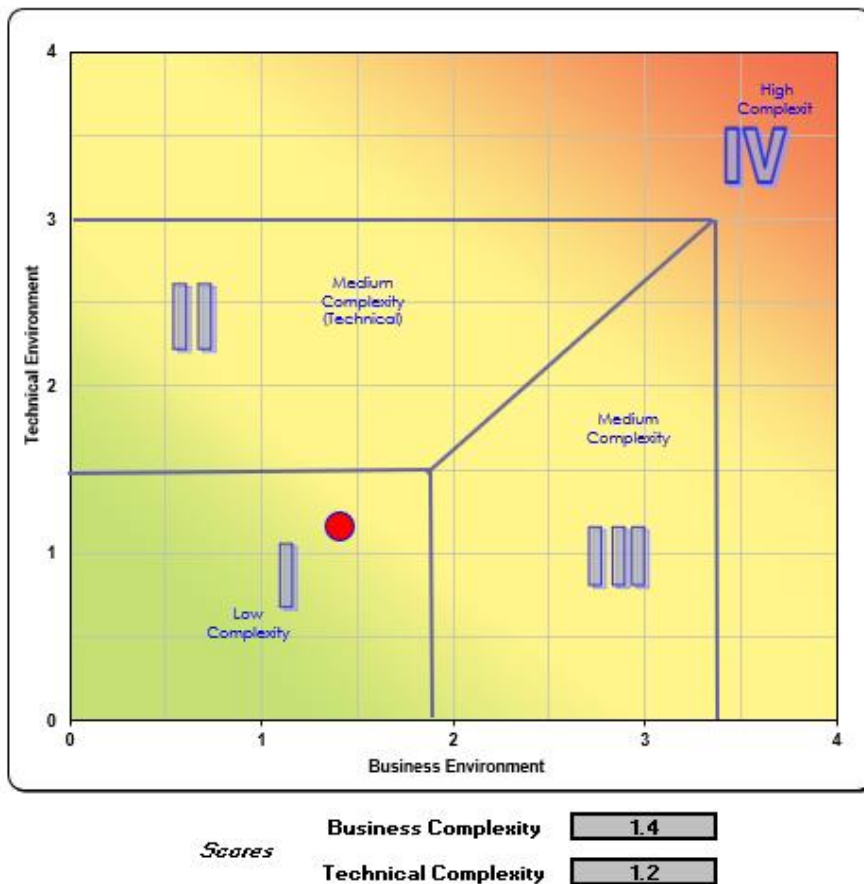
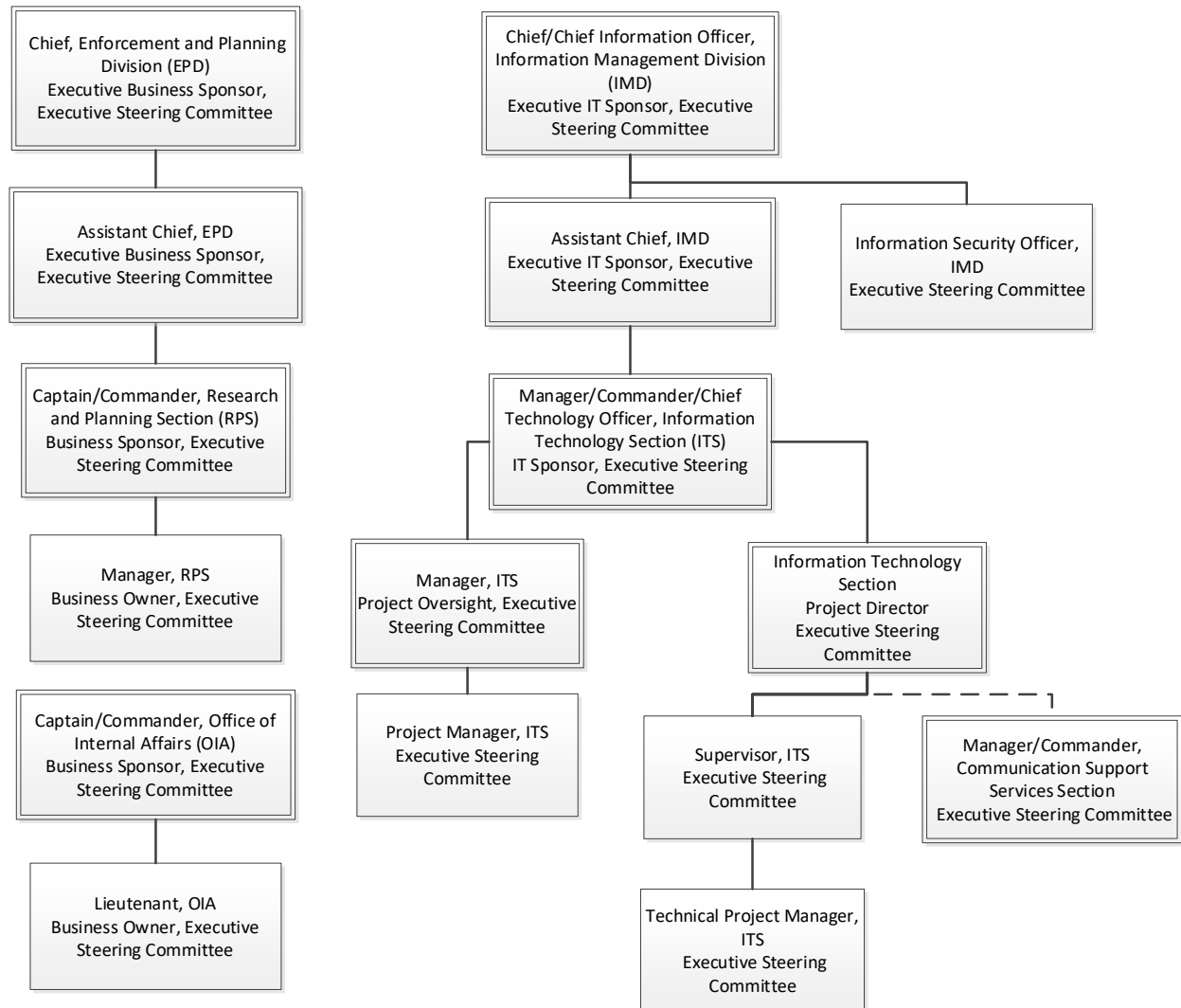## 4.2   Project Management Methodology
No change. The PMP was developed to reflect the best practices included in the Project Management Body of Knowledge, CDT's California Project Management Framework (CA-PMF), and CHP's Project Management Framework (CHP-PMF) and is included as a separate document.

4.3 Project Organization

The OIA has been added as a Project Sponsor, as the business owner for evidence management.

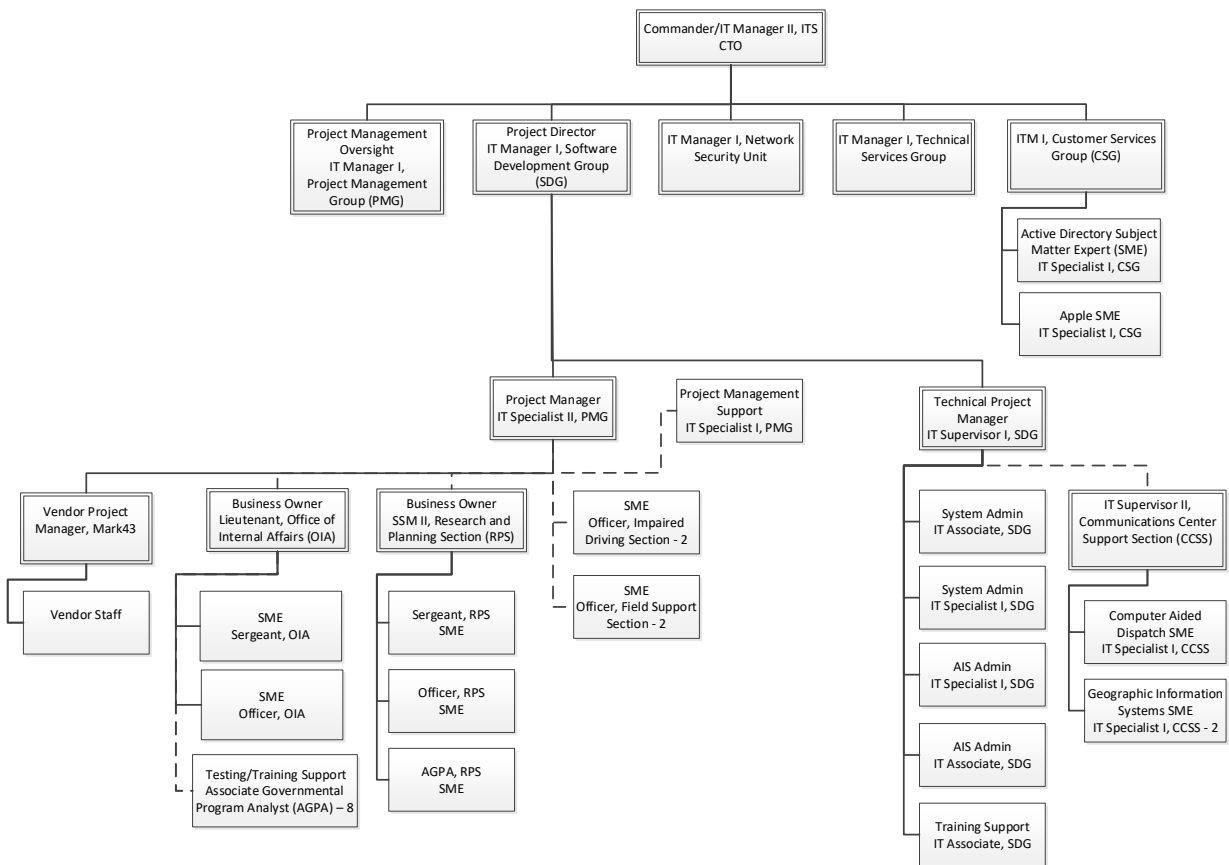**Executive Steering Committee**

Chief, Enforcement and Planning Division (EPD) Executive Business Sponsor, Executive Steering Committee	Chief/Chief Information Officer, Information Management Division (IMD) Executive IT Sponsor, Executive Steering Committee
Assistant Chief, EPD Executive Business Sponsor, Executive Steering Committee	Assistant Chief, IMD Executive IT Sponsor, Executive Steering Committee — Information Security Officer, IMD Executive Steering Committee
Captain/Commander, Research and Planning Section (RPS) Business Sponsor, Executive Steering Committee	Manager/Commander/Chief Technology Officer, Information Technology Section (ITS) IT Sponsor, Executive Steering Committee
Manager, RPS Business Owner, Executive Steering Committee	Manager, ITS Project Oversight, Executive Steering Committee — Information Technology Section Project Director Executive Steering Committee
Captain/Commander, Office of Internal Affairs (OIA) Business Sponsor, Executive Steering Committee	Project Manager, ITS Executive Steering Committee — Supervisor, ITS Executive Steering Committee — Manager/Commander, Communication Support Services Section Executive Steering Committee
Lieutenant, OIA Business Owner, Executive Steering Committee	Technical Project Manager, ITS Executive Steering Committee

Project Team

```
                          Commander/IT Manager II, ITS
                                     CTO
        ┌──────────────┬────────────┼──────────────┬──────────────┐
  Project            Project      IT Manager I,   IT Manager I,    ITM I, Customer
  Management         Director     Network         Technical        Services
  Oversight          IT Manager I,Security Unit   Services Group   Group (CSG)
  IT Manager I,      Software                                           │
  Project            Development                                   Active Directory Subject
  Management         Group (SDG)                                   Matter Expert (SME)
  Group (PMG)                                                      IT Specialist I, CSG
                                                                        │
                                                                   Apple SME
                                                                   IT Specialist I, CSG
```

```
        Project Manager          Project Management         Technical Project
        IT Specialist II, PMG     Support                   Manager
                                  IT Specialist I, PMG       IT Supervisor I, SDG
```

Vendor Project Manager, Mark43	Business Owner Lieutenant, Office of Internal Affairs (OIA)	Business Owner SSM II, Research and Planning Section (RPS)	SME Officer, Impaired Driving Section - 2
Vendor Staff	SME Sergeant, OIA	Sergeant, RPS SME	SME Officer, Field Support Section - 2
	SME Officer, OIA	Officer, RPS SME	
	Testing/Training Support Associate Governmental Program Analyst (AGPA) – 8	AGPA, RPS SME	

Technical Project Manager IT Supervisor I, SDG:

System Admin IT Associate, SDG	IT Supervisor II, Communications Center Support Section (CCSS)
System Admin IT Specialist I, SDG	Computer Aided Dispatch SME IT Specialist I, CCSS
AIS Admin IT Specialist I, SDG	Geographic Information Systems SME IT Specialist I, CCSS - 2
AIS Admin IT Associate, SDG	
Training Support IT Associate, SDG	

Special Project Report
2720-118 Law Enforcement Records Management System

Several key Stakeholders have changed since the beginning of the project. The main changes are highlighted in the Stakeholder Register below.

Stakeholder (Name, Title, Organization, Role)	Contact Information	Influence Over Project (H/M/L)	Impacted by Project (H/M/L)	Engagement (Participate /Inform)
Chief April Baxter, Chief Information Officer (CIO), Information Management Division (IMD) **Executive IT Sponsor, ESC Member**	ABaxter@chp.ca.gov (916) 843-4000	High	Medium	Inform
Chief Kevin Davis, Enforcement and Planning Division (EPD) **Executive Business Sponsor, ESC Member**	KMDavis@chp.ca.gov (916) 843-3330	High	Medium	Inform
Assistant Chief Tyler Eccles, IMD **Executive IT Sponsor, ESC Member**	TEccles@chp.ca.gov (916) 843-4000	High	High	Inform
Assistant Chief David Jenkins, EPD **Executive Business Sponsor, ESC Member**	DJenkins@chp.ca.gov (916) 843-3330	High	High	Inform
Captain Andrew Poyner, Research and Planning Section (RPS), **Business Sponsor, ESC Member**	APoyner@chp.ca.gov (916) 843-3340	High	High	Participate
Captain David Wharry, Commander, OIA **Business Sponsor, ESC Member**	DWharry@chp.ca.gov (916) 843-3060	High	High	Participate
Kim Holder, Commander, Information Technology Section (ITS) **IT Sponsor, ESC Member**	Kimberly.Holder@chp.ca.gov (916) 843-4100	High	High	Participate
Lori Gong, Manager, RPS **Business Owner, ESC Member**	LGong@chp.ca.gov (916) 843-3340	High	High	Participate
Lieutenant Matthew Radke, OIA **Business Owner, ESC Member**	MRadke@chp.ca.gov (916) 843-3082	High	High	Participate
Alicia Fuller, Commander, Communications Centers Support Section (CCSS) **ESC Member**	Alicia.Fuller@chp.ca.gov (916) 843-4284	Medium	Low	Inform
Isaac Ryland, Manager, ITS, Software Development Group (SDG)	Isaac.Ryland@chp.ca.gov (916) 843-3854 Khalid.Siddiqui@chp.ca.gov	High	High	Participate

Stakeholder (Name, Title, Organization, Role)	Contact Information	Influence Over Project (H/M/L)	Impacted by Project (H/M/L)	Engagement (Participate /Inform)
Project Director, ESC Member **Khalid Siddiqui, Supervisor, SDG** **ESC Member**	(916) 843-4096	High	High	Participate
Jessica Leymaster, IT Specialist, ITS **State Project Manager, ESC Member**	Jessica.Leymaster@chp.ca.gov (916) 843-4015	High	High	Participate
Kevin Lew, Supervisor, ITS **Technical Project Manager, ESC Member**	Kevin.Lew@chp.ca.gov (916) 843-4110	High	High	Participate
Sergeant Jose Alatorre, RPS **Officer Quang Nguyen, RPS** **Jantze Douglas-Bowie, RPS** **Sergeant Kelly Valdez, OIA** **Officer Michael Hritz, OIA** **Officer William Brunson, Impaired Driving Section (IDS)** **Officer Randy Brunson, IDS** **Officer Joel Corralejo, Fleet Services Section (FSS)** **Officer Casey Wheeler, FSS** **Business Project Team Member**	JAlatorre@chp.ca.gov (916) 843-3348 QNguyen@chp.ca.gov (916) 843-3340 JDouglas-Bowie@chp.ca.gov (916) 843-3435 KValdez@chp.ca.gov (916) 843-3060 MHritz@chp.ca.gov (916) 843-3285 WBrunson@chp.ca.gov (916) 843-4379 Randy.Brunson@chp.ca.gov (916) 843-4361 JCorralejo@chp.ca.gov (916) 843-4338 Casey.Wheeler@chp.ca.gov (916) 843-3473	Medium	Medium	Participate
Associate Governmental Program Analysts, Field Divisions Business Project Team Members		Low	High	Participate
Miai Nelson, IT Associate, ITS	MiNelson@chp.ca.gov (916) 843-4108	Medium	High	Participate

Stakeholder (Name, Title, Organization, Role)	Contact Information	Influence Over Project (H/M/L)	Impacted by Project (H/M/L)	Engagement (Participate /Inform)
Thang Nguyen, IT Specialist, ITS **Ryan Pottle, IT Associate, ITS** **IT Project Team Member**	Thang.Nguyen@chp.ca.gov (916) 843-4062 Ryan.Pottle@chp.ca.gov (916) 843-4057			
David Royball, IT Specialist, ITS **Josiah Wilson, IT Specialist, ITS** Paul Leymaster, IT Specialist, CCSS Christina Brunsvold, IT Specialist, CCSS **IT Subject Matter Experts**	David.Royball@chp.ca.gov (916) 843-4086 JosWilson@chp.ca.gov (916) 843-4134 PLeymaster@chp.ca.gov (916) 843-4076 Christina.Brunsvold@chp.ca.gov (916) 843-4280	Medium	Medium	Participate
Myrna Viloria, Manager, ITS **Project Management Oversight, ESC Member** **Audrey Kagiyama, IT Specialist, ITS** **PM Back-up** **Anjelina Chavez, IT Specialist, ITS** **Project Management Support** **IT Acquisitions and Project Management Oversight**	MViloria@chp.ca.gov (916)843-4059 Audrey.Kagiyama.chp.ca.gov (916) 843-4014 Anjelina.Chavez@chp.ca.gov (916) 843-4118	Medium	Low	Participate
Joe Jones, Mark43 **Mark43 Project Manager**	Joe.Jones@mark43.com	High	High	Participate

4.4　Project Priorities

The project trade-off matrix below indicates the project priorities as revised for Phase 2.

Schedule	Scope	Resources	Quality
4	1	3	2

4.5   Project Plan

4.5.1   Project Scope

The project implemented the Mark43 RMS to achieve NIBRS compliance as part of Phase 1. The requested project change will expand the scope of the project to add Phase 2, which will implement the Evidence and Case Management modules and additional arrest reporting enhancements.

4.5.2   Project Assumptions

The project is operating under the following assumptions. Additional project assumptions are included in the PMP, Section 2.2, Assumptions.

Assumptions	Descriptions
Strong management engagement	The CHP Executive Management will actively support the direction and effort.
Proven methodologies	The project will use the CA-PMF and the CHP-PMF.
Strong user adoption	Users will accept the system when the acceptance test proves the system meets the requirements.
Subject matter expert availability	Resources will be allocated to the project when required.
Project Team empowerment	Project Team Members with conflicting operational responsibilities will have a way to resolve conflicting time frames between an operational issue and project deliverable deadlines.
Funding approval	Funding will be allocated for Phase 2 implementation services and iPads.
Mark43 Capabilities	The Mark43 Evidence and Case Management modules will meet all CHP-specific requirements for, either out-of-the-box or via customization.
California Law Enforcement Telecommunications System (CLETS) Approval	The DOJ will approve CLETS-derived data entry in the Mark43 system.

4.5.3   Project Phasing

Please refer to Section 3.4.4, Implementation Plan. The project will be implemented in three phases, as follows:

Project Phase	Phase Deliverables
Phase 0 – POC	The Vendor will configure workflows for 10 offense codes and the Department will validate they meet business needs.

Special Project Report
2720-118 Law Enforcement Records Management System

Project Phase	Phase Deliverables
Phase 1 – NIBRS/CIBRS	The system will be configured to allow the Department to meet all NIBRS/CIBRS requirements.
Phase 2 – Evidence Management/Arrest Reporting Enhancements	The Mark43 Records and Evidence Management modules will be configured to incorporate the remaining fields for identified CHP arrest and evidence forms and all other CHP-specific requirements for records and evidence management. The Case Management module will be basically configured with no customizations.

4.5.4   Project Roles and Responsibilities

The following is a list of general roles and responsibilities for the project. Additional responsibilities may be called out separately in the various subsidiary project management plans.

Role	Responsibility
ESC Member	Provide project-level governance; assist in resolving issues beyond PM's authority; provide recommendations on or approve change requests; participate in internal Stage Gate reviews. (Committee may also include PMs and sponsors from outside agencies/state entities).
Project Sponsor	Provide either business or IT project sponsorship; support the need and justify business value; ensure business resources are made available to support objectives.
Business Owner	Own the business processes being impacted, provide input into the project objectives and scope of work, and ensure business resources are made available to support objectives.
Project Director	Provide technical sponsorship, remove obstacles within span of control that could impede project success, provide strategic direction and support to the project, escalate issues for resolution to the Executive Sponsors, and approve project artifacts and deliverables.
PM	Lead the team responsible for achieving the project objectives and ensure project is managed according to state and departmental policies and procedures. Oversee the project at a high-level working closely with the Technical PM and the Vendor PM.
Technical PM	Oversee and manage the day-to-day tasks associated with project implementation; work closely with the Project Team, CHP PM, Vendor PM, Implementation Lead, and assigned solution and implementation consultants.
Project Team Member	Support the PM by performing the work needed to achieve its objectives (i.e., business and technical).
Procurement and Project Management Oversight	Provide guidance on IT project management practice; ensure project follows established policies and procedures; liaise with control agencies as required. Provide project engagement oversight, review and approve engagement activity and invoice payments; ensure engagement hours and SOW deliverables and requirements are satisfactorily met.
Vendor/Contractor	Complete deliverables per the SOW.
Mark43 PM	Oversee and manage the day-to-day tasks associated with project implementation; work closely with the Project Team, and CHP project management team.

4.5.5 Project Schedule

The following table summarizes major project milestones, CHP-approved S4PRA baseline end date, current estimated end date, and current status. The current Project Schedule is included as a separate document.

Special Project Report
2720-118 Law Enforcement Records Management System

Major Milestones	CHP-Approved Baseline End Date	Current Estimated End Date	Status
PAL Stage 1	03/09/2020	03/09/2020	Complete
PAL Stage 2	03/20/2020	03/20/2020	Complete
PAL Stage 3	04/23/2020	04/23/2020	Complete
PAL Stage 4	06/12/2020	06/12/2020	Complete
Project Kick-off	06/23/2020	06/23/2020	Complete
POC Planning Activities	07/20/2020	07/20/2020	Complete
POC Workflow Validation	08/21/2020	08/21/2020	Complete
Phase 1			
Phase 1 Scoping	09/25/2020	09/25/2020	Complete
RMS Tenant Provisioning	01/19/2021	02/05/2021	Complete
AD SSO Interface	11/02/2020	07/28/2020	Complete
CAD Interface	12/01/2021	04/23/2021	Complete
Data Migration	05/05/2021		Deferred
Workflow Validation	02/18/2021	04/16/2021	Complete
Training	01/07/2021	11/19/2021	Complete
Deploy	05/05/2021	12/15/2021	Complete
Phase 2			
SPR Approval	04/20/2023	04/20/2023	In progress
Phase 2 Kickoff	04/24/2023	04/24/2023	Not started
Project Governance Review Complete	05/15/2023	05/15/2023	Not started
Arrest Reporting Enhancements/Case Management			
RMS/Case Management Application Setup and Enablement Complete	05/08/2024	05/08/2024	Not started
Pilot Complete	09/09/2024	09/09/2024	Not started

Policy Update Complete	01/15/2025	01/15/2025	Not started
RMS/Case Management Training Complete	01/17/2025	01/17/2025	In progress
Forms Update Complete	01/21/2025	01/21/2025	Not started
RMS/Case Management Go-Live	01/21/2025	01/21/2025	Not started
Evidence Management			
Data Migration Development/Test Complete	10/17/2023	10/17/2023	Not started
Evidence Management App Setup and Enablement Complete	12/04/2023	12/04/2023	Not started
Policy Update Complete	04/03/2024	04/03/2024	Not started
Forms Update Complete	04/09/2024	04/09/2024	Not started
Evidence Training Complete	06/24/2024	06/24/2024	In progress
Data Migration Complete	06/25/2024	06/25/2024	Not started
Evidence Statewide Go-Live Complete	06/26/2024	06/26/2024	Not started
Phase 2 Complete	02/18/2025	02/18/2024	In progress
Project Complete	02/18/2025	02/18/2025	In progress

4.6   Project Monitoring and Oversight

No change. The following is documented in the PMP, Section 4.8, Governance. The project is currently under the oversight of the Department's IT Acquisitions and Project Management Oversight group.

Project Management Controls

Project Management Controls are checkpoints to ensure expectations are in alignment and there is agreement before proceeding to the next phase of the process.

There are five phases to the project management lifecycle: 1) Concept, 2) Initiating, 3) Planning, 4) Executing, and 5) Closing. During each phase there are tasks/activities and deliverables being produced. In general, the checkpoint is to ensure tasks have been completed, budget and schedule are validated, and project risks and issues are reviewed before fully engaging in the next phase of the project lifecycle.

Special Project Report
2720-118 Law Enforcement Records Management System

Phase	PM Controls CDT Reportable	Purpose
Concept	• CHP 53, Request for Information Technology (IT) Services, IMD Project Approval	Acknowledge the request, agree there is a project need, and determine project priority.
Initiating	• Project Charter Review and Approval • S1BA Review and Approval	Agree on objective, scope, and whether the project is worth the investment.
Planning	• Kick-off Meeting • Stage 2 Alternatives Analysis (S2AA) Review and Approval • Stage 3 Solution Development (S3SD) Part A Solicitation Preparation Review and Approval • S3SD Part B Solicitation Package Readiness Review and Approval • Stage 4 Project Readiness and Approval (S4PRA)	Agree on what it will take to complete the project, verify the project is still worth the investment, and ensure all plans are in place and project is ready to move forward with execution activities.
Executing	• Go/No Go Decision • Change Control Board Review and Approval • Executing Phase Gate Review and Approval	Confirm the project is ready to move to a production environment.
Closing	• Post Implementation Evaluation Report Review/Approval	Review and confirm all activities related to the project have been completed, review lessons learned and benefits realization, and agree the project can be closed.

Project Status Meetings

Status meetings are a project management tool to assist with monitoring the project. It allows project Stakeholders the opportunity to discuss project goals, tasks, progress, risks, and issues. The various types of project meetings may be outlined as part of the project's Communication Management Plan (CMP).

Project Reporting

Status reports are a project management tool to assist with communicating project status on a regular basis. They provide project Stakeholders with enough information necessary to keep a pulse on the project. The various types of project reporting and communications are outlined in the project's CMP.

4.7   Project Quality

No change. Quality Management is broken into two types: process and product. The following is also documented in the PMP, Section 4.13, Quality Management.

Process Quality

The project has the following processes built into the project's management processes to help drive quality throughout the project.

Phase	Process	Activity
All	Staff Acquisition	• Staff acquired has the necessary skill set for their role. • Staff acquired align with Resource Management Plan.
Initiating	PAL	• Completion of the PAL Stage Gate Deliverable (Stage 1). • Approval of the PAL Stage Gate.
Planning	Project Planning	• Completion of the PAL Stage Gate Deliverables (Stages 2-4). • The PMP meets applicable standards and is approved by appropriate Stakeholder(s).
Executing	Testing	• Workflow validation. • Full system User Acceptance Testing (UAT).
Executing	Change Control Management	Go/No Go decision based on: • Number of outstanding critical defects. • Number and severity of open/unresolved defects.

Process Measurement

The project will conduct the following reviews to assess process quality and identify defects.

Review Type	Review Goal	Deliverables/Artifacts	Responsibility	Timing
Project Review	Review of project management documentation and status reports to ensure project is moving forward as planned.	Project Management Planning Documents Issue Log Risk Register Change Request Log Project Management Office Status Reports	Project Oversight (CHP)	As needed.
Documentation Review	Review of the project's management plans and other project documentation to determine if the project's documentation standards are being followed.	Project Management Planning Documents Issue Log Risk Register Change Request Log	PM	When moving to a new project phase. When a risk related to one or more of the processes has been identified. As needed.
Managerial Review	Evaluate and determine the overall efficacy of project quality management. This includes both quality assurance (process quality) and quality control (product quality).	Defect reports Change Requests Quality Management Plan	Project Sponsor(s) PM	Quarterly.

Product Quality

The following table shows the product and product-related items that will be measured for quality throughout the project and the criteria by which they will be measured.

Product/Deliverable	Criteria
Configuration Workshop	The Project Team and Mark43 will participate in the Initial Application Setup Workshop to complete initial configurations to ensure alignment with CHP's requirements and Mark43 best practices. Configurations will be documented.
Configuration Review	The Project Team will conduct Workflow Validations and UAT to ensure all CHP requirements are met and determine if additional configuration changes are needed, based on UAT and pilot user feedback.
Data Migration	Data migration go-live will be approved in accordance with the terms of the Migration Scope and Migration User Acceptance Criteria documents, approved by the Project Team, and incorporated as an Appendix of the SOW.
Evidence Label Printers	The Department will procure evidence label printers supported by Mark43 to ensure compatibility and long-term support. The Project Team will fully test the functionality of the evidence label printers during UAT to ensure they are configured properly and meet all the Department's business needs.

Product Measurement

All products will be evaluated for quality. The project will conduct the following reviews to assess product quality and identify defects.

Review Type	Review Goal	Deliverables/ Artifact	Responsibility	Timing
Workflow Validation	Check to ensure the workflows are configured as required. Determine if changes to workflows are needed.	Documentation of workflow approval.	Technical PM Project Team Members (SDG, RPS, OIA)	Upon completion of system configuration and custom development.
UAT	Ensure configurations and custom developments meet requirements.	Requirements Traceability Matrix UAT sign-off	Technical PM Project Team Members(ITS, RPS, IDS, FSS, OIA)	Upon completion of development.
Pilot	Ensure no changes are required for workflows, etc.	Pilot User Surveys	Project Team (RPS)	Upon UAT completion and pilot sign-off.

Product Improvement

Project quality is the responsibility of every Project Team Member; however, there are specific roles and responsibilities among various Stakeholders. Below are specific roles and essential responsibilities of various Stakeholders related to the project's quality management efforts.

Role	Responsibility
Executive Sponsor	• Set the tone and expectations for project and product quality. • Overall decision-making responsibility for quality management activities.
Project Director	• Oversee overall project quality management process and deliverables. • Promote quality culture. • Review major quality issues and approve or make recommendations to the Project Sponsor(s) and/or ESC.
PM	• Ensure quality management activities are being conducted per the plan. • Develop and track project metrics. • Oversee Vendor activities. • Promote quality culture. • Review major quality issues and approve or make recommendations to the Project Director, Project Sponsor(s) and/or ESC.
Technical PM	• Ensure quality management activities are being conducted per the plan. • Participate in quality definition activities. • Promote quality culture. • Review major quality issues and approve or make recommendations to the PM and Project Director. • Monitor and resolve quality issues escalated to them. • Ensure adherence to process standards. • Ensure deliverables meet quality standards. • Participate in team-level quality reviews.
Project Team	• Monitor and resolve quality issues escalated to them. • Promote the quality culture. • Ensure adherence to process standards. • Ensure deliverables meet quality standards. • Participate in team-level quality reviews.

4.8 Change Management

No change. The following is documented in the PMP, Section 4.2, Change Control Management.

The purpose of the Change Control Management Plan is to document how project changes are to be requested, assessed, approved, monitored, and controlled. This plan defines the Change Control Process (CCP) to standardize the procedures for efficient and prompt handling of all project Change Requests (CR). A formal, repeatable process minimizes the risk when introducing change to the project environment and helps preserve quality. The Change Control Management Plan defines the activities, roles, and responsibilities necessary to effectively and efficiently manage and coordinate the change process.

Approach and Change Control Governance

For the RMS project, the project-level Change Control Committee and the Project Team are one in the same. All CRs will be reviewed by the Project Team, which will include reviewing both technical and business impacts. If consensus cannot be reached, the request will be escalated to the Commanders of the respective groups and/or ESC to provide direction.

Change Control Process

Project Change Request

The following project change request process will be used for managing major and minor changes that impact scope, schedule, and/or budget:

Type of Change	General Description	Criteria	Reviewer	Approver	PCR required?
Major	Represents significant change in project scope, schedule, or budget.	Addition of a new requirement or expansion of an existing business requirement that has significant impact on scope, schedule, or cost.	ESC	CIO	Yes
		Schedule delay of more than 30 days or 10 percent delay to project end date.	ESC	CIO	Yes
		Requires additional funding of $100,000 or impact on total project budget is greater than 10 percent.	ESC	CIO	Yes
Minor	Routine change with little or no significant impact on project.	Schedule delay of less than 30 days or less than 10 percent impact to project end date.	Project Sponsors	PM	No
		Impact on project budget is less than $100,000 or less than 10 percent of total project budget.	Project Sponsors	IT Project Sponsor	No

Change Request Initiating and Processing

The following process will be used for managing major changes that impact scope, schedule, and/or budget:
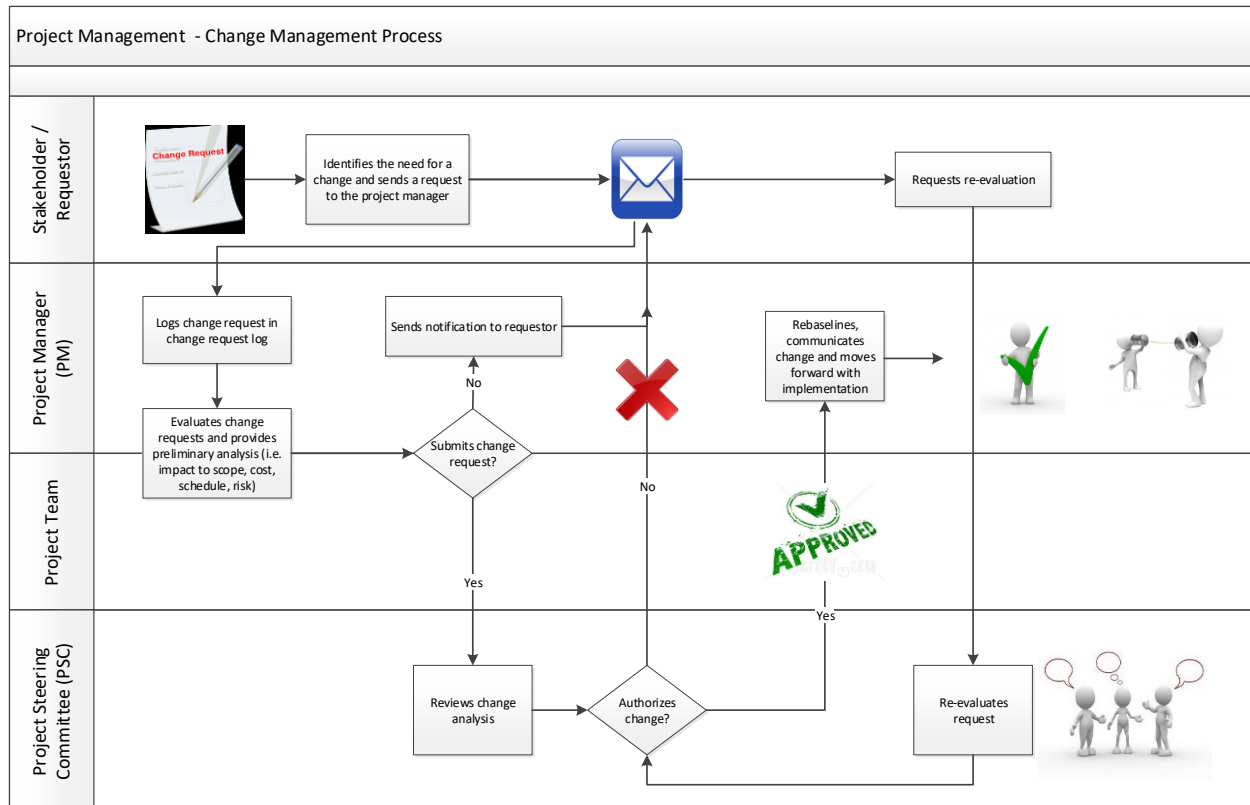
Step 1 Stakeholder/requestor identifies the need for a change and sends a request to the project manager via e-mail. The requestor must complete the "Change Request Submission Section" on the CR form.

Step 2 The PM or designee logs the CR in the project Change Request Log.

Step 3 The PM adds the CR to the Project Team meeting agenda.

Step 4 The Project Team or assigned individual evaluates the CR and completes the "Change Request Analysis Section" on the CR form.

Step 5 The Project Team determines if the CR moves forward for approval.

   Step 5a If it is determined a change will not move forward, the PM will notify the requestor and complete the "Change Request Closing Section" on the CR form (see Step 6).

   Step 5b If it is determined a change will continue to move forward, the PM will schedule a review meeting with the Project Sponsors and/or ESC.

Step 5c The PM will complete the "Change Request Approval Section" on the CR form and obtain signature from the Project Sponsor.

Step 5d If the change request is approved, the PM will re-baseline the project and notify the requestor and Project Team.

Step 5e Upon completion of the project or confirmation the change was implemented, the PM will complete the "Change Request Closing Section" on the CR form.

Step 6 If the Project Team, Project Sponsors, or ESC do not approve the change, the requestor may escalate and request a reevaluation by the committee. The PM will schedule a reevaluation review meeting with an objective of obtaining final disposition.

Change Request Analysis

The Project Team analyzes the CR to determine the potential impact(s) of the requested change on the project. The team validates and verifies the information provided by the Requestor and makes updates as needed. The team analyzes the situation and the CR Owner documents the results of the analysis in the Analysis section of the CR form. All CRs should include a detailed business justification that outlines why the change is necessary.

Upon completion of the initial analysis by the Project Team, the CR will be sent to the Vendor for review, if applicable. The following will be presented upon completion of the internal review: any proposed updates, costs to CHP, timeline estimates for the change, and a SOW amendment that reflect changes to the original project scope. Some change requests may be deferred to another phase if the Vendor and the Department agree the justification for the change is not critical to the success of the program.

Change Request Approval

The Project Team reviews the recommended approach to implementing the change and determines next steps for the CR. If consensus cannot be reached by the Project Team, the PM will present the CR and recommendation to the ESC for direction.

The PM notes the decision in the Change Request Disposition box of the "Change Request Approval Section" of the CR form. The CR disposition is typically accompanied by comments regarding the decision, signature, and signing date.

Roles and Responsibilities

The below table of Roles and Responsibilities provides a description of the duties of those involved in the CCP.

Role	Responsibility
ESC Member	• Review Major PCRs escalated by the Project Team. • The CIO has final decision authority on major CRs.
Project Sponsors	• Review minor decisions on CRs escalated by the Project Team. • The IT Sponsor has final decision authority on minor CRs.

Role	Responsibility
Project Team	• Primary decision-making body for CRs (i.e., acts as Change Control Committee). • Meet on a regular basis to address outstanding CRs and escalate to Project Sponsor(s) and/or ESC, as necessary. • Act on CR decisions by Project Sponsors and/or the ESC.
PM	• Establish and maintain the Change Control Management Plan. • An active sponsor of approved changes. • Manage the CCP and any resistance to approved changes. • Approve CRs for analysis. • Assign the CR analysis to a CR Owner. • Review the scope, budget, and schedule impacts. • Assign project resources for CR analysis and, if approved, implementation. • Review the CR implementation after it is deployed. • Communicate CR status/decision back to Stakeholders. • Vote as a member of the Project Team. • Initiate the escalation process to the Commander(s) and ESC, as needed.
CR Owner	• Identify possible solutions and their impact to the project and its Stakeholders. • Take ownership and work with the Project Team to analyze, evaluate, and, if approved, implement CRs. • Complete the CR form. • Prepare supporting documentation for the CR. • Obtain manager approval to submit the CR form to the CR Coordinator (CRC). • Submit CR to the CRC. • Verify CRs are implemented correctly.
CRC	• Single point of contact for CRs. • Receive and record CRs in the chosen tracking tool. • Perform initial CR risk assessment. • Review the CR's impact to the project's scope, schedule, and cost. • Schedule and transcribe the project meetings in which the CRs are discussed. • Maintain the CR tracking tool, monitor CR progress, and report status regularly. • Measure the overall quality of the CCP to report trends and make recommendations for process improvement. • Maintain project CR documentation in project library.

Project Baselines

Project baselines will be finalized at the following points of the project:

- Cost – Approval of SPR.
- Scope –The Phase 2 scope will be baselined once the Phase 2 requirements have been finalized and the CR has been approved by the ESC.
- Schedule –The Project Team will work with the vendor to define the proposed Phase 2 schedule upon completion of Phase 2 scoping sessions and statement of work.

Project Change Request Tracking

The CRs will be tracked by the PM in the Change Request Log.

Change Request Reporting

The CR reporting will be presented in both Project Team meetings as well as ESC briefings. The CR information will be provided in the format below:

Title	Frequency	Content	Usage
Opened, Pending, and Approved CRs	Regularly scheduled Team Meeting (Weekly)	Summary of the CRs that have been opened, are still pending, and have been approved since the last reporting.	Keeps the Project Team and Stakeholders informed about the changes being made.
CR Implementation Status	As completed	Lists all CRs approved for implementation, activities to implement, estimated completion date, and status.	Used by management, the CRC, and CR Owners to track CR implementation.

4.9 Authorization Required

Not applicable.

5.0 Updated Risk Management Plan

No update. The following is documented in the PMP, Section 4.16, Risk Management.

Risk management can be defined as the processes and structures directed towards realizing potential opportunities, while simultaneously managing possible adverse impacts. From a project management perspective, risk management is a continuous activity conducted throughout the life of the project. It seeks to identify potential risks, evaluate likely impact, develop mitigation plans, and monitor progress.

Roles and Responsibilities

The table below outlines the project participants who are expected to collaborate on project risk management activities.

Role	Responsibility
ESC Member	- Review the Risk Register and/or risk reports provided to the committee in accordance with this plan. - Responsible for understanding the possible effects and impacts of identified risks. - Ensure the PM has a sound plan for mitigating the impacts of risks that have been escalated to the ESC.
Project Sponsors, Project Director	- Provide the necessary support to the PM to ensure State and Vendor resources are available to support the execution of this plan. - Provide the necessary support to ensure State and Vendor resources commit to the risk management efforts. - Monitor the efforts to address risks and provide leadership to focus resources on resolving open unplanned risk events. - Provide guidance on escalated risk events and assists in their resolution.

Role	Responsibility
PM	• Responsible for maintaining the overall risk management process and the Risk Register containing the risk details. • Ensure the risks managed by this plan are organized, managed, communicated, and controlled. • Ensure project-related risks are identified and mitigated in a timely manner to minimize impact; to be discussed at regular Project Team meetings and ESC Briefings as included in Communications Management section. • Periodically obtain status from Risk Owners on mitigation progress. • Track progress of the risk management effort by reviewing the Risk Register and/or risk management reports. • Escalate mitigation approaches for identified high severity risks beyond the PM's span of control and decision authority. • Ensure the entire Project Team, both State and Vendor, are following this plan. • Ensure all other project processes that interact or provide input to the risk management effort are being adhered to. • Ensure there are sufficient resources to execute this plan and the risk management activities are being performed in a timely manner. • Assign risks to owners.
Vendor PM	• Perform reviews of the risk management work being performed by the Vendor team. • Verify the work complies with the risk management approach described in this plan and the requirements in the Vendor's Contract. • Share responsibility for identifying risks and risk events in a timely manner to mitigate the risk and minimize impact to the project.
Risk Owner	• Responsible for management, administration, and delivery of assigned risks, including updating the Risk Register, the mitigation plan, and contingency plan details in the Risk Register. • Shared responsibility with the Risk Manager and the PM for ensuring risks are organized, managed, and controlled and risks are identified and mitigated in a timely manner to minimize impact to the project. • Provide status updates to Risk Manager.

Risk Management Process

Identify Risks

Risk identification is the first step in the risk management process that projects should employ. Risk identification involves identifying risks, identifying which of those risks are likely to affect the project, and documenting characteristics of those risks. Spotting a potential risk is accomplished by recognizing that an event, state, or condition within the boundaries of a project may occur with unplanned consequences, which are usually undesirable, however may lead to a positive opportunity. All Project Team Members including Stakeholders, end users, SMEs, and sponsors are encouraged to identify and report potential risks to the project immediately upon detection to the PM. Identifying risks is an iterative process because new risks may arise as the project progresses through the project life cycle.

Crucial to risk identification is the input of Project Team Members and other Stakeholders to recognize and report risks as soon as possible. Risks can also be identified during Project Team meetings and will be incorporated into the meeting agenda and minutes templates for all project meetings.

Risk Register

The Risk Register is a tool used to document potential risks (risk candidates). The Risk Register will be created in a Microsoft Excel (see template below).

Risk Register Template

Risk Identification						Risk Analysis				Risk Prioritization	Risk Response				Risk Control		
ID #	Risk Title	Risk Statement or Description	Date Risk Identified	Risk Originator	Risk Category	Probability	Impact	Timeframe	Exposure	Severity	Risk Owner	Date Assigned	Risk Response Strategy	Risk Response Plan Description	Contingency Plan Description	Risk Status	Risk Resolution	Risk Closure Date
									0	0								
									0	0								
									0	0								
									0	0								
									0	0								
									0	0								
									0	0								
									0	0								
									0	0								
									0	0								
									0	0								

Analyze Risks

Risk Response Planning

Strategies for Negative Risks

- **Avoid:** Risk Avoidance involves changing the project management plan to eliminate the threat posed by the risk. Some risks can be avoided by clarifying requirements, obtaining additional information, improving communication, or acquiring expertise.
- **Transfer:** Transferring a risk requires moving, shifting, or reassigning some or all the negative impact and ownership to a third party. This does not eliminate the risk but gives another party the responsibility to manage it.

- **Mitigate:** Risk Mitigation implies a reduction in the probability and/or impact of a negative risk. Reducing the probability and/or impact of a risk occurring is often more effective than dealing with the risk after it has occurred.
- **Accept:** This strategy indicates the Project Team has decided not to change the project management plan (i.e., schedule, approach, or reduce project scope) or is unable to identify another suitable response strategy.

Strategies for Positive Risks or Opportunities

- **Exploit:** This strategy may be selected for risks with positive impacts where the organization wishes to ensure the opportunity is realized. This strategy eliminates the uncertainty associated with a positive risk by ensuring the opportunity happens.
- **Share:** Sharing a positive risk involves allocating some or all the ownership of the opportunity to a third party who is best able to capture the opportunity for the benefit of the project.
- **Enhance:** This strategy is used to increase the probability and/or the positive impact of an opportunity, identifying and maximizing key drivers of positive risks.
- **Accept:** Accepting a positive risk or opportunity is being willing to take advantage of it should the opportunity come along.

Risk Monitoring Activities

Once a risk is established, it is monitored on an ongoing basis:

- Monitor if a risk escalation trigger has occurred.
- Monitor if risk response actions are as effective as anticipated.
- Monitor if risk responses are implemented as planned.
- Monitor for Residual Risks (element of a risk that remains once the risk assessment has been made and responses implemented).
- Monitor systematically to:
  - Assess currently defined risks.
  - Determine actions to be taken.
  - Evaluate effectiveness of actions taken.
  - Report on the status of actions to be taken.
  - Validate previous risk assessment (likelihood and impact).
  - Validate previous assumptions.
  - State new assumptions.
  - Identify new risks.

Risk Control Activities

Once a risk is established, it is controlled on an ongoing basis:

- Validate mitigation strategies and alternatives.
- Assess impact on the project of actions taken (scope, cost, time, schedule, and resources).
- Identify new risks resulting from risk mitigation actions.

- Ensure the projects' Risk Management Plan is maintained.
- Revise Risk Response plan(s).

During the weekly project status meeting the Project Team will update existing risks and discuss potential new risks that need to be accounted for. However, it is important to note any member of the Project Team or Stakeholder group can raise a potential risk to the PM at any time for evaluation. Should the time required to discuss risk and issues prove longer than the time available in the weekly status meeting, separate meetings for the benefit of discussing risks and issues will be scheduled. The Project Team will meet no less than bi-weekly, at a minimum, to manage project risks and issues.

Closing/Retiring Risks

Risks are closed when the risk event occurs, and the risk is promoted to an issue (see Issue Management Section). Risks are also closed when the exposure of the risk is reduced to below the minimal category or when the timeframe of occurrence has passed. At this time, risks are no longer actively monitored. If the risk could possibly arise again, the risk may be reduced to a "Watch" status and evaluated periodically. The Risk Owner and Project Team may recommend closure of a risk; however, the Project Director will make the final decision to close a risk.

5.1 Risk Register

At the time of project approval, three risks were identified. Since the start of the execution phase, 21 more risks have been identified and 13 have been closed. Eleven remain as open risks and are actively being managed:

- Arrest Logs for Los Angeles (LA) County and South LA Area Office
- Report acceptance
- Department of Justice CLETS application not approved
- Project Team member turnover
- End user acceptance
- Phase 2 implementation costs
- Training retention
- Data migration – technical issues
- Special Project Report approval
- Shipping delays – procurement
- Shipping delays – Area offices

The updated Risk Register (RMS Risk Issue Change Decision Log) is included as a separate document.

6.0 Updated Financial Analysis Worksheet

The updated FAW is included as a separate document.

Attachments:

Communications Management Plan

Complexity Assessment

Financial Analysis Worksheet

Project Management Plan

Project Schedule

Project Status Report

Risk Issues Decision Change Log