



***Special Project Report***

*ON*

**Automated Knowledge Testing Expansion**

**AKTE**

**Department of Technology # 2740-190**

**DMV # 2010-012**

**Licensing Operations Division**

**September 15, 2015**

**Version  
1.0**

*Amended November 30, 2015*

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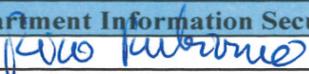
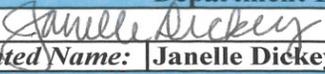
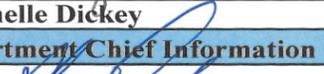
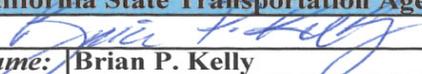
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**1.0 EXECUTIVE PROJECT APPROVAL TRANSMITTAL**

SIMM Section 20A		
<p>External/Reportable  <b>Special Project Report</b>  <b>Executive Approval Transmittal</b></p>		
		
<b>State Entity Name</b>		
Department of Motor Vehicles (DMV)		
<b>Project Title (maximum of 75 characters)</b>		<b>Department of Technology Project Number</b>
Automated Knowledge Testing Expansion		2740-190
<b>Project Acronym</b>	<b>State Entity Priority</b>	<b>Agency Priority</b>
AKTE		
<p>I am submitting the attached Special Project Report (SPR) in support of our request for the California Department of Technology's approval to continue development and /or implementation of this project.</p> <p>I certify that the SPR was prepared in accordance with the State Administrative Manual Sections 4945-4945.2 and that the proposed project changes are consistent with our information management strategy as expressed in our current Agency Information Management Strategy.</p> <p>I have reviewed and agree with the information in the attached SPR.</p> <p>I certify that the acquisition of the applicable information technology (IT) product(s) or service(s) required by my Agency/state entity that are subject to Government Code 11135 applying Section 508 of the Rehabilitation Act of 1973 as amended meets the requirements or qualifies for one or more exceptions (see following pages).</p>		
<b>APPROVAL SIGNATURES</b>		
<b>Department Information Security Officer</b>		<b>Date Signed</b>
 <b>Printed Name:</b> Rayfield L. Scott		9/3/15
<b>Department Enterprise Architect</b>		<b>Date Signed</b>
 <b>Printed Name:</b> Janelle Dickey		9/4/15
<b>Department Chief Information Officer</b>		<b>Date Signed</b>
 <b>Printed Name:</b> Stacy Cockrum		9/17/15
<b>Department Budget Officer</b>		<b>Date Signed</b>
 <b>Printed Name:</b> Robert Crockett		9/17/15
<b>Department Director</b>		<b>Date Signed</b>
 <b>Printed Name:</b> Jean Shiomoto		9/21/2015
<b>California State Transportation Agency Information Officer</b>		<b>Date Signed</b>
<b>Printed Name:</b> Andrew Armani (Interim)		
<b>California State Transportation Agency Secretary</b>		<b>Date Signed</b>
 <b>Printed Name:</b> Brian P. Kelly		10/5/15

1.1 IT Accessibility Certification

<p><b>Special Project Report</b>  <b>Executive Approval Transmittal</b></p> <p><b>IT Accessibility Certification</b></p>	
<b>Yes or No</b>	
<b>YES</b>	<b>The Proposed Project Meets Government Code 11135 / Section 508 Requirements and no exceptions apply.</b>
<b>Exceptions Not Requiring Alternative Means of Access</b>	
<b>Yes or No</b>	<b>Accessibility Exception Justification</b>
	The <b>Proposed</b> IT project meets the definition of a national security system.
	The <b>Proposed</b> IT project will be located in spaces frequented only by service personnel for maintenance, repair, or occasional monitoring of equipment (i.e., "Back Office" Exception.)
	The <b>Proposed</b> IT acquisition is acquired by a contractor incidental to a contract.
<b>Exceptions Requiring Alternative Means of Access for Persons with Disabilities</b>	
<b>Yes or No</b>	<b>Accessibility Exception Justification</b>
	Meeting the accessibility requirements would constitute an "undue burden" (i.e., a significant difficulty or expense considering all agency resources). Explain:
	Describe the alternative means of access that will be provided that will allow individuals with disabilities to obtain the information or access the technology.



## 2.0 INFORMATION TECHNOLOGY (IT): PROJECT SUMMARY PACKAGE

### 2.1 Section A: Executive Summary

1.	<b>Submittal Date</b>	October 12, 2015		
2.	<b>Type of Document</b>	Special Project Report		
	<b>Project Number</b>	DMV # 2010-012	Department of Technology # 2740-190	
3.	<b>Project Title</b>	Automated Knowledge Testing Expansion		<b>Estimated Project Dates</b>
	<b>Project Acronym</b>	AKTE	<b>Start</b>	July 2, 2012
4.	<b>Submitting Department</b>	Department of Motor Vehicles		<b>End/Implementation</b>
	<b>Reporting Agency</b>	California State Transportation Agency		<b>PIER/Closure</b>
				September 27, 2017
6.	<b>Project Objectives</b>			
	<ol style="list-style-type: none"> <li>1. The project will reduce wait times at the DMV Field Offices (FOs) by the year 2016.</li> <li>2. The project will reduce by approximately 95% the opportunity for cheating and fraud on system generated tests by the year 2016.</li> <li>3. Comply with the Federal Motor Carrier Safety Administration (FMCSA) regulations by 2016.</li> <li>4. Establish automated data collection of testing statistics and provide statistical reports, such as applicant and FO statistics, traffic volumes, audit trail, and statistical reports required by the FMCSA by 2016.</li> <li>5. Reduce the amount of written tests printed from approximately 8.9 million to 200,000, resulting in a savings of 231,400 lbs of paper per year.</li> <li>6. Provide the ability to allow the system to be used by external business partners to conduct testing on behalf of DMV.</li> </ol>			
7.	<b>Proposed Solution</b>			
	<p>Expand the DMV's browser-based, automated knowledge testing system to DMV field offices not currently utilizing the system, and adding seven (7) terminals in headquarters. The system will:</p> <ul style="list-style-type: none"> <li>• Interface with DMV network connections to allow for real time test result updates to the DMV database.</li> <li>• Interface with other vendor systems to verify fingerprints.</li> <li>• Utilize barcoded applicant receipt to bring up applicant and test information.</li> <li>• Provide for randomized test questions in English and 31 foreign languages.</li> <li>• Record and store test data and meet other functional requirements.</li> </ul>			

8.	Project Schedule Summary		
Major Milestones	FSR Completion Date	SPR Completion Date	
Automated Knowledge Testing Expansion			
Initiation	7/13/2012	11/14/2012	
Planning	9/14/2012	4/29/2015	
Execution and Control	1/23/2015	3/25/2016	
Close-out	9/12/2016	3/27/2017	
PIER	9/12/2016	3/27/2017	
Key Deliverables			
Project Approval	7/1/2012	9/19/2012	
Contract Award	9/14/2012	1/23/2015	
Requirements Finalized	3/1/2013	4/10/2015	
Design Finalized	4/5/2013	7/2/2015	
Installation and Programming Completed	7/12/2013	10/31/2015	
Test Results Approved	9/13/2013	12/23/2015	
Implementation	3/11/2015	3/25/2016	

2.2 Section B: Project Contacts

<b>Project #</b>	2740-190
<b>Doc. Type</b>	SPR

Executive Contacts								
	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-Mail
California State Transportation Agency Secretary	Brian P.	Kelly	(916)	323- 5400		(916)	323- 5440	<a href="mailto:Brian.Kelly@calsta.ca.gov">Brian.Kelly@calsta.ca.gov</a>
State Entity Director	Jean	Shiomoto	(916)	657- 6940		(916)	657- 7393	<a href="mailto:Jean.Shiomoto@dmv.ca.gov">Jean.Shiomoto@dmv.ca.gov</a>
Budget Officer	Robert	Crockett	(916)	657- 7034		(916)	657- 6851	<a href="mailto:Robert.Crockett@dmv.ca.gov">Robert.Crockett@dmv.ca.gov</a>
Information Security Officer	Rayfield L.	Scott	(916)	657- 6050		(916)	657- 6565	<a href="mailto:Rayfield.Scott@dmv.ca.gov">Rayfield.Scott@dmv.ca.gov</a>
Enterprise Architect	Janelle	Dickey	(916)	657- 8295		(916)	657- 8344	<a href="mailto:Janelle.Dickey@dmv.ca.gov">Janelle.Dickey@dmv.ca.gov</a>
Chief Information Officer	Stacy	Cockrum	(916)	657- 8762		(916)	657- 2528	<a href="mailto:Stacy.Cockrum@dmv.ca.gov">Stacy.Cockrum@dmv.ca.gov</a>
Project Sponsor	Wesley	Goo	(916)	657- 6721		(916)	657- 6261	<a href="mailto:Wesley.Goo@dmv.ca.gov">Wesley.Goo@dmv.ca.gov</a>

Direct Contacts								
	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-Mail
Doc. Prepared By	Sylvia	Saldana	(916)	657- 9068		(916)	657- 3971	<a href="mailto:Sylvia.Saldana@dmv.ca.gov">Sylvia.Saldana@dmv.ca.gov</a>
Primary Contact	Sandra	Ancira	(916)	657- 5824		(916)	657- 3971	<a href="mailto:Sandra.Ancira@dmv.ca.gov">Sandra.Ancira@dmv.ca.gov</a>
Project Manager	James P.	Smith	(916)	657- 6856		(916)	657- 7370	<a href="mailto:James.Smith@dmv.ca.gov">James.Smith@dmv.ca.gov</a>
Project Mgnt. Office Contact	Bertha	Garza	(916)	657- 6820		(916)	657- 7370	<a href="mailto:Bertha.Garza@dmv.ca.gov">Bertha.Garza@dmv.ca.gov</a>
Technical Manager	Connie	Kono	(916)	657- 6957		(916)	657- 6565	<a href="mailto:Connie.Kono@dmv.ca.gov">Connie.Kono@dmv.ca.gov</a>
Business Manager	Shantell	Lacy	(916)	657- 6370		(916)	657- 3971	<a href="mailto:Shantell.Lacy@dmv.ca.gov">Shantell.Lacy@dmv.ca.gov</a>

**2.3 Section C: Project Relevance to State and/or Department/Agency Plans**

<b>Project #</b>	2740-190
<b>Doc. Type</b>	SPR

1.	What is the date of your current Technology Recovery Management Program (TRP) which is the DMV Technology Recovery Plan?	Date	9/25/2014
2.	What is the date of your current Agency Information Management Strategy (AIMS) which is the DMV Information Technology Strategic Plan (ITSP)?	Date	2012-2016
3.	For the proposed project, provide the page reference in your current AIMS/ITSP and/or Strategic Business Plan (SBP).	Doc.	ITSP
		Page #	7-12

4.	Is the project reportable to control agencies?	Yes
	If YES, CHECK all that apply:	
<input checked="" type="checkbox"/>	a) The project involves a budget action.	
<input type="checkbox"/>	b) The new system development or acquisition that is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation.	
<input checked="" type="checkbox"/>	c) The estimated total development and acquisition cost exceed the departmental cost threshold and the project does not meet the criteria of a desktop and mobile computing commodity expenditure (see State Administrative Manual (SAM) 4989 - 4989.3).	
<input type="checkbox"/>	d) The project meets a condition previously imposed by Department of Technology.	



**2.4 Section D: Budget Information**

<b>Project #</b>	2740-190
<b>Doc Type</b>	SPR

<b>Budget Augmentation Required?</b>	Yes	<b>If YES, indicate fiscal year(s) and associated amount:</b>											
		<b>FY</b>	2012/13	<b>FY</b>	2013/14	<b>FY</b>	2014/15	<b>FY</b>	2015/16	<b>FY</b>	2016/17	<b>FY</b>	
			\$900,201		\$3,351,248		\$916,869		\$2,046,131		\$0		\$0

**PROJECT COSTS**

1.	Fiscal Year (FY)	2012/13	2013/14	2014/15	2015/16	2016/17		TOTAL
2.	<b>One-Time Cost</b>	1,089,224	4,637,666	1,475,215	2,616,858	0	0	<b>\$9,818,963</b>
3.	<b>Continuing Costs</b>	0	40,692	257,199	438,095	720,198	0	<b>\$1,456,185</b>
4.	<b>TOTAL PROJECT BUDGET</b>	<b>\$1,089,224</b>	<b>\$4,678,358</b>	<b>\$1,732,414</b>	<b>\$3,054,953</b>	<b>\$720,198</b>	<b>\$0</b>	<b>\$11,275,148</b>

**PROJECT FINANCIAL BENEFITS**

5.	<b>Cost Savings/Avoidances</b>	\$0	\$0	\$0	\$0	\$0	\$0	<b>\$0</b>
6.	<b>Revenue Increase</b>	\$0	\$0	\$0	\$0	\$0	\$0	<b>\$0</b>



**2.5 Section E: Vendor Project Budget**

<b>Vendor Cost for FSR Development (if applicable)</b>	\$
<b>Vendor Name</b>	

<b>Project #</b>	2740-190
<b>Doc. Type</b>	SPR

**VENDOR PROJECT BUDGET**

1.	Fiscal Year	2012/13	2013/14	2014/15	2015/16	2016/17		TOTAL
2.	Primary Vendor Budget	197,301	249,656	382,998	35,000	0	0	\$864,955
3.	Independent Oversight Budget	0	0	0	0	0	0	\$0
4.	IV&V Budget	0	0	0	0	0	0	\$0
5.	Other Budget	295,110	82,023	144,326	660,192	0	0	\$1,181,651
6.	<b>TOTAL VENDOR BUDGET</b>	<b>\$492,411</b>	<b>\$331,679</b>	<b>\$527,324</b>	<b>\$695,192</b>	<b>\$0</b>	<b>\$0</b>	<b>\$2,046,606</b>

(Applies to SPR only)

**PRIMARY VENDOR HISTORY SPECIFIC TO THIS PROJECT**

7.	<b>Vendor Name</b>	Global Touchpoints Inc.
8.	<b>Contract Start Date</b>	1/26/2015
9.	<b>Contract End Date (projected)</b>	3/24/2016
10.	<b>Amount</b>	\$382,998

**PRIMARY VENDOR CONTACTS**

	Vendor	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-Mail
11.	Global Touchpoints Inc.	Apoorv	Kishore	530	601-6298				Apoorv.Kishore@dmv.ca.gov
12.									
13.									

**2.6 Section F: Risk Assessment Information**

<b>Project #</b>	2740-190
<b>Doc. Type</b>	SPR

<b>Has a Risk Management Plan been developed for this project?</b>	<b>Yes</b>
--	------------

<b>General Comment(s)</b>
<p>The Risk Management Plan follows California Project Management Methodology (CA-PMM), Project Management Body of Knowledge (PMBOK) and Institute of Electrical and Electronics Engineers (IEEE) standards and methodologies for identifying, tracking, mitigating, and ultimately minimizing the Automated Knowledge Testing Expansion project risks. The Risk Management Plan defines the risk management roles and responsibilities of the Automated Knowledge Testing Expansion project team.</p> <p>A summation of the Risk Management Plan is contained in Section 5 of this SPR document. In addition, a completed Office of Information Security and Privacy Protection (OISPP) questionnaire is provided as Attachment 2.</p>

### 3.0 PROPOSED PROJECT CHANGE

#### 3.1 Project Background/Summary

In June 2011, the Department of Motor Vehicles (DMV) developed a Feasibility Study Report (FSR) for the Automated Knowledge Testing Expansion (AKTE) project (2740-190). The California Technology Agency (aka Department of Technology) approved the FSR on January 10, 2012.

The AKTE project anticipates achieving the following objectives:

- Reduced wait times in the Field Offices (FO) by the year 2016.
- Reduce by approximately 95% the opportunity for cheating and fraud on system generated tests by the year 2016.
- Comply with the Federal Motor Carrier Safety Administration (FMCSA) regulations by 2016.
- Establish automated data collection of testing statistics and provide statistical reports, such as applicant and FO statistics, traffic volumes, audit trail, and statistical reports required by the FMCSA by 2016.
- Reduce the amount of written tests printed from approximately 8.9 million to 200,000 resulting in a savings of 231,400 lbs. of paper per year.
- Provide the ability to allow the system to be used by external business partners to conduct testing on behalf of DMV.

AKTE will expand the previous Automated Multiple Choice Knowledge Testing System (AMCKTS) solution to FOs not currently utilizing the system and provide additional testing terminals in Headquarters. The AKTE project will provide the ability to allow the system to be used by external business partners to conduct testing on behalf of DMV, such as the California Highway Patrol. The AKTE solution will include enhancements to the current AMCKTS solution by:

1. Interfacing with other vendor systems to verify fingerprints.
2. Providing randomized test questions in English and 31 foreign languages.
3. Implement advances in audio technologies for those with literacy issues.
4. Utilize fingerprint authentication devices (replacing the barcode readers).

The AMCKTS solution is a browser-based system that was implemented in the Stockton Field Office on August 23, 2012. The solution:

1. Interfaces with the DMV network to allow for real-time test results updates.
2. Utilizes a barcoded applicant receipt to bring up applicant and test information.
3. Records and stores test data and the ability to meet other functional requirements.

### 3.2 Project Status

The business, system, installation, and maintenance specifications for the touchscreen testing terminals have been documented and input into the Information Technology Procurement Plan (ITPP), the Invitation for Bid (IFB), and the Statement of Work (SOW). Installations began in August 2013 and were completed by September 16, 2015. DMV resources are engaged as needed for cabling/electrical, network, and connectivity issues.

Grant funding to date totals \$8,126,563. This includes: 2014/2015 Office of Traffic Safety (OTS) grant for \$2,263,358 (applied for an extension); 2011 Driver License Security Grant Program for \$1,641,311; 2010 Driver License Security Grant Program for \$1,656,999; 2013 California Driver License Program Improvement (CDLPI) grant for \$1,500,000 (extended to December 31, 2015); 2011 CDLPI grant for \$564,895; and 2009 CDLPI grant for \$500,000.

DMV hired Business Advantage Consulting, Inc., to analyze demographics, workflow, and trends related to driver license (DL) knowledge tests. This consultant completed eight deliverables listed below:

- 1. Detailed Market Research and Demographic Study.** A Market Research and Demographic Study Report that identified the following:
  - Current number of written knowledge tests, foreign language tests, motorcycle tests, and Commercial Driver License (CDL) tests administered at each FO including pass and fail rates.
  - Five year projection of increase in customer service needs based on demographic growth of the surrounding FO location.
- 2. Number of Automated Knowledge Test Stations by Office.**

A report containing an assessment of and recommendation for the appropriate number of automated knowledge test stations per FO, including the appropriate number of spare parts or equipment needs.
- 3. Recommendation for self-printing master terminal(s).**

A report containing an assessment of and recommendation for the use and placement of a customer self-printing master terminal(s) capable of printing applicant's instructional permits, temporary and interim licenses. The recommendation included security and privacy considerations.
- 4. Research in regard to other States.** A report containing an assessment of and recommendation that identifies the following:
  - States that have implemented an automated knowledge testing solution; how they implemented the solution and challenges associated with the implementation.
  - Information on how other states issue licensing documents.

- Methods used by other states to notify the applicant of a pass or fail status after completing an automated knowledge test at an automated test station.

**5. Business Rules, Workflow Analysis, and Streamlining Processes based on Best Practices.**

A report containing an assessment of business rules and recommendations regarding workflow analysis and streamlining processes consistent with best practices.

**6. Local Trends, Statistical Data, Future Growth and Business Considerations over Next Five (5) Years.**

A report containing an assessment of and recommendations that include statistical data that identifies customer testing needs, future growth and/or business considerations in areas surrounding the FOs over the next five (5) years to determine and prepare for future FOs.

**7. Throughput Analysis, Gaps, and Future Efficiencies.** A report containing an assessment of and recommendation of the following:

- “To Be” workflow analysis and design that maximizes the automated knowledge testing efficiencies based on gaps found and identified in the “as is” written knowledge test process.
- Workflow efficiencies and the best utilization of automated knowledge technology.

**8. Future Benefits and Efficiencies.**

A written assessment and recommendation identifying future benefits and efficiencies DMV will achieve as a result of implementing automated knowledge test stations.

DMV hired a Java (programming language) consultant to develop and document deliverables related to the design and programming of the system. The Java consultant completed the deliverables below:

**1. Documented project plan that at a minimum included:**

- Tasks/sub-tasks
- Task timeframes
- Task dependencies
- Required resources
- Work breakdown structure

**2. System Requirements Specification Document that included:**

- Use cases
- System environment constraints
- Interface requirements
- Unified Modeling Language (UML) diagrams
- Activity diagram
- Relationship diagrams
- Web page mock-ups

**3. Document containing design solutions to create and implement a web-based application that at a minimum included:**

- Application and technical architecture
- UML documenting the project designs
- Detailed application design
- Logical and physical database models
- Formal knowledge transfer of AMCKTS application enhancements, and the UML system documentation.

As of September 2015, DMV has:

- Awarded a new Java consultant contract to Global Touchpoints on January 26, 2015.
- Completed work authorization for fingerprint hardware and software.
- Completed deployment and training of the enhanced application (Stockton Plus) in 156 field offices and four driver license processing centers.
- Continued the facility, network and telecom upgrades, and the identification and assignment of Internet Protocol (IP) addresses to meet the AKTE project needs.
- Continued development of the Implementation Plan and the Training Plan.
- Completed procurement for headphones to be used for the audio tests
- Started recording the 32 Languages for the audio tests.
- Completed installation of testing terminals.

### **3.3 Reason for Proposed Change**

The updated project schedule reflects the Java consultant solicitation timeline and the updated task timeline due to the following high priority projects, e.g. Assembly Bill (AB) 60 (Alejo, Chapter 524 Statutes of 2013), Commercial Driver License Information System (CDLIS modernization), and the Veterans/Consumer Price Index/Homeless project (VCH) utilizing resources required to complete the AKTE Project tasks:

- AB 60 – a new law that allows applicants who are unable to provide satisfactory proof of legal presence in the United States the opportunity to obtain a driver license (DL). The law became operative on January 2015.
- CDLIS modernization – a federally mandated project that will perform the necessary programming changes to upgrade the CA DMV CDLIS system to version 5.3 in accordance with the FMCSA regulations and the American Association of Motor Vehicles Administrators (AAMVA) specifications. By doing so, the CA DMV CDLIS can successfully interface with the CDLIS Central Site (maintained by AAMVA) and provide required data.
- VCH – AB 935 requires the Department to provide eligible persons that have served in the United States Armed Forces the option to have “VETERAN”

printed on their DL and/or identification card (ID) and must implement by November 11, 2015. The Consumer Price Index (CPI) for DL fees increased and must implement by January 1, 2016. AB 1733 requires the Department to issue an original or replacement ID without a fee to any person who can verify their status as a homeless person, child, or youth, and must implement by January 1, 2016.

**Change Summary**

Reportable changes occurring since the approval of the AKTE FSR are summarized in the table below.

<b>Reason for Proposed Change</b>	<b>Reason for Deviation</b>
<b>Scope Deviation</b>	<ul style="list-style-type: none"> <li>No deviation from the scope defined in section 6.5.11 of the FSR.</li> </ul>
<b>Schedule Deviation</b>	<ul style="list-style-type: none"> <li>The IFB review processes changed, separating some of the concurrent activities and increasing the review timeline, thus pushing out the date for the contract award.</li> <li>The project experienced delays in procuring a new Java consultant. A new Java consultant contract was awarded on November 20, 2014; however, on December 11, 2014, the procurement was cancelled due to the consultant not meeting qualification requirements in the contract; therefore an updated Request for Offer was released the same day. A new contract was awarded to Global Touchpoints on January 26, 2015.</li> <li>High priority projects such as CDLIS modernization, VCH, and AB60 pulled resources from the AKTE Project. This caused the delay of coding changes needed for Enterprise Applications Services Environment (EASE) to work with the AKTE system.</li> </ul>
<b>Cost Deviation</b>	<ul style="list-style-type: none"> <li>One-time costs were shifted to the appropriate fiscal year in which they occur.</li> <li>Data Center service charges are higher than anticipated.</li> <li>Resources and services have been added to the project to assist, add value, and help assure the success of the project.</li> <li>The cost for project resources has increased.</li> </ul>

### 3.4 Proposed Project Change

Although the original implementation plan in the FSR did not include a phased rollout, the implementation of AB60, CDLIS modernization, and VCH required the project team to reassess the implementation strategy of the AKTE project. The strategy was changed to implement the solution in the following phases to facilitate the implementation of AB60, CDLIS changes, VCH and AKTE:

- Phase I – original AMCKTS application with high priority AKTE requirements for applicant usability (Stockton Plus) and installation of the software and hardware statewide in preparation of AB60.
- Phase II – Stockton Plus, high priority requirements not previously included, and the installation of the fingerprint authentication software and hardware statewide. This will allow resources to implement CDLIS modernization and VCH as mandated by state and federal statute.
- Phase III – incorporates the moderate to low requirements for technician usability, allows for English and 31 additional foreign languages, an audio component, and provides the functionality to be incorporated in other areas of the licensing processes such as Driver Safety and Occupational Licensing. Once this third phase is completed, AKTE will be fully implemented.

The proposed revised schedule incorporates the activities undertaken to ensure a procurement that provides the highest quality AKTE system at the lowest possible cost to the State, and helps DMV to successfully meet the objectives of the project.

DMV resources and associated costs detailed in this SPR are required throughout the AKTE project.

The project objective dates from the FSR have been changed to reflect the proposed schedule.

#### **Proposed Scope Change**

This SPR is not proposing any change to the project scope.

Although the project is being implemented in phases to facilitate AB60, CDLIS changes and VCH, it remains within the scope defined in the FSR.

**Proposed Schedule Change**

The project schedule is being extended 12 months from the original FSR stated completion date of March 11, 2015, to a new completion date of March 25, 2016.

<b>Factor</b>	<b>Start</b>	<b>End</b>	<b>Approximate Time Impact (Months)</b>
Resources were redirected to higher priority tasks (AB60, CDLIS modernization, VCH) which impacted the schedule causing implementation delays.	10/01/14	01/01/15	3 months
The timeline for the Java consultant contract pushed the schedule out from October 29, 2014 to January 26, 2015 as a result of the AKTE Java consultant solicitation timeline	10/29/14	01/26/15	3 months
Competing projects that have a higher priority (AB60, CDLIS modernization, VCH) are delaying system testing.	08/01/15	11/01/15	3 months
The Java consultant contract included a 90-day no-defects period.	12/24/15	03/24/16	3 months

**Proposed Costing Change**

One-time IT costs	Last Approved	Proposed Alt	Difference	Reason for Change
Staff (Salaries & Benefits)	\$568,076	\$1,169,972	\$601,896	An error was detected in the original FSR calculation for the one-time staff hours. Proposed Alt costs include actual and projected hours for the extended schedule as well as updated salaries and benefits.
Hardware Purchase	\$5,279,483	\$4,376,598	-\$902,885	The bids came in less than originally anticipated. The terminals and USB fingerprint devices cost less than the original estimate.
Software Purchase/License	\$21,750	\$301,133	\$279,383	Purchasing software separate from the terminals was not included in the original estimates.
Telecommunications	\$824,500	\$473,201	-\$351,299	The number of switches and cables were overestimated in the original FSR.
Software Customization	\$350,000	\$864,955	\$514,955	A phased approach due to mandated projects necessitated multiple software contracts in order to implement as described in section 3.4.
Other Contract Services	\$920,400	\$1,181,651	\$261,251	The FSR included costs for site surveys, however, it was determined that DMV staff would do the surveying.
Data Center Services	\$5,000	\$14,240	\$9,240	Data Center setup costs were higher than anticipated.
Agency Facilities	\$668,800	\$1,361,396	\$692,596	Modifications to facilities were not included in the original FSR estimates. Data and electrical cabling was underestimated.
Other	\$70,625	\$75,817	\$5,192	Cost for locks was underestimated in the original FSR.
<b>Total One-time IT Costs</b>	<b>\$8,708,634</b>	<b>\$9,818,963</b>	<b>\$1,110,329</b>	

Continuing IT Costs				
	Last Approved	Proposed Alt	Difference	Reason for Change
Staff (Salaries & Benefits)	\$327,657	\$117,029	-\$210,628	Projected hours for maintenance and operations were lower than anticipated in the FSR.
Hardware Lease/Maintenance	\$597,904	\$0	-\$597,904	Hardware maintenance is included in the cost of the hardware.
Data Center Services	\$134,400	\$1,209,183	\$1,074,783	Data Center Services Costs were higher than anticipated.
<b>Total Continuing IT Costs</b>	<b>\$1,059,961</b>	<b>\$1,456,185</b>	<b>\$396,224</b>	

**3.4.1 Accessibility**

The system will meet Government Code 11135 and Section 508 requirements. The system will provide acceptable accessibility and accommodate individuals as follows:

- The system will incorporate a visual component that will allow enlargement of screen content.
- The system will include an audio component.
- The testing areas in the FOs will have Americans with Disabilities Act (ADA) compliant test stations.

### 3.4.2 *Impact of Proposed Change on the Project*

#### **Impact of Phased Approach:**

Implementing the Stockton Plus application for AB60 allowed the DMV to facilitate the testing of new applicants using the automated system. The early/phased implementation approach, coupled with the delayed implementation schedule, increased the overall Data Center Services charges by approximately \$375,000. The early phased approach also required testing resources and an additional \$35,000 contract to deploy fingerprint devices before the full implementation of AKTE.

#### **Impact of Proposed Schedule Change:**

The schedule has been adjusted to account for the unplanned delays in continuing the facility, network and telecom upgrades, Telecommunications obtaining and assigning IP addresses, and DMV resources working on other high priority projects. An extension of the implementation timeframe allows DMV to meet the critical path tasks (external review) to ensure the touchscreen terminals meet the needs of the AKTE project.

These alterations will result in the project schedule slipping in excess of the 10% threshold.

#### **Impact of Proposed Costing Change:**

There will be minimal impact as the additional total cost of \$1,506,553 will be funded through the departmental budget. The project funding plan reflects the one-time costs covered through grant funding and the remaining costs through redirected departmental funds.

### 3.4.3 *Feasible Alternatives Considered*

The original project alternatives as stated in the AKTE FSR remain the same.

### 3.4.4 *Implementation Plan*

The implementation plan and project schedule are revised to reflect the additional time necessary to acquire the consultant resources, prepare the IFB, select a vendor, the implementation of AB60, CDLIS modernization, and VCH and to fully implement the solution. Changes to resources, contracted services, procurements, and phase roll out are reflected in the revised schedule and implementation plan.

## 4.0 UPDATED PROJECT MANAGEMENT PLAN

### 4.1 Project Staff Qualifications

#### **Project Manager Level: Two (2)**

**Experience:** Three (3) to five (5) years as a key team member on a medium or large IT project or as a Project Manager on small or medium IT project. Technical experience commensurate with the proposed technology.

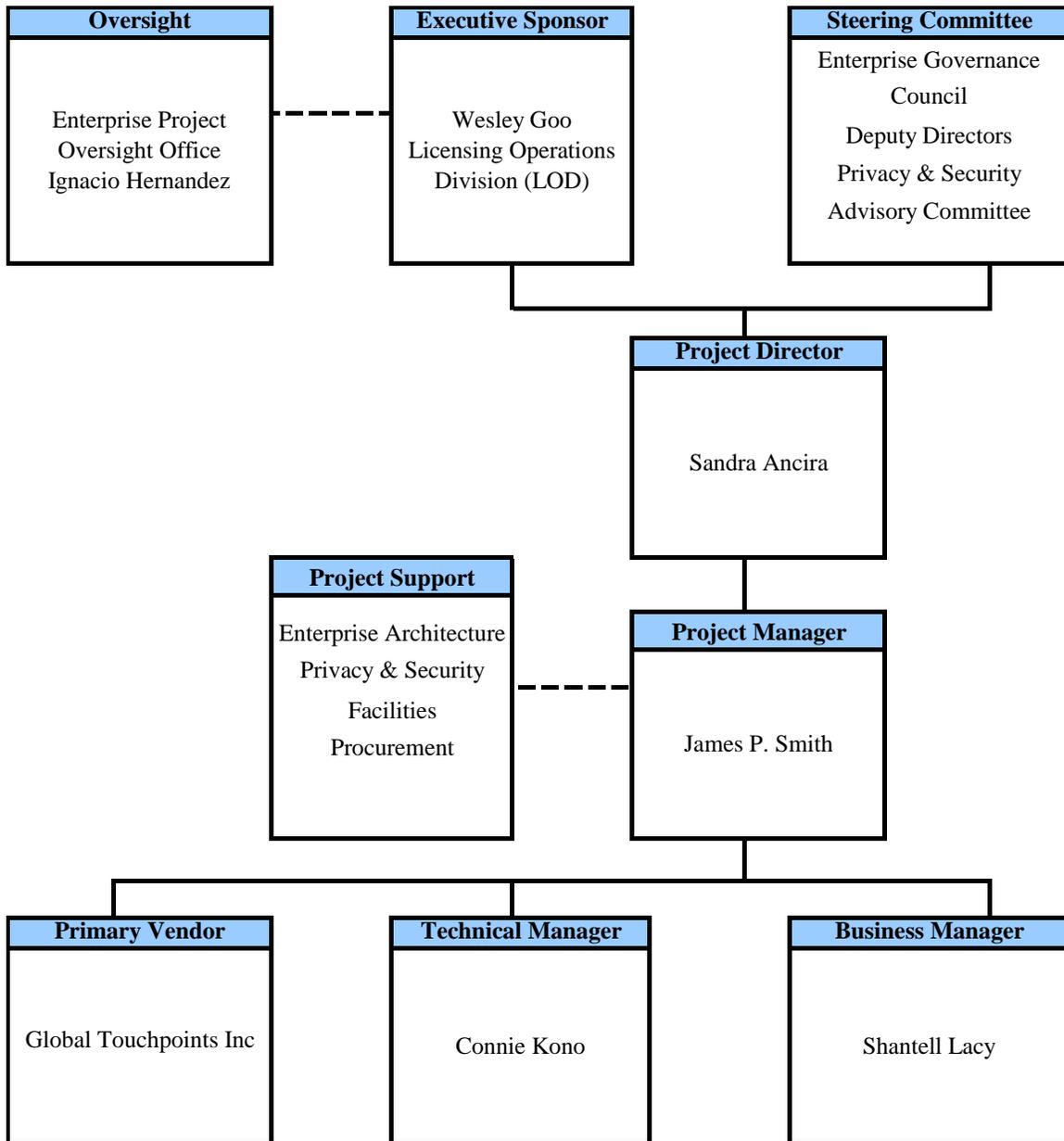
**Professional Knowledge:** Strong working knowledge of the California Project Management Methodology (CA-PMM), department's methodology; and the System Development Life Cycle (SDLC). Familiar with California State Budgeting, Procurement and Contracting processes.

The DMV Enterprise Project and Portfolio Management (EPPM) Section has assigned James P. Smith, Senior Information Systems Analyst, as the Project Manager. Mr. Smith has thirteen (13) years of project management knowledge and experience and is currently working towards his California Qualified (Cal-Q) certification. Only the Portfolio Management course is outstanding, and he is scheduled to attend the class in September 2015.

### 4.2 Project Management Methodology

The Project Management Methodology used by DMV follows the Department of Technology California Project Management Methodology (CA-PMM) guidelines as stipulated in Statewide Information Management Manual (SIMM), Section 17.

### 4.3 Project Organization



#### 4.4 Project Priorities

All projects have four core components that must be managed: Schedule, Scope, Resources, and Quality. Each of these is interrelated – a change in any one factor impacts the others. The rating for this project is shown below.

Schedule	Scope	Resources	Quality
1	2	4	3

- 1 = Most important/constrained factor – the factor cannot be changed.
- 2 = Next most important factor – the factor is somewhat flexible to the project circumstance.
- 3 = Factor can be adjusted.
- 4 = Most flexible of the four factors.

#### 4.5 Project Plan

##### 4.5.1 Project Scope

###### In Scope

The following items are within the scope of the project:

1. Implementation of an integrated driver knowledge testing system in 203 FOs, and Headquarters. The system will include a unique test for each applicant and Perceptual Response Time testing capability.
2. Improved anti-fraud measures which will include biometric and barcode logon for all knowledge testing terminals, and automated driver record updating of the test results.
3. Provide the capability to expand the knowledge testing system to allow for new examinations as needed using separate question pools, and alternative forms of electronic data transmission.

###### Out of Scope

The following items are **not** within the scope of the project:

1. Automated knowledge testing at third party locations, such as schools, auto clubs, and driving schools.
2. Eliminate all other forms of knowledge testing. Written tests will still be available in each language, audio tests, person to person tests, etc. will be available to any applicant that needs or desires a non-automated test.

#### **4.5.2 Project Assumptions**

The following assumptions are made for the AKTE project:

- The SPR will be approved on a timely basis.
- All funding will be available to complete the planned expenditures.
- Functional requirements will not change substantially during project development.
- Non-Mandated, higher-priority issues will not impact the schedule or resource needs.
- Executive sponsorship will continue through project completion.
- Qualified DMV program and technical staff will be available as needed to support and participate in design, configuration, testing, training, and implementation of the selected solution.
- Suppliers, vendors, experts, and State staff will perform their assignments related to the project in a competent and timely manner as scheduled.
- Issues will be resolved and risks mitigated on a timely basis.
- All equipment and software provided will comply with DMV standards.
- The FOs will be adequately staffed and trained in the use of the Automated Knowledge Testing System.
- All FOs will have integrated driver knowledge testing by March 2016.
- The testing solution deters applicant and employee fraud.
- Each automated knowledge test will be unique and randomized.
- Minimum to moderate office modifications will be required.
- Partial project funding will be received from the federal government in the form of grants.

#### **4.5.3 Project Phasing**

The AKTE project is being implemented in three (3) phases:

- Phase I – Stockton Plus application for AB60;
- Phase II – Enhanced Stockton Plus application for CDLIS and VCH;
- Phase III – Full AKTE application in English and 31 additional languages with audio component and fingerprint authentication/verification.

The AKTE project follows the defined SDLC project phases. DMV and the Global Touchpoints vendor have been working closely and collaboratively to make updates to the project plans based on best practices and experience.

This project will follow the Waterfall Model in multiple phases:

- Procurement Phase – Develop Request for Proposal (RFP); Respond to bidder questions and develop addendums if needed.
- Analysis Phase – Develop Business Requirements Document, System Requirements Specifications and Use Cases; Onboard vendor; Review BRD with vendor; Vendor and DMV site surveys; Sync schedule with vendor; Develop Test strategy, Security and Privacy assessments.
- Design Phase – Develop detailed design documents, Develop Implementation and Test plans, Security and Privacy assessments.
- Build Phase – build and unit test Java Consultant Full Expansion Build; build and unit test EASE Frontend and Backend Full Expansion 4.0; build MorphoTrust Full Expansion 4.0; build IDM Full Expansion 4.0; perform Foreign Language Consultant Translation and Validation; build Modular System Furniture (MSF) in offices; install cabling and electrical, network switches, network infrastructure upgrade dependency, servers and databases; assign IP addresses; build Full Expansion Application Rollout Schedule; identify Fingerprint Device Rollout Schedule; Fingerprint Device Build and Installation; Training Plans; IDM Test Cases; Privacy and Security Assessment Update in Build; document Go No-Go Build and Unit Test.
- Test Phase – Execute test plans (Integration, System, Regression, Penetration, Vulnerability, Performance/Load, User Acceptance, Security, and Go No Go Test), Security and Privacy assessments.
- Implementation Phases:
  - Communication Plan Deployment Full Expansion
  - Security Assessment Full Expansion Implementation
  - Java Consultant Assist With Full Expansion Deployment
  - Install Fingerprint Devices and Remove Barcode Readers

#### **4.5.4 Project Roles and Responsibilities**

The Project Management Roles and Responsibilities used by DMV follows the Department of Technology CA-PMM guidelines as stipulated in SIMM, Section 17.

ROLES AND RESPONSIBILITIES	RESOURCES
<p><b>1. Executive Sponsor</b></p> <ul style="list-style-type: none"> <li>• Approves business argument for project existence.</li> <li>• Shares the vision for the project.</li> <li>• Approves project scope and objectives, schedule and budget.</li> <li>• Ensures funding exists for the project.</li> <li>• Assigns and supports the Project Manager.</li> <li>• Keeps the Project Manager informed of departmental or project related issues affecting the development of the project.</li> <li>• Serves as key business decision-maker on the project.</li> <li>• Helps identify project issues and risks. Resolves significant project issues.</li> <li>• Reviews project issues and risk logs; reviews and approves medium and high-level risk mitigation.</li> <li>• Communicates project status and outstanding issues to the Steering Committee, executive staff, and internal and external stakeholders.</li> <li>• Communicates project status to stakeholders.</li> <li>• Attends and participates in project briefings and steering committee meetings.</li> <li>• Manages communications and relationships with external organizations.</li> <li>• Approves the Project Charter, Communication Plan, Staff Management Plan, Change Control Management Plan, Risks/Issues Management Plan and other project management documents/plans.</li> <li>• Approves Change Request for scope, budget, benefits, methodology, and implementation. Provides tie-breaking vote as needed.</li> <li>• Ensures the project is managed effectively and efficiently using approved project management policies and practices, and is implemented as described in the Project Charter.</li> <li>• Understands project complexity.</li> </ul>	<p>DMV</p>
<p><b>2. Project Manager</b></p> <ul style="list-style-type: none"> <li>• Works closely with the Project Sponsor to ensure the project stays on schedule, within scope, and budget.</li> <li>• Ensures project activities comply with regulatory, control agencies' and DMV policies and standards.</li> </ul>	<p>DMV</p>

ROLES AND RESPONSIBILITIES	RESOURCES
<ul style="list-style-type: none"> <li>• Provides direction and mentoring to the Project Leader and Team Members.</li> <li>• Assists in development of and approves the Project Charter, Communication Plan, Staff Management Plan, Change Control Management Plan, Risks/Issues Management</li> <li>• Approves Change Requests for Key Milestone or Deliverable Schedule changes.</li> <li>• Participates in the change control process and reports possible changes to the Change Control Manager.</li> <li>• Provides first level of governance for resolution of changes.</li> <li>• Assigns knowledgeable Project Team members and oversees minimum qualifications for team members.</li> <li>• Facilitates active and timely participation of program and technical staff for the duration of the project.</li> <li>• Helps coordinate work efforts that impact the project.</li> <li>• Coordinates and oversees project activities and maintains control over the project by measuring performance and taking corrective action.</li> <li>• Reviews and approves product and project deliverables throughout the project.</li> <li>• Ensures requirements traceability is performed through all lifecycle phases.</li> <li>• Communicates project status to stakeholders.</li> <li>• Attends and participates in project briefings and steering committee meetings.</li> <li>• Attends project team meetings.</li> <li>• Serves as liaison between contractors, consultants, vendors and stakeholders.</li> <li>• Provides first line of issue resolution.</li> <li>• Participates in risk brainstorming sessions and ensures owners are assigned for risks/issue; reports high-level issues and risks to the Project Sponsor.</li> <li>• Provides tie-breaking vote, as needed, for resolution of risks/issues, changes.</li> <li>• Institutes controls to determine adherence to the project work plan and schedule.</li> <li>• Understands, reviews, and adheres to all formal project management plans, policies and practices, roles and responsibilities, and expectations for this project, and disseminates information appropriately and efficiently.</li> <li>• Understands and adheres to project confidentiality and conflict of interest expectations.</li> </ul>	

ROLES AND RESPONSIBILITIES	RESOURCES
<p><b>3. Project Director</b></p> <ul style="list-style-type: none"> <li>• Conveys needed information between the Project Manager and team members.</li> <li>• Schedules and leads meetings and ensures they are productive and interactive.</li> <li>• Communicates project status to stakeholders.</li> <li>• Attends and participates in project briefings and steering committee meetings.</li> <li>• Fosters teamwork among team members.</li> <li>• Orientates new members to the project, roles and responsibilities and expectations, and assists in determining staff resources. • Plans schedules and coordinates activities of staff resources.</li> <li>• Ensures team members complete project time sheets.</li> <li>• Ensures adherence to business requirements. Manages and tracks deliverables.</li> <li>• Oversees the development of and adherence to project plans roles and responsibilities, and project expectations.</li> <li>• Develops project management-related deliverables (e.g., weekly and monthly project status reports and project plan updates).</li> <li>• Participates in the change control process and reports possible changes to the Change Control Manager.</li> <li>• Oversees development of the Statements of Work for consultants and coordination with DMV Procurement.</li> <li>• Administers consultant contracts.</li> <li>• Works closely with the Project Manager to respond to and address issues reported in oversight documents.</li> <li>• Assists the Change Owner in determining the impact to the project and/or developing implementation plans.</li> <li>• Develops and submits Special Project Report(s), if needed.</li> <li>• Assists the Project Manager to resolve issues.</li> <li>• Coordinates active and timely participation of program staff for the duration of the project.</li> <li>• Understands, reviews, and adheres to all formal project management plans, roles and responsibilities, and expectations or this project; and disseminates information appropriately and efficiently.</li> <li>• Understands and adheres to project confidentiality and conflict of interest expectations.</li> </ul>	<p>DMV</p>

ROLES AND RESPONSIBILITIES	RESOURCES
<p><b>4. Steering Committee Member(s)</b></p> <ul style="list-style-type: none"> <li>• Confirms project goals and scope.</li> <li>• Provides appropriate staff and/or subject matter experts to the project, as required.</li> <li>• Understands, reviews, and adheres to all formal project management plans, roles and responsibilities, and expectations for this project; and disseminates information appropriately and efficiently.</li> <li>• Understands and adheres to project confidentiality and conflict of interest expectations.</li> <li>• Resolves issues and disputes regarding the scope, cost, schedule, and quality of the project.</li> <li>• Resolves project conflicts and disputes, reconciling differences of opinion and approach.</li> <li>• Actively participates in the decision-making process for key issues, high risks elevated from the project team.</li> <li>• Elevates key project risks, issues, changes and decisions to the Enterprise Governance Council whose impact or control extends beyond the project.</li> <li>• Monitors and reviews project health, status and progress at regularly scheduled meetings.</li> <li>• Controls project scope as emergent issues force changes to be considered ensuring that the scope aligns with the agreed business requirements of project sponsor and key stakeholder groups as defined in the project charter.</li> <li>• Reviews phase entry and exit criteria and approves go/no go decisions</li> <li>• Provides formal acceptance of project deliverables where appropriate.</li> <li>• Provides project level governance and overall guidance on strategic direction.</li> <li>• Participates in project status briefings.</li> <li>• Communicates project status to stakeholders as needed.</li> <li>• Addresses cross-divisional policy issues.</li> <li>• Addresses barriers to project success.</li> <li>• Ensures that appropriate funding and staff resources are allocated throughout the project.</li> </ul>	<p>DMV</p>

ROLES AND RESPONSIBILITIES	RESOURCES
<p><b>5. Enterprise Governance Council</b></p>	
<ul style="list-style-type: none"> <li>• Influences and intervenes on a project’s issues and risks.</li> <li>• Provides project support and assists with removal of project barriers.</li> <li>• Responds to escalated issues from the Steering Committee.</li> </ul>	<p>DMV</p>
<p><b>6. Technical Manager</b></p>	
<ul style="list-style-type: none"> <li>• Coordinates Information Services Division (ISD) technical activities to ensure that the vision for the front-end of the site interacts with the underlying systems to meet stakeholder needs.</li> <li>• Works closely with the Subject Matter Experts to coordinate application design and development.</li> <li>• Leads the ISD Working Group in review and analysis of the business rules.</li> <li>• Coordinates development of technical specifications and specification reviews.</li> <li>• Ensure the required client functionality is adequately defined and is being successfully built into the system.</li> <li>• Ensure formal deliverable inspections are performed, beginning with requirement specifications, including code walkthroughs.</li> <li>• Coordinates resolution of technical issues and decision resolution with the ISD Working Group.</li> <li>• Coordinates corrections and modifications for database issues.</li> <li>• Oversees the interface applications with the new business rules.</li> <li>• Assists in monitoring vendor activities and production of deliverables.</li> <li>• Ensures ISD co-leads for testing are assigned and monitors activities.</li> <li>• Coordinates ISD resources to fulfill requested team roles and responsibilities.</li> <li>• Works in conjunction with Project Management to ensure project milestones are met.</li> <li>• Provides technical leadership to technical resources and customers to meet project deadlines and ensure project objectives are met. Manages and tracks deliverables.</li> <li>• Consults and mentors technical resources concerning methods, procedures, and standards to be used during design, development, and unit testing phases of system development projects.</li> </ul>	<p>DMV</p>

ROLES AND RESPONSIBILITIES	RESOURCES
<ul style="list-style-type: none"> <li>• Communicates issues and status information to the Project Management concerning system development activities.</li> <li>• Understands and adheres to all formal project management plans, roles and responsibilities, and expectations for this project; and disseminates information appropriately and efficiently.</li> <li>• Understands and adheres to project confidentiality and conflict of interest expectations. Oversees the software configuration management processes.</li> <li>• Defines and establish software versioning criteria.</li> <li>• Oversees the deployment of software to respective environments.</li> </ul>	
<p><b>7. Business Manager</b></p>	
<ul style="list-style-type: none"> <li>• Advises the Project Sponsor, Project Manager and Project Leader to ensure the project stays on schedule, in scope, and within budget.</li> <li>• Serves as divisional subject matter expert, advises and consults with the Project Leadership Team in activities and/or decisions that are critical to the project’s success.</li> <li>• Advises and consults with the Project Leadership Team on significant issues resolutions and participates in scope change decisions.</li> <li>• Reviews and approves all project documentation to ensure project success (i.e., Project Charter, Communication Plan, Staff Management Plan, Change Control Management Plan, Risks/Issues Management Plan, Special Project Report and other project management documents/plans).</li> <li>• Advises and consults with the Project Leadership Team in the escalation of high-level issues and risks to the Project Sponsor and/or other stakeholders, as necessary.</li> <li>• Participates in risk identification and resolution.</li> <li>• Approves and consults with the Project Leadership Team in addressing cross-divisional policy issues.</li> <li>• Advises and consults with the Project Leadership Team in the identification and/or assignment of knowledgeable Project Team members for issues resolutions.</li> <li>• Reviews and advises on Change Requests for Key Milestone or Deliverable Schedule changes.</li> <li>• Reviews, advises and approves Statements of Work for consultants and coordination with DMV Procurement.</li> <li>• Advises the Project Leadership Team in the coordination and oversight of project activities to ensure minimal impact to the project’s success.</li> </ul>	<p>DMV</p>

ROLES AND RESPONSIBILITIES	RESOURCES
<ul style="list-style-type: none"> <li>• Attends and participates in Steering Committee meetings.</li> <li>• Serves as liaison between contractors, consultants, vendors and stakeholders, as necessary.</li> <li>• Advises and consults with the Project Leadership Team in instituting controls to determine adherence to the project work plan and schedule.</li> <li>• Understands, reviews, and adheres to all formal project management plans, roles and responsibilities, and expectations for this project; and disseminates information appropriately and efficiently.</li> <li>• Understands and adheres to project confidentiality and conflict of interest expectations.</li> <li>• Communicates project status to stakeholders, as needed.</li> <li>• Attends project briefings and meetings, as necessary.</li> </ul>	
<p><b>8. Project Management Office Representative</b></p>	
<ul style="list-style-type: none"> <li>• Serves as an internal expert to provide project management processes, templates, and best practices to the project leadership in activities that are critical to the project’s success.</li> <li>• Notifies project leadership of other departmental project management related policies and/or contacts.</li> <li>• Develops or assists in developing project management documents and obtaining approvals.</li> <li>• Provides consultative services to project leadership to ensure the project approach makes use of established industry and DMV best practices.</li> <li>• Attends status meetings and reviews status reports to glean possible issues, risks, or scope changes.</li> <li>• Provides objective scrutiny of project issues that may impact project success and elevates any concerns through the proper chain of project leadership.</li> <li>• Attends project meetings and reviews status reports to glean possible issues, risks or scope changes.</li> <li>• Understands and adheres to all formal project management plans, roles and responsibilities and expectations for this project, and disseminates information appropriately and efficiently.</li> <li>• Acts as the Risk and Issue Manager, Schedule Manager, and Scope Manager.</li> <li>• Understands and adheres to project confidentiality and conflict of interest expectations.</li> </ul>	<p>DMV</p>

ROLES AND RESPONSIBILITIES	RESOURCES
<p><b>9. Independent Verification and Validation</b></p> <ul style="list-style-type: none"> <li>• Serves as an independent expert that provides oversight of project activities that are critical to the project’s success.</li> <li>• Evaluates the project to ensure that it is following a structured and defined approach.</li> <li>• Reviews deliverables to ensure that they are aligned with defined standards, DMVs needs, and contractual requirements.</li> <li>• Prepares periodic project assessments and develops Department of Technology Review, Oversight, and Security progress reports in coordination with AKTE Project Management.</li> <li>• Completes assignments in a timely manner.</li> <li>• Understands and adheres to all formal project management plans, roles and responsibilities, and expectations for this project; and disseminates information appropriately and efficiently.</li> <li>• Understands and adheres to project confidentiality and conflict of interest expectations.</li> </ul>	<p>DMV</p>
<p><b>10. Independent Project Oversight Consultation</b></p> <ul style="list-style-type: none"> <li>• Serves as an independent expert to provide project management oversight and assistance to the project manager in activities that are critical to the project’s success.</li> <li>• Provides consultative services to project leadership to ensure the project approach makes use of established best practices and mitigates project risks.</li> <li>• Reviews deliverables to ensure that they are aligned with defined standards, DMVs needs, and contractual requirements.</li> <li>• Assists in the preparation of periodic project assessments.</li> <li>• Completes assignments in a timely manner.</li> <li>• Understands and adheres to all formal project management plans, roles and responsibilities, and expectations for this project; and disseminates information appropriately and efficiently.</li> <li>• Understands and adheres to project confidentiality and conflict of interest expectations.</li> <li>• Prepares monthly Independent Project Oversight Reports (IPORs) following the IT Project Oversight Framework and submits these reports to the Office of the Chief Information Officer.</li> </ul>	<p>DMV</p>

ROLES AND RESPONSIBILITIES	RESOURCES
<p><b>11. External Advisory Groups</b></p>	
<ul style="list-style-type: none"> <li>• Provides expertise to DMV to address areas of concern.</li> <li>• Advocates for and supports the project.</li> </ul>	<p>Department of Technology OISPP Transportation Agency DGS</p>
<p><b>12. Core Team Member(s) and Project Support Team Members</b></p>	
<ul style="list-style-type: none"> <li>• Participates in the management process by providing expertise, perspective and experience to various aspects of the project. Asks for or offers project support when needed.</li> <li>• Leads working groups in review and analysis of business processes and business rules.</li> <li>• Participates in issue and risk sessions/status meetings, assists in identifying and reporting issues and risks, assist owners in identifying response plans and assigning risk levels.</li> <li>• Acts as risk/issue owners and/or subject matter experts.</li> <li>• Reviews project status, performance against baseline, issues and risks to help identify significant changes to the project.</li> <li>• Assigns change owners and assists in determining significance of proposed changes and evaluating impact of change to the project.</li> <li>• Reviews status of open changes, assists in developing implementation plans for significant changes, and monitors change until implemented.</li> <li>• Participates in change control process.</li> <li>• Review change requests and provide feedback.</li> <li>• Completes assignments in a timely manner; develops project team deliverables.</li> <li>• Completes time sheets and reports per the project schedule.</li> <li>• Attends all project meetings, or makes other suitable arrangements.</li> <li>• Understands and adheres to all formal project management plans, roles and responsibilities, and expectations for this project; and disseminates information appropriately and efficiently.</li> <li>• Understands and adheres to project confidentiality and conflict of interest expectations.</li> </ul>	<p>DMV</p>

ROLES AND RESPONSIBILITIES	RESOURCES
<p><b>13. Design Team (Includes SMEs, PPO, ISO)</b></p> <ul style="list-style-type: none"> <li>• Participates in project initiation, design, and testing sessions.</li> <li>• Resolves design and specification issues.</li> <li>• Defines business processes and business rules.</li> <li>• Defines privacy and information security requirements and rules to ensure protection of constituent privacy.</li> <li>• Participates in joint application design sessions.</li> <li>• Assures adherence to privacy and information security standards such as the Federal Information Security Management Act (FISMA).</li> <li>• Understands and adheres to all formal project management plans, roles and responsibilities, and expectations for this project; and disseminates information appropriately and efficiently.</li> <li>• Understands and adheres to project confidentiality and conflict of interest expectations.</li> </ul>	<p>DMV Contractor</p>
<p><b>14. Integration Team (Includes SMEs)</b></p> <ul style="list-style-type: none"> <li>• Installs the AKTE application and all related hardware and software according to agreed-upon requirements and specifications.</li> <li>• Participates in initiation, design, development, and testing.</li> <li>• Conducts prototyping sessions with stakeholders.</li> <li>• Leads in testing the AKTE system.</li> <li>• Conducts unit, system, integration, performance, regression, and parallel tests.</li> <li>• Facilitates user acceptance testing.</li> <li>• Conducts risk analyses and recommends acceptable level of risks to the project management team.</li> <li>• Performs information security reviews to ensure applicable safeguards are in place and operational.</li> <li>• Conducts post-implementation verification of the system.</li> <li>• Prepares system documentation.</li> <li>• Provides ongoing support for the AKTE system.</li> </ul>	<p>DMV Contractor</p>

ROLES AND RESPONSIBILITIES	RESOURCES
<ul style="list-style-type: none"> <li>• Works with the change management team and contractor to develop user manuals, address user questions and issues (e.g., help desk), develop training manuals, and conduct training sessions.</li> <li>• Understands and adheres to all formal project management plans, roles and responsibilities, and expectations for this project; and disseminates information appropriately and efficiently.</li> <li>• Understands and adheres to project confidentiality and conflict of interest expectations.</li> </ul>	
<p><b>15. Organizational Change Management Team</b></p>	
<ul style="list-style-type: none"> <li>• Participates in project activities.</li> <li>• Develops project deliverables, especially the change management plan and the communication management plan.</li> <li>• Develops and manages, along with the project manager, project change management processes, including requests for changes to project scope, budget, and schedule.</li> <li>• Executes project-related organizational change management and communication initiatives.</li> <li>• Conducts organizational change readiness assessments as needed for the duration of the project.</li> <li>• Assists the contractor with development of the employee training plan.</li> <li>• Understands and adheres to all formal project management plans, roles and responsibilities, and expectations for this project; and disseminates information appropriately and efficiently.</li> <li>• Understands and adheres to project confidentiality and conflict of interest expectations.</li> </ul>	<p>DMV Contractor</p>

### 4.5.5 Project Schedule

Schedule dates are predicated on what is known to date, the impact of future legislation, specifically bills with associated fees, could have a critical impact to the schedule.

Project Schedule				
Task	FSR Start Date	FSR Completion Date	SPR Start Date	SPR Completion Date
<b>Automated Knowledge Testing Expansion</b>				
Initiation	7/2/2012	7/13/2012	7/2/2012	11/14/2012
Project Approval	7/1/2012	7/1/2012	7/2/2012	9/19/2012
Approved Project Charter	N/A	N/A	11/14/2012	11/14/2012
Planning	7/2/2012	9/14/2012	10/30/2012	4/29/2015
Award Contract	7/23/2012	9/14/2012	11/26/2012	1/23/2015
Hardware Procurements complete	N/A	N/A	4/29/2015	4/29/2015
Execution and Control	9/17/2012	1/23/2015	7/2/2012	3/25/2016
Analysis	9/17/2012	3/1/2013	7/2/2012	4/10/2015
Compile and Document Requirements	9/17/2012	3/1/2013	6/6/2014	4/10/2015
Design	11/26/2012	4/5/2013	3/10/2014	7/2/2015
Create System Design Documents	11/26/2012	4/5/2013	3/10/2014	7/2/2015
Build	4/8/2013	7/12/2013	5/28/2013	12/31/2015
Facilities Build	N/A	N/A	5/28/2013	4/30/2015
Build Solution	4/8/2013	7/12/2013	4/2/2015	10/31/2015
Test	7/15/2013	9/13/2013	8/3/2015	12/23/2015
Test Results Approved	7/15/2013	9/13/2013	12/23/2015	12/23/2015
Implementation	9/16/2013	3/11/2015	12/24/2015	3/25/2016
Training	9/16/2013	3/2/2015	11/4/2015	3/17/2016
Stage 1 Rollout	11/12/2013	5/26/2014	12/24/2015	1/15/2016
Stage 2 Rollout	5/27/2014	10/20/2014	1/19/2016	2/25/2016
Stage 3 Rollout	10/21/2014	3/11/2015	2/29/2016	3/25/2016
Close-out	3/12/2015	9/12/2016	3/25/2016	3/27/2017
Conduct Post-Implementation Lessons Learned	3/12/2015	3/26/2015	3/28/2016	4/11/2016
Conduct Evaluation & Write Post-Implementation Evaluation Report (PIER)	3/12/2015	3/11/2016	3/25/2016	3/27/2017
Finalize PIER	3/14/2016	9/12/2016	3/27/2017	9/27/2017

## **4.6 Project Monitoring and Oversight**

### **4.6.1 Project Monitoring**

DMV follows the standard requirements and the CA-PMM status tracking and reporting requirements for project deliverables, schedule and budget.

Based on the Criticality/Risk Rating, the project is considered medium risk and the project status reports will be submitted to the California Department of Technology quarterly.

### **4.6.2 Oversight**

An independent review and analysis will be conducted to determine if the project is on track to be completed within the estimated schedule and cost, and compliance with the California Department of Technology CA-PMM and other industry standard project management practices, such as Institute of Electrical and Electronics Engineers (IEEE) and the Project Management Body of Knowledge (PMBOK). Project oversight will identify and quantify any issues and risks affecting these project components.

Submission of the Independent Project Oversight Report (IPOR) will be on a monthly basis for a project classified by California Department of Technology as high criticality and on a quarterly basis for a project classified as medium criticality. Independent Validation and Verification (IV&V) Reports may be submitted in addition to the IPOR.

IT project oversight is assessed on a project-by-project basis by the Department of Technology Program Management Office to determine the oversight resources required for each IT project.

## **4.7 Project Quality**

In conjunction with the steps outlined in the Project Monitoring section above, the project team will:

1. Review the status of tasks, milestones and deliverables at weekly status meetings. In the event of unanticipated tasks or delays in return of required information from outside groups or agencies, outline contingency plans will be done to keep project on track.
2. Following completion of a milestone or deliverable, conduct a review to assure adherence to the identified business needs, objectives, and scope, including meeting any measurable requirements.

#### **4.8 Change Management**

DMV will adhere to the standards created by the Enterprise Project and Portfolio Management (EPPM) Office, the CA-PMM, and the California Department of Technology IT Project Oversight Framework. Each significant change that impacts the scope, project definition, or specifications will be identified, evaluated, and tracked throughout closure of the project.

#### **4.9 Authorization Required**

The project requires the following to review and approve this SPR:

1. DMV Project Sponsor (initial)
2. DMV Information Security Officer (signature)
3. DMV Enterprise Architect (signature)
4. DMV CIO (signature)
5. DMV Budget Officer (signature)
6. DMV Director (signature)
7. Transportation Agency Chief Information Officer (signature)
8. Transportation Agency Secretary (signature)
9. California Department of Technology (approval memo)

#### **5.0 UPDATED RISK MANAGEMENT PLAN**

The Risk Management Plan will adhere to DMV standards created by the EPPM Office, the CA-PMM, and the Technology Agency IT Project Oversight Framework.

The Risk Management Plan includes:

- Risk Identification Process
- Risk Escalation Process
- Probability and Impact Identification
- Plans for monitoring high and medium level risks
- Approach to measuring the effectiveness of the risk response plans

### 5.1 Risk Register

#	Risks	Probability (1-5)	Potential Impact (1-5)	Risk Management Action Must Begin...	Risk Level (1-25)*	
1	Procurement documents may not contain enough details	1	3	Within the next six months	3	Green
2	Vendor may not be adequately qualified or prepared for the project.	1	3	Within the next six months	3	Green
3	Integration of the AKTE product with the EASE product may be delayed if the EASE implementation is delayed.	5	3	Within the next six months	15	Yellow
4	Audit and Control Needs	1	2	Within the next six months	2	Green
5	Budget	5	3	Within the next six months	15	Yellow
6	Customer Sophistication	1	1	Over a year from now	0	Green
7	Fingerprint Image	3	5	six months to a year from now	10	Green
8	Languages - Cost	1	1	Within the next six months	1	Green
9	Languages - Complexity	3	2	six months to a year from now	4	Green
10	Build and Implementation	2	5	Within the next six months	10	Yellow
11	Development Environment	1	2	Within the next six months	2	Green
12	External Environment	1	1	Within the next six months	1	Green
13	Facilities	5	3	Six months to a year from now	10	Green
14	Human Resources: Skills	3	5	Within the next six months	15	Yellow
15	Human Resources: Availability	4	4	Within the next six months	16	Red
16	Infrastructure - Increased Traffic	3	5	Within the next six months	15	Yellow
17	Infrastructure - Increased Cost	2	3	Within the next six months	6	Green
18	Legislation	1	1	six months to a year from now	1	Green
19	Litigation	1	1	Over a year from now	0	Green
20	Management Processes	3	3	Within the next six months	9	Green
21	Other Projects	5	4	six months to a year from now	13	Yellow
22	Paradigm Shift	2	1	six months to a year from now	1	Green
23	Regulations	1	1	Over a year from now	0	Green
24	Requirements Management	3	4	Within the next six months	12	Yellow
25	Schedule	3	3	six months to a year from now	6	Green
26	Supplier/Vendor Capability/Capacity	1	1	Within the next six months	1	Green

\* 1-9 = Low Risk Level (Green), 10-15 = Medium Risk Level (Yellow), 16-25 = High Risk Level (Red)

Probability Scale	
1	<20%
2	21 - 40%
3	41 - 60%
4	61 - 80%
5	>80%

Impact Scale	
1	Less than a 5% change to schedule, scope, budget, or quality
2	5 - 10% change to schedule, scope, budget, or quality
3	11 - 15% change to schedule, scope, budget, or quality
4	16 - 24% change to schedule, scope, budget, or quality
5	25% or greater change to schedule, scope, budget, or quality

**What process(es) will be used to identify risks?**

The following process(es) will be used to identify risks
<p>Through the use of risk identification methods and the application of industry standards (e.g., Technology Agency, IEEE, PMI), the Risk/Project Manager will search for and identify potential issues and concerns which could impact the overall success of the project. Methods to identify risks may include: monitoring project activities, examining artifacts and documentation, observing, interviewing, polling, surveying, brainstorming, participating in discussions and meetings, conducting focus sessions, and applying the Technology Agency Oversight guidelines. These potential issues and concerns result in candidate risks.</p> <p>Risk identification methods will collect candidate risk inputs from the Project participants. Project participants include the Project team, stakeholders, and the Contractor.</p>

**Describe the process to be used to escalate risks the resolutions of which are beyond the project manager’s level of authority?**

The process used to escalate risks beyond the PM's level of authority is
<p>Risk escalation is determined by analyzing a risk and calculating the Risk Level (impact on the project, the probability it will occur, and the timing of when it would occur.) The Project will use the following table as a guide in determining the escalation of individual risks.</p>

**What are your plans for monitoring the high and medium level risks?**

The plans for monitoring the high and medium level risks are

The Risk/Project Manager will review the medium and high risks at the weekly Project Team Meeting. The information presented will include the status of risk mitigation and contingency action plans, changes in risk level (probability, impact, and risk management timing), triggers, and review timeframe. All Risk updates will be recorded in the Department of Motor Vehicles Enterprise Project Management Risk Management Database.

**What is your approach to measuring the effectiveness of the risk response plans?**

The approach to measuring the effectiveness of the plan is

The Risk Management processes will be monitored throughout the project lifecycle phases to ensure the Risk Management approach is effective and in accordance with the California Technology Agency CA-PMM guidelines. Any changes identified will be updated in the Risk Management Plan and communicated with the Project Team.

#	Risks	Cause	Consequences	Avoidance Plan	Mitigation Plan	Transference	Acceptance	Contingency Plan
1	Procurement documents may not contain enough details.	SOW is unclear or incomplete.	Delays in vendor deliverables. Substandard quality of deliverables.	Ensure SOW is complete with requirements listed in the Mitigation Plan	Ensure knowledge transfer to DMV staff is included in SOW.  Require minimum skill sets of technical staff in the procurement documentation.  Require that the vendor promptly replace personnel on DMV demand, allowing vendor personnel to be quickly removed from the project if necessary.  Contractually provide the means for DMV to be compensated for costs incurred and lost opportunity costs if the vendor is unable to provide ongoing support.  Incorporate financial penalties into the contract for failure of the vendor to perform.  Clearly identify requirements, expectations and success criteria in vendor procurement documents.			
2	Vendor may not be able to deliver required performance.	Vendor is not performing to the agreed upon deliverables, or quality	Delays in vendor deliverables. Substandard quality of deliverables.	N/A	Ensure vendor performance reviews throughout the SDLC.	N/A	TBD	Replace contractor, augment with DMV staff, enforce contractual penalties.
3	Integration of the AMCKTS product with the EASE product may be delayed if the EASE implementation is delayed.	EASE deployment is delayed	Delays in AMCKTS implementation may delay AKTE implementation	Monitor EASE impact on AMCKTS	Involve technical leads from the EASE project throughout the SDLC	N/A	TBD	Adjust Schedule, possible SPR
4	Audit and Control Needs	Requirements are not clearly understood	Inability to monitor and secure application	Ensure requirements are identified and included in design and build	Involve IPO, ISO, Enterprise Architecture and Internal Audits early in project	N/A	TBD	Adjust Schedule, possible SPR
5	Budget	FSR not approved timely may delay implementation.  State Budget not approved will delay the start date for the consultant.	For FSR not approved timely, the start of the project is delayed.  For delays in State Budget, delay in project start date.	Unable to avoid.	For FSR not approved, no mitigation plan to implement.  For delays in State Budget, adjust schedule.	N/A	TBD	Adjust Schedule, possible SPR
6	Customer Sophistication	Customer needs assistance with using the automated test touch screen.	Potential negative publicity.	Common technology utilized in current culture.	Provide orientation to the customer regarding the use of the automated testing device.  Or, provide a paper test.	N/A	TBD	Assess whether additional communication to the public or at test stations is required.
7	Fingerprint Image	Customer is unable to get an adequate fingerprint image at the test station to log in to the automated test. Customer requires assistance from the Test Administrator.	Test Administrator has a line of customers waiting for assistance with fingerprinting.	N/A	If fingerprint is not successful after multiple attempts, provide alternative methods for log in and authentication: barcode, photo.  Or, provide a paper test.	N/A	TBD	

#	Risks	Cause	Consequences	Avoidance Plan	Mitigation Plan	Transference	Acceptance	Contingency Plan
8	Languages - Cost	Cost of contracting of language translators and testing in 30 languages, written and audio. Possible BCP.	Delays in obtaining funding. Or delays in obtaining qualified consultants for translation and testing. Possible delay in implementation.	N/A	Begin contract negotiations for language translators, testing of the questions in 30 languages, audio and online test.	N/A	TBD	
9	Languages - Complexity	Synchronizing tests with 30 languages, audio and written, and then randomizing them is complex and lengthy.	Delays in implementation	N/A	Begin contract negotiations for language translator consultants early, before project begins. Outsource the testing of languages. Defer some languages to post-implementation.	N/A	TBD	
10	Build and Implementation	Build, testing, implementation, integration with the EASE product is insufficient.	Delay in implementation	Ensure architecture entity is aware of requirements	Identify all requirements, ensure all SMEs are involved, include roles and responsibilities in PM plans	N/A	TBD	Adjust Schedule, possible SPR
11	Development Environment	Software will not install	Delay in implementation	Ensure architecture entity is aware of requirements	Identify all requirements, ensure all SMEs are involved, include roles and responsibilities in PM plans	N/A	TBD	Adjust Schedule, possible SPR
12	External Environment	Communication and connectivity via OTech server	N/A	Identify all requirements, ensure ISD and OTech are involved. Include roles and responsibilities in PM plans.	Identify all requirements, ensure ISD and OTech are involved. Include roles and responsibilities in PM plans.	N/A	TBD	Corrective action. Adjust requirements for OTech.
13	Facilities	FO limited space or space layout prevents installation of test stations. Cannot provide adequate power or network and other facilities issues.	Delay in implementation	Ensure Facilities entity is aware of requirements.	Identify all requirements, ensure Facilities is involved, include roles and responsibilities in PM plans. Develop Facilities Assessment. Develop a list of FOs unable to accommodate test stations due to space limitations and defer implementation to future date.	N/A	TBD	Corrective action. Adjust requirements for OTech.
14	Human Resources: Skills	Lack of IT knowledge	Delay in implementation	Assign resources with the most knowledge to complete the task	Be aware and proactive in requesting resources with the correct knowledge level	N/A	TBD	Adjust Schedule, possible SPR
15	Human Resources: Availability	Resource contention with FODI, EASE projects and potentially other projects.	Delay in implementation	Monitor EASE and FODI projects and their impact on resource needs for this project.	Assign backups early in the process and obtain management commitment. Ensure knowledge transfer between team members, SMEs and backups. Management support due to importance of AKTE and compliance with legislation	N/A	TBD	Adjust Schedule, possible SPR
16	Infrastructure - Increased Traffic	Increase in network traffic of approx 25-30% due to transmitting test data to central server requires infrastructure upgrades.	Increase in cost	Ensure infrastructure entity is aware of requirements	Identify all requirements, ensure Enterprise Architecture and ISD are involved, include roles and responsibilities in PM plans	N/A	TBD	Corrective action. Adjust schedule, possible SPR..
17	Infrastructure - Increased Cost	Increased cost, possible BCP. Amend L-1 contract for fingerprint software to verify fingerprint at the local SQL server at each FO. Increased cost for development effort. Possible increase in licensing costs.	Increase in cost, development time and testing time.	N/A	Early coordination with sponsor for increased cost. Process BCP timely. Early contract negotiations with L-1, pre-project. Add development time for L-1 fingerprint software/server modifications concurrent with procurement phase.	N/A	TBD	Corrective action if delays. Adjust Schedule, possible SPR.

#	Risks	Cause	Consequences	Avoidance Plan	Mitigation Plan	Transference	Acceptance	Contingency Plan
18	Legislation	Executive Order B-06-11	Travel not permitted	Minimize need to travel	Utilize local resources	N/A	TBD	Adjust Schedule, possible SPR
19	Litigation	Potential litigation from customers needing ADA requirements	Legal fees and potential negative publicity	ADA policies and facilities are in place.	Awareness of ADA requirements and customer satisfaction.	N/A	TBD	N/A
20	Management Processes	Establishing priorities	Delay in implementation	Upper management commitment to the project	Awareness of competing priorities, changes in priorities and adjust priorities accordingly	N/A	TBD	Reassess current status and mitigate
21	Other Projects	Higher level projects are identified	Delays in implementation	Upper management commitment to the project	Awareness of competing priorities, changes in priorities and adjust priorities accordingly	N/A	TBD	Reassess current status and mitigate
22	Paradigm Shift	Move to Automated Testing	Union resistance to changes in Field Office Staff resistance to change in Field Office	Communicate upcoming change and benefits to the union and staff in Field Office	Communication with Union and Field Office staff and Labor Relations.	N/A	TBD	Continue communicating the changes and offer additional training
23	Regulations	Non-compliance with the FMCSA Regulations by 2014. Ruling Title 49, Part 383, Section 383.133(b)(2)(ii).	California will be out of compliance with Federal regulations.	N/A	Ensure all requirements are met for FMCSA regulations. Establish automated data collection of testing statistics and provide statistical reports, such as applicant and field office statistics, traffic volume audit trail, and statistical reports required by FMCSA.	N/A	TBD	Amend requirements as necessary to comply with regulations.
24	Requirements Management	Not all SMEs involved in identification of requirements	Delay in implementation	Ensure all SMEs are identified	Work with Department to have SMEs assigned to project. Ensure Traceability Matrix is used to trace requirements throughout the SDLC.	N/A	TBD	Identify missed requirements, Change request / SPR
25	Schedule	Schedule too aggressive	Project will not start and finish on time	Adjust Schedule	Perform concurrently and add resources to meet schedule dates	N/A	TBD	Compress schedule where possible. Add more resources. Adjust schedule, possible SPR.
26	Supplier/Vendor Capability/Capacity	Vendor financial capability	Delay in completing assigned deliverables. Possible delay in implementation.	N/A	Review financial viability with vendor via periodic performance reviews throughout the SDLC.	N/A	TBD	Adjust Schedule, possible SPR. Replace vendor, if unable to complete assigned deliverables.

#	Risks	Trigger Event	Owner	Response Plan Effectiveness	Residual Risks	Secondary Risks	Risk Status	Closure Date
1	Procurement documents may not contain enough details.	Procurement Phase, SOW Preparation, Legal Review	Business Lead, Technical Lead	TBD	TBD	TBD	Closed	TBD
2	Vendor may not be adequately qualified or prepared for the project	Procurement Phase, Vendor Selection Process, Periodic Performance Reviews	Business Lead, Technical Lead	TBD	TBD	TBD	Closed	TBD
3	Integration of the AMCKTS product with the EASE product may be delayed if the EASE implementation is delayed.	Analysis, Design, Build, Test, Implementation	TBD	TBD	TBD	TBD	Open	TBD
4	Audit and Control Needs	Missing requirements	TBD	TBD	TBD	TBD	Closed	TBD
5	Budget	FSR not approved timely may delay implementation.  State Budget not approved will delay the start date for the consultant.	TBD	TBD	TBD	TBD	Closed	TBD
6	Customer Sophistication	Customer unable to perform automated test	TBD	TBD	TBD	TBD	Open	TBD
7	Fingerprint Image	Testing and User Acceptance Testing  Customers unable to get clear fingerprint and complain about waiting in line for the Test Administrator's assistance.	TBD	TBD	TBD	TBD	Open	TBD
8	Languages - Cost	Pre-project: Discussions with sponsor to secure funding for Translation services. Possible BCP.	TBD	TBD	TBD	TBD	Closed	TBD
9	Languages - Complexity	pre-project: Discussions with sponsor to secure funding for Translation services. Procurement, Analysis, Design, Build, Testing.	TBD	TBD	TBD	TBD	Closed	TBD
10	Build and Implementation	Integration testing	TBD	TBD	TBD	TBD	Open	TBD
11	Development Environment	Integration testing	TBD	TBD	TBD	TBD	Open	TBD
12	External Environment	Customer complaints	TBD	TBD	TBD	TBD	Closed	TBD
13	Facilities	Pre-Project: Facilities Assessment  Procurement, Analysis phases.	TBD	TBD	TBD	TBD	Closed	TBD



#	Risks	Trigger Event	Owner	Response Plan Effectiveness	Residual Risks	Secondary Risks	Risk Status	Closure Date
14	Human Resources: Skills	Resources delayed in performing tasks	TBD	TBD	TBD	TBD	Open	TBD
15	Human Resources: Availability	Resources assigned to other competing priorities	TBD	TBD	TBD	TBD	Open	TBD
16	Infrastructure - Increased Traffic	Pre-project: Infrastructure Assessment. Slow access to network	TBD	TBD	TBD	TBD	Closed	TBD
17	Infrastructure - Increased Cost	Pre-project BCP. Procurement phase.	TBD	TBD	TBD	TBD	Closed	TBD
18	Legislation	Travel for FO training, implementation, facilities preparation	TBD	TBD	TBD	TBD	Open	TBD
19	Litigation		TBD	TBD	TBD	TBD	Open	TBD
20	Management Processes	Delays in project activities	TBD	TBD	TBD	TBD	Open	TBD
21	Other Projects	Delays in project activities	TBD	TBD	TBD	TBD	Open	TBD
22	Paradigm Shift	Communications to FO, Implementation Planning, Training	TBD	TBD	TBD	TBD	Open	TBD
23	Regulations	Non-compliance with the FMCSA Regulations.	TBD	TBD	TBD	TBD	Closed	TBD
24	Requirements Management	Design Reviews, Code Reviews, and test	TBD	TBD	TBD	TBD	Open	TBD
25	Schedule	Delays in project activities	TBD	TBD	TBD	TBD	Open	TBD
26	Supplier/Vendor Capability/Capacity	Procurement, SDLC Phase Checkpoints, Periodic Vendor Performance Reviews	TBD	TBD	TBD	TBD	Open	TBD



**6.0 UPDATED ECONOMIC ANALYSIS WORKSHEETS (EAWs)**

**EXISTING SYSTEM/BASELINE COST WORKSHEET**

All costs shown in whole (unrounded) dollars.

	FY 2012/13		FY 2013/14		FY 2014/15		FY 2015/16		FY 2016/17		FY		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
<b>Continuing Information</b>														
<b>Technology Costs</b>														
Staff (salaries & benefits)	0.0	\$0	0.0	\$0	0.0	\$0	0.0	\$0	0.0	\$0	0.0	\$0	0.0	\$0
Hardware Lease/Maintenance		\$0		\$0		\$0		\$0		\$0		\$0		\$0
Software Maintenance/Licenses		\$0		\$0		\$0		\$0		\$0		\$0		\$0
Contract Services		\$0		\$0		\$0		\$0		\$0		\$0		\$0
Data Center Services		\$0		\$0		\$0		\$0		\$0		\$0		\$0
Agency Facilities		\$0		\$0		\$0		\$0		\$0		\$0		\$0
Other		\$0		\$0		\$0		\$0		\$0		\$0		\$0
<b>Total IT Costs</b>	<b>0.0</b>	<b>\$0</b>	<b>0.0</b>	<b>\$0</b>	<b>0.0</b>	<b>\$0</b>	<b>0.0</b>	<b>\$0</b>	<b>0.0</b>	<b>\$0</b>	<b>0.0</b>	<b>\$0</b>	<b>0.0</b>	<b>\$0</b>
<b>Continuing Program Costs:</b>														
Staff	205.0	\$9,763,353	205.0	\$9,763,353	205.0	\$9,763,353	205.0	\$9,763,353					820.0	\$39,053,412
Other		\$606,817		\$606,817		\$606,817		\$606,817						\$2,427,268
<b>Total Program Costs</b>	<b>205.0</b>	<b>\$10,370,170</b>	<b>205.0</b>	<b>\$10,370,170</b>	<b>205.0</b>	<b>\$10,370,170</b>	<b>205.0</b>	<b>\$10,370,170</b>	<b>0.0</b>	<b>\$0</b>	<b>0.0</b>	<b>\$0</b>	<b>820.0</b>	<b>\$41,480,680</b>
<b>TOTAL EXISTING SYSTEM COSTS</b>	<b>205.0</b>	<b>\$10,370,170</b>	<b>205.0</b>	<b>\$10,370,170</b>	<b>205.0</b>	<b>\$10,370,170</b>	<b>205.0</b>	<b>\$10,370,170</b>	<b>0.0</b>	<b>\$0</b>	<b>0.0</b>	<b>\$0</b>	<b>820.0</b>	<b>\$41,480,680</b>



**LAST APPROVED ALTERNATIVE COSTS**

All costs shown in whole (unrounded) dollars.

	FY 2012/13		FY 2013/14		FY 2014/15		FY 2015/16		FY 2016/17		FY		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
<b>One-Time IT Project Costs</b>														
Staff (Salaries & Benefits)	2.2	266,225	1.1	150,130	1.2	151,721	0.0	0	0.0	0	0.0	0	4.5	568,076
Hardware Purchase		2,464,997		1,769,966		1,044,520		0		0		0		5,279,483
Software Purchase/License		21,750		0		0		0		0		0		21,750
Telecommunications		314,750		259,000		250,750		0		0		0		824,500
<b>Contract Services</b>														
Software Customization		350,000		0		0		0		0		0		350,000
Project Management		0		0		0		0		0		0		0
Project Oversight		0		0		0		0		0		0		0
IV&V Services		0		0		0		0		0		0		0
Other Contract Services		920,400		0		0		0		0		0		920,400
<b>TOTAL Contract Services</b>		1,270,400		0		0		0		0		0		1,270,400
Data Center Services		5,000		0		0		0		0		0		5,000
Agency Facilities		306,100		217,200		145,500		0		0		0		668,800
Other		28,359		27,951		14,315		0		0		0		70,625
<b>Total One-time IT Costs</b>	<b>2.2</b>	<b>4,677,581</b>	<b>1.1</b>	<b>2,424,247</b>	<b>1.2</b>	<b>1,606,806</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>4.5</b>	<b>8,708,634</b>
<b>Continuing IT Project Costs</b>														
Staff (Salaries & Benefits)	0.0	0	0.0	0	1.0	109,219	1.0	109,219	1.0	109,219	0.0	0	3.0	327,657
Hardware Lease/Maintenance		0		0		79,631		222,813		295,460		0		597,904
Software Maintenance/Licenses		0		0		0		0		0		0		0
Telecommunications		0		0		0		0		0		0		0
Contract Services		0		0		0		0		0		0		0
Data Center Services		0		33,600		33,600		33,600		33,600		0		134,400
Agency Facilities		0		0		0		0		0		0		0
Other		0		0		0		0		0		0		0
<b>Total Continuing IT Costs</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>33,600</b>	<b>1.0</b>	<b>222,450</b>	<b>1.0</b>	<b>365,632</b>	<b>1.0</b>	<b>438,279</b>	<b>0.0</b>	<b>0</b>	<b>3.0</b>	<b>1,059,961</b>
<b>Total Project Costs</b>	<b>2.2</b>	<b>4,677,581</b>	<b>1.1</b>	<b>2,457,847</b>	<b>2.2</b>	<b>1,829,256</b>	<b>1.0</b>	<b>365,632</b>	<b>1.0</b>	<b>438,279</b>	<b>0.0</b>	<b>0</b>	<b>7.5</b>	<b>9,768,595</b>
<b>Continuing Existing Costs</b>														
Information Technology Staff	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Other IT Costs		0		0		0		0		0		0		0
<b>Total Continuing Existing IT Costs</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>
Program Staff	205.0	9,763,353	205.0	9,763,353	205.0	9,763,353	194.7	9,200,942	184.3	8,638,531	0.0	0	994.0	47,129,532
Other Program Costs		606,817		606,817		606,817		458,869		310,921		0		2,590,241
<b>Total Continuing Existing Program Costs</b>	<b>205.0</b>	<b>10,370,170</b>	<b>205.0</b>	<b>10,370,170</b>	<b>205.0</b>	<b>10,370,170</b>	<b>194.7</b>	<b>9,659,811</b>	<b>184.3</b>	<b>8,949,452</b>	<b>0.0</b>	<b>0</b>	<b>994.0</b>	<b>49,719,773</b>
<b>Total Continuing Existing Costs</b>	<b>205.0</b>	<b>10,370,170</b>	<b>205.0</b>	<b>10,370,170</b>	<b>205.0</b>	<b>10,370,170</b>	<b>194.7</b>	<b>9,659,811</b>	<b>184.3</b>	<b>8,949,452</b>	<b>0.0</b>	<b>0</b>	<b>994.0</b>	<b>49,719,773</b>
<b>TOTAL ALTERNATIVE COSTS</b>	<b>207.2</b>	<b>15,047,751</b>	<b>206.1</b>	<b>12,828,017</b>	<b>207.2</b>	<b>12,199,426</b>	<b>195.7</b>	<b>10,025,443</b>	<b>185.3</b>	<b>9,387,731</b>	<b>0.0</b>	<b>0</b>	<b>1001.5</b>	<b>59,488,368</b>
INCREASED REVENUES		0		0		0		0		0		0		0



**PROPOSED ALTERNATIVE: Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices**

All costs shown in whole (unrounded) dollars.

	FY 2012/13		FY 2013/14		FY 2014/15		FY 2015/16		FY 2016/17		FY		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
<b>One-Time IT Project Costs</b>														
Staff (Salaries & Benefits)	1.5	177,735	4.4	494,858	2.1	228,217	2.5	269,162	0.0	0	0.0	0	10.5	1,169,972
Hardware Purchase		0		2,558,362		282,905		1,535,331		0		0		4,376,598
Software Purchase/License		0		245,352		18,725		37,056		0		0		301,133
Telecommunications		110,913		135,106		150,285		76,897		0		0		473,201
Contract Services														
Software Customization		197,301		249,656		382,998		35,000		0		0		864,955
Project Management		0		0		0		0		0		0		0
Project Oversight		0		0		0		0		0		0		0
IV&V Services		0		0		0		0		0		0		0
Other Contract Services		295,110		82,023		144,326		660,192		0		0		1,181,651
<b>TOTAL Contract Services</b>		492,411		331,679		527,324		695,192		0		0		2,046,606
Data Center Services		0		11,020		0		3,220		0		0		14,240
Agency Facilities		308,165		785,472		267,759		0		0		0		1,361,396
Other		0		75,817		0		0		0		0		75,817
<b>Total One-time IT Costs</b>	<b>1.5</b>	<b>1,089,224</b>	<b>4.4</b>	<b>4,637,666</b>	<b>2.1</b>	<b>1,475,215</b>	<b>2.5</b>	<b>2,616,858</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>10.5</b>	<b>9,818,963</b>
<b>Continuing IT Project Costs</b>														
Staff (Salaries & Benefits)	0.0	0	0.0	0	0.0	0	0.5	58,514	0.5	58,514	0.0	0	1.0	117,029
Hardware Lease/Maintenance		0		0		0		0		0		0		0
Software Maintenance/Licenses		0		0		22,128		12,897		94,948		0		129,973
Telecommunications		0		0		0		0		0		0		0
Contract Services		0		0		0		0		0		0		0
Data Center Services		0		40,692		235,071		366,684		566,736		0		1,209,183
Agency Facilities		0		0		0		0		0		0		0
Other		0		0		0		0		0		0		0
<b>Total Continuing IT Costs</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>40,692</b>	<b>0.0</b>	<b>257,199</b>	<b>0.5</b>	<b>438,095</b>	<b>0.5</b>	<b>720,198</b>	<b>0.0</b>	<b>0</b>	<b>1.0</b>	<b>1,456,185</b>
<b>Total Project Costs</b>	<b>1.5</b>	<b>1,089,224</b>	<b>4.4</b>	<b>4,678,358</b>	<b>2.1</b>	<b>1,732,414</b>	<b>3.0</b>	<b>3,054,953</b>	<b>0.5</b>	<b>720,198</b>	<b>0.0</b>	<b>0</b>	<b>11.5</b>	<b>11,275,148</b>
<b>Continuing Existing Costs</b>														
Information Technology Staff	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Other IT Costs		0		0		0		0		0		0		0
<b>Total Continuing Existing IT Costs</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>
Program Staff	205.0	9,763,353	205.0	9,763,353	205.0	9,763,353	194.7	9,200,942	184.3	8,638,531	0.0	0	994.0	47,129,532
Other Program Costs		606,817		606,817		606,817		532,843		310,921		0		2,664,215
<b>Total Continuing Existing Program Costs</b>	<b>205.0</b>	<b>10,370,170</b>	<b>205.0</b>	<b>10,370,170</b>	<b>205.0</b>	<b>10,370,170</b>	<b>194.7</b>	<b>9,733,785</b>	<b>184.3</b>	<b>8,949,452</b>	<b>0.0</b>	<b>0</b>	<b>994.0</b>	<b>49,793,747</b>
<b>Total Continuing Existing Costs</b>	<b>205.0</b>	<b>10,370,170</b>	<b>205.0</b>	<b>10,370,170</b>	<b>205.0</b>	<b>10,370,170</b>	<b>194.7</b>	<b>9,733,785</b>	<b>184.3</b>	<b>8,949,452</b>	<b>0.0</b>	<b>0</b>	<b>994.0</b>	<b>49,793,747</b>
<b>TOTAL ALTERNATIVE COSTS</b>	<b>206.5</b>	<b>11,459,394</b>	<b>209.4</b>	<b>15,048,528</b>	<b>207.1</b>	<b>12,102,584</b>	<b>197.7</b>	<b>12,788,738</b>	<b>184.8</b>	<b>9,669,650</b>	<b>0.0</b>	<b>0</b>	<b>1005.5</b>	<b>61,068,895</b>
<b>INCREASED REVENUES</b>		0		0		0		0		0		0		0



**ECONOMIC ANALYSIS SUMMARY**

All costs shown in whole (unrounded) dollars.

	FY 2012/13		FY 2013/14		FY 2014/15		FY 2015/16		FY 2016/17		FY		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
<b>EXISTING SYSTEM</b>														
Total IT Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Total Program Costs	205.0	10,370,170	205.0	10,370,170	205.0	10,370,170	205.0	10,370,170	0.0	0	0.0	0	820.0	41,480,680
Total Existing System Costs	205.0	10,370,170	205.0	10,370,170	205.0	10,370,170	205.0	10,370,170	0.0	0	0.0	0	820.0	41,480,680
<b>PROPOSED ALTERNATIVE</b>	<b>Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices</b>													
Total Project Costs	1.5	1,089,224	4.4	4,678,358	2.1	1,732,414	3.0	3,054,953	0.5	720,198	0.0	0	11.5	11,275,148
Total Cont. Exist. Costs	205.0	10,370,170	205.0	10,370,170	205.0	10,370,170	194.7	9,733,785	184.3	8,949,452	0.0	0	994.0	49,793,747
Total Alternative Costs	206.5	11,459,394	209.4	15,048,528	207.1	12,102,584	197.7	12,788,738	184.8	9,669,650	0.0	0	1005.5	61,068,895
<b>COST SAVINGS/AVOIDANCES</b>	(1.5)	(1,089,224)	(4.4)	(4,678,358)	(2.1)	(1,732,414)	7.3	(2,418,568)	(184.8)	(9,669,650)	0.0	0	(185.5)	(19,588,215)
Increased Revenues		0		0		0		0		0		0		0
Net (Cost) or Benefit	(1.5)	(1,089,224)	(4.4)	(4,678,358)	(2.1)	(1,732,414)	7.3	(2,418,568)	(184.8)	(9,669,650)	0.0	0	(185.5)	(19,588,215)
Cum. Net (Cost) or Benefit	(1.5)	(1,089,224)	(5.9)	(5,767,582)	(8.0)	(7,499,996)	(0.7)	(9,918,564)	(185.5)	(19,588,215)	(185.5)	(19,588,215)		



**PROJECT FUNDING PLAN**

All costs shown in whole (unrounded) dollars

	FY 2012/13		FY 2013/14		FY 2014/15		FY 2015/16		FY 2016/17		FY		TOTALS	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
<b>TOTAL PROJECT COSTS</b>	1.5	1,089,224	4.4	4,678,358	2.1	1,732,414	3.0	3,054,953	0.5	720,198	0.0	0	11.5	11,275,148
<b>RESOURCES TO BE REDIRECTED</b>														
Staff	1.5	177,735	4.4	494,858	2.1	228,217	3.0	327,676	0.5	58,514	0.0	0	11.5	1,287,000
Funds:														
Existing System		0		0		0		73,974		295,896		0		369,870
Other Fund Sources		11,288		832,252		587,328		607,172		365,788		0		2,403,828
<b>TOTAL REDIRECTED RESOURCES</b>	1.5	189,023	4.4	1,327,110	2.1	815,545	3.0	1,008,822	0.5	720,198	0.0	0	11.5	4,060,698
<b>ADDITIONAL PROJECT FUNDING NEEDED</b>														
One-Time Project Costs	0.0	900,201	0.0	3,351,248	0.0	916,869	0.0	2,046,131	0.0	0	0.0	0	0.0	7,214,449
Continuing Project Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
<b>TOTAL ADDITIONAL PROJECT FUNDS NEEDED BY FISCAL YEAR</b>	0.0	900,201	0.0	3,351,248	0.0	916,869	0.0	2,046,131	0.0	0	0.0	0	0.0	7,214,449
<b>TOTAL PROJECT FUNDING</b>	1.5	1,089,224	4.4	4,678,358	2.1	1,732,414	3.0	3,054,953	0.5	720,198	0.0	0	11.5	11,275,147
Difference: Funding - Costs	0.0	0	(0.0)	0	0.0	0	0.0	(0)	0.0	(0)	0.0	0	0.0	(0)
<b>Total Estimated Cost Savings</b>	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0

FUNDING SOURCE*														
General Fund	0%	0	0%	0	0%	0	0%	0	0%	0		0	0%	0
Federal Fund	83%	900,201	72%	3,351,248	53%	916,869	67%	2,046,131	0%	0		0	64%	7,214,449
Special Fund	17%	189,023	28%	1,327,110	47%	815,545	33%	1,008,822	100%	720,198		0	36%	4,060,698
Reimbursement	0%	0	0%	0	0%	0	0%	0	0%	0		0	0%	0
<b>TOTAL FUNDING</b>	<b>100%</b>	<b>1,089,224</b>	<b>100%</b>	<b>4,678,358</b>	<b>100%</b>	<b>1,732,414</b>	<b>100%</b>	<b>3,054,953</b>	<b>100%</b>	<b>720,198</b>		<b>0</b>	<b>100%</b>	<b>11,275,147</b>

\*Federal Funding from grants 2009 Commercial Driver License Program Improvement (CDLPI) Grant for 4 years, beginning April 2009; 2010 DLSPG for 4 years beginning July 2009; 2011 CDLPI for 3 years beginning 2011; 2011 DLSPG for 3 years beginning September 2011; 2013 CDLPI for 2 years, beginning July 2013; and the 2014/15 Office of Traffic Safety (OTS) Grant for 1 year, beginning October 2014. The department has requested extensions for two grants and is currently waiting for approval.

**Additional Information: Redirected Division Funding Source**

DIVISION(S) FUNDING	FY 2012/13	FY 2013/14	FY 2014/15	FY 2015/16	FY 2016/17	FY
One-Time Costs	ASD,EXE,ISD,LOD	ASD,EXE,ISD,LOD	ASD,EXE,ISD,LOD	ASD,ISD,LOD		
Continuing Costs		ISD, LOD	ISD,LOD	ASD,ISD,LOD	ASD,ISD,LOD	



**ADJUSTMENTS, SAVINGS AND REVENUES WORKSHEET**  
(California Technology Agency Use Only)

Annual Project Adjustments	FY 2012/13		FY 2013/14		FY 2014/15		FY 2015/16		FY 2016/17		FY		Net Adjustments	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
<b>One-time Costs</b>														
Previous Year's Baseline	0.0	0	0.0	900,201	0.0	3,351,248	0.0	916,869	0.0	2,046,131	0.0	0		
(A) Annual Augmentation /(Reduction)	<b>0.0</b>	<b>900,201</b>	<b>0.0</b>	<b>2,451,047</b>	<b>0.0</b>	<b>(2,434,379)</b>	<b>0.0</b>	<b>1,129,262</b>	<b>0.0</b>	<b>(2,046,131)</b>	<b>0.0</b>	<b>0</b>		
(B) Total One-Time Budget Actions	0.0	900,201	0.0	3,351,248	0.0	916,869	0.0	2,046,131	0.0	0	0.0	0	<b>0.0</b>	<b>7,214,449</b>
<b>Continuing Costs</b>														
Previous Year's Baseline	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0		
(C) Annual Augmentation /(Reduction)	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>	<b>0.0</b>	<b>0</b>		
(D) Total Continuing Budget Actions	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	<b>0.0</b>	<b>0</b>
<b>Total Annual Project Budget Augmentation /(Reduction) [A + C]</b>	<b>0.0</b>	<b>900,201</b>	<b>0.0</b>	<b>2,451,047</b>	<b>0.0</b>	<b>(2,434,379)</b>	<b>0.0</b>	<b>1,129,262</b>	<b>0.0</b>	<b>(2,046,131)</b>	<b>0.0</b>	<b>0</b>		

[A, C] Excludes Redirected Resources

**Total Additional Project Funds Needed [B + D]**

<b>0.0</b>	<b>7,214,449</b>
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**Annual Savings/Revenue Adjustments**

Cost Savings	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0		
Increased Program Revenues		0		0		0		0		0		0		



## **ATTACHMENTS**

- 1. Economic Detail Worksheets**
- 2. OIS Questionnaire**
- 3. Complexity Assessment**

## **ACRONYMS**



1. Economic Detail Worksheets

Proposed Solution - One-time IT Staff Costs

Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices

One-time IT Staff (Class Title/Division/IT Duties)	Monthly Salary	Fiscal Year 2012/13				Fiscal Year 2013/14			
		Reg Hrs	OT Hrs	PYs	Staff Cost	Reg Hrs	OT Hrs	PYs	Staff Cost
<b>Administrative Services Division (ASD)</b>									
Staff Information Systems Analyst - Specialist Laptop setup, project AutoCAD file and analyst.	\$5,980	48		0.02	\$3,072	62		0.03	\$3,969
<b>Executive Division (EXE)</b>									
Senior Information Systems Analyst (Specialist) Security project oversight analyst	\$6,575	193		0.10	\$13,586	307		0.17	\$21,611
Staff Information Systems Analyst - Specialist Privacy project oversight analyst	\$5,980	40		0.02	\$2,560	96		0.05	\$6,145
Staff Services Management Auditor Observe any risks or issues that may affect audit functions for the project.	\$4,160	0		0.00	\$0	14		0.00	\$623
Senior Information Systems Analyst (Specialist) Security project oversight analyst	\$6,575	200		0.11	\$14,079				
Staff Information Systems Analyst - Specialist Privacy project oversight analyst	\$5,980	28		0.01	\$1,792				
<b>Field Office Division (FOD)</b>									
Manager III, DMV FOD SME's	\$5,435	0		0.00	\$0	27		0.01	\$1,570
<b>One-time IT Staff Cost Page Subtotals</b>		<b>509</b>	<b>0</b>	<b>0.3</b>	<b>\$35,089</b>	<b>506</b>	<b>0</b>	<b>0.3</b>	<b>\$33,918</b>



**Proposed Solution - One-time IT Staff Costs**

**Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices**

One-time IT Staff (Class Title/Division/IT Duties)	Monthly Salary	Fiscal Year 2012/13				Fiscal Year 2013/14			
		Reg Hrs	OT Hrs	PYs	Staff Cost	Reg Hrs	OT Hrs	PYs	Staff Cost
<b>Information Systems Division (ISD)</b>									
Assistant Information Systems Analyst Test PQA along with testing the BRD and SRS provided from E-GOV and EASE.	\$4,160	18		0.01	\$801	193		0.10	\$8,595
Associate Information Systems Analyst (Spec) Analyst for PQA, Customer Liaison Unit (CLU), SAC, back end, network connectivity for FO, and managing firewalls along with the switches.	\$5,053	465		0.26	\$25,156	1,000		0.56	\$54,100
Data Processing Manager II 1 Program Manager; 1 Management for Telecom, Desktop, COTS	\$6,904	406		0.22	\$30,010	1,750		0.98	\$129,357
Senior Programmer Analyst (Specialist) EASE Front End Developer	\$6,575	424		0.23	\$29,847	41		0.02	\$2,886
Staff Information Systems Analyst - Specialist System testing and analyst, network connectivity for FO and managing the firewalls.	\$5,980	15		0.00	\$960	479		0.26	\$30,665
Systems Software Specialist I (Tech) Security testing and Firewalls	\$5,979	0		0.00	\$0	412		0.23	\$26,371
Systems Software Specialist II (Technical) Use/test case analysis, test plan creation, scenario development, test preparation/setup, and integration/performance testing.	\$6,564	0		0.00	\$0	20		0.01	\$1,405
<b>One-time IT Staff Cost Page Subtotals</b>		<b>1,328</b>	<b>0</b>	<b>0.7</b>	<b>\$86,774</b>	<b>3,895</b>	<b>0</b>	<b>2.2</b>	<b>\$253,379</b>



**Proposed Solution - One-time IT Staff Costs**

Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices

One-time IT Staff (Class Title/Division/IT Duties)	Monthly Salary	Fiscal Year 2012/13		Continued	Fiscal Year 2013/14		Continued		
		Reg Hrs	OT Hrs	PYs	Staff Cost	Reg Hrs	OT Hrs	PYs	Staff Cost
<b>Information Systems Division (ISD)</b>									
Systems Software Specialist III (Technical) Enterprise architecture, firewall development, and IP resolution	\$7,212	13		0.00	\$1,003	18		0.01	\$1,389
<b>Investigations Division (INV)</b>									
Associate Governmental Program Analyst Ensures relevant audit trails (reports are captured in AMCKTS/AKTE; tests reports currently utilized to ensure audit trail info needed is available; attend project status update meetings and report back to upper management of status of project.	\$5,053	8		0.00	\$432	27		0.01	\$1,460
<b>Licensing Operations Division (LOD)</b>									
Associate Information Systems Analyst (Specialist) Assisting with the various AKTE related plans (IFB, SPR, BRD); testing	\$5,453	76		0.04	\$4,437	1,360		0.76	\$79,400
Driver Safety Manager II SME, oversees Driver Safety procedures and training	\$5,971	6		0.00	\$383	0		0.00	\$0
Manager I, DMV User test, Priority Memo	\$4,120	10		0.00	\$441	145		0.08	\$6,396
Manager II, DMV User test, Priority Memo	\$4,520	332		0.18	\$16,064	938		0.52	\$45,388
Staff Information Systems Analyst - Specialist Business Lead, testers; oversee staff, installation and point of contact for issue in Stockton	\$5,980	289		0.16	\$18,501	581		0.32	\$37,195
Staff Services Manager I Project Director, Grant Administrator, and SME	\$5,809	258		0.14	\$16,046	630		0.35	\$39,182
<b>One-time IT Staff Cost Page Subtotals</b>		<b>971</b>	<b>0</b>	<b>0.5</b>	<b>\$55,872</b>	<b>3,654</b>	<b>0</b>	<b>2.0</b>	<b>\$207,561</b>
<b>One-time IT Staff Cost Fiscal Year Totals</b>		<b>2,808</b>	<b>0</b>	<b>1.5</b>	<b>\$177,735</b>	<b>8,055</b>	<b>0</b>	<b>4.4</b>	<b>\$494,858</b>



**Proposed Solution - One-time IT Staff Costs**

**Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices**

One-time IT Staff (Class Title/Division/IT Duties)	Monthly Salary	Fiscal Year 2014/15				Fiscal Year 2015/16			
		Reg Hrs	OT Hrs	PYs	Staff Cost	Reg Hrs	OT Hrs	PYs	Staff Cost
<b>Licensing Operations Division (LOD)</b>									
Associate Information Systems Analyst (Specialist) Assisting with the various AKTE related plans (IFB, SPR, BRD); testing	\$5,453	975		0.54	\$56,923	440		0.24	\$25,688
Manager I, DMV User test, Priority Memo	\$4,120	180		0.10	\$7,940				
Manager II, DMV User test, Priority Memo	\$4,520	493		0.27	\$23,855	998		0.56	\$48,291
<b>Information Systems Division (ISD)</b>									
Assistant Information Systems Analyst Test PQA (Product Quality Assurance) along with the testing the BRD and SRS provided from E-GOV and EASE.	\$4,160	94		0.05	\$4,186				
Associate Information Systems Analyst (Specialist) Analyst for PQA, Customer Liaison Unit (CLU), SAC, back end, network connectivity for FO, and managing firewalls along with the switches.	\$5,453	135		0.07	\$7,881				
Data Processing Manager II Management for Telecom, Desktop, COTS	\$6,904	70		0.03	\$5,174	12		0.00	\$887
Data Processing Manager II Program Manager	\$6,904	740		0.41	\$54,699	80		0.04	\$5,913
Data Processing Manager III Management for CLU, Network, Identity Management, PQA; IT lead	\$7,958	0		0.00	\$0	60		0.03	\$5,112
<b>One-time IT Staff Cost Page Subtotals</b>		<b>1,648</b>	<b>0</b>	<b>0.9</b>	<b>\$88,718</b>	<b>1,438</b>	<b>0</b>	<b>0.8</b>	<b>\$73,979</b>



**Proposed Solution - One-time IT Staff Costs**

Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices

One-time IT Staff (Class Title/Division/IT Duties)	Monthly Salary	Fiscal Year 2014/15		Continued	Fiscal Year 2015/16		Continued		
		Reg Hrs	OT Hrs	PYs	Staff Cost	Reg Hrs	OT Hrs	PYs	Staff Cost
<b>Licensing Operations Division (LOD)</b>									
Staff Information Systems Analyst - Specialist Business Lead, testers; oversee staff, installation and point of contact for issue in Stockton	\$5,980	815		0.45	\$52,176	1,308		0.73	\$83,738
Staff Services Manager II (Supervisory) Project Director, Grant Administrator, and SME	\$6,378	730		0.41	\$49,849	720		0.40	\$49,166
<b>Information Systems Division (ISD)</b>									
Staff Information Systems Analyst - Specialist Reviewing SRS, Test plan, Test scripts with vendor, System testing and analyst, network connectivity for FO and managing the firewalls. .	\$5,980	478		0.26	\$30,601	632		0.35	\$40,460
Systems Software Specialist I (Tech) Firewalls, data preparation, test planning, developing test cases, Security testing, defect discovery/documentation and defect fixes.	\$5,979	15		0.00	\$960	264		0.14	\$16,898
Systems Software Specialist II (Technical) Use/test case analysis, test plan creation, scenario development, test preparation/setup, and integration/performance testing.	\$6,564	78		0.04	\$5,481	20		0.01	\$1,405
<b>Investigations Division (INV)</b>									
Associate Governmental Program Analyst Ensures relevant audit trails (reports are captured in AMCKTS/AKTE; tests reports currently utilized to ensure audit trail info needed is available; attend project status update meetings and report back to upper management of status of project.	\$5,053	8		0.00	\$432	65		0.03	\$3,516
<b>One-time IT Staff Cost</b>									
<b>Page Subtotals</b>		<b>2,124</b>	<b>0</b>	<b>1.2</b>	<b>\$139,499</b>	<b>3,009</b>	<b>0</b>	<b>1.7</b>	<b>\$195,183</b>
<b>One-time IT Staff Cost</b>									
<b>Fiscal Year Totals</b>		<b>3,772</b>	<b>0</b>	<b>2.1</b>	<b>\$228,217</b>	<b>4,447</b>	<b>0</b>	<b>2.5</b>	<b>\$269,162</b>



**Proposed Solution - One-time IT Hardware Purchase Costs**

Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices

One-time Hardware Purchase Description	Tax Rate %	Fiscal Year 2012/13				Fiscal Year 2013/14			
		# Items	\$ Per Item	Shipping	Total Cost	# Items	\$ Per Item	Shipping	Total Cost
TA-13210 - ADA Compliant Touch-screen Terminals w/height adjustable stands	8.50%					2,400	\$723.10		\$1,882,952
TA-13210 - Asset tagging, Imaging, Installation, 5 year warranty for touch-screen terminals (includes e-waste fee?)						2,400	\$281.42		\$675,410
<b>One-time Hardware Purchase Fiscal Year Totals</b>					\$0				\$2,558,362

Automated Knowledge Testing Expansion

Revised Date: September 15, 2015

**Proposed Solution - One-time IT Hardware Purchase Costs**

Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices

One-time Hardware Purchase Description	Tax Rate %	Fiscal Year 2014/15				Fiscal Year 2015/16			
		# Items	\$ Per Item	Shipping	Total Cost	# Items	\$ Per Item	Shipping	Total Cost
TA-14305 NWN Corporation All In One terminals w/height adjustable stand	8.50%	250	\$852.00		\$231,105				
TA-14305 All In One 5/5/5 Warranty plus e-waste fee		250	\$207.20		\$51,800				
TC09-001 MorphoTrust (L-1) Applicant Fingerprint Tracking Packages (AFTP)	8.50%					2,400	\$493.00		\$1,283,772
TC09-001 MorphoTrust (L-1) Fingerprint Devices Install (1980 hours @ \$127.05)						1,980	\$127.05		\$251,559
<b>One-time Hardware Purchase Fiscal Year Totals</b>					\$282,905				\$1,535,331



**Proposed Solution - One-time IT Software Purchase/License Costs**

Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices

One-time Software Purchase/License Description	Tax Rate %	Fiscal Year 2012/13				Fiscal Year 2013/14			
		# Items	\$ Per Item	Shipping	Total Cost	# Items	\$ Per Item	Shipping	Total Cost
TA-13248 McAfee Institutional Endpoint Protection						2,400	\$23.69		\$56,856
TA-13288 Microsoft System Center Configuration Manager Client Access Licenses - term 3 years						2,400	\$32.41		\$77,784
TA-13288 Microsoft Windows Server Client Access Licenses SNGL LicSAPk DvcCAL - term 3 years						2,400	\$46.13		\$110,712
<b>One-time Software Purchase/License Fiscal Year Totals</b>									<b>\$245,352</b>

Automated Knowledge Testing Expansion

Revised Date: September 15, 2015

**Proposed Solution - One-time IT Software Purchase/License Costs**

Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices

One-time Software Purchase/License Description	Tax Rate %	Fiscal Year 2014/15				Fiscal Year 2015/16			
		# Items	\$ Per Item	Shipping	Total Cost	# Items	\$ Per Item	Shipping	Total Cost
TA-15045 SQLSvrEnt Core 2014 SNGL MVL 2Lic CoreLic						4	\$9,264.00		\$37,056
TA-14306 McAfee Institutional Endpoint Protection Microsoft System Center Configuration Manager		250	\$41.90		\$10,475				
TA-14306 Microsoft System Center Configuration Manager		250	\$33.00		\$8,250				
<b>One-time Software Purchase/License Fiscal Year Totals</b>					<b>\$18,725</b>				<b>\$37,056</b>



**Proposed Solution - One-time IT Telecommunications Costs**

Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices

One-time Telecommunication Services Description	Telecommunication Service Costs by Fiscal Year					
	2012/13	2013/14	2014/15	2015/16	2016/17	
TA-13408 Future Data Systems Inc. Yellow network patch cables, 1000 10' @ 1.40; 1000 15' @ 1.85; shipping; 8.5% tax		\$3,566				
TA-30376; TA-13178; TA-14213-Sled IT Solutions Inc. 8.50% sales tax. Partial credit for trade-ins. 84 each 40-CISCO port switches	\$110,913	\$110,481	\$63,616			
TA-13198 Capital Datacorp 3' and 7' network patch cables		\$6,857				
TA-13404; TA-14335 MSA Systems Inc network cables, barcode scanners, USB cables, security anchor base plate and cable locks		\$11,765	\$65,179			
TA-14334 AbleGov Inc. Micro connector patch cables			\$887			
TA-14041 MSA Systems Motorla USB cables			\$17,904			
TA-13204; TA-14038 - Bridge Micro patch cord locks		\$2,437	\$2,700			
Headphones				\$4,994		
Switches				\$71,903		
<b>One-time IT Telecommunications Costs Fiscal Year Totals</b>	<b>\$110,913</b>	<b>\$135,106</b>	<b>\$150,285</b>	<b>\$76,897</b>	<b>\$0</b>	<b>\$0</b>



**Proposed Solution - One-time IT Contract Services Costs**

**Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices**

One-time Software Customization/Development	Cost Totals by Fiscal Year					
	2012/13	2013/14	2014/15	2015/16	2016/17	
TA-30162 - Global Touchpoints Inc. JAVA Consultant existing system expansion	\$197,301					
TA-13200 - Global Touchpoints Inc. JAVA Consultant existing system enhancement		\$249,656				
TA-14196 - Global Touchpoints Inc. JAVA Consultant existing system enhancements, additional languages and tests.			\$382,998			
TA-15062 - Global Toughpoints Inc. Fingerprint comparison/authentication integration consulting services.				\$35,000		
<b>Total Software Customization/Development</b>	<b>\$197,301</b>	<b>\$249,656</b>	<b>\$382,998</b>	<b>\$35,000</b>	<b>\$0</b>	<b>\$0</b>
<b>Other Contract Services</b>						
DGS Administrative Charges for terminal procurement (TA-13210)		\$38,013				
TA-30075 - Business Advantage Consulting Inc. Analysis on number of terminals needed per office based on test volumes.	\$295,110					
TA-13210 - ADA Compliant Touch-screen terminals - asset tagging, imaging, installation, deployment, logistics services, 5 year warranty, next day repair service and maintenance.				\$116,692		
Hanna Interpreting Services LLC - contract #14-474 - foreign language translations.			\$10,916			
Media3Sixty LLC - contract #13-065. Audio recording for 32 foreign languages.			\$54,270	\$347,843		
1-Stop Translations - contract #12-274 - foreign language translation consulting, written language translation.		\$265	\$40,454			
DGS & Vision 6 contract #13-135 - Production and post production of "How To" video - . Instructions for FO employees and DL applicants on how to use the AKTE terminals.		\$43,745	\$4,770			
TA-14194 Computer Deductions Inc. Fingerprint capture consulting			\$33,916			
TC09-001 Morpho-Trust Fingerprint Authentication Software Modifications				\$195,657		
<b>Total Other Services Costs</b>	<b>\$295,110</b>	<b>\$82,023</b>	<b>\$144,326</b>	<b>\$660,192</b>	<b>\$0</b>	<b>\$0</b>
<b>One-time IT Contract Services Costs</b>						
<b>Fiscal Year Totals</b>	<b>\$492,411</b>	<b>\$331,679</b>	<b>\$527,324</b>	<b>\$695,192</b>	<b>\$0</b>	<b>\$0</b>



**Proposed Solution - One-time IT Data Center Services Costs**

Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices

One-time Data Center Services	Data Center Costs by Fiscal Year					
	2012/13	2013/14	2014/15	2015/16	2016/17	
Web Servers set-up		\$11,020				
UAT and Production Servers set-up				\$3,220		
<b>One-time IT Data Center Services Costs</b>						
<b>Fiscal Year Totals</b>	<b>\$0</b>	<b>\$11,020</b>	<b>\$0</b>	<b>\$3,220</b>	<b>\$0</b>	<b>\$0</b>

**Proposed Solution - One-time IT Agency Facilities Costs**

Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices

One-time Agency Facilities Costs	Agency Facilities Costs by Fiscal Year					
	2012/13	2013/14	2014/15	2015/16	2016/17	
<b>CALPIA</b> - Modular System Furniture (MSF) test stations; provide the various MSF materials and adjustments for test stations. <b>P-130469; P-140224; P-140626; P-141089</b>	\$296,612	\$257,244	\$44,942			
<b>GA Technical Service Inc.</b> - contract # <b>12-033; 13-046; 13-113; 14-116</b> . Cabling for workstations; provided materials and perform various cabling/electrical labor relate functions.		\$229,431	\$39,406			
<b>3D DataCom</b> - contract # <b>11-202; 11-203; 13-110</b> Cabling for workstations; provided materials and perform various cabling/electrical labor relate functions.		\$35,286	\$5,399			
<b>Contra Costa Electric</b> - contract # <b>11-098</b> . Cabling for workstations; provided materials and perform various cabling/electrical labor relate functions.		\$6,888				
<b>Western Contract</b> - contract # <b>11-246</b> - install outlets, power poles and grommets for MSF		\$2,246				
<b>FAC-004913 - City of Mendota</b> - Tenant Improvement cabling	\$1,400					
<b>FAC-004981-C - Nomoto Investments LLC</b> - counter removal and Tenant Improvement cabling	\$10,153					
<b>GA Technical Services</b> cabling and electrical non-grant funded <b>12-033; 13-046; 13-113; 14-116</b>		\$6,868	\$9,356			
<b>DCU Southern</b> - contract # <b>138104</b> - electrical circuits; install new subpanel and provide path of travel for new data cabling		\$8,085	\$30,173			
<b>DCU Northern</b> - contract # <b>138105</b> - electrical circuits		\$5,560	\$11,157			
<b>DCU North Proj</b> - contract # <b>133787</b> - counter removal		\$20,727				
<b>DCU South Proj</b> - contract # <b>133788</b> - counter removal		\$3,731				
<b>FAC-005304 - Trinet West LLC</b> - Tenant Improvement cabling, electrical and data		\$673				
<b>FAC-005643 - Buganko Partnership</b> - Tenant Improvement cabling		\$5,240				
<b>FAC-005650 - Bishop Paiute Dev Corp</b> - counter removal; Tenant Improvement cabling		\$3,881				
<b>One-time IT Agency Facilities Costs</b>						
<b>Page Totals</b>	<b>\$308,165</b>	<b>\$585,857</b>	<b>\$140,433</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>



**Proposed Solution - One-time IT Agency Facilities Costs**

**Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices**

One-time Agency Facilities Costs	Agency Facilities Costs by Fiscal Year - Continued					
	2012/13	2013/14	2014/15	2015/16	2016/17	
FAC-005487 - Ominet Commerce LP - Tenant Improvements cabling and electrical		\$4,300				
FAC-005423 - Seaside LLC - Tenant Improvements cabling and electrical		\$6,994				
FAC-005457; FAC-005525 - 300 N Sepulveda Owner LLC - Tenant Improvements cabling and electrical		\$5,053				
FAC-005579; FAC-005363; FAC-005488; FAC-005489 - PWM Inc - Tenant Improvements cabling and electrical		\$9,724				
FAC-005596 - DGM Realty LLC - counter removal; Tenant Improvements cabling and electrical		\$3,712				
FAC-005221; FAC-005683 - Foundry Park Investors LP - Tenant Improvements cabling and electrical		\$4,265				
FAC-005458 - Star Fresno Properties LLC - Tenant Improvements cabling and electrical		\$6,052				
FAC-005485 - CP6DMV LLC - Tenant Improvements counter removal, cabling and electrical		\$6,904				
FAC-005560 - Islay Investments - Tenant Improvements cabling and electrical		\$2,963				
FAC-005666 - GB Development/King City - Tenant Improvements cabling and electrical		\$13,581				
FAC-005178 - G&B Development/Lodi LLC - Tenant Improvements cabling and electrical		\$11,353				
Department of Forestry and Fire Protection - State Fire Marshall - plan review 117423		\$197				
3D Data Com - cabling and electrical non-grant funded 11-202; 13-110		\$4,566	\$3,476			
FAC-005553 - Mount Shasta Shopping Center - counter removal; Tenant Improvement cabling and electrical		\$2,733				
FAC-005536 - R P Property - counter removal cost		\$1,035				
FAC-005580 - Ahoytt Enterprises Inc - Tenant Improvement cabling and electrical		\$2,323				
FAC-005384 - Cranbrook Realty Investment - Tenant Improvement cabling and electrical		\$1,664				
<b>One-time IT Agency Facilities Costs</b>						
<b>Page Totals</b>	<b>\$0</b>	<b>\$87,419</b>	<b>\$3,476</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**Proposed Solution - One-time IT Agency Facilities Costs**

**Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices**

One-time Agency Facilities Costs	Agency Facilities Costs by Fiscal Year - Continued					
	2012/13	2013/14	2014/15	2015/16	2016/17	
FAC-005793 - Solar Drive Business LLC - counter removal; Tenant Improvement cabling and electrical		\$3,235				
FAC-005519 - Stephens Properties - Tenant Improvement cabling and electrical		\$8,504				
FAC-005248; FAC-005364; FAC-005882 - Vallarta Properties - counter removal; Tenant Improvement cabling and electrical		\$8,154				
FAC-005790 - Peter Korwin - counter removal; Tenant Improvement cabling and electrical		\$3,275				
FAC-005524 - Rock Creek Properties - counter removal; Tenant Improvement cabling and electrical		\$9,775				
FAC-005520 - Wallan and Johnson - counter removal; Tenant Improvement cabling and electrical		\$5,100				
FAC-005649 - SCR Investment Group - Tenant Improvement cabling and electrical		\$2,594				
FAC-005391; FAC-005392 - Sycamore - counter removal; Tenant Improvement cabling and electrical		\$13,867				
FAC-005693; FAC-005694 - 5245 South Grove St LLC - counter removal; Tenant Improvement cabling and electrical		\$2,559				
FAC-005193; FAC-006273 - FSP Pacific Center LLC - Tenant Improvement cabling and electrical		\$4,601	\$3,218			
FAC-005664 - Walter Bros Construction Co Inc. - Tenant Improvement cabling and electrical		\$9,903				
FAC-005486 - Santa Cruz Plaza - counter removal		\$1,000				
FAC-005741 - D&P Restaurant Corp - Tenant Improvement cabling and electrical		\$5,894				
FAC-005620 - City of Simi Valley - Tenant Improvement cabling and electrical		\$5,352				
FAC-005220 - Stockton DMV LLC - Tenant Improvement cabling and electrical		\$2,612				
FAC-005574 - Leonard Schroeder - counter removal; Tenant Improvement cabling and electrical		\$3,700				
<b>One-time IT Agency Facilities Costs</b>						
<b>Page Totals</b>	<b>\$0</b>	<b>\$90,125</b>	<b>\$3,218</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>



**Proposed Solution - One-time IT Agency Facilities Costs**

Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices

One-time Agency Facilities Costs	Agency Facilities Costs by Fiscal Year - Continued					
	2012/13	2013/14	2014/15	2015/16	2016/17	
FAC-005692 - Donner Plaza LLC - Donner Plaza LLC - Tenant Improvement cabling and electrical		\$3,255				
FAC-005939 - Mennen Industries - counter removal; Tenant Improvement cabling and electrical		\$3,349				
FAC-005208 - Matt Franich Enterprises - Tenant Improvement cabling and electrical		\$5,865				
FAC-005684 - William and Jane Dohn - counter removal		\$495				
FAC-005651 - Yreka Junction Investors LP - counter removal; Tenant Improvement cabling and electrical		\$4,819				
9317151497; 9352190558 - Grainger - grommets paid with CalCard		\$3,614				
2013499 - Barnum & Celillo Electric - Check cable circuit paid with CalCard		\$540				
Ukiah FO - Home Depot (supplies) wall repair paid with CalCard		\$136				
Banning FO - Muhammad Akhtar - Tenant Improvement cabling and electrical			\$6,325			
Crescent City FO - Don Hartley - counter removal; Tenant Improvement cabling and electrical			\$4,662			
El Monte FO - Arden XC Limited #11661 - Tenant Improvement cabling and electrical			\$178			
Fairfield BSC - Debra Russo - Tenant Improvement cabling and electrical			\$398			
FAC-005855 - FBDMV - counter removal; Tenant Improvement cabling and electrical			\$4,600			
Lake Isabella FO - 6075-79 LLC - counter removal; Tenant Improvement cabling and electrical			\$10,787			
FAC-005881 - Monte Vista Company - counter removal; Tenant Improvement cabling and electrical			\$6,650			
Lompoc FO - Gloria Sobhnai - Tenant Improvement cabling and electrical			\$794			
Los Banos - Los Banos Property - counter removal; Tenant Improvement cabling and electrical			\$13,289			
<b>One-time IT Agency Facilities Costs</b>						
<b>Page Totals</b>	<b>\$0</b>	<b>\$22,071</b>	<b>\$47,683</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**Proposed Solution - One-time IT Agency Facilities Costs**

Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices

One-time Agency Facilities Costs	Agency Facilities Costs by Fiscal Year - Continued					
	2012/13	2013/14	2014/15	2015/16	2016/17	
Madera FO - Berry Construction - counter removal; Tenant Improvement cabling and electrical			\$20,471			
FAC-006346 - 955 Davis Drive LLC - counter removal; Tenant Improvement cabling and electrical			\$10,438			
Palm Springs FO - Michael Levin & Henry Levin - counter removal; Tenant Improvement cabling and electrical			\$8,072			
FAC-006411 - HE Inc - counter removal; Tenant Improvement cabling and electrical			\$5,031			
Redding DSO - RCN Plaza - Tenant Improvement cabling and electrical			\$632			
Sacramento-Florin FO - Northwest Investment Group LLC - contract #15-64 - Tenant Improvement cabling and electrical			\$3,000			
San Bernardino FO - Rancon Realty Fund - counter removal; Tenant Improvement cabling and electrical			\$8,110			
San Jose DSO - Chavez Management Group - #1523 - Tenant Improvement cabling and electrical			\$1,410			
FAC-006117 - Lassen Station LP - Tenant Improvement cabling and electrical			\$3,800			
Vacaville FO - Spectrum Properties - #121214 - Tenant Improvement cabling and electrical			\$2,485			
Los Angeles Metro BSC - (invoice pending) Tenant Improvement cabling and electrical			\$9,500			
<b>One-time IT Agency Facilities Costs</b>						
<b>Page Totals</b>	\$0	\$0	\$72,949	\$0	\$0	\$0
<b>One-time IT Agency Facilities Costs</b>						
<b>Fiscal Year Totals</b>	\$308,165	\$785,472	\$267,759	\$0	\$0	\$0

**Proposed Solution - One-time IT Other Costs**

Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices

One-time Other Costs	Other Costs for Fiscal Year					
	2012/13	2013/14	2014/15	2015/16	2016/17	
TA-13216; TA-13204 - Kensington locks - security anchor base plate. Bridge Micro		\$75,817				
<b>One-time IT Other Costs</b>						
<b>Fiscal Year Totals</b>	\$0	\$75,817	\$0	\$0	\$0	\$0

**Proposed Solution - Continuing IT Staff Costs**

Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices

IT Staff (Class Title/Division/IT Duties)	Monthly Salary	Fiscal Year 2015/16			Fiscal Year 2016/17			Fiscal Year		
		Reg Hrs	PYs	Staff Cost	Reg Hrs	PYs	Staff Cost	Reg Hrs	PYs	Staff Cost
<b>Information Systems Division (ISD)</b>										
Staff Information Systems Analyst - Specialist										
Ongoing problem resolution, DL Apps HQ maintenance and operations	\$5,980	914	0.51	\$58,514	914	0.51	\$58,514			
<b>Continuing IT Staff Cost Fiscal Year Totals</b>		<b>914</b>	<b>0.5</b>	<b>\$58,514</b>	<b>914</b>	<b>0.5</b>	<b>\$58,514</b>	<b>0</b>	<b>0.0</b>	<b>\$0</b>

**Proposed Solution - Continuing IT Software Purchase/License Costs**

Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices

Continuing Software Maintenance/ Licenses Description	Monthly Costs	Fiscal Year 2012/13		Fiscal Year 2013/14		Fiscal Year 2014/15	
		# Months	Total Cost	# Months	Total Cost	# Months	Total Cost
TA-14308 McAfee Institutional Endpoint Protection	\$1,844					12	\$22,128
<b>Continuing IT Software Maintenance/ License Costs Fiscal Year Totals</b>			<b>\$0</b>		<b>\$0</b>		<b>\$22,128</b>
Continuing Software Maintenance/ Licenses Description	Monthly Costs	Fiscal Year 2015/16		Fiscal Year 2016/17		Fiscal Year	
		# Months	Total Cost	# Months	Total Cost	# Months	Total Cost
TA-14308 McAfee Institutional Endpoint Protection	\$1,842	7	\$12,897	12	\$22,110		
Microsoft System Center Configuration Manager Client Access Licenses (2530 licenses @ \$11.88 ea)	\$2,505			12	\$30,056		
Microsoft Windows Server Client Access Licenses SNGL LicSAPk DvcCAL (2530 licenses @ \$16.91 ea)	\$3,565			12	\$42,782		
<b>Continuing IT Software Maintenance/ License Costs Fiscal Year Totals</b>			<b>\$12,897</b>		<b>\$94,948</b>		<b>\$0</b>



**Proposed Solution - Continuing IT Data Center Services Costs**

Expand the Automated Multiple Choice Knowledge Testing System to all Field Offices

Continuing Data Center Services	Data Center Cost by Fiscal Year					
	2012/13	2013/14	2014/15	2015/16	2016/17	
OTech CPU & Storage Charges		\$40,692	\$235,071	\$366,684	\$566,736	
<b>Continuing IT Data Center Service Costs Fiscal Year Totals</b>	<b>\$0</b>	<b>\$40,692</b>	<b>\$235,071</b>	<b>\$366,684</b>	<b>\$566,736</b>	<b>\$0</b>

## 2. OIS Questionnaire

**State of California**

**Department of Technology**

**Questionnaire for Information Security  
and Privacy Components  
in Feasibility Study Reports  
and Project-Related Documents**

**SIMM 20D**

**June 2014**



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## Questionnaire for Information Security and Privacy Components in Feasibility Study Reports and Project-Related Documents

### **1.0 INTRODUCTION**

The following Questionnaire assists state agencies with describing the information security and privacy components associated with an IT project in its Feasibility Study Reports and other project-related documents. The Office of Information Security reviews these documents to ensure information security and privacy components are addressed by the Agency/state entity, and provides its recommendations to the California Department of Technology (Department of Technology).

If any of the answers could be considered sensitive in nature, the Agency/state entity should address them in a separate addendum marked “Confidential” and included as an attachment to the document.

### **2.0 DMV PRIVACY PROTECTION OFFICE (PPO) AND SECURITY OFFICER (ISO) ROLES AND RESPONSIBILITIES**

1. What are the roles and responsibilities of the PPO and ISO in relationship to this project?

#### **Role of PPO**

DMV’s PPO will participate in the development of the Request for Proposal (RFP), Business Requirements Document (BRD), and System Requirements Specifications (SRS), if applicable. A PPO representative will function as a privacy subject matter expert (SME) throughout the system development lifecycle, from the planning stage through implementation of the project. To this end, PPO will conduct an initial questionnaire, or Privacy Threshold Analysis (PTA) to determine whether a Privacy Impact Assessment (PIA) is needed.

PIAs are often conducted on new systems that involve personally identifiable information to ensure that appropriate controls and safeguards are in place regarding the collection, use, sharing and storage of information. PPO utilizes input from subject matter experts in conducting a PIA in order to identify risks and vulnerabilities, and provide a summary of mitigating actions. This may result in additional system requirements, as well as the development of additional privacy policies, standards and practices.

#### **Role of ISO**

The Information Security Office (ISO) of the Department of Motor Vehicles reviewed and provided input on the Feasibility Study Report (FSR) and will participate in the development of the Request for Proposal (RFO). An ISO representative will function as a SME from the planning phase through implementation of the project.

2. Will the PPO and ISO be involved in developing and reviewing the security requirements?

**PPO** – Yes

**ISO** – Yes

3. Will the ISO be involved in developing and reviewing the security testing efforts?

We will rely on the security testing completed by the California Department of Technology. However, local testing may be required. At a minimum, the ISO will ensure a local certification process takes place in the form of a security review of documents to ensure critical safeguards are in place and operational.

4. Has the PPO and ISO participated in the response to these questions and signed off on the project-related document(s)?

**PPO** – Yes

**ISO** – Yes

### **3.0 PROPOSED SYSTEM**

1. Who will be the designated owner of the proposed system (system)?

Data Resource Manager, Licensing Operations Division

2. Who will be the custodians and users of the system?

DMV's Information Systems Division (ISD) and the California Department of Technology will be the custodians. Initially, the users will be staff from the Field Operations Division (FOD), and Licensing Operations Division (LOD).

3. Has the data for the system been classified by the owner? Explain.

Yes.

Disclosure Groups: Proprietary

Sensitivity Groups: Sensitive

Critical Groups: Important

4. Does the project require development of new application code or modification of existing code? Explain.

Yes. This effort will include the development of new application code.

5. Will your Agency/state entity share the data for the system with other entities? If so, who?

- a. Federal partners – Yes. Data will be shared with the Federal Motor Carrier Safety Administration (FMCSA) and other jurisdictions via the Commercial Driver License Information System (CDLIS), owned by the American Association of Motor Vehicle Administrators (AAMVA), as required by Title 49, Code of Federal Regulations.

- b. Local city/county partners - No

- c. State agency partners - No

- d. Judicial branch - No

- e. Universities - No

- f. Researchers - No

- g. Others – No

6. If data for the system is to be shared with other entities, will your Agency/state entity implement data exchange agreements with the entities? Explain.

Yes. Data will be shared with the FMCSA and other jurisdictions via the existing CDLIS, owned by AAMVA, as required by Title 49, Code of Federal Regulations.

7. Are there checkpoints throughout the SDLC verifying and certifying that the security requirements are being met?

**PPO** – Yes

**ISO** – Yes

8. At what points will risk assessments be performed throughout the SDLC?

PPO will conduct a PTA during the planning phase of the project. A PTA includes basic questions regarding the nature of the system. PPO will use the results from a PTA to determine whether a PIA will be required for the project and if so, whether a “full” or “short” version would be most appropriate. This is to ensure that the collection, use, and disclosure of data are used for its intended purposes, and in accordance with current and proposed law or statute

ISO will perform the Risk Assessment at the design phase, and implement a certification process during the test phase, to ensure critical safeguards are in place and are operational. Also, a System Security Plan will also be established in accordance with the National Institute of Standards and Technology (NIST).

9. At what point will vulnerability assessments be performed once the system is put into production (e.g., ongoing risk management after implementation)?

ISO Response: Once the system is in the maintenance and operations phase, it will be added to the monthly vulnerability assessment process. In addition, any major upgrades will trigger a security reassessment.

PPO Response: There will be no additional privacy assessments performed unless there is a modification to the production system that affects personal information.

10. Will this system collect federal data? If so, have you yet determined the National Institute for Standards and Technology 800-53 rating (i.e., high / medium / low)?

No.

11. Does your Agency/state entity’s IT Capital Plan address information security and privacy as related to this system?

No.



**Technical Complexity**

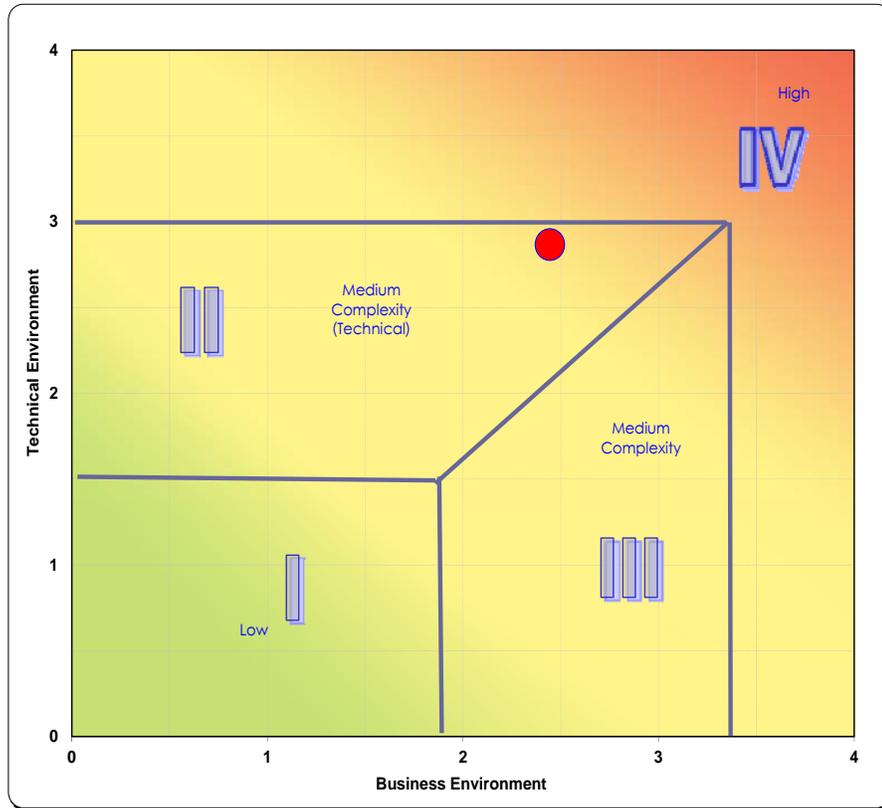
**Instructions:** On a scale of 0-low to 4-high, rate each applicable attribute and compute the Technical Complexity by dividing the total by the number of items rated above zero. Use the definitions in the student notebook for clarity.

Low Complexity		Technical Attribute		High Complexity	Rating
0	1	2	3	4	
Local			<b>Communications</b>	State wide	4
Established			<b>Delivery Mechanism</b>	New	4
Local			<b>Geography</b>	State wide	4
Proven			<b>Hardware</b>	New	3
Stand-alone			<b>Level Of Integration</b>	Tightly Integrated	4
Proven/Stable			<b>Networks (LW)</b>	New	1
In place			<b>New Technology Architecture</b>	Not in place	1.5
9-5, Mon-Fri			<b>Operations</b>	24-hour, 7-day	1
Expert			<b>PM Technical Experience</b>	Novice	0
Established and in use			<b>Scope Management Process</b>	None	1
Light			<b>Security</b>	Tight	4
Proven			<b>Software</b>	New	3
Established and In Use			<b>Standards And Methods</b>	None	2.5
Experienced			<b>Team</b>	Inexperienced	2
High			<b>Tolerance To Fault</b>	Low	4
Low			<b>Transaction Volume</b>	High	4
				Total:	43
				Complexity:	2.9

**Complexity Diagram**

**Instructions:** Plot your project in the appropriate complexity zone.

[Note: Your project will be plotted automatically in this worksheet, using the values computed in the previous tables.]



<b>Scores</b>	Business Complexity	<input type="text" value="2.4"/>
	Technical Complexity	<input type="text" value="2.9"/>

**Suggested Project Manager Skill Set Guidelines**

Complexity		Duration		Budget		Resources	
<input type="checkbox"/>	Zone 1	<input type="checkbox"/>	< 6 months	<input type="checkbox"/>	<\$500K	<input type="checkbox"/>	< 5
<input checked="" type="checkbox"/>	Zone II, Medium Zone III, Medium	<input type="checkbox"/>	< 1 year	<input type="checkbox"/>	<\$1M	<input type="checkbox"/>	<10
<input type="checkbox"/>	Zone II, High Zone III, High	<input checked="" type="checkbox"/>	>1 year; < 3 years	<input type="checkbox"/>	>\$1M; <\$5M	<input checked="" type="checkbox"/>	11 – 20
<input type="checkbox"/>	Zone IV	<input type="checkbox"/>	>3 years; <10 years	<input checked="" type="checkbox"/>	>\$5M; <\$100M	<input type="checkbox"/>	21 – 40
		<input type="checkbox"/>	>10 years	<input type="checkbox"/>	>\$100M	<input type="checkbox"/>	40+

PM Level: 2

Experience: 3 – 5 years as a key team member on a medium or large IT project or as a Project Manager on small or medium IT project. Technical experience commensurate with the proposed technology.

Professional Knowledge: Strong working knowledge of the CA-PMM, department's methodology, Software Development Life Cycle. Familiar with CA Budgeting, Procurement and Contracting processes.

<b>For Oversight Purposes:</b>
Zone I = Low Criticality/Risk
Zones II and III = Medium Criticality/Risk
Zone IV = High Criticality/Risk

**Assess the complexity of the project periodically: every two - three months and/or at the conclusion of each phase**

**ACRONYMS**

Acronyms	Description
AAMVA	American Association of Motor Vehicle Administrators
AB60	Assembly Bill 60
ADA	Americans with Disabilities Act
AIMS	Agency Information Management Strategy
AKTE	Automated Knowledge Testing Expansion
AMCKTS	Automated Multiple Choice Knowledge Testing System
ASD	Administrative Services Division
Cal-Q	California-Qualified
CA-PMM	California Project Management Methodology
CDL	Commercial Driver License
CDLIS	Commercial Driver License Information System
CDLPI	California Driver License Program Improvement
CIO	Chief Information Officer
CPD	Communication Programs Division
DGS	Department of General Services
DL	Driver License
DMV	Department of Motor Vehicles
EASE	Enterprise Applications Services Environment
EAWs	Economic Analysis Worksheet(s)
EPPM	Enterprise Project & Portfolio Management
EXE	Executive Division
FISMA	Federal Information Security Management Act
FO	Field Office
FOD	Field Office Division
FMCSA	Federal Motor Carrier Safety Administration
FSR	Feasibility Study Report
FY	Fiscal Year
ID	Identification
IEEE	Institute of Electrical and Electronics Engineers
IFB	Invitation for Bid
IP	Internet Protocol
IPO	Information Privacy Office
IPOC	Independent Project Oversight Consultation
IPOR	Independent Project Oversight Reports

Acronyms	Description
ISD	Information Systems Division
ISO	Information Security Office
IT	Information Technology
ITM	Information Technology Modernization
ITSP	Information Technology Strategic Plan
IV&V	Independent Verification and Validation
LOD	Licensing Operations Division
MSF	Modular System Furniture
NIST	National Institute of Standards and Technology
OISPP	Office of Information Security and Privacy Protection
OTS	Office of Traffic Safety
PIER	Post Implementation Evaluation Report
PMBOK	Project Management Body of Knowledge
PY	Personnel Year
RFP	Request for Proposal
SAM	State Administrative Manual
SDLC	System Development Life Cycle
SIMM	Statewide Information Management Manual
SITP	Strategic Information Technology Plan
SME	Subject Matter Expert
SOW	Statement of Work
SPR	Special Project Report
TRP	Technology Recovery Plan
UML	Unified Modeling Language
VCH	Veterans/Consumer Price Index/Homeless project