

Risk Management Plan

***Targeting and Analysis Systems Program Office
Automated Targeting System-Land
TASPO_ATS-L_(WR_1941)_RMP_1.1***

***Document Number:
TASPO_ATS-L_(WR_1941)_RMP_1.1***

October 6, 2011



**U.S. Customs and
Border Protection**

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Risk Management Plan

Targeting and Analysis Systems Program Office

Automated Targeting System-Land (WR_1941)

Executive Summary

Background

The purpose of this project is to enhance the Automated Targeting System's-Land application (ATS-L) to incorporate the analysis and rule-based risk assessment of the people crossing the nation's borders in vehicles. Upon completion of the processing and checking of the license plate numbers of vehicles and the Western Hemisphere Travel Initiative (WHTI) compliant documentation of the people seeking to cross the border, ATS-L will allow U.S Customs and Border Protection (CBP) officers to (b) (7)(E) to produce a risk assessment for each vehicle and person. These assessments will assist CBP officers at primary booths in determining whether to allow a vehicle to cross or to send the vehicle to secondary for further examination.

Among the benefits envisioned in the implementation of this enhancement are:

- Providing real-time vehicle and person risk assessment capabilities to land border ports of entry;
- improving security at U.S. land borders by assessing which vehicles and people are more likely to be security risks; and
- (b) (7)(E)

(b) (7)(E)

Deliverables

There is usually a deployment of ATS-L updates every (b) (7)(E) or as requested by the business sponsors, and each implementation is monitored by the ATS-L Project Manager and CBP executive managers on a regular basis.

Schedule

TASPO Program Control maintains the cost estimates and budgets for this project.

Cost

TASPO Program Control maintains the cost estimates and budgets for this project.

Revision History

| Document Number | Description of Revision | Author/ Person Responsible | Government Approval Authority | Date Approved |
|--|-------------------------|----------------------------|-------------------------------|---------------|
| TASPO_ATS - L_(WR_1941))_RMP_1.0.d oc | Initial Revision | (b) (6), (b) (7)(C) | (b) (6), (b) (7)(C) | 5/26/2011 |
| TASPO_ATS - L_(WR_1941))_RMP_1.1.d oc | Revised dates | (b) (6), (b) (7)(C) | (b) (6), (b) (7)(C) | 11/02/11 |

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Date Prepared: October 6, 2011

1. Risk Management Overview

Risk management is the systematic process of identifying, evaluating, and responding to risk. Risk management identifies the likelihood and impact of particular events that could adversely affect project scope, schedule, and cost, and determines whether significant risks should be accepted, transferred, or mitigated. Risk impacts the project in three primary areas: technical (scope), cost, and schedule.

Risk is a potential event that, if it materializes, will adversely impact the ability of a project or program to meet its objectives within predefined constraints (performance, schedule, and cost). This definition includes the two essential characteristics that are common in most best practices: (1) the uncertainty that an event may occur and (2) the potential for loss.

2. Project Introduction

(b) (7)(E)
[Redacted]

3. Project Risk Management Strategy

(b) (7)(E)
[Redacted]

(b) (7)(E)

4. Project Risk Management Methodology

The Project Risk Management Methodology identifies the processes and tools used to plan for, identify, document, assess, prioritize, and monitor and control project risk. (b) (7)(E)

4.1. Risk Tools

Risk tools are those mechanisms used by the project to facilitate risk planning, identification, documentation, assessment, prioritization, and tracking and control. The following risk tools are used on this project:

(b) (7)(E)

4.2. Risk Identification

The first step in risk identification is to identify the potential events or circumstances that could adversely impact project cost, schedule, resources, technical performance or public visibility. Each project team member may have a unique perspective on the project and should be encouraged to voice his or her concerns about risks.

Risk is identified in a variety of ways, which include but are not limited to, the following: meetings and reviews, work product development, data collection and analysis, formal or informal discussions, observations, and requirements determination.

(b) (7)(E)

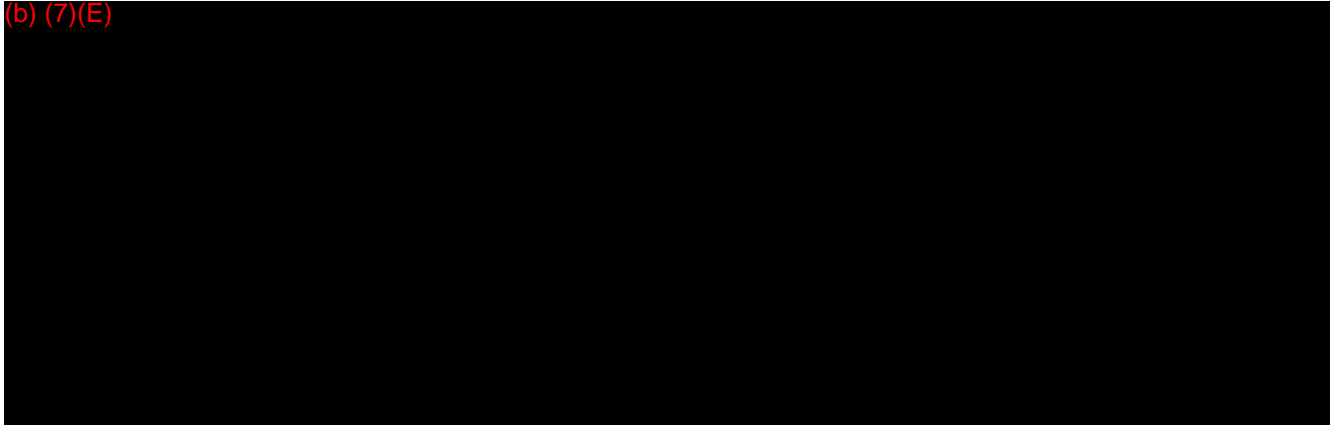
4.3. Risk Analysis and Assessment

(b) (7)(E)

- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]

Table 4-1, *Risk Analysis and Assessment Matrix*, categorizes each risk based on likelihood of occurrence and impact.

(b) (7)(E)



- 5. (b) (7)(E) [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]

[Redacted]

- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]

[Redacted]

4.4. Risk Response

(b) (7)(E) [Redacted]

- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]

- (b) (7)(E) [Redacted]

4.5. Risk Monitoring and Control

Risk monitoring and control is the process of keeping track of previously identified risks, identifying new risks, ensuring the execution of contingency plans, and evaluating their effectiveness in reducing risk. Risk monitoring and control is an ongoing process for the life of the project. Good risk monitoring and control processes provide information that assists with making effective decisions in advance of the risk's occurring. This area of risk management also addresses communication of risk information to the project team, stakeholders, sponsors, and other affected groups and individuals.

The following risk monitoring and control activities are performed on the project:

- (b) (7)(E) [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]

[Redacted]

- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]

5. Risk Management Roles and Responsibilities

(b) (7)(E) [Redacted]

[Redacted]

Table 5-1 below identifies the roles and responsibilities to risk management of the ATS-L maintenance release project.

Table 5-1: Risk Management Roles and Responsibilities

| NAME | ROLE | RESPONSIBILITY |
|---------------------------------|-------------------------------------|--|
| (b) (6), (b) (7)(C) | Project Manager | Identifies, evaluates, prioritizes, reviews, and approves risks, risk actions/plans, and risk closure |
| See Risk List for Risk Owner(s) | Risk Owner | Monitors assigned risk(s), identifies risk triggers and determines when they have occurred, develops (usually) and implements preventative and/or corrective actions, and determines when a risk can be closed |
| (b) (6), (b) (7)(C) | Project Risk Management Coordinator | Updates and maintains the Project Risk Worksheet |
| All Team Members | Risk Identification | Identify risk and source |

6. Project Risks and Risk Response Strategies/Plans

(b) (7)(E)