

**Part I:
Build the
Foundation**

*Technological progress is like an axe in the
hands of a pathological criminal.*

— Albert Einstein



Have you read the
“Seven Facts” section
yet? If not, it is important
that you read it *before*
you continue any further.



CHAPTER 1
ESTABLISH A DECISIONMAKING
STRUCTURE

Chapter 1:

Establish a Decisionmaking Structure

- What** A *decisionmaking structure* for your IT project that:
- provides leadership and accountability,
 - defines the business of the agency,
 - analyzes technical environments, policies and solutions, and
 - effectively manages projects.
- Why** To ensure that there is a well-defined decisionmaking structure with clear responsibilities and authority, that the structure is officially sanctioned and that it involves users to address business problems.
- Who** Agency leadership (Chief, Sheriff and upper management), users (patrol officers, investigators, dispatchers, records clerks, crime analysts, community policing experts, etc.), a dedicated Project Manager and technical staff.
- When** Immediately — before your project gets underway.

Projects, like police organizations, require structure and disciplined rules if they are to be successful. The **decisionmaking structure** defines the project's "**chain of command**," documenting the **roles and responsibilities** of the various people responsible for project actions.

This chapter provides **strategies** and **best practices** for getting the right people involved and developing a **formal structure** for governing a project from planning to implementation. The decisionmaking body will provide oversight and is integral to carrying out all of the work identified in this Guide.

Technology project success depends on user involvement, strong project management and a sound structure for project planning and decisionmaking. Without these essential elements, even the most well-intended and state-of-the-art technology is likely to fail, as it would be designed without strong leadership, effective management, proper planning and the support, input and commitment of the end users.

IT projects require significant buy-in at all levels. The Chief or Sheriff must support the initiative from a financial, personnel and business perspective. Users must be willing to use the technology once it is in place. Technologists must understand the technical environment and successfully support the automated systems.

Thus, planning for technology is not simply a technical issue to be resolved by the agency's technical staff. Planning, purchasing, implementing and using IT successfully is a complicated process that can be impacted by political, organizational, legal, technical, cultural and personality issues. Furthermore, the decision to implement IT must be based upon a particular business need within an organization, rather than the mere availability of technology driving the decision to automate.

Step 1

Identify an Executive Sponsor



Without agency leader involvement, projects can be hampered by personality and turf issues, lack of funding or any multitude of issues that require the agency executive to mediate and/or neutralize.

You must first identify an Executive Sponsor, one who will accept the ultimate accountability for the project and who has the authority to sanction the project and make it a priority. This individual will serve as the champion, spokesperson and leader for the technology initiative.

Additionally, the Executive Sponsor will serve as the project's ultimate decisionmaking authority, committing resources (both human and financial), approving budgets and seeking funding to support the project.

Obviously, this individual must hold a significant rank within the organization, or at least be vested with appropriate decisionmaking authority. We have found that the most successful projects are led by an Executive Sponsor who is a Chief or Sheriff. In larger agencies, or if a project affects a single unit within the agency, sometimes the Deputy Chief or Sheriff who presides over the unit is the Executive Sponsor.

Step 2

Identify Stakeholders

It is critical at the earliest stage in your IT project to identify those people who will be affected by it. Make sure to consider not only those folks who will be using the system, but also those who indirectly play a role in achieving the success of the system. As an initial step, the Project Management Institute advises that it is critical to:

- identify the stakeholders,
- determine their needs and expectations, and then,
- manage and influence those expectations to ensure a successful project.

Obvious key stakeholders will include the Project Manager, system users, your law enforcement agency, and the Chief/Sheriff or Executive Sponsor. But also consider the variety of internal and external project stakeholders:

Project stakeholders are individuals and organizations who are actively involved in the project, or whose interests may be positively or negatively affected as a result of project execution or successful project completion.
—PMBOK®

- **City Council or County Commission**, and any other policymakers and purse-string holders.
- **The public.** The public is increasingly interested in law enforcement information and requesting crime maps and statistics for their communities. Law enforcement agencies will also need to solicit public input for their community policing and other programs. In addition, some policing agencies answer to a police commission and/or an independent public board. (The Los Angeles Police Department, for example, answers to a Board of Police Commissioners, comprised of five civilians appointed by the mayor whose role is to “serve as the citizens’ voice in police affairs”)
- **The media.**
- **Other government and public safety agencies.** Integration and information sharing with other authorized justice agencies should be considered, such as with the fire department, prosecuting attorney and the courts. Agencies outside of public safety, such as housing, public works, parks and traffic engineering, are critical to community policing and problem solving.
- **Others** as dictated by your unique needs.

Step 3

Create a Project Decisionmaking Structure

One thing is for certain: Successful IT planning and implementation cannot be achieved without a well-defined decisionmaking structure. There are many ways to set up a decisionmaking structure to govern IT initiatives.

In this section, two decisionmaking structure models are offered that specifically reflect the differences between large-scale IT initiatives (undertaken by large, regional or multijurisdictional policing agencies) and narrowly focused projects of smaller scope (in small- to medium-sized agencies). We suggest that you review both models, as one or a combination of both may suffice for your initiative, given the size of your agency and the scope of your project.

Follow Structure #1 if:

- Your agency is large (typically, an agency is considered “large” if it employs over 100 sworn officers).
- Your project is large (involving multiple technologies, or a technology that affects multiple units or the entire department).
- Your project is a regional effort (involving multiple agencies and/or jurisdictions).

See
page 27.

Follow Structure #2 if:

See
page 32.

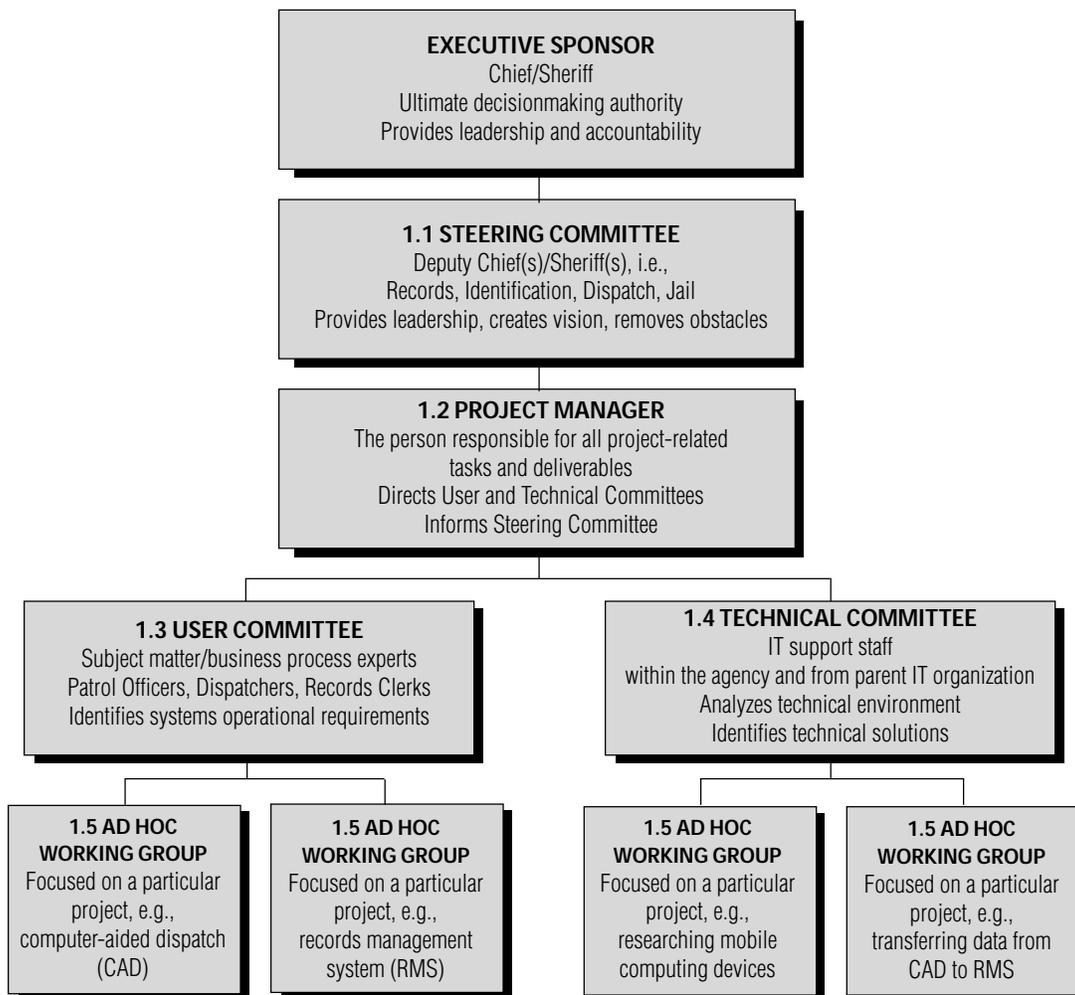
- Your agency is small- to medium-sized (fewer than 100 sworn officers).
- Your project is narrowly focused (for a large agency, perhaps it is a project within a specific unit).
- Financial limitations restrict the amount of human resources that can be allocated to project planning.

MAKE A NOTE OF IT!	
	Representatives of the Decisionmaking Structure will:
<input type="checkbox"/>	✓ Articulate a united vision and determine the scope and focus of your IT project.
	✓ Identify legal, policy, administrative, funding, technical and political obstacles to achieving automation and integration.
	✓ Define and sanction project objectives, tasks and timetables.
<input type="checkbox"/>	✓ Garner support from other relevant decisionmakers (City/County Council).
	✓ Monitor planning, implementation and management of IT.
	✓ Define the operational requirements for an automated solution.
	✓ Oversee systems acquisition.
<input type="checkbox"/>	✓ Resolve obstacles to implementation.
	✓ Review system performance.
	✓ Make recommendations concerning systems improvements, enhancements and next steps.

Structure #1

Suggested for Large Agencies/ Multijurisdictional Efforts

Although there are many ways to configure a project decisionmaking structure, the following illustrates a common and basic structure comprised of a **Steering Committee** to which two additional groups report: a **User Committee** and a **Technical Committee**. **Ad hoc working groups** may be convened for specific short-term tasks.



■ Sample Project Decisionmaking Structure #1

1.1 The Steering Committee

“
It's essential to have a unified department approach with all senior management around the table.
 ”

— Timothy Bray
 Illinois State Police

Who Captains, Lieutenants, high-ranking nonsworn employees (i.e., dispatch supervisor, records supervisor, IT manager).

Role Adopt a shared vision; commit to and guide the project; dedicate staff resources; keep abreast of project progress, risks, challenges, successes; provide update reports to Executive Sponsor; remove project barriers; deal with policy and personnel obstacles; and render decisions on issues that impact project scope, time and cost.

Members of the Steering Committee are generally high-level managers and/or supervisors within the agency. These individuals can assign and commit staff within their department, division or unit to participate in the project as needed. This group will ensure that a structured project management process is adopted and followed for the IT project. The Steering Committee will provide constant guidance and oversight to the project, its progress and deliverables, and will make most decisions related to the project. They will keep the Executive Sponsor informed of project progress and advise the Sponsor of specific action the Sponsor may need to take to remove project barriers or to garner resources. Additionally, Steering Committee members are often individuals from the agency who are involved in broader agency strategic planning initiatives and will make sure that the IT project is properly aligned with the agency's budget, as well as overall business objectives, such as community oriented policing.



*For regional efforts, the Steering Committee should be comprised of the Chiefs/Sheriffs of each of the agencies involved in the initiative. Appointing alternate representatives for the Chiefs/Sheriffs is **not** recommended, unless they are given full decisionmaking authority for their agency.*

1.2 The Project Manager

Who Ideally, an individual who has project management skills, experience and/or training, dedicated in a full-time manner to the success of the initiative.

Role To provide overall project direction, manage the project's schedule, serve as a single point of contact with vendors, direct/lead team members toward project objectives, review and approve project deliverables, handle low-level problem resolution, serve as liaison to the Steering Committee.

Note:
 A detailed discussion of how to hire, assign and/or train a Project Manager can be found in Chapter 2.

The Project Manager must be selected with careful consideration and may need to be empowered to forego his or her normal duties and assignments, sometimes for periods of up to 2 years or more, depending on the project. The Project Manager is responsible for virtually all aspects of the initiative and is formally accountable to both the Steering Committee and the Executive Sponsor. (Informally, the Project Manager is accountable to the User and Technical Committees.) In the event that outside assistance is used (such as contract consultants), the Project Manager will also be responsible for coordinating activities in terms of adopting any recommended project methodology and/or deliverables and facilitating resources (i.e., ensuring that a group of individuals are available for a meeting). The Project Manager assumes the greatest degree of project responsibility and accountability within this framework.

To complete the decisionmaking structure, two other components are essential: User and Technical Committees. While the Steering Committee sets policy, makes key decisions and commits agency resources, its members are not generally involved in the daily operational information flow within and between the agencies, nor do they (or should they) know the technical solutions to these issues. The User Committee is essential for understanding, analyzing and defining the business of the law enforcement agency, while the Technical Committee assesses current technical environments and formulates the technical solutions that enable automation and information sharing.

1.3 The User Committee

- Who** Subject matter and business process experts for the functions to be addressed (i.e., patrol officer, detective, dispatcher, records clerk, crime analyst, property manager).
- Role** To assist and support in creating a project charter (Chapter 3) and ultimately the project plan (Part III). To analyze existing workflows, define business processes (Chapter 4), look for efficiencies and establish the requirements of any new system.



The User Committee should be focused on defining the business, not technical, solutions for the system.

The User Committee will include the “front-line” personnel and key users of the technology. Think of it this way: If a particular group of individuals, patrol officers, for example, will use the technology, they **MUST** be represented on the User Committee. Obviously not every patrol officer needs to be included, but key representative(s) who are in the field and know the day-to-day business of a patrol officer should have a seat on the Committee. Individuals serving on this Committee can include patrol, detectives, dispatch, records clerk, crime analysts and managers. Determining who should be on the Committee will be governed by the specific business processes being addressed (see example next page).



Committees should follow **the rule of 12**: the maximum number of individuals who should participate on a committee for effective decisionmaking.

This group will be charged with analyzing current business processes and practices, identifying ways to improve workflow and efficiency, and defining how the system will support their business needs to make their work more efficient and effective and solve particular problems. The User Committee will evaluate software and technical solutions to their business requirements.

EXAMPLE

Anycity's Chief has decided to replace or enhance the department's CAD/RMS. In assigning individuals to the "User Committee," the Chief appointed the following individuals for the following purposes:

- DISPATCHER** Uses the system on a daily basis to properly dispatch units and capture critical call information.
- PATROL OFFICER** Enters incident reports on a mobile computer that directly accesses and feeds the new records system.
- DETECTIVE** Uses the system to build cases.
- RECORDS CLERK** Enters, validates and maintains information entered in the system.
- CRIME ANALYST** Uses data stored in the system to provide valuable information on crime trends.
- POLICE SUPERVISOR AND MANAGER** Uses information captured in the new system for management of statistics and staff allocation.
- CITY GIS REPRESENTATIVE** Explores the integration of CAD and RMS with the Geographic Information System (GIS).



The decisionmaking structure should not be disbanded. It will be dynamic, perhaps changing scope, focus and membership over time, as priorities, project phases and projects change. A decisionmaking structure remains intact to continually assess the technology initiative and plan for its next phases and future enhancements.

1.4 The Technical Committee

Who Dedicated technical staff from the agency, as well as City/County/State IT staff if support is provided to the agency by the parent organization or central data processing shop of the local jurisdiction.

Role To understand the vision proposed by the Steering Committee and the User Committee's workflow and business needs. To analyze the agency's existing technical environment. To research and propose solutions to the agency's business needs and problems.

The Technical Committee will take its cues directly from the User Committee. Once the User Committee has defined what it needs from a business perspective, the Technical Committee will analyze those needs with a focus on the agency's current technical environment and potential industry solutions. The Technical Committee may be heavily involved in either "building" the solution in-house or evaluating solutions proposed by vendors. This Committee will also have to make important recommendations about training, assigning and hiring staff to implement, support and maintain the new system.

1.5 Ad Hoc Working Groups

Throughout the course of the project, it may be necessary to convene ad hoc working groups to focus on particular issues. These groups may be formed to look at specific tasks and business processes that require more in-depth research or analysis, or to carry out research on and development of a variety of project-specific plans, models, policies and directions. Ad hoc working groups are assembled on a temporary basis to address a specific issue or task.

EXAMPLE

XYZ police department is planning for a new CAD/RMS. The following ad hoc working groups were formed:

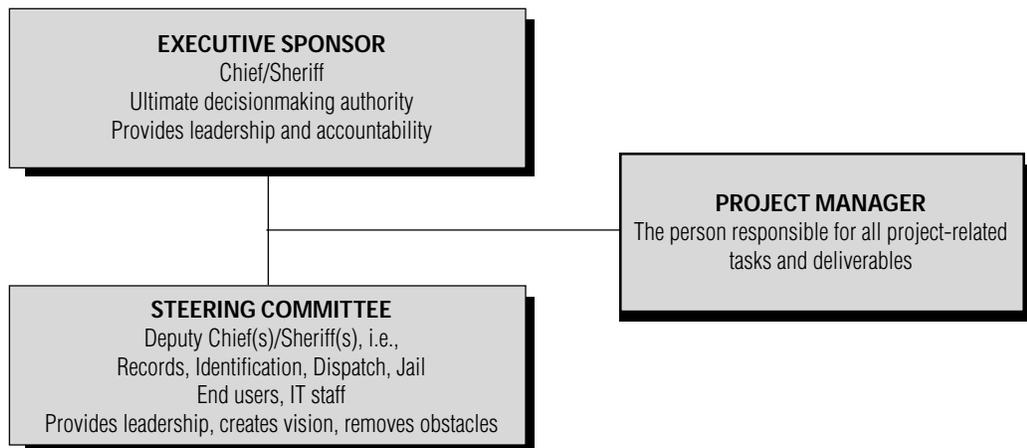
- ✓ Crime Analysis
- ✓ Data Transfer from CAD to RMS
- ✓ Mobile Access to CAD and RMS Data
- ✓ Management Statistics
- ✓ Automated Field Reporting

Structure #2

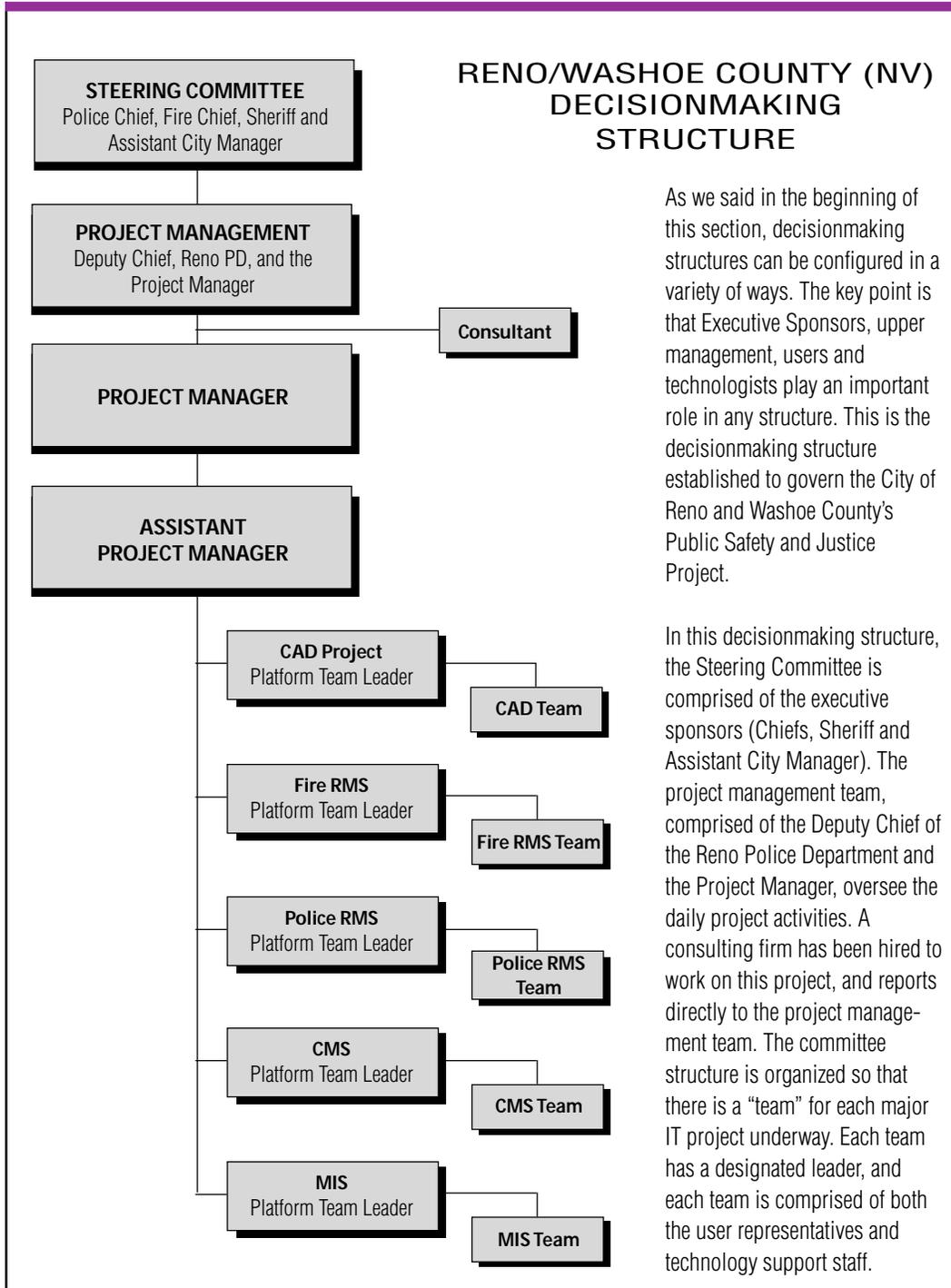
Suggested for Smaller Agencies/ Narrowly Focused Projects

Obviously, if your agency is a small one, or if the project is relatively narrow in scope, your decisionmaking structure may, for example, consist of one committee in which the Chief, users and technical experts all participate. The important concept to note is that representatives from the leadership, business *and* technical specialties should participate on the committee.

The following structure illustrates how small- to medium-sized agencies generally arrange their project's decisionmaking structure. This approach is more common in projects with limited staff size and responsibility. In this instance, the Steering, User and Technical Committees are merged together in one Steering Committee. The chain of command in this example is more direct, as there are fewer individuals involved in the project. Also, agency personnel with specific expertise can be called upon to advise and assist the Committee with research and other tasks on an as-needed basis.



■ Sample Project Decisionmaking Structure #2



Step 4

Involve Other Subject Matter Experts in Committee Deliberations

Make sure not to plan your project in a vacuum! Carefully assess other information systems (new and old) and technology projects taking place around your initiative and gather information on them. As discussed in the “Seven Facts” section of this Guide, any IT project you undertake should be managed in relationship to the broader IT vision your agency has adopted. In other words, receiving a grant to purchase and implement a new CAD system means that you must plan and purchase the system while considering its integration with new and/or existing records management, geographic information, automated vehicle location systems and other law enforcement technologies.

But your agency should also look beyond in-house technology to identify potential information sharing with other justice agencies that will provide efficiencies and leverage the benefits of automation. For example, when implementing a new RMS, a law enforcement agency should look at the potential of electronically sending incident information to the prosecuting attorney’s office and the court. Automating the warrant process and sharing the data with the court is another way law enforcement agencies benefit from electronic capture, storage and sharing of information.

To appropriately do this, representatives of other agencies and/or internal or external projects that can impact the primary project should be asked to provide input and coordinate efforts. For example, if the current project focuses on a new CAD/RMS, other individuals asked to provide input and consultation to Committees or Working Groups could include a representative from the court automation team, a representative from the City who is working on a new citywide GIS, and the architect designing a new communications center. This may also be an appropriate time to consider input from a member of the public (if the public is identified as a key stakeholder).

Step 5

Make the Most of Committees: Conduct Effective Meetings

Nothing is more frustrating for overworked law enforcement personnel than participating in meetings that fail to yield tangible results or make marked progress and that are held just for the sake of it. For the most part, folks who participate in the decisionmaking structure have full-time jobs in addition to this project. When those groups are called upon to meet and work, it is essential to make the most of their valuable and limited time. Make sure each Committee agrees to follow structured meeting procedures by:



What makes a good meeting?

- Short and to the point
- Well organized
- Clearly defined and understood meeting objectives
- Everyone contributes fully
- Everyone feels comfortable if they wish to disagree
- Any conflict is constructive and creative
- Decisions are made and action is planned
- The group openly reviews their effectiveness
- Meetings begin and end on time

How to conduct a meeting:

1. Define the purpose
2. Set an agenda
3. Set a timeframe with start and end times for the entire agenda, as well as individual agenda items
4. Start on time
5. Always keep minutes
6. Keep everyone focused

—www.telstra.com/business

- ✓ Electing or appointing a Committee **Chair** who will commit to leading the Committee and respond to task requests.
- ✓ Establishing consistent **meeting times and dates** (e.g., every other Wednesday at 2 p.m.).
- ✓ Preparing and distributing an **agenda** for each meeting. The agenda should be complete with time allocations for the full meeting, as well as breakdowns for each topic. The Project Manager and Committee Chair are responsible for making sure the meeting sticks to the agenda and the times allotted. Agendas should be:
 - Focused — stick to a subject and have specific objectives or goals;
 - Not have too many topics — cramming an agenda with too many major issues is overwhelming;
 - Complete with background information (if available) on each topic; and
 - Distributed a few days before the meeting so members have time to review the topics and prepare.
- ✓ Determine **voting** procedures for each meeting. For most projects handled within a single agency, a simple majority vote is generally acceptable.



In large-scale or regional efforts, equality in voting should be established. Each agency participating in the effort will have one vote, and decisions must be unanimous.

- ✓ A note taker should be present at all meetings. **Meeting minutes** should be prepared and distributed for every Committee meeting. This prevents returning to previously resolved issues or covering the same topics time and time again.
- ✓ Adopt a **problem escalation and resolution process** so the rules are clearly established at the outset of the project. Here's an example:



Record major ideas and action items on a flip chart so all team members can review them. Before each meeting is over, prepare a list of action items and the person/persons responsible for them and display on the flip chart.

EXAMPLE

The following problem escalation and resolution process will be followed for problems (e.g., resource availability or scheduling) that may arise during the course of the project:

- Step 1** A Committee member will report problem to Project Manager.
- Step 2** Project Manager will research the issue, identify resolution options and make a recommendation to the Steering Committee.
- Step 3** Based on the nature of the issue, the Project Manager will seek resolution approval from the Steering Committee.
- Step 4** The Project Manager will keep track of problems and their formal resolution.
- Step 5** Following an approval or denial by the Steering Committee, the Project Manager will notify the original requestor of the action taken. There is no appeal process.

See Appendix 3 for recommended reading and World Wide Web sites regarding best practices for conducting effective meetings.

Step 6

Make Determinations about Staffing In-house or Outsourcing Project Staff Support

After reviewing this chapter and understanding more about your own project, you may be concerned about staffing for this effort. Perhaps you are concerned about the availability and/or skill levels of existing staff. Perhaps there are personalities within the organization that have a difficult time working together or that could use a mediator or skilled facilitator to guide and referee discussions. Perhaps you just need objective, neutral and outside input during each phase of your project.

In determining whether you should handle this project in-house or outsource it, you should ask yourself, at a minimum, these questions:

- Who will guide/steer this project through its entire lifecycle?
- Who will establish action items and make task assignments?
- Who will be responsible for documenting project deliverables?
- Who will set meeting agendas and conduct follow-up?
- Who has expertise in project management best practices and planning?
- Who has expertise regarding the technology and current law enforcement IT applications and their potential uses?
- Do we know enough about technology projects to ensure success?
- Do we have the time necessary to do this properly?
- Do we want to do this?



Outsourcing: The Force Multiplier

In addition to using in-house staff, outsourcing a number of project activities to a third party can help an agency get more work done in a shorter timeframe.

At this point, it may be time to consider outsourcing some staff functions if you find there are not sufficient or skilled resources in-house to do so. This involves some honest assessments about existing staff, their capabilities and current commitments. Project leaders often base their decision to outsource on the following criteria:

- ❑ **Skill levels** of current staff. An objective and honest assessment must be made regarding the skill levels of current staff to handle the initiative, specifically in the areas of project management and the specific technology you are trying to implement.
- ❑ **Project complexity.** Aside from the obvious large-scale or multijurisdictional efforts, remember that even projects that appear relatively simple can require expert knowledge and skills (consider the complexity of some interfaces: the scope may be small, but the coordination and skill requirements can be immense). If a

project involves a high degree of complexity or will have a major impact on agency operations, a detailed assessment of staff skill levels and availability will be required.

- ❑ **Budget allocations.** Is there sufficient funding in the budget to allow outsourcing of staff activities? Is there sufficient funding to compensate for overtime costs associated with using in-house staff? As a general rule, consulting services will cost approximately 10–15% of the project's budget. An important concept to consider is the likelihood that outsourcing will actually *reduce* project costs by preventing costly project mistakes and by capitalizing on a consultant's ability to negotiate prices with vendors.

Many agencies turn to professional consultants or firms to assist with their projects. The role of a good consultant includes one, or a combination, of the following:

- **Expertise.** The consultant provides knowledge or skills the agency does not have in-house (e.g., an in-depth knowledge of the planning process or operational technology such as CAD/RMS/Mobile systems).
- **Additional staffing.** The consultant often performs tasks that an agency knows *how to do*, but just doesn't have *time to do* (e.g., organizing meetings, drafting documents, conducting interviews, etc.).
- **Partnership.** The consultant often participates as a Project Team member, contributing knowledge and guidance while empowering agency staff with the ability to accomplish various tasks (e.g., providing guidance in the key elements of building a business case, conducting strategic planning or facilitating meetings). The outcome of such a partnership can be a more structured initiative, with agency personnel in command of their project.

Although outsourcing may enhance your chances of success, it will not relieve you from the burden of project accountability. Therefore, it is critical that you appoint an agency staff member to serve as the Project Manager, *and* you must insist upon using the guidelines presented in this book (or some other accepted and structured methodology) to properly plan and implement **your** technology initiative.

What is the biggest mistake that companies make with regard to IT outsourcing?

"Companies believe they no longer have to manage IT because it is outsourced."

— Peter Pijawka
President, Aligne

If you choose to outsource, at the very least make sure to:

- Detail the expected scope of work and other expectations for the consultant.
- Determine a realistic budget for the services.
- Request proposals for scope, timeline and cost of work from the consultant.
- Develop a clear contract with the consultant that includes the above items.
- Get at least three references.
- Request the consultant identify a strategy for his or her exit from the project when concluded.



Remember: Consulting costs allowable under grants are usually subject to rate caps. Be sure to check these limits prior to outsourcing.



CHAPTER 2
HIRE, ASSIGN AND/OR TRAIN A
PROJECT MANAGER

Chapter 2:

Hire, Assign and/or Train a Project Manager

- What** An *individual* accountable for all project-related activities and solely responsible for the project's scope, quality and budget.
- Why** To facilitate project accountability and organization. As the single point of contact for agency leaders, project committees and working groups, vendors and subcontractors, the Project Manager is the center of the project universe.
- Who** A full-time individual either currently on staff or hired specifically for the project. Ideally, assigning existing staff should be done when the employee can be dedicated exclusively to the project (not as an "additional assignment"). Your agency should try to choose someone with strong project management experience.
- When** As early as possible in the project, before major decisions are made about project scope, goals and objectives, etc. A skilled Project Manager will possess a vast range of experience to help complete all of the important project planning tasks.

If you don't have someone at the helm of your project who is responsible for all aspects of the initiative, it can quickly and easily spin out of control or fall apart completely. Furthermore, a Project Manager keeps the "paper trail" on the project, so to speak, documenting all issues, actions, decisions and phases. The Project Manager is the individual responsible for all project stages, phases, tasks and deliverables, and is answerable to the Executive Sponsor and Steering Committee.

This chapter will help define what the Project Manager does and help you assess whether you have someone within your agency who can fulfill this critical role.

SAMPLE PROJECT MANAGER

JOB OVERVIEW

The Project Manager will:

- **Oversee, plan, schedule and control activities related to planning and implementing new law enforcement information systems.**
- **Fulfill project objectives by applying theoretical, managerial and communications skills to satisfy project requirements.**
- **Lead, coordinate and integrate Committee and individual efforts in this regard and build positive professional relationships with users.**
- **Report to the project's Executive Sponsor and Steering Committee, and preside in the User and Technical Committees and ad hoc working groups throughout the course of the project.**

RESPONSIBILITIES

- Structures projects and activities.
- Develops project plans and schedules (using the work breakdown structure (WBS) discussed in Chapter 9).
- Manages projects within the established schedule constraints.
- Controls project costs to ensure budget performance and compliance with grant requirements.
- Ensures compliance with agreed-upon project management procedures.
- Manages, coordinates, integrates and facilitates the efforts of individuals and Committees and other resources associated with the project.
- Supervises subcontractors and outside professional services.
- Coordinates project planning activities.
- Coordinates project purchasing activities. Interfaces with vendors to ensure conformance to specifications/standards and the Project Plan, and with City/County procurement officials to ensure compliance with purchasing/contracting regulations.
- Effectively communicates in meetings, conversations and presentations in a concise, clear and professional manner.
- Professionally directs and leads meetings.
- Prepares and issues written correspondence, including progress reports, meeting agendas and minutes, proposals and project summaries to project leadership, committees, stakeholders and staff.
- Ensures timely follow-up to all commitments.

JOB DESCRIPTION

- Compiles all project files.
- Researches and applies appropriate technologies to support scope of work documents, designs and specifications.
- Keeps in touch with technological developments within specific discipline/area of expertise.
- Supports and interacts with other Project Managers, where appropriate, to ensure the success of their projects and the successful integration between projects.
- Provides employee and contractor performance feedback as required.
- Develops a workload management plan (resource planning) that organizes and forecasts personnel allocation to assignments.
- Develops task estimates.
- Continually evaluates Project Plan for alignment with the agency's overall strategic IT vision.
- Performs other duties as required.
- Ability to develop master project schedule, complete with work breakdowns and assignments.
- Direct and control all work performed within the WBS.
- Ability to assign tasks.
- Effective problem-solving skills.
- Basic computer usage skills.

REQUIRED SKILLS

- Ability to effectively organize and structure activities.
- Strong analytical capabilities.
- Ability to grasp strategic concepts.
- Strong strategy development skills.
- Exceptional verbal and written communication skills.
- Good understanding of business and financial principles.
- Ability to lead and facilitate multiple activities and resources.

PERSONAL ATTRIBUTES

- Strong interpersonal skills.
- Strong managerial skills.
- Team-building skills.
- Ability to motivate and develop others.
- Tenacious.
- Thick-skinned.
- Effective communicator.

WORKING CONDITIONS

This project may require the following:

- Extended hours.
- Travel throughout the United States to review other law enforcement automated systems and attend applicable conferences and/or training.



As we noted in “About the Guide,” this book is written with the assumption that your agency can dedicate existing staff or will hire a full-time, in-house Project Manager. This Guide is intended to walk you and your staff through a project management strategy for law enforcement information systems planning and implementation. If, after reviewing this chapter, you determine your agency does not have the in-house resources or will not be hiring a full-time Project Manager, you may need to outsource the project management role. We want you to be aware that any firm or individual that you may outsource this role to will (and should!) have established project management methodologies and techniques that they follow. Those methodologies may differ from this Guide in the order they are completed or what they are called. This Guide, in that case, will serve to educate you — prior to outsourcing — about key project management issues and tasks, and can be

used as a reference in working with the contractor you have chosen. It may become a particularly useful tool if your contractor has little or no experience in law enforcement information systems planning and implementation (we would discourage you from contracting with one who doesn't have much experience, but we realize that sometimes budget limitations and availability can limit your choices). In any event, we want you to know that when you outsource, you will be following your contractor's methodology for project management, but that the Guide, nevertheless, will be a useful tool in that process. **Even if your agency elects to outsource project management activities, there *must* be an agency staff member who is responsible for overseeing the entire project and representing the agency's interests; no vendor can do that.**

Project Manager's Responsibilities



See: ***The rest of this Guide!***

Seriously, the Project Manager will be involved in all aspects of the agency's IT project and, indeed, should coordinate and lead the activities outlined in this book. The Project Manager ensures that all appropriate planning requirements have been addressed throughout the course of the project.

Project Manager Tool Kit

Now that you've gone to the trouble of securing a good Project Manager, make sure you provide this person with tools to make him or her effective at this job, such as those listed below.

- Ongoing training in effective project management is worth its weight in gold, or at least the registration fees. If you are reassigning someone in your department to manage this project, find a 3- to 4-day project management course that person can attend.
- Encourage your Project Manager to join a professional project management organization and to network with Project Managers from other police agencies in your area.
- Suggest the Project Manager review helpful online resources, complete with online project support information, such as those listed in Appendix 3.
- Purchase a solid project management software package.
- Check out colleges and universities for project management information and courses.
- The Project Management Institute (www.pmi.org) is one of the best resources for tools and support for the Project Manager. Information on PMI can be found in Appendix 3.

Executive Sponsors: Make the Most of Your Project Manager



As you've gathered so far, many agency staff will be important to the success of an IT implementation. However, two individuals in particular are critical to a project's survival, and their relationship with each other is key. As we have mentioned, your role as the Executive Sponsor cannot be overemphasized, particularly in relation to providing continuous support and direction to the *other* critical project person: the Project Manager.

The rest of this Guide will focus on the critical tasks that will occur throughout the life of the project to continually ensure that the project is on track, properly focused and within budget. As Executive Sponsor, you must do the following to effectively complete these tasks and realistically deal with the project's challenges, opportunities and difficulties:

- Supply the Project Manager with **training**, if needed, and the appropriate tools (mentioned above).
- **Empower** the Project Manager — i.e., give the Project Manager authority to call meetings, assign tasks to team members and enforce completion of those assign-

Roles Played by Project Manager

- Task master
- Coach
- Cheerleader
- Social Worker
- Advocate
- Defender

—Taken from *A Practitioner's Guide to Managing Projects in the Information Age.*

ments. Ensure that the Project Manager has sufficient authority to provide teams with the necessary resources (i.e., time, personnel, funds, research, education, etc.) to complete their assignments in an effective and timely manner. The Project Manager must either have direct authority to make these assignments, or at least have the authority to meet with other agency staff who control these resources to make the assignments.

- Understand and embrace the principles of **risk management** (see Chapter 12). Risk management will allow Project Team members to assess the challenges and opportunities of the project from the start and help craft contingency plans to deal with them effectively. It is important that the Project Manager understand your commitment to effective risk management and planning.

And, perhaps most importantly:

- **Encourage and commit to open lines of communication with the Project Manager.** It is critical that the Project Manager be able to openly and honestly discuss the project, its status, challenges and opportunities with the Executive Sponsor and the Steering Committee. You should provide an open, comfortable forum for discussing the project, its progress and obstacles on a regular basis. Projects invariably slip in deadline and sometimes budget, and always experience challenges and difficulties. It is critical that when these challenges occur, the Project Manager is able to openly communicate issues with members of the decisionmaking structure and agency leadership. This will allow appropriate and immediate corrective actions to take place to avoid the project spiraling out of control.

“
Every project, no matter how complex or apparently simple, must have a single point of leadership with overall responsibility and commensurate authority, if it is to have any hope of success.

”

— David J. Roberts
 SEARCH

Daunted by the task of finding a Project Manager who has law enforcement, IT *and* project management experience?

It's true, finding a single individual with all of these skills is a challenge. If you can't assign or hire a person with all three of these skills, an individual with solid project management experience is preferred, as he or she will most likely be capable of seeking out good technology advice while helping craft a solution that **meets the business needs of the agency**. That, many say, is more important than someone with a great deal of technical experience who has little understanding of the business needs of the law enforcement agency.



CHAPTER 3 DEVELOP A PROJECT CHARTER

Chapter 3:

Develop a Project Charter

- What** A *document* that contains an IT project description, complete with scope, objectives, organization and staffing, a decisionmaking structure, the project management approach and initial resource requirements.
- Why** The Charter provides guidance to project staff and team members in planning and designing a system to meet the guiding vision of the Executive Sponsor and Steering Committee.
- Who** The Project Manager and Steering Committee, with the advice and input of the User and Technical Committees.
- When** Shortly after the decisionmaking structure is formed and prior to developing the full Project Plan.

The **Project Charter** is a document that formally recognizes the existence of a project. It should include: 1) Business need that the project was undertaken to address; and 2) The product description.

—PMBOK®

The Charter defines the **scope and objectives** of the project and is a reference point by which all activities can be **measured** to see if they meet the **vision** for the project, as defined by the Executive Sponsor and Steering Committee. It defines what the project is committed to deliver, a budget for doing so, the human resources available and the methodology to be followed for project planning and implementation. In short, the Charter defines the **rules of engagement** for a project.

A Charter puts everyone involved and/or affected by the project on the “same page.” Leaders, managers, users and supporters of the system have a clear understanding and a reference document to constantly assess the project’s direction. The Charter is *not* the Project Plan document. It does, however, form the basis for the Plan and lays out the strategy and methodology that will be followed in creating the Plan.

This chapter will outline the components of a Project Charter and help you build this important first guiding document for your project.

A 12-Step Program for Developing the Charter

“The charter is a document that conveys the purpose and requirements of the project to the Project Team — the ‘who,’ ‘what,’ and ‘why’ of the project.”

— *The Project Management Memory Jogger*

When final, the Project Charter will include:

- Business Case Statement
- Background
- Vision Statement
- Scope Statement
- Objectives
- Planning Methodology
- Initial Timelines
- Preliminary Budget

Step 1

Write the Vision Statement

The first order of business for the Steering Committee is to craft a vision statement for the project. It is a means to garner consensus and buy-in at the very start of the project from the principal decisionmakers. The vision brings a tangible reality to what the agency will address with the new system and plays a major role in defining the project scope and developing realistic project objectives and milestones.

“Vision answers the question: What will success look like?,” says the Alliance for Nonprofit Management (www.allianceonline.org). “A vision statement should be realistic and credible, well articulated and easily understood, appropriate, ambitious and responsive to change. It should orient the group’s energies and serve as a guide to action. It should be consistent with the organization’s values.”

From the vision statement, the Project Manager, project committees and ad hoc working groups can drill down deeper to define the project. It will allow these groups to set a realistic scope for the effort, articulate the problem IT will solve and/or the functionality it will provide, and the business requirements for doing so.

How do you create a vision statement? The Executive Sponsor and Steering Committee should hold a meeting just to develop the vision statement. Brainstorm, encouraging everyone’s input, and think about these questions:

- How do you want this IT effort to impact your agency?
- What role will this project play in your agency?

A vision is a guiding image of success formed in terms of a contribution to

society. If a strategic plan is the “blueprint for an organization’s work, then the vision is the ‘artist’s rendering’ of the achievement of that plan.”

— From “Strategic Planning FAQs” at www.allianceonline.org/faqs.html

- How do you see business processes changing as a result of the new technology?
- How will things be different when this problem is solved?
- What will success look like?

Each individual should share his/her vision of success with the group. The key will be to look for commonalities, as well as differences, in vision/ideas.



Project Managers: You should facilitate this discussion and help the group explore its individual and collective vision. You should record the results and draft a concise vision statement to be presented back to the Steering Committee for review, revision and approval. The vision should be reworked and revised until all members are in agreement. (Note: The vision can and may evolve throughout a strategic planning process, particularly after what may be learned in the environmental scan process discussed in Step 3.)

SAMPLE VISION STATEMENT:

To establish and maintain an integrated CAD/RMS that maximizes efficiency of agency personnel and management, while making complete and accurate information available on a timely and secure basis, thereby enhancing public and officer safety.

Step 2

Give the Project a Name

This step is pretty straightforward, we think. The name should be descriptive about the product to result from this effort (e.g., Integrated CAD/RMS Project), which helps give the initiative an identity among the stakeholders.

Step 3

Get the Big Picture, Conduct an Environmental Scan

Now that you have a name and vision statement for your IT initiative, you should conduct an environmental scan (ES). The ES is simply an initial step in the planning process that helps the Executive Sponsor, Steering Committee and others on the Project Team gain a perspective on their initiative. It is the “forest from the trees” exercise that ensures that the project does not simply become an “island” in the “sea” of other projects.

Internal and External Issues to Scan

Codes, Rules and Ordinances

At the City and County levels, which codes, rules and ordinances will affect your project and how? If you are a State-level law enforcement agency that plans to roll out technology to locals, will these have an impact? In either case, an understanding and compliance with codes, rules and ordinances will be necessary.

Economy

The economic situation, whether in your jurisdiction, statewide and nationally, will impact your project in a variety of ways. Will IT professionals be available for hire? Will the cost of equipment and technology plummet or soar? Will your agency face a staffing shortage, or will its budget be cut?

Federal and State Legislation

Review both existing and potential Federal and State policies and laws that may impact your project. Mandates for gathering and sharing information can have a major effect on the design of your systems. Requirements to collect racial profiling information, for example, have impacted the types of information and the methods for collecting it in policing agencies across the country. With the renewed focus on counter-terrorism, new State and Federal laws are bound to impact law enforcement information gathering and sharing.

Human Resources

Assess the availability of personnel within your agency, as well as those outside your agency, that will be needed to support system planning and implementation. What are some of the roadblocks? Are there other major IT projects underway that may impact the ability of County IT to support your effort (if that is their role)? Does your agency have sufficient IT staff and/or are those staff sufficiently trained to support new technologies? How will your staff be impacted by this large project?

Budget and Capital Resources

For most jurisdictions, there is no question: Money is tight. You need to carefully assess the budget for this project and look at realistic cost comparisons to projects similar to yours in size and scope. What other monetary resources do you have available for this effort (grants, donations, etc.)? What are the unique budget issues in your jurisdiction? What are some of the major capital improvement projects underway and how do they impact this project? How will long-term maintenance be funded?

Organizational Structure

Particularly from an IT support perspective, you should determine how IT will be managed, both in planning and implementation and long-term. Does your agency have an in-house IT staff, or will the City or County IT shop support the system? Perhaps a combination of both? What is the chain of command for making decisions about IT?

Policies and Procedures

Research the published policies and procedures that pertain to your agency. Don't forget to also consider business practices that may not be formally prescribed, but that are done out of historic practice (e.g., "we've always done it that way").

Politics

And we're not just talking Election Day politics here. We know each agency has its own internal politics. Don't forget to take an honest look at how that may affect your project and its priorities. Also, if City, County, State or agency leadership is changing, it is important to make every effort to predict whether priorities will shift.

Public Opinion

The public sentiment about crime, technology and policing in general may impact your project. A formal public opinion poll is probably not necessary; however, you should assess the climate of public opinion in your jurisdiction related to these issues. Strong public support is important, particularly if the agency's IT initiatives require funding such as a bond referendum.

Stakeholders

As mentioned in Chapter 1, it is important to properly identify those stakeholders who will be affected by the project and the technology implementation. Now, and as the project moves forward, continuous assessments should be made to ensure that the right individuals are involved. As the project progresses, different stakeholders may come into the picture as different activities take place.

Technology and Standards

What technology is your agency working with now? Does the broader government structure (City, County or State) have IT standards with which you must comply? Where is technology going in general? How will this impact what you may be able to do in the future? What technologies are other law enforcement agencies testing at this time? Is the proposed technology proven reliable or leading edge? These are some of the questions you should be asking during this assessment.

Regional Decisions

Assess what other public safety and justice agencies in your region are doing. For example, if your agency is interested in sharing information with law enforcement agencies in neighboring jurisdictions, you should determine whether those agencies have made specific decisions that may impact your project. Have they developed strategic plans for their IT initiatives? What technologies are they pursuing? Is there a justice information system integration initiative underway at the City, County or State level?

The ES allows you to systematically assess factors that present opportunities for improving the success of, or that present major obstacles to, the project. It requires a continuous **gathering and analysis of internal and external data** available to an organization from a variety of sources. (See the chart on pages 54-55 for typical issues to scan.)

Sometimes referred to as a situation or “SWOT” assessment, an ES contains the following:

- An *internal scan* that identifies the **strengths (S)** and **weaknesses (W)** of the agency.
- An *external scan* that identifies external **opportunities (O)** and **threats (T)** to the agency.

Some of the results from the ES will be specifically outlined in the Charter, while other results will help to craft components of the Charter and the Project Plan. In any case, the ES helps identify emerging issues that will be of strategic importance during the life of the project and help the Project Team identify potential opportunities and threats, and craft appropriate responses to both.

Step 4

Build the Business Case

One of the key tasks in project planning is to educate current, future and other potential stakeholders about the benefits and payoffs of the new IT system. Even if all the stakeholders seem to support the idea, it is still critical to **articulate the need and state the benefits of the new system**. Building a business case that clearly justifies the project is critical for the Project Team, those who will be affected by the end product, and key policymakers and funding entities. **Think of the business case as your project’s marketing plan.**

“A well-crafted business case is a powerful communication tool that can increase support for the effort.”

— From *And Justice For All: Designing Your Business Case for Integrating Justice Information*

The business case should be built on two tracks:

- 1) to address issues pertaining to direct users of the system, and
- 2) to address issues essential to funding and other decisionmaking bodies.

So, how do you build the business case? As a Project Manager, think about how you would justify a large commitment of money and resources in technology to your Chief/Sheriff. What would you say to convince him/her of this project’s importance? How will you convince the users of the new system that the initiative is important for them? What would you say to the patrol officer who will be using new laptop computers, for example, to create reports in the field?



Executive Sponsors: *You will most likely have to appear before a funding agency or policymaking body that will ask why it should support and fund this project (particularly in light of other competing government priorities). What will you say?*



In preparing the business case, make sure to account for expenditures and investments already made in existing or “legacy” technologies and the benefits realized from those systems. Also describe how those investments will be leveraged in the new effort.

A strong argument should be crafted in terms of *operational benefits* to the agency and public. So for the benefit of direct users of the system and the Executive Sponsor, for example, you may want to discuss broadly how implementing IT results in myriad benefits, such as:

- More accurate and complete data available in a more timely fashion.
- Reduction of redundant data entry, which leads to greater efficiency and accuracy.
- Significant reduction of paper documents.
- Better decisionmaking by officers in the field, detectives investigating a crime and management in allocating resources.
- More complete, accurate, timely and accessible information will improve reporting and trend analysis, streamline data processing and workflow, and will ultimately enhance public and officer safety.

Users of the system will want to know how it will make them more efficient and effective, and how they can work better and faster. For example, you may explain how the new integrated system will automatically provide officers with call for service information and incident and arrest history, as well as any alerts for a particular address while the officer is en route to the call (without having to initiate a query).

If you are pursuing a new automated field reporting system, you may want to extol the virtues of the system’s built-in edit checks that will allow officers to accurately fill out reports. Drop-down menus, spell check and automatically-populated fields will make an officer much more efficient in report generation. Explain how reports prepared on laptops in the field are generally more accurate (no need to translate officer handwriting) and are available much more quickly than a paper form that is returned to the records bureau for data entry. Officers can also benefit from the automated systems’ ability to identify suspects, crime patterns and potential crime problems much more quickly than manual systems, and at an earlier stage, allowing a proactive approach to policing.

Obviously, there will be other unique benefits in your agency or jurisdiction that you will want to highlight in the business case.

Funding bodies and policymakers will want to know how public safety will be improved, and how agencies will leverage existing technology investments and work with other agencies to maximize technology investments (i.e., police designing systems to share information with fire, courts and other justice agencies).

Other business case builders include unfortunate, yet powerful, anecdotes of human loss and tragedy that could have been avoided or averted due to technology availability.

The **business case** articulates why the project is important in terms of *operational benefits* to the agency, the justice system in general and the public, which ultimately results in the enhanced administration of justice and increased public safety.



Discuss alternative solutions to the problem. Building a strong business case means that you have also considered other potential solutions to the problem but ruled them out for one reason or another. The business case for this project will be stronger if decisionmakers see the justification for the proposed project compared to alternative solutions.

Step 5 Include Background or Historical Information, if Relevant

If information is available about the results of previous project activities and the decisions made and lessons learned, include this in the Charter. It can also be useful to document the major reasons for past project failure to avoid the same mistakes in the future. Similarly, include information on approaches that have been successful.

Step 6 Establish the Project Scope

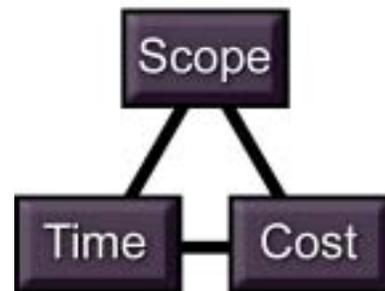
A written scope provides a basis for developing, articulating and confirming a common understanding of project scope among the stakeholders. **Scope clearly defines the boundaries of the project.** Defining scope also identifies which activities are “in” the project and which activities are excluded.

Scope addresses:

- **What** users want (functions).
- **How** well the user requirements are met (quality of).
- **When** and how it must be developed (constraints).
- **Why** (the value in the project).

At this stage, scope should be defined in a relatively concise statement. Later, during the Project Plan development, scope will be fleshed out in very specific detail by the User Committee and the Project Manager (see Chapter 9).

We will introduce the concept of the **scope-time-cost triangle** here. As you are developing scope, both initially for the Charter and later in more detail for the Project Plan, keep in mind that



“Scope: The first phase of the project where the who, what, where, why, when and how are determined at a very high level.”
— *IT Professional's Guide to Project Management*

should any one of the three “triangle” components grow, there is a direct effect on the other “corners” of the triangle. Thus, as scope “grows,” so does the cost of the project and its scheduled completion time.

Step 7

Establish Preliminary Project Objectives

The User Committee should spend some time developing preliminary project objectives for the Charter. Objectives break down scope to the next level of detail. Objective statements should be quantifiable in terms of time, money and technical quality that the project must achieve to be considered successful. These will be further detailed and explored during the needs assessment (Chapter 5) and developed more fully in the full Project Plan.

Step 8

Note Major Project Assumptions and Constraints

Assumptions and constraints are circumstances and events that can affect the success of the project and are generally out of the control of the Project Team. Many of these issues will be explored during the ES. Those with high likelihood of occurring should be listed in the Charter. For example, a constraint may be that there will not be ample or additional funding for hiring new or additional IT staff to support the project. An assumption for an RMS project, for example, may be that the current CAD will not be replaced and must remain operational for two more years.

Listing these assumptions will provide assistance in making decisions and, in some cases, justifying those project decisions.

Step 9

Develop Initial Timelines and Preliminary Budget

Based on the scope of the project, it is useful in the Charter to articulate some general timeframes and deadlines for the full project, as well as broad timelines for major milestones and deliverables. These timetables will be honed and detailed in the full Project Plan.



Be careful what you promise IT will do ... Many agencies have over-promised returns on investments in technology, only to have to explain later why these expectations have not been met. Make sure to back up arguments by providing empirical research and examples based on research and statistics.



It is important to have buy-in up front from the Chief to the users, and you do this with an aggressive marketing plan.

Step 10

Include Project Planning Methodology

The Charter should include a discussion of the major project planning tasks that will take place, such as conducting a needs assessment, developing a requirements definition, doing a risk assessment, completing budget estimates and developing the full Project Plan. This will give all stakeholders an outline and order for project planning tasks.

Step 11

Provide Project Team Organizational Chart and Membership Roster

The project planning structure is important to detail in the Charter. Obviously, not all agency users of the system can participate on the planning team, but through an organizational chart and roster, they can see those who are representing them. Those not on the team, but interested in contacting members to provide input or comments about the project, can do so.

Step 12

Sign, Seal and Deliver

That's right, the Charter should be signed! The Executive Sponsor and members of the Steering Committee should sign the finished document. The Project Manager should distribute the Charter to anyone who has a stake in the project.

What's Next?

Assess Current Systems and Processes	Chapter 4
Conduct Interviews and Focus Groups	Chapter 5
Identify General System Requirements	Chapter 6
Make the "Build or Buy" Decision	Chapter 7

PART I ASSIGNMENTS

EXECUTIVE SPONSOR

- Role**
1. Ultimate decisionmaker
 2. Provide oversight and guidance
 3. Align project priorities with parent organization
 4. Resolve management issues
 5. Commit human and financial resources

- Build the Foundation Tasks**
1. Make sure your agency has a strategic business plan in place (Seven Facts You Should Know, page 15)
 2. Commit to the project (Chapter 1, page 23)
 3. Appoint the Steering Committee (Chapter 1, page 28)

STEERING COMMITTEE

- Role**
1. Allocate resources
 2. Provide knowledge and recommendations
 3. Remove project barriers
 4. Update/inform Executive Sponsor

- Build the Foundation Tasks**
1. Assign staff to User and Technical Committees (Chapter 1, pages 29, 31)
 2. Assign/hire Project Manager (Chapter 2)
 3. Adopt a vision for the initiative (Chapter 3, page 52)

PROJECT MANAGER

- Role**
1. Manage project (e.g., activities, deliverables, schedule)
 2. Provide overall project direction
 3. Single point of contact with vendors
 4. Direct/lead team members toward project objectives
 5. Review and approve project deliverables
 6. Handle problem resolution
 7. Update/inform Steering Committee

- Build the Foundation Tasks**
1. Develop meeting schedule and agendas (Chapter 1, page 35)
 2. Facilitate Steering and User Committees in developing a Project Charter (Chapter 3)
 3. Conduct an environmental scan (Chapter 3, page 53)

PART I ASSIGNMENTS, CONTINUED**USER COMMITTEE**

- Role**
1. Business experts who will analyze and document existing business processes and develop new processes for information flow and management within the agency
 2. Provide input to the Steering and Technical Committees

- Build the Foundation Tasks**
1. Assist in developing the Project Charter (Chapter 3)
 2. Build the business case (Chapter 3, page 56)
 3. At the direction of the Project Manager, begin developing project scope (Chapter 3, page 58)
 4. Advise/inform Steering Committee

TECHNICAL COMMITTEE

- Role**
1. Review existing technologies
 2. Make recommendations about new technology based on business needs, as defined by the User Committee

- Build the Foundation Tasks**
1. Form Committee (Chapter 1, page 31)
 2. Include IT staff from parent organization, if appropriate (Chapter 1, page 31)
 3. Assist in developing the Project Charter (Chapter 3)