

**SAM – INFORMATION TECHNOLOGY  
(California Department of Technology)**

**PROJECT REPORTING/OVERSIGHT**  
(Revised 04/2017)

**4819.36**

1. **Projects Approved by the Department of Technology**—Project reporting documentation submitted to the Department of Technology usually will require:
  - a. Submission of a Special Project Report (SPR) (SAM Sections [4945-4945.2](#)) to the Department of Technology and the Office of the Legislative Analyst, if:
    - 1) The total IT project costs deviate or are anticipated to deviate by ten percent (higher or lower) or more, or by more than a specifically designated amount as determined by the Department of Technology, from the last approved estimated IT project budget (to be measured against the combined total of each fiscal year's One- time Project Costs plus Continuing Project Costs);
    - 2) The last approved overall project development schedule falls behind or is anticipated to fall behind by ten percent or more;
    - 3) The total program benefits deviate or are anticipated to deviate by ten percent (higher or lower) or more from the last approved estimated total program benefits (to be measured against the combined total of each fiscal year's Cost Savings and Cost Avoidances);
    - 4) A major change occurs in project requirements or methodology;
    - 5) Any conditions occur that require reporting to the Department of Technology as previously imposed by the Department of Technology; or
    - 6) A significant change in state policy draws into question the assumptions underlying the project.
  - b. Development of an Independent Project Oversight Report (IPOR), (see [SIMM Section 45](#)), on a monthly basis for projects classified by the Department of Technology as medium or high criticality. The Department of Technology may modify the IPOR reporting frequency based on project performance.
  - c. Submission of a Project Status Report (PSR), (see [SIMM Section 45](#)) on a monthly basis for projects classified by the Department of Technology as medium or high criticality and quarterly for low criticality projects unless the Department of Technology has specified a more frequent reporting period. Please see SIMM Section 05A for the PSR submittal schedule

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- d. Submission of a baselined and current Microsoft Project schedule with the submission of each PSR.
- e. Submission of a Post-Implementation Evaluation Report (PIER) (SAM Sections [4947-4947.2](#)) to the Department of Technology and the Office of the Legislative Analyst at the conclusion of the project.
- f. The Department of Technology **MAY** require submission of periodic project reports (SAM Section [4944](#)) to the Department of Technology and the Office of the Legislative Analyst.

The Department of Technology may require Agencies/state entities to submit an SPR under other circumstances, such as the Agency/state entity's failure to meet a critical milestone or a significant increase in the project's cost in any fiscal year relative to the costs that were forecast when the project was approved by the Department of Technology. Additionally, the Department of Technology may require periodic reviews to be conducted at any point during the project.

**2. Projects Approved by the Agency/state entity Director**—Projects for which reporting was delegated to the Agency/state director require at a minimum:

- a. Appropriate project oversight and project reporting to the Agency/state entity director in lieu of the Department of Technology, and maintenance of documentation in support of Agency/state entity decisions on the project. Documentation should be sufficient to meet the needs of outside auditors and to prepare the PIER. Project oversight activities must comply with the IT Project Oversight Framework (see [SIMM Section 45](#)).
- b. Approval of a PIER (SAM Sections [4947-4947.2](#)) by the Agency/state entity director at the conclusion of the project.
- c. Submission of an SPR (SAM Sections [4945-4945.2](#)) to the Department of Technology and the Office of the Legislative Analyst if:

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- 1) Any criteria listed in SAM Section 4819.37, other than the project's cost exceeding the level the Department of Technology may have delegated to the Agency/state entity, arise during the development or implementation of the project;
- 2) A significant change in state policy draws into question the assumptions underlying the project; or
- 3) The project costs exceed or are estimated to exceed the cost level the Department of Technology may have delegated to the Agency/state entity AND one or more of the following conditions are true:
  1. The total IT project costs deviate or are anticipated to deviate by ten percent (higher or lower) or more from the estimated IT project budget (to be measured against the combined total of each fiscal year's One-time Costs plus Continuing Costs);
  2. The overall project development schedule falls behind or is anticipated to fall behind by ten percent or more;
  3. The total program benefits deviate or are anticipated to deviate by ten percent (higher or lower) or more from the estimated total program benefits (*to be measured against the combined total of each fiscal year's Cost Savings and Cost Avoidances*); or
  4. A major change occurs in project requirements or methodology.

Based on the Department of Technology's review of the Agency Information Management Strategy (see SAM Sections [4900-4900.6](#)) and its assessment of the Agency/state entity's project management capabilities, the Department of Technology **MAY** require one or more of the following additional project reporting/oversight responsibilities for projects subject to oversight by the Agency/state entity director:

1. Submission of the PAL Stage/Gate deliverables and/or approval document(s), signed by the Agency/state entity director, to the Department of Technology and the Office of the Legislative Analyst.
2. Submission to the Department of Technology of a detailed project schedule showing key milestones during the life of the project;
3. Submission of periodic project reports (SAM Section [4944](#)) or SPRs (SAM Sections [4945-4945.2](#)) to the Department of Technology and the Office of the Legislative Analyst; or

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4. Submission of a PIER (SAM Sections [4947-4947.2](#)) to the Department of Technology and the Office of the Legislative Analyst at the conclusion of the project.

**Responsibilities and Tasks**

**California Department of Technology**

1. The Department of Technology is responsible for developing and maintaining the state-level IT Project Oversight Framework (see SIMM Section 45), which provides the minimum requirements for IT project management, risk management, project oversight, and project reporting activities at the Agency/state entity and control agency levels.
2. The Department of Technology is responsible for assessing Agency/state entity IT project management and oversight activities to ensure compliance with state-level IT policies and standards. The Department of Technology will assess IT projects to determine the degree to which projects are progressing, in accordance with the planned cost, schedule, and scope as compared to the approved project plan.
3. The Department of Technology will recommend and pursue prescriptive measures and corrective actions to minimize risk to the state and help ensure that IT projects achieve expected outcomes in accordance with the approved project plan.

**Agencies/state entities**

1. Agencies/state entities are responsible for developing IT strategic plans that are aligned with their business plans and ensuring that IT plans are updated as their business needs and requirements change.
2. Agencies/state entities have ultimate responsibility and accountability for the successful implementation of their IT initiatives and must implement processes and procedures to facilitate success, including appropriate project management, project delivery, and quality assurance processes and methodologies.
3. Agencies/state entities are responsible for establishing the required project management and oversight activities and functions defined in the IT Project Oversight Framework (see [SIMM Section 45](#)). Each Agency/state entity must update its project management and oversight practices to reflect changes in state policy, processes, and the IT Project Oversight Framework.

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4. Agencies/state entities are responsible for ensuring that projects consistently follow state-level IT oversight policies and requirements, legislative mandates, and applicable laws.
5. Agencies/state entities are responsible for providing project status information sufficient to allow the Department of Technology to meet its oversight reporting and full disclosure responsibilities.