

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

PROJECT REPORTING/OVERSIGHT
(Revised 09/10)

4819.36

1. **Projects Approved by the Technology Agency**–Project reporting documentation submitted to the Technology Agency usually will require:
 - a. Submission of an SPR (SAM Sections 4945-4945.2) to the Technology Agency and the Office of the Legislative Analyst, if:
 - 1) The total information technology 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 Technology Agency, from the last approved estimated information technology 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 Technology Agency as previously imposed by the Technology Agency; or
 - 6) A significant change in state policy draws into question the assumptions underlying the project.
 - b. Submission of the Independent Project Oversight Right (IPOR), (see SIMM Section 45, Appendix G), on a monthly basis for projects classified by the Technology Agency as high criticality projects and on a quarterly basis for projects classified as medium criticality. The Technology Agency may modify the IPOR reporting frequency based on project performance. The Technology Agency may also validate the content of the IPORs for reportable projects as needed.
 - c. Submission of a Project Status Report (PSR), (see SIMM Section 17A and 17D.2) on a monthly basis for projects classified by the Technology Agency as high criticality, quarterly for medium criticality, and semi-annually for low criticality projects unless the Technology Agency has specified a more frequent reporting period. Please see SIMM Section 05A for the PSR submittal schedule.
 - 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 Technology Agency and the Office of the Legislative Analyst at the conclusion of the project.
 - f. The Technology Agency **MAY** require submission of periodic project reports (SAM Section 4944) to the Technology Agency and the Office of the Legislative Analyst.

The Technology Agency may require agencies to submit an SPR under other circumstances, such as the agency'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 Technology Agency. Additionally, the Technology Agency may require periodic reviews be conducted at any point during the project.

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PROJECT REPORTING/OVERSIGHT

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2. **Projects Approved by the Agency Director**—Projects for which reporting was delegated to the agency director require at a minimum:
- a. Appropriate project oversight and project reporting to the agency director in lieu of the Technology Agency, and maintenance of documentation in support of agency decisions on the project. Documentation should be sufficient to meet the needs of outside auditors and to prepare the PIER.
 - b. Approval of a PIER (SAM Sections 4947-4947.2) by the agency director at the conclusion of the project.
 - c. Submission of an SPR (SAM Sections 4945-4945.2) to the Technology Agency and the Office of the Legislative Analyst if:
 - 1) Any criteria listed in SAM Section 4819.37, other than the project's cost exceeding the level the Technology Agency may have delegated to the agency, 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 Technology Agency may have delegated to the agency AND one or more of the following conditions are true:
 - a. The total information technology project costs deviate or are anticipated to deviate by ten percent (higher or lower) or more from the estimated information technology project budget (to be measured against the combined total of each fiscal year's One-time Costs plus Continuing Costs);
 - b. The overall project development schedule falls behind or is anticipated to fall behind by ten percent or more;
 - c. 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
 - d. A major change occurs in project requirements or methodology.

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

1. Submission of the FSR and/or approval document, signed by the agency director, to the Technology Agency and the Office of the Legislative Analyst.
2. Submission to the Technology Agency 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 Technology Agency and the Office of the Legislative Analyst; or

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

Responsibilities and Tasks

California Technology Agency

1. The Technology Agency 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 department, agency and control agency levels.
2. The Technology Agency is responsible for assessing department and agency IT project management and oversight activities to ensure compliance with state-level IT policies and standards. The Technology Agency will assess IT projects to determine the degree to which projects are on costs, schedule, and scope as compared to the approved project plan.
3. The Technology Agency 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

1. Agencies 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 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 and quality assurance processes and methodologies.
3. Agencies 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 must update its project management and oversight practices to reflect changes in State policy, processes, and the IT Project Oversight Framework.
4. Agencies are responsible for ensuring that projects consistently follow state-level IT oversight policies and requirements, legislative mandates, and applicable laws.
5. Agencies are responsible for providing project status information sufficient to allow the Technology Agency to meet its oversight reporting and full disclosure responsibilities.