

CHAPTER 14
INFORMATION TECHNOLOGY PROJECT MANAGEMENT AND OVERSIGHT
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CHAPTER 14

INFORMATION TECHNOLOGY PROJECT MANAGEMENT AND OVERSIGHT

1. PURPOSE. The purpose of this chapter is to establish policies and procedures for the initiation, approval, management, and closure of information technology (IT) projects.
2. BACKGROUND. The Information Management Division (IMD) is the Office of Primary Interest (OPI) for all IT activities in the Department. The IMD's Chief is designated as the Department's Chief Information Officer (CIO).
 - a. State control agencies hold the CIO responsible for adhering to IT policies as they relate to the Department's IT projects. State IT policy is developed by the California Department of Technology (CDT) and is contained in the State Administrative Manual (SAM), the Statewide Information Management Manual (SIMM), and related technology letters, budget letters, and legislation.
 - b. Information Technology Project Definition. Section 4819.2 of the SAM, Definitions, defines an IT project as, "A unique endeavor involving activities required to plan, design, develop, implement, operate and maintain an IT solution that meets a specific and measurable policy or programmatic objective. Information technology projects include the entire systems development lifecycle from project initiation through the normalized operational cycle."
3. ROLES AND RESPONSIBILITIES. For further details regarding standard project roles and responsibilities, refer to the "Project Roles & Responsibilities" and "RACI Matrix Template" documents on the Project Management Group SharePoint site: <https://chp2go.sharepoint.com/sites/itspmu/PM%20Resources/Forms/AllItems.aspx>. Specific projects may require variations to the standard roles and responsibilities and must be documented in the project's Project Management Plan.
 - a. Information Management Division. The IMD provides executive IT project sponsorship and is responsible for the oversight and enforcement of departmental and state IT policies and procedures regarding IT project management.
 - b. Information Technology Governance Board. The IT Governance Board is responsible for the approval and prioritization of all IT projects and the approval of any departmental IT project-related policy changes.
 - c. Executive Steering Committee. An Executive Steering Committee (ESC) is established, as needed, during project initiation; is unique to each project; and is comprised of the business owner(s), project sponsor, IT sponsor(s), executive

sponsor(s), and external stakeholders, when applicable. The ESC is responsible for making critical project decisions and ensuring the needs of all stakeholders are considered.

d. Project Management Group. The Information Technology Section (ITS), Project Management Group (PMG) is the OPI for IT project management and is responsible for, but not limited to, the following:

- (1) Information technology project portfolio management.
- (2) Development and maintenance of departmental project management policies, procedures, and best practices.
- (3) Assigning a project manager (PM) for reportable projects and projects requiring extensive coordination between IMD commands and/or other OPIs.
- (4) Project management oversight.
- (5) Facilitating the IT project approval process.
- (6) Acting as liaison to the assigned CDT Project Approvals and Oversight (PAO) manager.
- (7) Providing guidance regarding project management policies, procedures, frameworks, documentation, and best practices.

e. Commanders. All commanders for staff participating in the project (e.g., business owner, project team members, and subject matter experts [SME]), are responsible for:

- (1) Approving project management plans and project schedules.
- (2) Ensuring staff complete project deliverables and action items as assigned and adhere to approved project management plans.

f. Project Sponsor. The project sponsor is typically the commander of the project's OPI. The project sponsor is responsible for, but not limited to, the following:

- (1) Providing SMEs with a thorough understanding of the business program's needs, policies, and procedures and ensuring active engagement throughout project planning, implementation, and completion.
- (2) Approval of project management plans.
- (3) Establishing/clarifying project priorities regarding scope, cost, and schedule.

- (4) Ensuring appropriate project resources (i.e., staff, funding) are allocated and available to meet project objectives.
 - (5) Ensuring timely resolution of project issues.
 - (6) Approval of project deliverables.
 - (7) Approving project change requests within the project sponsor's authority.
- g. Information Technology Sponsor. For large IT projects, the IT sponsor(s) is the commander of one or more IMD commands but may also be an IT manager. The IT sponsor is responsible for, but not limited to, the following:
- (1) Approval of the Project Management Plan.
 - (2) Allocating existing IT resources to meet project objectives.
 - (3) Advocating for additional IT resources as needed to meet project objectives.
 - (4) Ensuring timely resolution of project issues.
 - (5) Approval of project deliverables.
 - (6) Approving project change requests within the IT sponsor's authority.
- h. Project Director. A project director may be assigned for large, high-visibility IT projects and is the commander of an IMD command or an IT manager. As these projects require more frequent communication with or decisions by Executive Management or the ESC, the project director assumes primary responsibility of executive-level stakeholder management and communication and must be actively engaged in the project and able to speak to the current project status and high-priority risks and issues.
- i. Project Manager. The PM is responsible for organizing and leading the project team; coordinating the completion of project deliverables from planning through project closure, while instituting monitoring and controlling activities to ensure timely project progress; providing a communication link between the project sponsor, stakeholders, and project team; establishing effective communication between the project team and business representatives; and maintaining schedule, cost, and scope management activities. Project managers ensure projects are managed according to state and departmental policies, procedures, and project management frameworks (PMF) and methodologies.
- j. Technical Project Manager. A technical PM, typically the IT manager or supervisor of the primary assigned unit, may be assigned for large or technically

complex projects and will perform a subset of the PM responsibilities, specifically related to technical project tasks and deliverables.

k. Business Owner. The business owner is a representative of the project's OPI, typically a manager or supervisor, who is directly responsible for ensuring the business needs are met by the project. The business owner must be actively engaged in the project and is responsible for, but not limited to, the following:

- (1) Developing and implementing a project charter.
- (2) Assigning business process SMEs.
- (3) Defining detailed business/functional requirements or user stories. Refer to the SDLC – Systems Development Lifecycle page on the ITS Project Management Group SharePoint site, <https://chp2go.sharepoint.com/sites/itspmu>, under Project Management > PM Resources, for additional information.
- (4) For software development projects, participating in Joint Application Design sessions.
- (5) Developing and executing a test plan for user acceptance testing.
- (6) Developing and implementing a training plan for end users.
- (7) Developing/revising departmental policy required for project implementation.
- (8) Identifying project risks.
- (9) Contributing to and implementing the organizational change management (OCM) plan.
- (10) Participating in Change Control Board meetings, as needed, for project-related Change Control Requests.
- (11) Publishing Comm-Net Messages, as needed.
- (12) Actively engaging in monitoring the scope, requirements, and, ultimately, the quality of the project.

l. Project Team Members. Project team members will include members of the OPI and IT staff, and possibly other SMEs, and are responsible for the completion of project deliverables.

m. Subject Matter Experts. The SMEs (both business and IT) provide the project

team with knowledge of the details of the operations, applicable laws and regulations, current database history and structure, and other aspects of the business processes related to the project. An SME may be a project team member or may only be brought in as needed during requirements definition, design sessions, development, validation of design, or at various stages of testing.

n. Organizational Change Manager. The OCM manager is responsible for overseeing the development and execution of the OCM plan, in accordance with departmental procedures and OCM best practices. The plan may include training on the new system, training and implementation activities involving new business processes, stakeholder communications, and other activities required to successfully implement the project's solution and increase end user adoption. The PM may also serve as the OCM manager. For more information regarding OCM, refer to the California Organization Change Management Framework, at <https://projectresources.cdt.ca.gov/ocm/>.

o. Contract Manager. The requesting OPI (business owner) is the contract manager, in accordance with Highway Patrol Manual (HPM) 11.2, Materials Management Manual, Chapter 17, Information Technology Goods and Services Acquisition. The contract manager is responsible for contract management activities including, but not limited to, the following:

- (1) Developing and maintaining the contract management plan and contract management processes in accordance with applicable processes, policies, and regulations.
- (2) Invoice/contract dispute communications.
- (3) Escalating issues and concerns to their supervisor/manager and the PM.
- (4) Receiving and reviewing contract deliverables for administrative contract requirements.
- (5) Facilitating the deliverable review and approval process.
- (6) Managing invoice approval and processing.
- (7) Researching contract issues, monitoring contractor compliance with terms and conditions of the contract, and participating in negotiations.
- (8) Coordinating with the Business Services Section to develop and execute contract amendments.
- (9) Facilitating contractor staff onboarding.

p. Agency Information Officer. The California State Transportation Agency's Agency Information Officer is responsible for approving initiated reportable projects and determining whether final project approval will be delegated to the Department or will require CDT approval.

q. California Department of Technology Project Approvals and Oversight Manager. The CDT PAO Manager is responsible for providing oversight and guidance for reportable projects from project initiation through project closure. For nondelegated projects funded by Budget Change Proposals (BCP), the CDT PAO manager will be closely engaged with the project and will report on the project's status to the legislature on a monthly basis.

4. PROJECT CONCEPT/INITIATION AND APPROVAL. All IT projects require the approval and oversight of IMD to ensure adherence to IT policy, and that IT projects are planned and implemented successfully. Depending on the cost and complexity, a project may need to be approved by CDT, in accordance with SAM Sections 4819.32 through 4819.39.

a. CHP 53, Request for Information Technology (IT) Services. When initiating or proposing an IT project or a project which contains an IT component, commands shall submit a CHP 53, Request for Information Technology (IT) Services, to IMD for approval. Suggestions for IT projects or projects that contain IT components that fall under another OPI should be discussed with the OPI and submitted with their approval. The CHP 53 formally initiates the request and provides IMD an opportunity to evaluate it to ensure it aligns with the CHP IT roadmap; security practices; and infrastructure, such as the network, servers, and application systems; establish a priority; and identify technical support, maintenance, and funding issues.

(1) CHP 53 Process. A CHP 53 shall be prepared for all proposed IT projects and IT efforts requiring 40 hours or more of work by IMD staff, regardless of the funding source. All CHP 53s must be reviewed and approved through the OPI's chain of command and submitted to IMD via e-mail at CHP-Form53@chp.ca.gov. Information technology efforts requiring less than 40 hours of work should be requested via a ServiceNow ticket. Refer to Annex A for further details on the CHP 53 process flow.

(a) Privacy/Personally Identifiable Information. Personally Identifiable Information (PII) is any representation of information (e.g., name, social security number, government-issued identification, date/place of birth, mother's maiden name, biometrics, medical, educational, financial, employment records) that may allow the identity of an individual to whom the information applies to be reasonable inferred by direct or indirect means. If the request being submitted involves the collection, processing,

storage, or sharing of PII, contact the IMD Privacy and Risk Management Administrator, at PRM@chp.ca.gov or (916) 843-4070, to determine which privacy assessment(s) is required.

(2) CHP 53 Project Tracking. The IMD uses the Project Tracking Log (PTL) application to track the routing, approval, and completion of CHP 53 requests. This procedure provides all involved OPIs with visibility of the status of a request at any time. The requesting OPI shall add a new project for the CHP 53 request to the PTL, prior to routing it to IMD. Refer to Annex B for instructions on adding the CHP 53 request to the PTL. Additional information regarding use of the PTL can be found in the PTL User Guide on the home page of the PTL application.

b. Project Concept Assessment. Upon approval of the CHP 53, the PMG will conduct an assessment to determine the appropriate project approval process and PMF to be followed.

c. Project Cost Delegation. The Project Cost Delegation (PCD) refers to the Department's approval authority for IT projects with an expected planning and implementation cost equal to or less than the assigned PCD, provided the project does not meet any of the criteria for exclusion, outlined in SAM Section 4819.32, Exclusions, or any of the criteria warranting approval as a nondelegated project, outlined in SAM Section 4819.37, Project Delegation Criteria.

d. Project Approval Lifecycle. The Project Approval Lifecycle (PAL) is a four-stage project planning and approval process, designed to ensure high-cost IT projects are thoroughly planned and appropriately managed to reduce the financial risk to the state and increase the likelihood of a successful project. Commands should anticipate approximately 18 to 24 months for project approval, beginning with the CHP 53 submission. For more information, refer to Annex C and SIMM Sections 19A–19G, available on the CDT website: <https://cdt.ca.gov/policy/simm>.

e. Project Delivery Lifecycle. The Project Delivery Lifecycle is a project planning and approval method designed to streamline project planning and approval, while increasing the likelihood of a successful project. For more information, refer to Annex D and SIMM Section 19H, Project Delivery Lifecycle (PDL) for Projects Utilizing GenAI, available on the CDT website.

5. PROJECT MANAGEMENT METHODOLOGY.

a. California Project Management Framework. The California Project Management Framework (CA-PMF) was developed by the CDT, in alignment with the Project Management Institute's Project Management Body of Knowledge, to provide state entities with comprehensive resources and templates to increase the likelihood of project success.

NOTE: Additional information regarding the CA-PMF can be found on the CDT Web site: <http://capmf.cdt.ca.gov/>.

b. Departmental Project Management Framework. The Department has adopted the CA-PMF as a standard for managing large IT projects and has established a departmental framework, referred to as CHP-PMF, for managing internal, less complex projects. Regardless of project size and complexity, the PMG is responsible for guiding PMs and teams in the use of the appropriate PMF and overseeing the project through completion.

(1) Assessment Criteria. The PMG conducts an assessment of all approved IT project concepts and uses the following criteria to determine the appropriate PMF to be used:

- (a) Total project cost.
- (b) Funding source.
- (c) Whether the project is in response to a legislative mandate or is subject to specific legislative review.
- (d) Expected business and technical complexity.
- (e) Project delegation status.

6. PROJECT OVERSIGHT. The CDT is responsible for the approval and oversight of IT projects, including IT policies, procedures, and frameworks. The CA-PMF 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. The Department is responsible for establishing the required project management and oversight activities and functions at the agency/state entity level. The ITS, PMG provides project oversight for departmental IT projects, ensuring IT projects consistently follow state IT project management policies, procedures, and frameworks, and assists Department staff with the preparation and submittal of required IT project approval documents for control agency approval.

7. PROJECT CLOSURE. The last phase of the Project Management Lifecycle, the closing phase, is the process for accepting the project's end product. Project closure includes the completion of a Post Implementation Evaluation Report (PIER), which is the final reporting requirement for a project. The PM and business owner complete the PIER together and submit it to the PMG. Once a PIER is approved, the project is officially complete, the project can be closed, and the system is considered a production system (application). Refer to SIMM 50, available on the CDT website, and the CHP-PMF for

additional information.

8. MAINTENANCE AND OPERATIONS. Following project closure, the production system enters the Maintenance and Operation (M&O) phase, in alignment with Chapter 7, Information Systems Account Management Policy, and Chapter 10, Software, of this manual; and HPM 11.2, Chapter 17.

a. The OPI is responsible for the following M&O tasks:

(1) All ongoing support, maintenance, contract management, and operational activities related to the production system. This includes managing user access, coordinating vendor support, initiating procurement activities, and ensuring the production system continues to meet business needs.

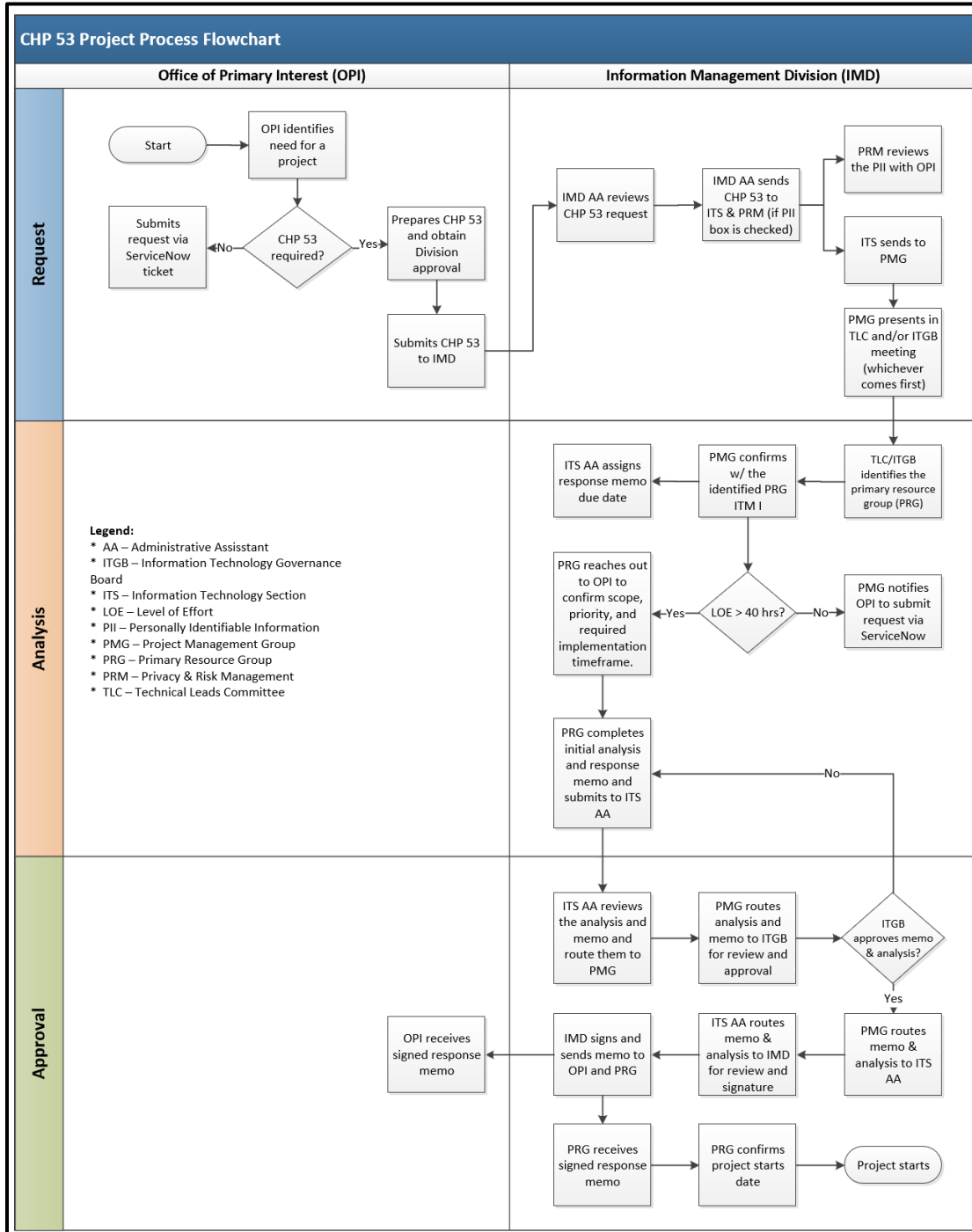
(2) Securing continued funding to sustain the production system.

(3) If the solution is on-premises software, the OPI is responsible for its management, in coordination with the ITS and the Technical Infrastructure Section as outlined in Chapter 10 of this manual.

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ANNEX A

PROCESS FLOW DIAGRAM CHP 53, REQUEST FOR INFORMATION TECHNOLOGY (IT) SERVICES



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ANNEX B

PROJECT TRACKING LOG PROCEDURES CHP 53, REQUEST FOR INFORMATION TECHNOLOGY (IT) SERVICES

1. ADD THE CHP 53, REQUEST FOR INFORMATION TECHNOLOGY (IT) SERVICES, TO THE PROJECT TRACKING LOG. Add the CHP 53 to the PTL and assign the OPI as directed below:
 - a. Originating Office of Primary Interest. The OPI requesting the CHP 53 will add the project to the PTL prior to routing the CHP 53 to IMD. This will allow the OPI to track the progress of the CHP 53 through the analysis and approval stages, and while the request is being completed by ITS.
 - b. Final Recipient. The IMD will be the final recipient.
 - c. Assigned Office of Primary Interest. The assigned OPI is ITS, unless otherwise directed by IMD.

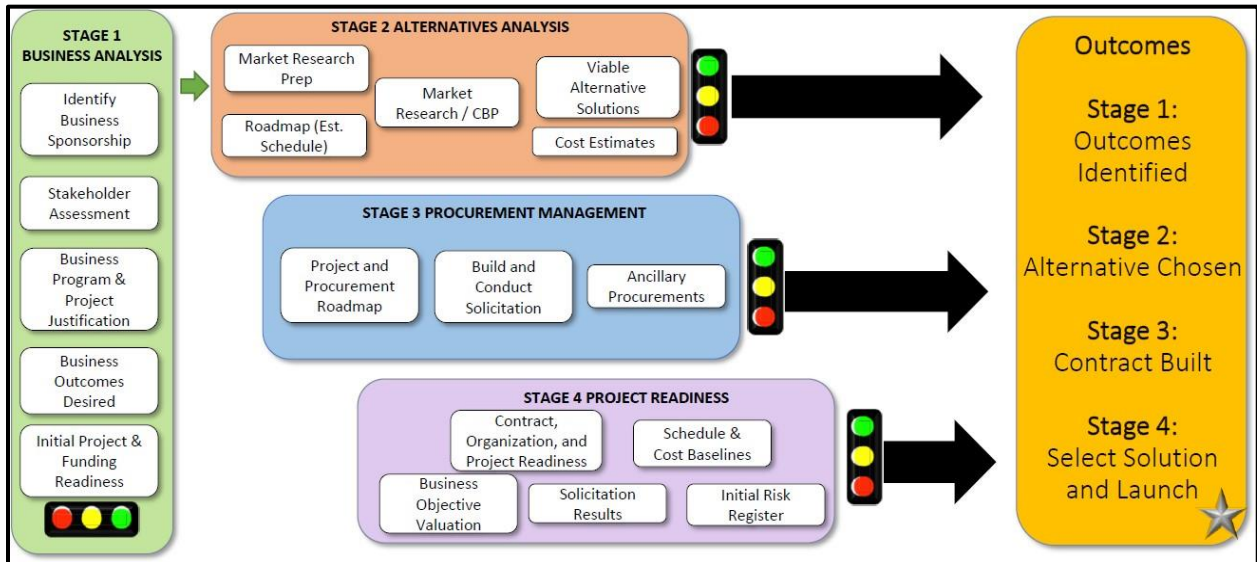
2. ROUTING THE PROJECT. Route the approved CHP 53 to IMD via email, at CHP-Form53@chp.ca.gov, and the PTL via the Project Status Update section in the Project Log Viewer.

3. COMPLETING/CANCELLING THE PROJECT. The IMD retains final approval authority over the closure of CHP 53 requests. The PTL will allow the originating OPI to complete or cancel the project in the PTL; however, the OPI should coordinate with IMD before doing so. The IMD will approve closure of the project upon receipt of written confirmation from the OPI the request was completed and the production system is functional.

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ANNEX C

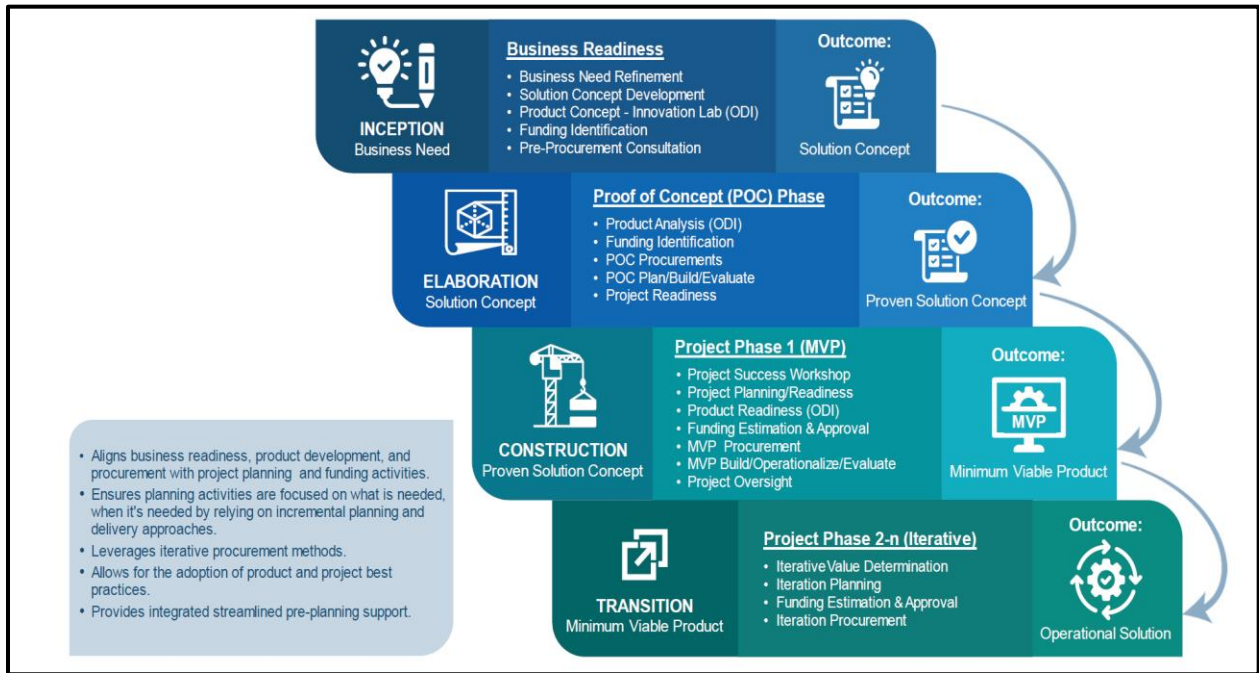
PROJECT APPROVAL LIFECYCLE FRAMEWORK



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ANNEX D

PROJECT DELIVERY LIFECYCLE FRAMEWORK



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