

CHAPTER 14

INFORMATION TECHNOLOGY PROJECT MANAGEMENT AND OVERSIGHT

REVISED JULY 2023

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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, 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. Information Management Division'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. The SAM, Section 4819.2, Definitions, defines an IT project as, "A unique endeavor involving activities required to plan, design, develop, implement, operate and maintain an Information Technology (IT) solution that meets a specific and measurable policy or programmatic objective. IT projects include the entire systems development lifecycle from project initiation through the normalized operational cycle."

3. ROLES AND RESPONSIBILITIES.
 - a. Information Management Division. The IMD is responsible for analyzing a myriad of state IT policies and developing departmental policies and procedures to ensure compliance. The IMD is responsible for immediately publishing updates to departmental IT policies and procedures.

 - b. Information Technology Section. The Information Technology Section (ITS) is responsible for project management oversight including, but not limited to, implementation of project management methodologies, ensuring the review of and response to all CHP 53, Request for Information Technology (IT) Services, are complete, and assisting project managers with project documentation for all approved IT projects.

 - c. Office of Primary Interest. Offices of Primary Interest are responsible for project sponsorship and business ownership. This includes providing business justification, assigning business resources, and playing an active role in the completion of the project.

d. Project Manager. Project managers are responsible for leading the team responsible for achieving successful project objectives. Project managers ensure projects are managed according to state and departmental policies and procedures, and complete the required project documentation with the assistance of ITS.

4. PROJECT CONCEPT/INITIATION.

a. CHP 53, Request for Information Technology (IT) Services. When initiating or proposing an IT project, or a project which contains an IT component, commanders shall submit a CHP 53 to IMD for approval. The CHP 53 allows the CIO to become aware of the command's needs, establish a priority, and formally initiate a process for tracking the request. The CHP 53 provides IMD an opportunity to evaluate an IT request, ensuring the proposed request or solution aligns with the CHP IT roadmap; security practices; infrastructure, such as the network, servers, and application systems; and to identify technical support, maintenance, and funding issues.

(1) CHP 53 Process. A CHP 53 shall be prepared for all proposed IT projects regardless of the funding source. The CHP 53 process, detailed thoroughly in Annex A, helps determine the implications, feasibility, and category of the CHP 53 request. All CHP 53 requests must be reviewed and approved through the chain of command and submitted to IMD via e-mail at CHP-Form53@chp.ca.gov.

(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 reasonably inferred by direct or indirect means. If the request being submitted involves the collection, processing, storage, or sharing of PII, contact Privacy & Risk 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. Procedures for adding the CHP 53 request into the PTL are located in Annex B. Additional information regarding use of the PTL can be found in the PTL User Guide on the home page of the PTL application.

5. PROJECT OVERSIGHT. The CDT is responsible for the approval and oversight of IT projects, which includes establishing and enforcing policies for IT projects and developing and maintaining the state-level IT Project Oversight Framework, outlined in SIMM Section 45. The oversight framework 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, Project Management Unit (PMU) provides independent project oversight within the Department's IT organization. The PMU is responsible for ensuring IT projects consistently follow state-level IT project management policies and requirements, legislative mandates, and applicable laws. The PMU provides project management oversight and assists Department staff with the preparation and submittal of required IT project documentation to control agencies.

6. PROJECT MANAGEMENT.

a. Project Approval Lifecycle.

(1) Background. The CDT established the Project Approval Lifecycle (PAL), published in SIMM Section 19, Project Approval Lifecycle (refer to Annex C). The PAL is intended to ensure projects are undertaken with clear business objectives, accurate costs, and realistic schedules. If the ITS PMU determines an OPI's request meets the criteria for an IT project, the PMU will work collaboratively with the OPI and project manager to develop the appropriate project documentation outlined by SIMM Section 19.

(2) Stages/Gates. The PAL is divided into four stages, with each stage separated by gates of approval. Each stage consists of a set of prescribed, cross-functional, and parallel activities to develop deliverables used as the inputs for the next stage. The gates provide a series of "go/no go" decision points that request only the necessary and known information needed to make sound decisions at that particular point in time. As additional information is collected and refined through the lifecycle, the cost estimates, schedule, and project requirements will be progressively updated and evaluated to determine if the project is still practical and if the investment should continue.

(a) Stage 1 Business Analysis. The Stage 1 Business Analysis (S1BA) documents the first stage of the PAL and provides a basis for project management, program management, executive management, and state-level control agencies to understand and agree on business problems or opportunities and the objectives to address them. In order to evaluate an S1BA, the California State Transportation Agency (CalSTA) must fully understand the business investment justification. Therefore, each proposal must describe in detail the business driver(s), statutes or

legislation, program background and context, business problems or opportunities, strategic business alignment, organizational readiness, and business and stakeholder impact. Approval of the S1BA by CalSTA must be obtained prior to conducting a Stage 2 Alternative Analysis (refer to SIMM Section 19A). The project manager is responsible for completing the S1BA, obtaining OPI project sponsor approval of the S1BA, and submitting it to the PMU.

(b) Stage 2 Alternative Analysis. The Stage 2 Alternative Analysis (S2AA) documents the second stage of the PAL and provides a basis for how the proposal's business objectives will be achieved, the evaluation of multiple alternative solutions, which alternative will yield the highest probability of success, and an acquisition strategy/plan for procuring services. To evaluate an S2AA, CDT must fully understand how the selected alternative will best achieve the proposed project's business objectives. Therefore, each proposal must provide sufficient detail to describe the baseline processes, midlevel solution requirements, alternative solutions, recommended solution, procurement strategy, and staffing considerations. This deliverable must also include a financial analysis of the lifecycle costs, benefits, and source of funding of the proposed project, and the costs and benefits of the current method of operation during the lifecycle of the project (refer to SIMM Section 19B). The project manager is responsible for completing the S2AA, obtaining OPI project sponsor approval of the S2AA, and submitting it to the PMU.

(c) Stage 3 Solution Development. The Stage 3 Solution Development (S3SD) documents the third stage of the PAL and provides a basis for how the project will mature midlevel solution requirements into clearly defined and detailed solution requirements, develops solicitations to acquire solutions that best meet business objectives, and yields the highest probability of success. To evaluate an S3SD, CDT must fully understand the procurement methodology, approach, and selection criteria to obtain a value-effective solution. Therefore, each proposal must provide sufficient detail to describe the procurement profile, solution requirements, statement of work, evaluation criteria, cost and payment model, negotiation strategy, and staffing plan (refer to SIMM Section 19C). The project manager is responsible for completing the S3SD, obtaining OPI project sponsor approval of the S3SD, and submitting it to the PMU.

(d) Stage 4 Project Readiness and Approval. The Stage 4 Project Readiness and Approval (S4PRA) documents the fourth and final stage of the PAL and provides a basis for how the intended awardee will contribute to the successful achievement of the project's business objectives and yield the highest probability of success, ensures the Department's

readiness to execute the project, and establishes realistic schedule and cost baselines. To evaluate a S4PRA, each proposal must provide sufficient detail to describe the solicitation results, contract management strategy, organizational/project readiness, and project baselines (scope, schedule, cost, and resources). This deliverable must also include an updated financial analysis which will support the final approval of project funding requests (refer to SIMM Section 19D). The project manager is responsible for completing the S4PRA, obtaining OPI project sponsor approval of the S4PRA, and submitting it to the PMU.

NOTE: Additional information regarding SIMM Section 19 can be found on the CDT Web site: <https://cdt.ca.gov/policy/SIMM-19/>.

b. Project Management Methodology. The CDT has developed the California Project Management Framework (CA-PMF) to provide state entities with a solid foundation for project success. The CA-PMF is a practical and useful guide to lead a project manager and team through the project management lifecycle for projects of all sizes, so expected outcomes and, thereby, project success are achieved. The Department has adopted the CA-PMF as a standard for managing IT projects. If the PMU determines an OPI's request meets the criteria for an IT project, the PMU will work in collaboration with the OPI and project manager to develop the appropriate project documentation outlined by SIMM Section 19 and the CA-PMF. The PMU has also developed a framework, referred to as CHP-PMF, for managing internal, less complex projects. Regardless of project size and complexity, the PMU is responsible for guiding project managers and teams in the use of a project management framework and overseeing the project through completion.

NOTE: Additional information regarding the CA-PMF can be found on the CDT Web site: <http://capmf.cdt.ca.gov/>. Information regarding the CHP-PMF can be found on the CHP Intranet site under Organization; Assistant Commissioner, Staff; Information Management Division; Information Technology Section; Project Management.

(1) Conditions. The Department uses the following conditions to determine when a project is required to follow the CA-PMF:

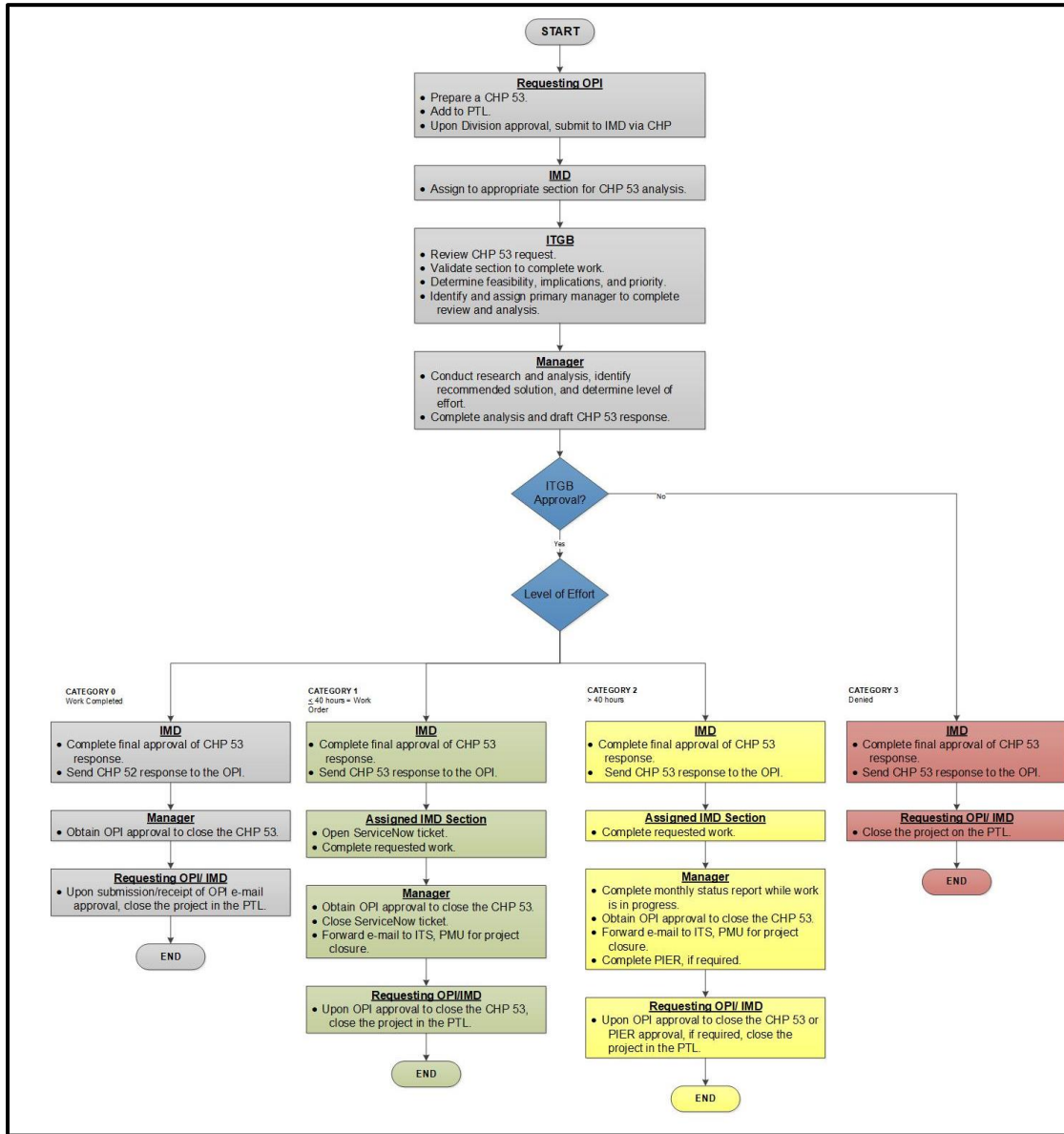
- (a) Total anticipated cost is above the delegated threshold established by CDT.
- (b) A budget action is required to fund all or part of the IT expenditure.
- (c) The new system development or acquisition is specifically required by legislative mandate or is subject to specific legislative review.
- (d) The CDT and/or CalSTA's Agency Information Officer determines

whether the project warrants continued CDT oversight.

7. PROJECT CLOSURE. A Post Implementation Evaluation Report (PIER) is developed after the project has been completed and has been in production a sufficient period of time to assess its functionality and productivity. Objectives, costs, and benefits are compared against the estimates presented in the last approved PAL stage/gate deliverables. A PIER is the final reporting requirement for a project. The project manager is responsible for completing the PIER, obtaining OPI project sponsor approval of the PIER, and submitting it to the PMU. 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 Section 50 and the CHP-PMF.)

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 the 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.

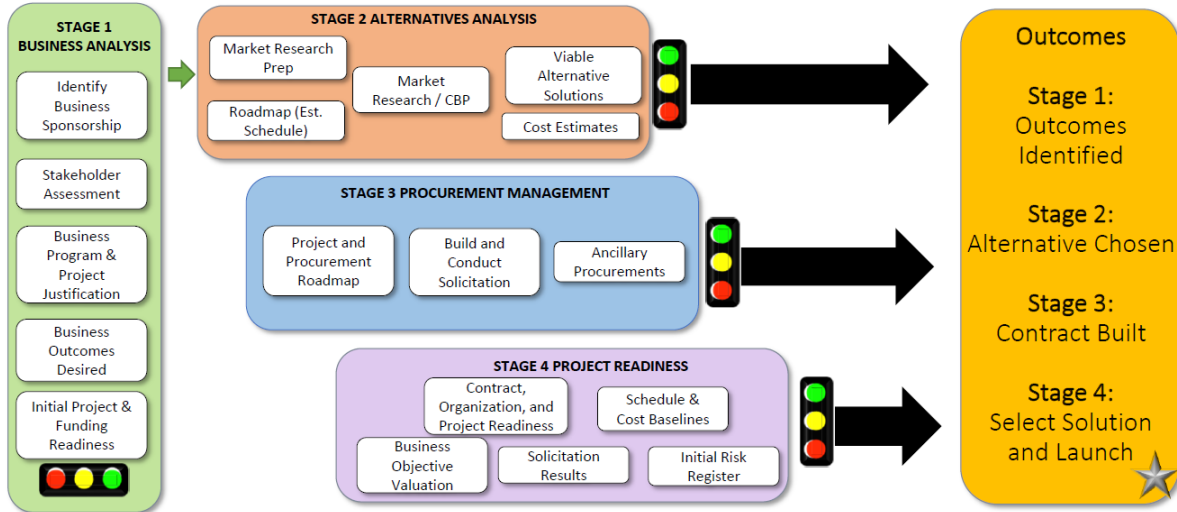
2. ROUTING THE PROJECT. Route the approved CHP 53 to IMD via email at CHP-Form53@chp.ca.gov and the PTL via the Project Status Update section in the Project Log Viewer.

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 the signed page 2 of the CHP 53, confirming completion or cancellation of the request.

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ANNEX C

PROJECT APPROVAL LIFECYCLE FRAMEWORK



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