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**State of California**  
**Department of Technology**  
**IT Project Oversight Framework**  
**Independent Project Oversight Report –**  
**Preparation Instructions**

**Statewide Information Management Manual – Section 45H**

**July 2016**

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## Statewide Information Management Manual 45H: Independent Project Oversight Report – Preparation Instructions

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This report must be completed by the independent oversight provider as described in the Information Technology Project Oversight Framework ([Framework](#)). Questions concerning any aspect of the report can be directed to the OCIO Manager or Principal assigned to the specific department. Assignments can be found on the OCIO's Web site at [http://www.cio.ca.gov/Contact\\_Us/staff\\_assignments.html](http://www.cio.ca.gov/Contact_Us/staff_assignments.html) or by calling (916) 319-9223.

### REPORT LAYOUT:

The IPOR includes the following sections:

- ❑ Oversight Provider Information
- ❑ Project Information
- ❑ Summary of Current Status
- ❑ Current Project Risks
- ❑ Progress Toward Addressing Prior Risks

Please note that the *Oversight Provider Information*, *Project Information*, and *Summary: Current Status* sections of the form are locked. If the report is unlocked prior to saving the file, re-locking the file will eliminate all previous responses in these Sections. In addition, the spelling/grammar-checking feature is not available while the file is locked.

Enter the name of the project, the month and year of the assessment (final month if a quarterly report), and indicate whether the report frequency is quarterly or monthly.

### Oversight Provider Information

- Oversight Leader:* Person who has the primary responsibility for the oversight information and who OCIO would contact first with any questions regarding the report.
- Organization:* Name of Company, State Department, or Agency conducting Project Oversight.
- Phone Number:* Include area code, and extension if applicable.

### Project Information

- Project Number:* Number assigned by OCIO, consisting of a four-digit State organization code, followed by the number assigned to the project by OCIO at the time of approval. Example: 1234-023
- Department:* Name of State Board, Department, Office, Commission, etc. with primary ownership of the project.
- Criticality:* Project criticality/risk rating for oversight purposes, (High/Medium/Low)

- Agency:* If the organization listed under Department reports to a State Agency, include the appropriate Agency. If not applicable, show "N/A"
- Last Approved Document & Date:* List the last approved project document, for example FSR or SPR, followed by the date the document was approved by OCIO. If multiple documents exist of the last approved type, include the sequence number with the type. For example, if a project has had two SPRs, the last being approved by OCIO on November 25, 2002, the field would look as follows: SPR2 - 11/25/2002
- Total One-time Cost:* The total one-time cost included in the last OCIO approved project document.
- Start/End Dates:* Enter the project start and end dates from the project schedule included in the last OCIO approved project document.
- Project Manager & related information:* Enter the individual with the primary responsibility for the project, whether State employee or vendor. If the project manager is a vendor, include the name of the vendor's company. If the project manager is a State employee, include the Division or Branch in which they work. Include their direct phone number (formatted as previously mentioned) and e-mail address.

### Summary: Current Status

- Project Phase:* Show the current phase of the project based on the approved project plan or using the system development life-cycle project phases (for example planning, design, development, or system test). If this is a phased implementation with multiple current phases, use the section at the end of the form to include the required information for the additional current phases.
- List the planned starting and ending dates for the project phase, based on the project schedule included in the OCIO approved project document. Enter the actual date that the phase began.
- Assessments (Schedule, Resources-effort, Resources-budget, Quality-Client Functionality, and Quality-System Performance)* Using the drop down boxes, choose the assessment for each of the five areas that most closely match the current project status. The first three areas have a plus/minus five percent benchmark. The intent is to obtain the oversight provider's professional opinion of the current status, knowing that information may not be available to estimate within the five percent parameter (with a great amount of certainty).
- If the current status cannot be reasonably determined for a given area, add a comment that describes the situation and the barrier. [Include a comment of "N/A" for any areas that are not applicable to the current phase.] For the Schedule area, status is measured against the timeframes in the last OCIO approved document. In the Resources-Budget area, consider the timing of expected expenditures, for example fixed price contracts and hardware/software purchases. The comments field may also be used to clarify why the project is not within the approved project parameters, or to explain the degree to which they differ.

## New Project Risks

**NOTE:** Only the newly identified, most critical risks will be shown in this section on each report. Risks included in this section on previous reports should be transferred to the *Progress Towards Addressing Prior Risks* section.

- Risk Statement:* List in priority order the new, most critical risks to the project. These should include project risks associated with all categories identified in the Framework, including risks associated with the lack of appropriate project management practices and tools. Please refer to Sections 5, 6, and Appendices B, C and F of the OCIO Framework for guidance and examples of appropriate risk statements. Each risk statement should concisely include the three following components: the concern, the likelihood, and one or more potential consequence. Do not limit the number of risks included in the IPOR to the five spaces shown in the template.
- Identifier:* These most critical risks should be a subset of a larger list of risks actively being managed by the project. Many organizations have automated or custom tools to manage project risks which include a risk identifier system that is meaningful to the organization. The IPOR template includes a field for identifier. These should reflect the risk identification system used on the project. It may be sequential numbers or another more sophisticated identification system used by the project. Any method is adequate, as long as consistency is maintained throughout the life of the project, and identifiers are not re-used during the life of a project. Entries made in this section will move to the “Progress toward addressing prior risk/findings” section in subsequent reports. As they are moved, each risk will retain its unique identifier.
- Probability, Impact, & Timeframe ratings:* Rate the *Probability*, *Impact*, and *Timeframe* for each risk. *Probability* and *Impact* choices are High, Medium, and Low. The *Timeframe* options are Long, Medium, and Short. A methodology for determining these factors is included in Section 5 of the OCIO Framework.
- Related Findings:* Each risk will have one or more findings to support the risk statement. The finding(s) will explain the probability, impact, and timeframe designations.
- A finding should include the:
- Condition (what was found),
  - Criteria (what was expected), and
  - Cause (factors responsible for the difference).
- A finding statement should also include the effect, or potential impact of the finding.

### **Progress Toward Addressing Prior Risks**

All risks included in the *Current Project Risks* section on previous reports must be displayed in this section at least once. If the risk was successfully resolved between the time of inclusion in the prior section and the next report, it must still be included in this section. Risks remain reported in this section until they are closed or no longer critical, with an explanation of the resolution.

- Identifier:* The identifier will not change when moved to this section.
- Risk Statement:* The risk statement from the prior section is typically moved in its entirety to this area. It is possible that one of the parameters changes, for example the timeframe, however the risk remains critical and therefore stays on the list.
- Status:* Describe the current actions taken regarding the risk or the associated findings. This would include mitigation strategies or action plans obtained from the project. If sufficient changes have occurred to render the risk no longer critical, for example the timeframe for the risk has passed, fully explain the change under status, and the risk can be removed on the subsequent report.
- If the project manager disagrees with the risk, as identified by the oversight provider, this should be also noted in the status.

### **General Comments**

Include any additional information relevant to the project from an oversight perspective beyond the detail provided in the other sections of this report. This could include additional findings (for example positive findings or findings not associated with the most critical risks) or further clarification/background material to the risks shown in the new or prior sections of the report.

#### **Attachments:**

Oversight providers will include a completed *Project Oversight Review Checklist* (Appendix F of the Framework) with the initial IPOR submitted to OCIO for each project. Inclusion of the checklist with subsequent reports is optional. Generally, oversight providers are encouraged to attach any additional documents that provide detailed or supporting information, for example the current project schedule, cost sheet, or full project risk list, when submitting an IPOR. At the discretion of OCIO, specific project documents may be required to be submitted with the IPOR.