



## OFFICE OF THE STATE CHIEF INFORMATION OFFICER

Teri Takai  
California Chief Information Officer

February 20, 2009

Little Hoover Commission  
925 L Street, Suite 805  
Sacramento, CA 95814

Dear Mr. Chairman and members of the Little Hoover Commission:

Thank you for the opportunity to discuss the Governor's Reorganization Plan (GRP) #1, which would consolidate critical state information technology organizations and functions under the Office of the State Chief Information Officer. This letter responds to your questions about the GRP related to implementation, the federated governance model, project management, procurement, telecommunications, data-sharing, technology boards, and broadband.

I look forward to discussing this proposal with you in greater detail during your hearing on February 25, 2009.

Sincerely,

A handwritten signature in blue ink, appearing to read "Teri Takai".

Teri Takai

Enclosures

## **Responses from Teri Takai to Questions from the Little Hoover Commission**

### **Implementation**

*The Governor's Reorganization Plan is described as the "beginning of the transformation process" (p. 23). What is the vision for technology in state government when the transformation is complete?*

The transformation referenced in the Governor's Reorganization Plan (GRP) envisions a future in which the state leverages technology in order to eliminate funding, organizational, and programmatic silos to maximize the efficiency and effectiveness of programs and services. As the Commission is well aware, and has previously noted, transformations of this magnitude require a commitment to collaboration from leadership and line staff as well as a robust and inclusive governance process that engages stakeholders both within and outside of government.<sup>i</sup> While organizational change alone will not bring about this transformation, the GRP is foundational to this effort.

*How does the GRP further the goals and objectives in the California Information Technology Strategic Plan?*

From a macro perspective, the GRP enables the goals and objectives in the IT Strategic Plan by assembling the authority and resources necessary for the Office of the State Chief Information Officer (OCIO) to lead the state's information technology program. The operating framework articulated in the GRP will result in the alignment of programmatic and IT functions in order to ensure that services are delivered cost-effectively through the application of technology.

*What improved outcomes will result from this consolidation and how will these outcomes be measured and reported?*

This consolidation will result in an enterprise approach to technology that will enable expanded access to government services and information, enhanced accountability and performance, improved public safety and disaster recovery capabilities, and consistent information security and privacy practices. These outcomes will be measured using quantitative and qualitative metrics (e.g., number of new online services; service usage and satisfaction; system uptime; cost savings/avoidance; project success rates; policy compliance; number of security breaches). The OCIO will report progress toward achieving these outcomes through the IT Strategic Plan, which, according to statute, must be published each year on January 15th and delivered to the Joint Legislative Budget Committee.<sup>ii</sup>

*How will the GRP impact the 2009-10 budget and subsequent annual budgets?*

The GRP and related policy changes are expected to result in cost savings and cost avoidance of approximately \$1.5 billion through state fiscal year 2013-2014.

*When will this reorganization be completed?*

The merger phase of this reorganization, which will bring together the Department of Technology Services (DTS), the information security portion of the Office of Information Security and Privacy Protection (OISPP) and the Department of General Services - Telecommunications Division (DGS-TD)<sup>iii</sup> under the OCIO, will be effective in May 2009. The integration phase of this reorganization will be completed by the end of the first quarter of 2010.

## **Federated Governance**

*Why is a “federated” governance model preferable to a more centralized administration of state IT and human resources?*

Given the scope, scale, and diversity of California’s state government, the “federated” governance model is preferable to a more centralized administration of state IT resources because it aligns most closely with the state's organizational and decision-making structure. The “federated” governance model ensures that authority and accountability are maintained at the appropriate tier (i.e. Enterprise, Agency, or Department). While acknowledging that programmatic needs are the primary drivers for IT investments, the “federated” governance model leverages IT policy and standards (enterprise architecture) to ensure the strategic and efficient use of human and financial resources for IT, promotes data sharing and transparency, and reduces vulnerabilities to security threats and architecture breakdowns.

*If there are no changes to the reporting relationships among department CIOs, agency information officers and the state CIO, can the OCIO effectively implement policy, improve accountability and coordinate activity?*

In fact, the GRP changes the "coordinating" authority of the state CIO with respect to agency and department CIOs that exists in current law, by providing authority to set technology direction for agency and department CIOs related to integrating statewide technology initiatives, ensuring compliance with IT policies and standards, and aligning and effectively managing IT services. In addition, the GRP will create the Enterprise Tier, which will provide robust IT infrastructure and shared technology services, engage in constructive oversight to reduce IT project risk, and establish policies and practices that ensure information security and stakeholder privacy. This service delivery capability combined with the policy, project approval and oversight authority granted in the enabling statute, give the OCIO sufficient authority to effectively implement policy and enhance accountability and coordination.

*How will a federated system be enforced?*

While the power of a well-developed and clearly articulated governance process is that it is generally self-enforcing, as noted above, the GRP provides the state CIO and the OCIO multiple policy levers and operational resources to effectuate compliance with the state's technology direction.

*How will the OCIO manage and deploy IT staff strategically?*

The GRP places the OCIO in a strong position to constructively engage agencies and departments throughout the project lifecycle. Specifically, the OCIO will be engaged in the early stages of project development to determine scope and budget, thus ensuring that the office has a strategic role in the allocation and deployment of resources. In addition, as the OCIO will deliver enterprise infrastructure and shared services as well as manage enterprise projects, it will be engaged in decisions to deploy staff necessary for strategic IT initiatives.

## **PROJECT MANAGEMENT**

*How will the GRP impact the success rate of large technology projects?*

The GRP will positively impact the success rate of large technology projects by integrating technology policy with the standardization of IT management and enterprise architecture; this is enabled by merging the OCIO with DTS. Specifically, this merger will reduce the risks associated with implementing IT projects on multiple technology platforms by driving a standard set of technology solutions (solution architecture) for IT projects. In addition, the GRP will enhance professional development opportunities for IT staff through the integration of the OCIO's Project Management Methodology and accompanying curriculum and certification program into the DTS Training Center.

*What performance measures has the OCIO developed for monitoring technology projects and how will the information be reported and used?*

In addition to the standard performance metrics for IT projects (schedule, scope, budget, and quality), the OCIO has developed a "vital signs" report card that will be part of the state's Project Management Methodology (CA-PMM). Key metrics reported on the "vital sign" report card include: customer buy-in; technology viability; status of the critical path; cost-to-date vs. estimated cost-to-date; high-probability, high impact risks; and strategy alignment among others.<sup>iv</sup> Beginning April 2009, project managers for all IT projects approved by the OCIO will provide this information to the OCIO. The interval for project reporting will be determined based on project criticality, with monthly reporting for high criticality projects, quarterly reporting for medium criticality projects, and semi-annual reporting for low criticality projects. The OCIO will use this information as part of the project oversight process to assess issues including: project health; organizational capability; and resource needs. In addition, the OCIO will use this performance management practice to determine if project intervention is required as

well as identify best practices. The OCIO will make this information publicly available online.

*What role will the OCIO have in statewide project management? What is the proposed size and scope of the OCIO's project management office?*

The OCIO's role in statewide project management will include: establishing the standards, practices and qualifications for IT project managers through the California IT Project Management Methodology; delivering and/or coordinating the delivery of IT project management training and related professional development offerings; identifying skilled IT project managers across state government; and promoting the mentoring of junior IT project managers by experienced IT project managers. The OCIO's project management office will begin with five senior-level IT project managers (one Data Processing Manager (DPM) IV and four DPM IIIs), the scope of the office will include the management of large IT projects in development as well as assuming project management responsibilities for projects that require intervention. The size of the office will scale based on demonstrated need and be funded on a reimbursement basis.

*Why is the Office of Systems Integration not included in the GRP?*

While the Office of Systems Integration (OSI) has a robust project management capability that would serve as a strong foundation for an enterprise Project Management Office, it was not included in this GRP due to statutory and resource limitations. The scope of OSI's activities is established by Government Code Section 12803.3 et seq to include five IT projects for the Department of Social Services and one project for the Employment Development Department (Unemployment Insurance Modernization). In fact, Government Code Section 12803.3(k) specifically prohibits the placement or transfer of new IT projects within the office without further legislative authorization; according to Legislative Counsel it would be impermissible to alter this statute through a GRP. It is also important to note that OSI is only resourced to perform the management of the six IT projects currently within its portfolio. Given OSI's current workload and level of resources, it would be risky to add additional project workload to the office without additional resources. While OSI is not included in this GRP, the OCIO has identified the office as a center of excellence for project management and IT procurement and will be working to develop similar organizations within the state's large Agencies.

*How do the Fi\$Cal and 21st Century projects fit into the proposed expanded authority of the state CIO to oversee enterprise projects?*

The GRP clearly defines the role of the state CIO and the OCIO vis-à-vis the Business Partners (Department of Finance, State Controller's Office (SCO), State Treasurer's Office and the Department of General Services) for the FI\$Cal Project and the SCO for to the 21st Century Project. This role involves providing technology direction to the projects related to issues including technology management (e.g. project management, schedule, scope, and procurement approach) as well as technology and security standards (e.g. hosting strategy, technical and security architecture).

## **PROCUREMENT**

*How will the OCIO split procurement duties with DGS?*

The OCIO will be responsible for the development and enforcement of information technology procurement policy, while DGS will be responsible for the procedural elements of IT procurement. For example, the OCIO will develop policies to ensure that IT purchases are consistent with enterprise architecture and that these purchases are made through an agency's or department's IT organization. In addition, the OCIO will develop policies to ensure that IT purchases are in compliance with all laws and are reported to the public in a timely manner (this includes determining the form and manner of reporting). The OCIO will also be responsible for maintaining the IT procurement policy portions of the State Administrative Manual (SAM Section 5200 et seq).

*How will this approach streamline the process for acquiring new technology and ensure accountability for procurement decisions?*

The OCIO will work with the Department of General Services – Procurement Division to establish leveraged purchase agreements in order to acquire new technology that is consistent with approved technology policy, standards and architecture. This will serve to streamline the procurement process by reducing the number of individual procurements that DGS as well as agencies and departments will be required to conduct and reducing the time required as part of the existing review and approval process. While streamlining the procurement process, this approach will also enhance accountability by requiring approval from the OCIO prior to purchasing technology that is not in alignment with technology policy, standards and architecture. This approach will ensure accountability by centralizing IT purchases within IT organizations, establishing purchasing authority thresholds within IT organizations, and requiring prompt, public and detailed reporting of IT purchases. As a backstop, the OCIO has the authority to reduce the dollar-level threshold for IT project approval for agencies or departments that fall out of compliance with these policies.

*Are there plans to increase the delegated thresholds of departments and agencies to acquire new technology?*

The OCIO will work with the Department of General Services – Procurement Division to revise delegated purchasing authority limits for departments and agencies to acquire new technology.

## **TELECOMMUNICATIONS**

*The 2005 GRP that created the Department of Technology Services excluded certain public safety communication functions housed in the Department of General Services. Why is it appropriate today to transfer that unit to the OCIO and how will such a move improve its performance?*

In the period since the Department of Technology Services was established in 2005, advanced communications devices and services have emerged on the public safety communications landscape and new technology solutions are being deployed to modernize 911 services. At the same time, governance and technical challenges continue to inhibit the state from achieving public safety communications interoperability. Given the emerging role technology, particularly internet protocol (IP) devices and multi-media messaging, will have in enhancing public safety communications it is appropriate to transfer the Telecommunications Division of the Department of General Services to the OCIO. This transfer will ensure that policy standards for public safety communications technology solutions are implemented within an open, non-proprietary, architecture in order to promote interoperability (voice and data) and reduce total cost of ownership.

## **DATA-SHARING**

*Which data centers are excluded from this consolidation and why?*

The Legislative Data Center, the Hawkins Data Center (Department of Justice), the Franchise Tax Board Data Center and the Board of Equalization Data Center are excluded from this consolidation. These data centers were excluded from this reorganization plan as they are single purpose data centers and/or are outside the purview of a GRP. It is important to note that the OCIO is working with the Franchise Tax Board, the Board of Equalization and the Employment Development Department to promote the sharing of information assets and leverage a common business analytics solution.

*What steps is the OCIO taking to formalize a geospatial information system presence in state government?*

The OCIO is in the process of appointing the state's first Geospatial Information Officer (GIO) and establishing the Enterprise GIS Unit within the OCIO. The GIO will serve as the focal point for GIS policy within the state. The Governor's Budget includes funding and position authority to support this function within the OCIO. The first order of business for the GIO will be developing standards, centers of expertise, engaging GIS constituents. With enterprise standards in place, the GIO will develop an enterprise GIS data infrastructure that enables data sharing and innovation while avoiding duplication of effort and unnecessary expenditures. The OCIO recently received homeland security funding in support of this effort from the California Emergency Management Agency.

*What other data-sharing approaches are being implemented?*

As part of the data strategy initiative, the OCIO is evaluating and collecting information about how state agencies classify, store and use business data in order to establish comprehensive and consistent data and information standards (Information Architecture).<sup>v</sup> These standards, along with the enterprise information infrastructure the OCIO is working to develop, will enhance government transparency, ensure data interoperability, and enable data-sharing.

*How will the OCIO integrate business intelligence systems into the California Information Technology Strategic Plan?*

As discussed in the “Five-Year Project Plan”, the OCIO is establishing a comprehensive data strategy that encompasses data sharing, data warehousing, and business intelligence/business analytics.<sup>vi</sup> The enterprise information infrastructure the OCIO is developing will be leveraged by business intelligence initiatives to consolidate and centralize information about operating metrics, such as service quality, transactions, internal operations, and decision support. By moving toward an enterprise information infrastructure, the state will be able to reduce and avoid the costs associated with reconciling and supporting multiple copies of the same information and improve information quality and consistency. The OCIO’s 2009 update to the “Five-Year Project Plan”, which will be published as Volume Three of the IT Strategic Plan on May 15, 2009, will provide the tactical action plan for the state’s business intelligence efforts within the context of the “IT Strategic Plan (Volume One)”.

*Regarding Strategic Concept 4 – “Information as an Asset” – how will the OCIO track, measure, and report performance data to the public, help policy-makers make informed decisions and improve outcomes?*

The OCIO is currently developing a strategy and action plan to catalog, index and make searchable information assets across state government. This effort will leverage industry best practices and standards to enable performance management and information sharing across state government. The OCIO is focused on developing a common platform that state agencies can utilize to track, measure and report program performance. The performance data available through this platform will be publicly available, further enabling data driven policymaking.

## **TECHNOLOGY BOARDS**

*Will the GRP require a realignment of state technology boards and councils (Technology Services Board, IT Council, Enterprise Leadership Council)?*

The GRP focuses the duties and responsibilities of the Technology Services Board to ensure the Office of Technology Services provides state agencies and departments the technology services necessary for business operations at affordable rates. Realigning the other state technology governance bodies is beyond the scope of a GRP as these bodies were administratively established as a means of engaging business (Enterprise

Leadership Council) and IT (IT Council) leaders in the development of technology initiatives and policy.

## **BROADBAND**

*What is the Broadband Initiative?*

The Broadband Initiative is focused on removing barriers to broadband access, identifying opportunities for increased broadband adoption, and enabling the creation and deployment of new advanced communication technologies. In addition, the Initiative is focused on ways broadband can benefit the state's educational, health and government institutions as well as community-based organizations.

*Why does the OCIO need authority to oversee broadband policy?*

In 2008, the Governor designated the OCIO as the lead state agency for coordinating state broadband policy and overseeing the implementation of the Executive Order S-23-06 and the Broadband Task Force Report. The GRP simply articulates the OCIO's responsibilities vis-à-vis broadband policy.

*How will this new authority affect the Business, Transportation and Housing Agency?*

The Business, Transportation and Housing Agency remains a partner in the California Broadband Initiative with responsibilities related to: ensuring Right-of-Way access; integrating broadband infrastructure deployment into the broader infrastructure planning process; and contributing to the Health IT planning process.

## Endnotes

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- <sup>i</sup> Little Hoover Commission. December 10, 2004. "Historic Opportunities: Transforming California State Government." Sacramento, CA. [www.lhc.ca.gov/lhcdir/176/report176.pdf](http://www.lhc.ca.gov/lhcdir/176/report176.pdf) <<http://www.lhc.ca.gov/lhcdir/176/report176.pdf>> . Accessed February 13, 2009.
- <sup>ii</sup> The IT Strategic Plan, as well as the outcome measures and underlying metrics, will be available to the public online on the OCIO's website ([www.cio.ca.gov](http://www.cio.ca.gov) <<http://www.cio.ca.gov>> ).
- <sup>iii</sup> For budgetary purposes, the Department of General Services, Telecommunications Division, will be transferred to the OCIO effective July 1, 2009.
- <sup>iv</sup> See Attachment A – SIMM 17 D – Status Report.
- <sup>v</sup> Information Architecture (IA) is the process of maturing and governing the information needed to support the business processes and functions for state and cross-boundary initiatives.
- <sup>vi</sup> Office of the State Chief Information Officer. May 15, 2008. "Five-Year Project Plan: Supplemental Report of the 2007 Budget Act Item 0502-001-9730 1." Sacramento, CA. [www.cio.ca.gov/Publications/pubs/Budget\\_Act\\_Item.pdf](http://www.cio.ca.gov/Publications/pubs/Budget_Act_Item.pdf) <[http://www.cio.ca.gov/Publications/pubs/Budget\\_Act\\_Item.pdf](http://www.cio.ca.gov/Publications/pubs/Budget_Act_Item.pdf)> . Accessed February 13, 2009.

**CA-PMM**

Project Name: \_\_\_\_\_

OCIO Project #: \_\_\_\_\_

Department: \_\_\_\_\_

Revision Date: \_\_\_\_\_

# Status Report

## Progress Report -- Team Member to Project Manager

### Current Task Summary

Task or Deliverable	Scheduled Completion Date	Actual Completion Date	Issues?
<b>Accomplished this week</b>			
<b>Planned/Scheduled Completion in Next Two Weeks</b>			
<b>Status Summary</b>	<b>Yes/No</b>	<b>Explanation</b>	
Will all assigned tasks be accomplished by their due date?			
Are there problems which affect your ability to accomplish assigned tasks?			
Do you plan to take time off that is not currently scheduled?			

# CA-PMM

Project Name: \_\_\_\_\_

OCIO Project #: \_\_\_\_\_

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Revision Date: \_\_\_\_\_

## Status Report

### Status of Assigned Issues

Issue Number	Description	Due Date	Status

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### Status Report – Project Manager to Sponsor

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#### Current Status Report

Questions	Yes/No	Cause	Impact	Action Required
1. Were recent milestones completed on schedule?				
2. Were any key milestones or deliverables rescheduled?				
3. Was work done that was not planned?				
4. Were there any changes to scope?				
5. Were tasks added that were not originally estimated?				
6. Were any tasks or milestones removed?				
7. Were any scheduled tasks not started?				
8. Is staffing adequate and/or stable?				

# CA-PMM

Project Name: \_\_\_\_\_

OCIO Project #: \_\_\_\_\_

Department: \_\_\_\_\_

Revision Date: \_\_\_\_\_

## Status Report

### Look Ahead View

Questions	Yes/No	Impact	Action Required
1. Will upcoming critical path milestones or deliverables be delayed?			
2. Do any key milestones or deliverables need to be rescheduled?			
3. Is there any unplanned work that needs to be done?			
4. Are there any expected or recommended changes to scope?			
5. Are there any tasks not originally estimated that will need to be added?			
6. Are there any tasks or milestones that should be removed from the plan?			
7. Are there any scheduled tasks whose start will likely be delayed?			
8. Are any major new issues foreseeable?			
9. Are any staffing problems anticipated?			

**CA-PMM**

**Project Name:** \_\_\_\_\_

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**Revision Date:** \_\_\_\_\_

# Status Report

**Current Status and Accomplishments:**  
*Describe deliverables completed and milestones met during **this reporting period.***

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**Project Milestones:**  
*List key milestones and their dates from the project schedule.*

Milestone	Target Date	Forecast Date	Status	Cause & Impact to Implementation Date	Date Completed

**Variiances**  
 Check the appropriate box for each project element listed below. Please describe the actions you plan to take for those items marked "Caution" or "Significant Variance".

	On Plan <5%	Caution 5-10%	Significant Variance >10%	Action Required
Schedule				
Milestones				
Deliverables				
Resources				
OneTime Cost				
Continuing Cost				

**CA-PMM**

Project Name: \_\_\_\_\_

OCIO Project #: \_\_\_\_\_

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# Status Report

## Status Reports – Sponsor to Steering Committee

### Summary Milestones and Highlights

<b>Project Milestones:</b> <i>List key milestones and their dates from the project schedule. Explain in issues section if a milestone's status is behind.</i>					
Milestone	Target Date	Forecast Date	Status	If Delayed, Impact to Implementation Date	Date Completed

<b>Variations</b> Check the appropriate box for each project element listed below. Please describe the actions you plan to take for those items marked "Caution" or "Significant Variance". <i>* Priority of schedule, scope, budget, and quality from Final Ranking established in the Priority Analysis</i>				
	On Plan <5%	Caution 5-10%	Significant Variance >10%	Action Required
Schedule				
Milestones				
Deliverables				
Resources				
One Time Cost				
Continuing Cost				

**CA-PMM**

**Project Name:** \_\_\_\_\_

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**Revision Date:** \_\_\_\_\_

**Status Report**

**Monitoring Vital Signs Scorecard**

Vital Sign	Variance	Value	Your Score
1. Customer Buy-In	High Degree of Buy-In	0	
	Medium Degree of Buy-In	1	
	Low Degree of Buy-In	2	
2. Technology Viability	Strong Viability	0	
	Medium Viability	1	
	Weak Viability	2	
3. Status of the Critical Path (delay)	<5%	0	
	5% to 10%	1	
	>10%	2	
4. Cost-to-Date vs. Estimated Cost-to-Date (higher)	<5%	0	
	5% to 10%	1	
	>10%	2	
5. High-Probability, High-Impact Risks	0 to 3	0	
	4 to 6	1	
	>6	2	
6. Unresolved Issues (on time resolution)	On time	0	
	Late with no impact	1	
	Late impacting the critical path	2	
7. Sponsorship Commitment	Fully engaged	0	
	Partially engaged	1	
	Inadequate enagement	2	
8. Strategy Alignment	Strong alignment	0	
	Partial alignment	1	
	Weak or no alignment	2	
9. Value-to-Business	Strong	0	
	Medium	1	
	Weak	2	

**CA-PMM**

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**Status Report**

10. Vendor Viability	Strong	0	
	Medium	1	
	Weak	2	
11. Milestone Hit Rate (rate of achievement as planned)	>90% on time	0	
	80-90% on time	1	
	<80% on time	2	
12. Deliverable Hit Rate (rate of production as planned)	>90% on time	0	
	80-90% on time	1	
	<80% on time	2	
13. Actual vs. Planned Resources	>90% assigned and available	0	
	80-90% assigned and available	1	
	<80% assigned and available	2	
14. Overtime Utilization (% of effort that is overtime)	<15%	0	
	15-25%	1	
	>25%	2	
15. Team Effectiveness	Highly Effective	0	
	Moderately Effective	1	
	Ineffective	2	
		<b>Total</b>	<b>0</b>

Green = 0 - 8  
 Yellow = 9 - 19  
 Red = 20+

**CA-PMM**

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	Medium	1	
	Weak	2	

**CA-PMM**

**Project Name:** \_\_\_\_\_

**OCIO Project #:** \_\_\_\_\_

**Department:** \_\_\_\_\_

**Revision Date:** \_\_\_\_\_

**Status Report**

10. Vendor Viability	Strong	0	
	Medium	1	
	Weak	2	
11. Milestone Hit Rate (rate of achievement as planned)	>90% on time	0	
	80-90% on time	1	
	<80% on time	2	
12. Deliverable Hit Rate (rate of production as planned)	>90% on time	0	
	80-90% on time	1	
	<80% on time	2	
13. Actual vs. Planned Resources	>90% assigned and available	0	
	80-90% assigned and available	1	
	<80% assigned and available	2	
14. Overtime Utilization (% of effort that is overtime)	<15%	0	
	15-25%	1	
	>25%	2	
15. Team Effectiveness	Highly Effective	0	
	Moderately Effective	1	
	Ineffective	2	
		<b>Total</b>	<b>0</b>

Green = 0 - 8  
 Yellow = 9 - 19  
 Red = 20+