


SUBJECT: Information Technology Investment Review/Approval	NUMBER: 107-004-130
DIVISION: Enterprise Information Strategy & Policy Div.	EFFECTIVE DATE: 04-23-2010
APPROVED: 	

POLICY/PURPOSE: It is the policy of the Department of Administrative Services Enterprise Information Strategy and Policy Division (EISPD) to ensure that state agency information technology investments are justified by sound business cases and linked to agency business plans, that they align with the state enterprise information technology strategies and are leveraged to the maximum extent reasonable for the benefit of the enterprise, and that necessary information about such investments is centrally cataloged for information sharing, reporting, and planning purposes. State agencies are required to seek approval from the State CIO in advance of purchase, and/or report on information technology investments in accordance with the procedures described in this policy.

AUTHORITY: ORS 184.305, 184.340, 184.473-184,477, 283.140, 283.500, 283-505, 283.510, 291.018, 291.037, 291.038, 291.047, 293.595. Executive Orders: 01-25, 00-02, 99-05, 98-05. Additionally, all acquisitions are subject to Department of Justice legal sufficiency and Department of Administrative Services purchasing rules.

APPLICABILITY: This Policy is applicable to all state agencies. For the purposes of this policy - “State Agency” or “Agency” means every state officer, board, commission, department, institution, branch or agency of the state government, whose costs are paid wholly or in part from funds held in the State Treasury, except the:

- Legislative Assembly, the Oregon Judicial Department - courts and their officers and committees;
- Public Defense Services Commission;
- Secretary of State and the State Treasurer in the performance of the duties of their constitutional offices;
- State Board of Higher Education or any state institution of higher education within the Oregon University System; and Oregon State Lottery.

ATTACHMENTS: The following documents are incorporated by reference:

- Information Resources Request (IRR) Form
 - <http://www.oregon.gov/DAS/EISPD/IRR.shtml>
- Business Case Templates and Instructions
 - http://www.oregon.gov/DAS/EISPD/Business_Case.shtml

DEFINITIONS: ***IT Investment*** – IT Investments include but are not limited to: information technology and telecommunications-related hardware and software; software license and hardware maintenance renewals; and related services (e.g. personal services and trade services).

The State Computing and Networking Infrastructure (SCNI) - The infrastructure that provides communications, information and network of wide areas, regional, or local networks; network transmission links; wireless and wired network access; personal communications systems; and internetworking of various types of networks of Oregon State government.

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Vulnerability assessment - Defined as the systematic examination of the SCNI to: determine the weakness of a system or facility holding information which can be exploited to gain access or violate system integrity; provide data to determine and confirm the adequacy and effectiveness of security measures; or, to identify security deficiencies.

Agency Business Owner – The manager of the program benefiting from the proposed system or work product.

Agency Technology Manager – Agency manager responsible for information technology, systems development, information resources management, or electronic delivery of agency services. This will most often be the Chief Information Officer or primary IT manager for the agency.

GUIDELINES:

- I. DAS, via this policy, hereby delegates to each Agency Director, the responsibility for creating and performing an IT investment review and approval process/procedure for all proposed IT Investment requests with a value of less than \$150,000 (see Guideline IV below). The Agency's IT investment review and approval process/procedure must include the consideration of the Policy Context and Purpose elements listed above.
- II. For all information technology-related procurements (investment requests) with a value of \$150,000 or more, State CIO approval is needed via the procedure outlined below.
- III. For all information technology-related projects that meet one or more of the criteria established with the Technology Investment Strategy Development and Quality Assurance Reviews policy, the agency must work with DAS to determine the appropriate level of Quality Assurance Review required. http://www.oregon.gov/DAS/EISPD/ITIP/pol_index.shtml
- IV. **Prohibition:** No mainframe, midrange or server hardware (database, application, web, email, file/print) investments; IT security-related hardware, software, or contracted services investments* (Note: "Class Contract Exemption" below); or, non-ESRI geographic information system (GIS) software investments, regardless of dollar amount, are to be made without advance State CIO approval via a DAS EISPD exception review process.

*** Note: Required Agency Use of IT Security-Related "Class Contract Exemption":**

All solicitations for contracted vulnerability assessment services on the State Computing and Networking Infrastructure (SCNI) will not be publicly noticed. In accordance with PSK Exemption #470, agencies that plan to contract for vulnerability assessment services will:

1. Conduct market research to identify the most qualified premier and dominant consultants in the Cyber Security marketplace that can best meet the State of Oregon's comprehensive vulnerability assessment needs.
2. Apply predefined criteria, as approved by DAS, to establish a list of consultants that will be solicited to meet the agency's security needs and align with the State standards to protect SCNI.
3. Once a list of contractors has been established, consultants may only be added to the list if they can demonstrate that they can meet the pre-defined criteria.
4. Send solicitations to only those consultants that are on the established list.
5. Conduct an evaluation and award process consistent with all other applicable administrative rules governing Personal Services Contracts.

State agencies must follow all applicable laws, administrative rules, and policies except for those rules specifically exempted through this Class Contract Exemption.

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* Agencies must obtain State CIO approval prior to solicitation. For more detailed information regarding the Class Contract Exemption, contact the DAS EISPD Enterprise Security Office.

PROCEDURES: How is it actually done – list of steps

<u>STEP</u>	<u>Responsible Party</u>	<u>Action</u>
1.	Agency	Before a procurement document (e.g., Work Order, PO, Telecommunications Service Order (TSO), ITB, RFP, etc.) is published for purchase of information technology related goods or services <i>in an amount of \$150,000</i> prepare an Information Resource Request (IRR) form. The IRR form requires the agency to report on: <ul style="list-style-type: none">• Problem Statement• Agency Analysis Summary• Project Summary (including cost and schedule summary)• Funding Source• Contract Summary• Goods and Services Summary• Project Cost Summary
2.	Agency	Before a procurement document is published for purchase of information technology related goods or services <i>in an amount equal to or greater than \$150,000</i> , prepare an IRR Form as detailed in step 1 and: <ul style="list-style-type: none">• Prepare and submit Business Case Document as provided as a template at the DAS website (http://www.oregon.gov/DAS/EISPD/Business_Case.shtml) or• Prepare and submit a business case document that addresses at least the following areas:<ul style="list-style-type: none">○ Subject, Purpose and Scope of the business case/proposed IT Investment.○ Projected cash flows across timeline (lifecycle or other).○ Alternatives Analysis<ul style="list-style-type: none">▪ Costs, benefits and risks of each alternative○ Assumptions and Methods that the IT investment is based upon.○ Critical Success Factors○ Consequences of failure to act on the recommended alternative
3.	Agency Business Owner AND Agency Technology Manager (or designee)	Review the IRR form, business case, and accompanying documentation. Indicate approval by signing the form or electronically via e-mail.
4.	Agency	Forward IRR form, business case, accompanying documentation, and approvals to:

Department of Administrative Services
Enterprise Information Strategy and Policy Division
955 Center Street NE (Rm. 470)
Salem, OR 97301
or by e-mail to: IT_Investment.Review@das.state.or.us

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| 5. | EISPD Analyst and State Chief Information Officer (CIO) | <p>Review and analyze IRR form, business case and accompanying documentation. Analysis will specifically address the completeness of the agency's business case statement and alignment with the elements listed in the Policy Purpose & Context statements above. Work with DAS and Agency subject matter experts to determine viability and appropriateness of specific business/technology solutions. DAS EISPD Analyst will contact agency for clarification or additional information as needed.</p> <p>EISPD Analyst will prepare recommendation to State CIO for approval, conditional approval, or denial. State CIO will approve or deny the request via signature on the IRR Form.</p> <p>EISPD Analyst will forward the approved or denied IRR form back to the Agency indicating the additional reporting expectations or the reasons for the denial, as appropriate.</p> |
| 6. | Agency | <p>Include a copy of the approved IRR with procurement documentation forwarded to the DAS State Procurement Office or to DAS State Data Center with the requisite Telecommunications Service Order (TSO) before proceeding with procurement activity.</p> |
| 7. | State Procurement Office (SPO) Analyst and EISPD Analyst | <p>SPO Analyst notifies EISPD Analyst when the procurement (IT investment) activity has been concluded/executed (e.g. signed contract).</p> |
| 8. | Agency | <p>Send project status and completion/lessons learned reports to DAS EISPD (if required as part of the IRR approval process)</p> |

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