

 DAS DEPARTMENT OF ADMINISTRATIVE SERVICES STATEWIDE PROCEDURE	NUMBER 107-004-030_PR	SUPERSEDES Policy #107-004-030 March 25, 2019
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Division Enterprise Information Services (State CIO)	REFERENCE ORS: 276A.223, 174.112, 276A.200, 276A.206, 276A.203, 279A.010, 279B.040, 279B.110, 352.002	
Policy Owner Enterprise Shared Services	Policy: 107-004-030	
SUBJECT Independent Quality Management Services for Information Technology	APPROVED SIGNATURE <i>State CIO SIGNATURE</i> ON FILE WITH DBS POLICY COORDINATOR	

PURPOSE

This procedure outlines the course of action that must be followed in order to implement the Independent Quality Management Services for Information Technology State Policy, 107-004-030.

APPLICABILITY

Information Technology (IT) Initiatives that exceed \$5 million or meet other criteria or standards that the State CIO or the DAS Director specifies by rule or policy. The Procedure applies to all agencies within the Executive Department as defined in ORS 174.112, and includes any board, commission, department, division, or office within the meaning of the cited authority, and other entities within the Executive Department of state government, except the:

- (1) Secretary of State
- (2) State Treasurer
- (3) Oregon State Lottery; and
- (4) State Board of Higher Education or any public university listed in ORS 352.002.

EXHIBITS

The exhibits below are available at the following link:

https://www.oregon.gov/das/OSCIO/Documents/107-004-030_Exhibits.pdf

Exhibit A – Excerpts from ORS 276A.223 (“Independent QA Act”)

Exhibit B – Independent QA Statement of Work

Exhibit C – Stage Gate Review Process

Exhibit D – Quality Assurance Rating Criteria

Exhibit E – Quality Assurance Reporting Templates

Exhibit F – Quality Standards

DEFINITIONS

The following important definitions from the State Policy, 107-004-030, Independent Quality Management Services for Information Technology, are included here for reading convenience.

“**Covered organization**” means an organization required to comply with the Policy by statute, administrative rule or voluntarily, to support the underlying legislative purpose to ensure successful investment of state resources in IT Initiatives.

“**EIS**” means the office of Enterprise Information Services, previously known as the Officer of the State CIO.

“**Independent QA Program**” means the program that uses the group of pre-qualified IT quality management services providers under statewide contracts for delivery of diverse, Independent quality management services. DAS Procurement Services and EIS cooperatively administer the program. Each Independent QA Program contractor has executed a master agreement with the State that includes negotiated provisions, such as standard contract terms and conditions, established hourly rate cards, and the Independent QA Program enterprise statement of work (SOW) that identifies, defines and describes the five quality management services task areas that comprise the State’s required IV&V scope; (1) Independent Quality Management Planning; (2) Independent Quality Control; (3) Independent Quality Assurance; (4) Independent Testing; and (5) Independent Risk Assessment and Management.

“**Information Technology Initiative**” or “**IT Initiative**” has the meaning set out in the Independent QA Act (Exhibit A). An Information Technology Initiative is composed of a project or project portfolio and is subject to DAS and EIS review and oversight responsibilities as discussed in this Procedure’s companion Policy and other statewide IT policies.

“**JLCIMT**” means Joint Legislative Committee on Information Management and Technology.

“**Stage Gate Review Process**” means the evaluation process by which a Project is authorized to progress from one part of the Project life cycle to the next. The process is a collaborative practice in which all participants play an important role in assessing a Project’s overall health and quality of execution; and the intention of the process is to increase the likelihood of success, reduce risk, and achieve efficient and effective allocation of resources (Exhibit C).

PROCEDURE

<u>RESPONSIBILITY</u>	<u>STEP</u>	<u>ACTION</u>
Covered Organization	1	Contacts EIS to determine the appropriate scope of and timing for Independent quality management services for IT Initiatives that meet or exceed the criteria identified within the Policy, or as otherwise deemed necessary by EIS.
EIS	2	Assigns EIS resources to properly analyze the IT Initiative and to help determine the appropriate scope of and timing for quality management services required.
Covered Organization	3	Submits required documents for concept / origination phase (Stage 1) to the assigned EIS resource, in accordance with Stage Gate Review Process (Exhibit C).
EIS	4	Analyzes the IT Initiative through the review of Covered Organization submitted documents. Decides whether; the IT Initiative should move forward into the initiation, planning, or execution phase (as applicable); the initiative needs more work; or the initiative should not move forward in alignment with the Stage Gate Review Process.

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EIS and Covered Organization	5	<p>EIS determines the scope of and timing for Independent quality management services delivery, including Independent testing, required for the IT Initiative.</p> <p>EIS and Covered Organization agree to the Quality Standards for the IT Initiative (Exhibit F).</p> <p>EIS defines the reporting standards and report formats to be used by the IT Initiative and distributed by the Independent Quality Management Services contract. These standards will also define the format for Covered Organization and State CIO reporting to the JLCIMT or other legislative committees, as required (Exhibits D and E).</p> <p>Covered Organization works with EIS to produce a written document defining the roles of the Covered Organization project sponsor and project manager, EIS, and Independent quality management services contractor to be included in the quality management plan (QMP) for the Project.</p> <p>EIS and Covered Organization ensure that executed contracts require Independent Quality Management Services Contractors to:</p> <ul style="list-style-type: none"> • Document Independence in accordance with the Policy. • Utilize an Independent and objective approach to review the Project's purpose, documentation, governance, plans, estimates, resources, methodologies, change processes, deliverables and risks during the life of the IT Initiative; and compare this information to the quality standards defined for the Project and industry best practices. • Report omissions and gaps in the Project's planning, execution, control methodologies, reporting and closing to the required parties as identified in the Policy. • Review identified risks and risk mitigation plans developed by the contracting Covered Organization. Document and quantify any major risks not identified by the contracting Covered Organization and identify any major concerns related to the contracting Covered Organization's risk mitigation plans. • Perform their work in alignment with the Independent QA Statement of Work and Stage Gate Review Process and any applicable Quality Assurance Rating Criteria, report formats, templates and reporting schedules (Exhibits B, C, D, E, and F).
EIS or designee	6	<p>Will reasonably comply with its obligations in Quality Management Services contract(s) related to deliverables authorization and acceptance. All such contracts shall be sourced from the Independent QA Program unless otherwise directed by EIS.</p>
Independent Quality Management Services Contractors	7	<p>The Policy assumes that Independent Quality Management Services Contractors will meet their contractual obligations that relate to:</p> <ul style="list-style-type: none"> • Documenting Independence. • Utilizing an Independent and objective approach to review the Project's purpose, documentation, governance, plans, estimates, resources, methodologies, change processes, deliverables and risks during the

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		<p>life of the IT Initiative; and comparing this information to the quality standards defined for the Project and industry best practices.</p> <ul style="list-style-type: none"> • Reporting omissions and gaps in the Project’s planning, execution, control, methodologies, reporting and closing to the required parties identified in the applicable Independent quality management services contracts. • Reviewing identified risks and risk mitigation plans developed by the contracting Covered Organization. Documenting and quantifying any major risks not identified by the contracting Covered Organization and identifying any major concerns related to the contracting Covered Organization’s risk mitigation plans. • Performing their work in alignment with the Independent QA Statement of Work and Stage Gate Review Process, and any applicable Quality Assurance Rating Criteria, report formats, templates and reporting schedules.
Covered Organization	8	<p>Takes appropriate steps to address risks and issues associated with omissions, gaps, defects, and other quality concerns identified by the Independent quality management services contractor or document business reasons for not doing so.</p> <p>Reports steps taken and progress made in addressing these risks and issues to parties identified for report distribution within this Policy and within the applicable Independent quality management services contract, and the appropriate legislative committees (e.g. JLCIMT) if so instructed.</p> <p>Scheduled quarterly meetings with EIS.</p>
EIS	9	<p>During the life of the Project, works with the Covered Organization to address Project omissions, gaps and risk issues raised by the Independent quality management services contractor and make recommendations that can assist the Covered Organization in the successful completion of the Project. If necessary, assign additional EIS resources to the Project or, alternatively, delay, stop, or terminate the IT Initiative, as EIS reasonably deems appropriate.</p>
EIS	10	<p>Prepares regular reports on the status and health of Agency IT Initiatives requiring Independent quality management services. Reports shall be distributed to the appropriate legislative committees (e.g. JLCIMT) and other parties deemed necessary by EIS.</p>
EIS	11	<p>Monitors the status of IT Initiatives and provide assistance and governance from EIS and other DAS divisions as required to ensure the successful implementation of the IT Initiatives subject to this Policy.</p>