

# iQMS Contract Administration

## Statewide QA Program Guidance 4

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## Overview

This document provides Enterprise Information Services (EIS) guidance to state agency project teams and independent Quality Management Service (iQMS) contractors for managing iQMS contracts.

Processes described in this guidance document may be tailored by the Authorized Representative or designee to meet the needs of the project. Any tailoring should be done in collaboration with the Statewide Quality Assurance Program (SWQA) and the EIS Oversight Analyst to ensure alignment with EIS expectations.

## Roles and Responsibilities for iQMS Contract Administration

### Authorized Representative

- Ensures that the iQMS contractor and the state fulfill contractual obligations.
- Works with Agency Project Manager (PM) to ensure proper review, comment, revision, and acceptance of iQMS deliverables.
- Approves iQMS contract deliverables, usually based on the recommendations of the project's management.
- Works with agency procurement professionals, DAS Procurement Services, EIS, and DOJ on iQMS contract amendments or change orders.
- Partners with SWQA, DAS Procurement Services, and iQMS contractor to resolve conflicts/disputes and seek remedies to performance issues.

### DAS Procurement Services<sup>1</sup>

- Coordinates contract amendments and change orders in collaboration with Authorized Representative, agency procurement professionals, DOJ, and EIS.
- Partners with SWQA, Authorized Representative, and iQMS contractor to resolve conflicts/disputes and seek remedies to performance issues.

### Statewide QA Program (SWQA)

- Ensures iQMS engagements adhere to [statewide policy 107-004-030](#) (the iQMS Policy), including the requirement that the iQMS contractor maintains independence.
- Approves any tailoring of processes described in this guidance document.
- Signs the Deliverable Acceptance Form (DAF) for each iQMS contract deliverable, indicating that EIS consents to accept the iQMS deliverable.
- Provides input to EIS Oversight Analyst for approval of contract amendments or change orders.
- Partners with Authorized Representative, DAS Procurement Services, and iQMS contractor to resolve conflicts/disputes and seek remedies to iQMS contractor performance issues.

### EIS Oversight Analyst

- Reviews contract deliverables for awareness of iQMS contractor perspectives and findings.
- Comments on iQMS contract deliverable factual errors found during review.
- Notifies SWQA of any concerns about iQMS deliverables, review process, or iQMS contractor performance.
- Approves iQMS contract amendments or change orders with input from SWQA.

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<sup>1</sup> Agency may perform the role of DAS-PS if the agency has the necessary procurement authority.

## iQMS Kickoff

After the iQMS Work Order Contract (WOC) is fully executed, the agency coordinates with the iQMS contractor to schedule an iQMS kickoff meeting that includes SWQA and EIS Project Portfolio Performance (P3) oversight. The purpose of the kickoff meeting is to help clarify expectations early and help ensure smooth working relationships throughout the course of the iQMS engagement.

## Contract Amendments and Change Orders

All amendments and change orders to iQMS SOW require approval from the EIS Oversight Analyst with input from SWQA. Agencies should consult with the assigned SWQA Program Manager and Oversight Analyst when beginning work on an amendment or change order to ensure alignment with EIS expectations.

For amendments and change orders, the agency shall work with their procurement specialists or DAS Procurement Services and DOJ as required. For change orders, the agency shall use the required [Change Order Form](#) found on the SWQA website.<sup>2</sup>

## Vendor Performance Concerns

Any concerns that impact the scope, schedule, cost, or quality of the iQMS engagement should be brought to the Authorized Representative, the SWQA program, and DAS Procurement Services. It is important to involve both SWQA and DAS Procurement Services when a concern arises so that underlying issues can be identified promptly, and appropriate action taken to resolve the matter at the lowest possible level.

SWQA meets periodically with each of the contractors that hold statewide Master Price and Services Agreements (MPSAs) authorizing iQMS. The goal of these meetings is to strengthen partnerships and provide a forum to address any questions or concerns that might arise.

## Deliverable Review & Acceptance

The purpose of the iQMS deliverable review process is for fact-checking and to ensure that iQMS deliverables meet the acceptance criteria as stated in the contract. When commenting on iQMS deliverables, reviewers may correct facts but must not attempt to copy-edit or change the report narrative or ratings. It is required that the iQMS contractor maintain their independent view.

When tailoring the deliverable review process, the review cycle cannot be longer than any review timeline outlined in the contract unless the Authorized Representative and iQMS contractor agree. The agency must communicate the review process and timeline to SWQA and the Oversight Analyst; and must allow enough time for EIS to review deliverables and sign the Deliverable Acceptance Form (DAF).

**Each preliminary and final report must be sent to the list of statutory required recipients as defined in ORS 276A.223(5)(a).**

## Establishing Review Teams

The Authorized Representative typically works with the Agency PM to coordinate the review, comment, revision, and acceptance of iQMS deliverables. The Agency PM or designee must coordinate relevant subject matter expertise to ensure proper review of contract deliverables, managing the process so that contractual review timelines are met.

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<sup>2</sup> <https://www.oregon.gov/eis/shared-services/Documents/Change-Order-Template-for-iQMS-Contracts.docx>

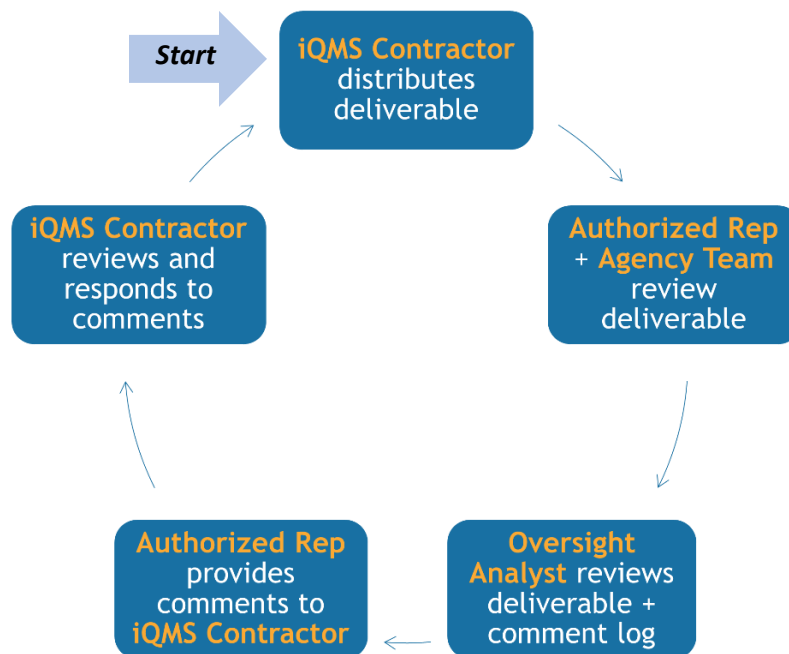
## Role Clarity for Deliverable Review & Acceptance

The agency, EIS Oversight Analyst, and SWQA each play distinct roles in the iQMS deliverable review and acceptance process.

- The **agency review team** has primary responsibility for fact-checking iQMS deliverables and correcting any factual inaccuracies.
- **SWQA** is typically not a direct participant in the deliverable review process but is responsible for signing the Deliverable Acceptance Form (DAF) indicating that EIS consents to accept the iQMS deliverable. When signing the DAF, SWQA will review both the final deliverable and the associated comment log. SWQA's review is focused on whether the deliverable meets the acceptance criteria as defined in the iQMS contract SOW, including the requirement that the iQMS contractor maintains independence.
- The **EIS Oversight Analyst** must be included in the deliverable review process and given an opportunity to comment on all iQMS deliverables. When reviewing iQMS deliverables, the Oversight Analyst is focusing on factual errors (i.e., incorrect references or other editorial errors). The Oversight Analyst will notify SWQA of any concerns about iQMS deliverables or the review process itself.

SWQA may be consulted at any time by the Authorized Representative, Agency PM or designee, review team, agency procurement specialists, DAS Procurement Services, DOJ, and Oversight Analysts.

### Deliverable Review Process



### Document Submission

1. The iQMS contractor shall send all iQMS deliverable submissions to the Authorized Representative with cc to:
  - Agency PM and CIO (or designee specified by Authorized Representative).

- [DAS DL OSCIO QualityManagementOR@oregon.gov](mailto:DAS_DL_OSCIO_QualityManagementOR@oregon.gov), which includes the DAS Director, the State CIO, and the Statewide QA Program.
  - Oversight Analyst assigned to the project.
  - [LFO.ITQARports@oregonlegislature.gov](mailto:LFO.ITQARports@oregonlegislature.gov), which includes the Legislative Fiscal Officer.
  - Agency Director (or other governing body).
2. EIS requires the following version numbering system for iQMS deliverables:

Submission Status	Version Number
Initial Draft Submission	0.5
Resubmitted Draft	0.9 Additional resubmissions are discouraged, but if necessary, increase by .01 <i>For example: 0.91, 0.92, 0.93...</i>
Final Deliverable	1.0 The final document should be a different number than the final approved draft.

3. The iQMS contractor emails the deliverable and blank comment log.<sup>3</sup>
- The subject line of the submission should contain the following information:
    - [AGENCY]\_[PROJECT]\_[VENDOR]\_[DELIVERABLE#]\_[DELIVERABLENAME]\_[DELIVERABLE VERSION].
    - For example: EIS\_M365\_iQMS\_1.1\_Initial Risk Assessment\_v0.5
  - Draft deliverables should be annotated with “REVIEW DRAFT” watermark.
  - The initial draft deliverable should indicate on the cover page that it is a draft and has not yet been reviewed for factual accuracy by agency and EIS.
  - SWQA provides a recommended [Comment Log Template](#).<sup>4</sup>
  - If the agency prefers to use inline comments (i.e., track changes in a Word document) and SWQA agrees, the agency shall set up a tracking mechanism for editable documents that provides version control for deliverable and comment tracking.
4. Once the email is sent, the timeframe begins for the Authorized Representative to respond to the deliverable.

**Comment and review cycle(s)**

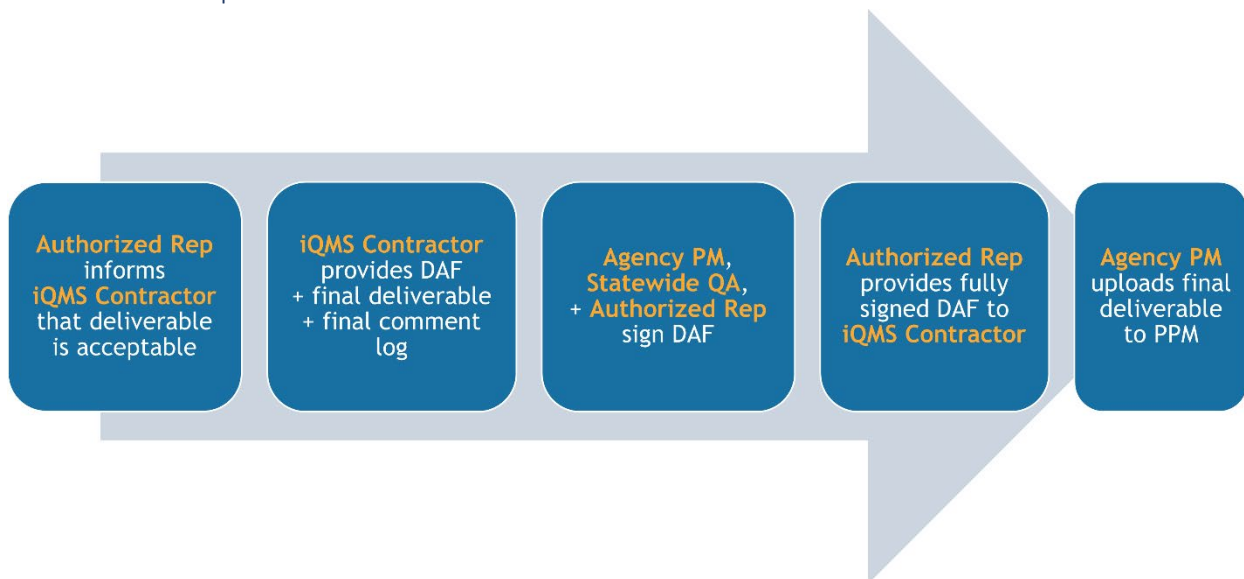
5. Authorized Representative (or designee) distributes draft deliverable and comment log to internal agency reviewers. All agency comments are compiled into one comment log.
6. Authorized Representative (or designee) emails the draft deliverable and comment log to the EIS Oversight Analyst.

<sup>3</sup> Deliverable 1.2 On-Going Risk Notification must be sent to the required recipients listed in Step 1, but is exempt from the review, comment, and acceptance process.

<sup>4</sup> <https://www.oregon.gov/eis/shared-services/Documents/eis-ss-igms-comment-log-template-20190413.xlsx>

7. Oversight Analyst will review the deliverable and comment log; add comments as needed; and reply all with an updated comment log or no comments.
8. Authorized Representative (or designee) provides the compiled comment log to the iQMS contractor by response deadline. Authorized Representative should not add any comments at this stage.
9. iQMS contractor reviews submitted comment log, makes appropriate updates to the deliverable, and provides responses to all comments in the comment log.
10. iQMS contractor emails the updated deliverable and comment log to all required recipients as described in steps 1-3.
11. If the factual errors have not been resolved, repeat process steps 1 through 10 one (1) additional time. If this additional round of commenting does not resolve concerns, see “Clarifying comments” below.

### Deliverable Acceptance Process



1. Once the review is complete, the Authorized Representative emails the iQMS contractor and requests that the final deliverable (v1.0) is sent along with the final comment log and the Deliverable Acceptance Form (DAF).
2. iQMS contractor generates a DAF referencing the approved draft version number and provides the form (along with the final deliverable and final comment log) to the Agency PM, Authorized Representative, and required recipients listed in Step 3 of the deliverable review process.
  - The subject line of the DAF submission should contain the following information:
    - [AGENCY]\_[PROJECT]\_[VENDOR]\_[DELIVERABLE#]\_[DELIVERABLENAME]\_[DELIVERABLE VERSION] - [DAF].
    - For example: EIS\_M365\_iQMS\_1.1\_Initial Risk Assessment\_v1.0 - DAF

- SWQA provides a recommended [DAF Template](#).<sup>5</sup>
3. Agency PM (or designee) signs the DAF to recommend approval, then sends it to SWQA.
  4. SWQA signs the DAF to recommend approval, then sends it to the Authorized Representative.
  5. Authorized Representative signs the DAF approving the deliverable.
  6. Authorized Representative (or designee) emails the fully signed DAF to the iQMS contractor to support invoicing the agency for the deliverable, with electronic courtesy copy to SWQA, EIS Oversight Analyst, and designated agency staff.
  7. Agency PM (or designee) uploads the final deliverable and comment log into appropriate iQMS folder within the PPM site's Collaboration tab. While PPM is not the official system of record for iQMS deliverables, EIS requests that the final deliverable be added to PPM for ease of access by all project partners.
  8. Agency is responsible for maintaining a system of record related to iQMS contracts and deliverables.

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<sup>5</sup> <https://www.oregon.gov/eis/shared-services/Documents/eis-ss-igms-daf-swqa-agency-template.docx>





## Statewide QA Program Best Practice Tips

### Using document naming conventions

When emailing deliverables and comment logs or uploading them to the PPM system, the following naming conventions should be used:

Document Type	Naming Convention
Deliverable	[agency]_[project name]_[deliverable number]_[deliverable name]_[version #] For example: <b>3.3b_MonthlyStatusReportMay17_v09</b>
Comment Log (agency only)	[agency]_[project name]_[deliverable number]_[deliverable name]_[version #]_AgencyCommentLog For example: <b>3.3b_MonthlyStatusReportMay17_v09_AgencyCommentLog</b>
Comment Log (agency & Oversight Analyst)	[agency]_[project name]_[deliverable number]_[deliverable name]_[version #]_CompiledCommentLog For example: <b>3.3b_MonthlyStatusReportMay17_v09_CompiledCommentLog</b>
Deliverable Acceptance Form (agency & Statewide QA Program)	[agency]_[project name]_[deliverable number]_[deliverable name]_[version #]_DAF For example: <b>3.3b_MonthlyStatusReportMay17_v1.0_DAF</b>

### Using the findings of a deliverable

The purpose of an iQMS contractor is to support professional project management practices, ensure risk identification and mitigation efforts, encourage project success, and aid in understanding the status of projects over time. It is important for the agency to *use the findings by the contractor* to identify immediate opportunities to strengthen the project’s internal risk, issue, and quality management practices. Upon initial receipt of the deliverable, the Agency PM should work with relevant team members to review the findings and to amend project activities, as needed.

### Clarifying comments

If there is a disagreement about facts or a need for clarity, it may be helpful to hold a meeting between the iQMS contractor, project team, comment contributors, SWQA, and if necessary EIS Oversight Analyst. The intent of the meeting is to clarify comments and help avoid deliverable rejection. If there are disagreements about iQMS findings, see “How should disagreements over iQMS findings be handled?” below.

### Review Cycles

The recommended review cycle for each deliverable is referred to as “10/10/10”. This breaks down as:

- 1) **Agency and EIS review of deliverable:** 10 business days for the agency and EIS to review the initial v0.5 draft deliverable and return compiled comments.
- 2) **iQMS contractor review of comments:** 10 business days for the iQMS contractor to respond to any comments and return the updated comment log and a v0.9 draft deliverable.
- 3) **Agency and EIS review of updated deliverable and iQMS contractor's response to comments:** 10 business days for the state and EIS to review the iQMS contractor's responses to comments and verify that they are appropriately reflected in the v0.9 draft deliverable.

Note that the first and last 10-day cycles include the three days recommended for EIS to review and provide comments, if any.



## Frequently Asked Questions

What if more time is needed for deliverable review or revision?

First, verify with the Authorized Representative if an extension process is addressed in the iQMS contract. If not and if the state project team needs additional time to review, the Authorized Representative can request an extension from the iQMS contractor. The iQMS contractor can then agree or disagree with the request. If the iQMS contractor needs additional time to review comments and/or revise the deliverable, they should contact the Authorized Representative to request an extension. Any extension and approval (or denial) must be documented, preferably via email.

How does the comment log move through the process?

For iQMS deliverables, the iQMS contractor will send a comment log template with their initial deliverable submission. (Comment logs are typically in MS Excel or MS Word format, but an alternate format may be used if all parties agree; see Step 3 in the Document Submission process above.) The comment log is used to collect agency and EIS comments related to factual errors or document quality generally.

All comments must be collected into a single document – including comments from the EIS Oversight Analyst. It is more efficient for a contractor to receive and respond to all comments in a single location; it also helps to reduce duplicated comments and ensure comments are not lost or missed.

What if there are no comments to submit?

If the agency and EIS have no comments on a deliverable, the agency and the EIS Oversight Analyst should each enter a row in the comment log indicating “no comments on version x.x”. If using track changes for deliverable commenting, add a comment in the tracked deliverable indicating “[NAME] no comments on version x.x”. The Authorized Representative should then email the iQMS contractor, by the response deadline, to submit the comment log and inform them that the agency and EIS do not have comments.

How should disagreements over iQMS findings be handled?

At times, agency management or other reviewers may disagree with the iQMS contractor's final findings, analyses, and professional recommendations. As a result, agency management may

wish to include additional information, explanation, or context in the formal record of the project. EIS has created a process to handle these situations, as follows:

1. Agency will provide to the Authorized Representative a signed management letter on agency letterhead, containing additional information, explanation, or context as it deems necessary. Such a letter must be provided within the contractually agreed review timeline to not delay acceptance of the iQMS deliverable.
2. The Authorized Representative will provide that management letter to the iQMS contractor and will direct the Agency PM to upload it to the PPM tool.
3. The iQMS contractor will append a scanned image of this management letter into the deliverable without modification.

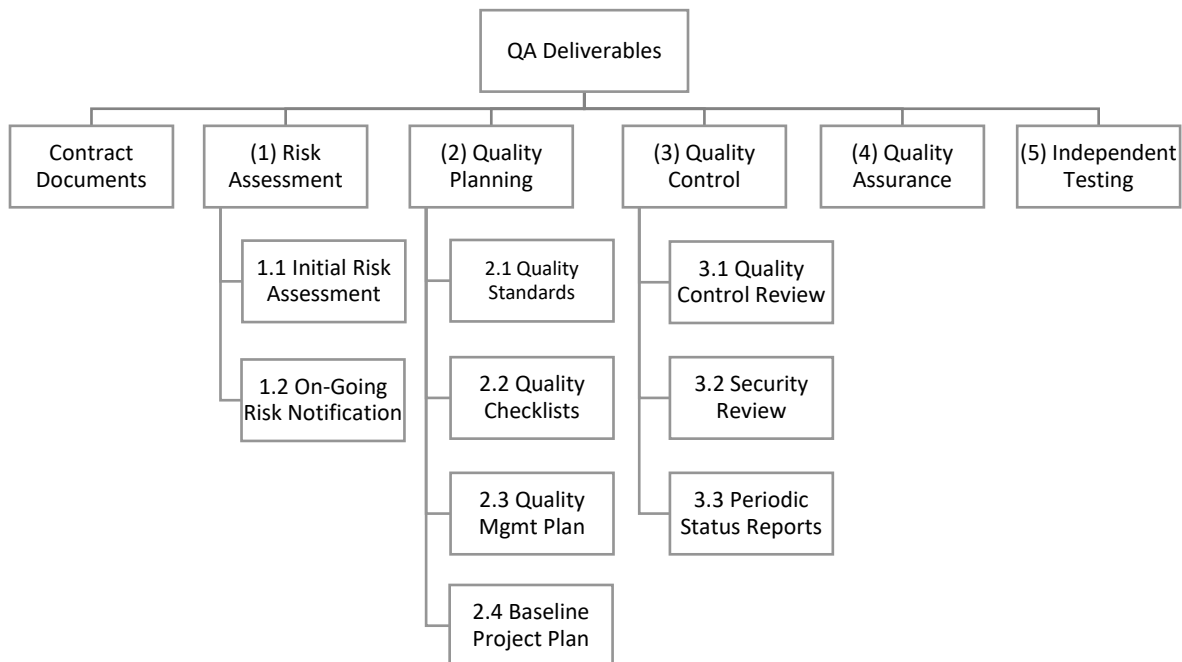
The purpose of this signed management letter is two-fold, to:

- (1) Provide a mechanism by which agency management can document differences of opinion and related agency perspectives on a given iQMS deliverable; and,
- (2) Enable administrative closure of the review process of an iQMS deliverable so that it may be formally approved / accepted by the state, and so that the iQMS contractor can submit a payment invoice.

Please contact the EIS Statewide QA Program (SWQA), [statewideQA@oregon.gov](mailto:statewideQA@oregon.gov), for further assistance and guidance related to management letters.

In the PPM tool, where is the iQMS folder within the *Collaboration* tab?

The Agency PM (or designee) sets up the folders in PPM. We recommend the following file structure, with each number aligning to the QA Statement of Work:



## Using a Deliverable Acceptance Form (DAF) for payment

A DAF is used to document the formal approval of a deliverable, as authorized by those specified in the Statement of Work. At a minimum, the DAF should include the deliverable name and number, acceptance recommendation and signature blocks for the Agency PM (or designee) and SWQA Program Manager, and signature block and deliverable acceptance indicator for the Authorized Representative. A recommended DAF template is available.

## Why do the Statewide QA Program and Agency PM need to sign the DAF?

The Agency PM (or designee) usually has a high level of familiarity with the project and the context for an iQMS deliverable that is under review. Along with the EIS Oversight Analyst, they are in the best position to help the Statewide QA Program and the Authorized Representative determine if an iQMS deliverable meets the professional standards and acceptance criteria as defined in the iQMS contract. The commenting process will signal to the Statewide QA Program and the Authorized Representative that the deliverable meets the appropriate level of rigor.

The signatures of the Agency PM, the Statewide QA Program, and the Authorized Representative on the DAF document the agreement to accept an iQMS deliverable.

The signature of the Statewide QA Program fulfills the requirement that EIS consents to accept the iQMS deliverable, as required by Policy<sup>6</sup>. iQMS deliverables should not be accepted by the Authorized Representative without a DAF signed by the Agency PM and Statewide QA Program.

In addition, a signed DAF is useful to support iQMS contractor invoices for downstream accounts payable processes at the agency (Authorized Purchaser). The fully signed DAF becomes part of the iQMS contract file that can support future financial audits and policy compliance audits.

## In EIS, what is the difference between the Oversight Analysts and the Statewide QA Program?

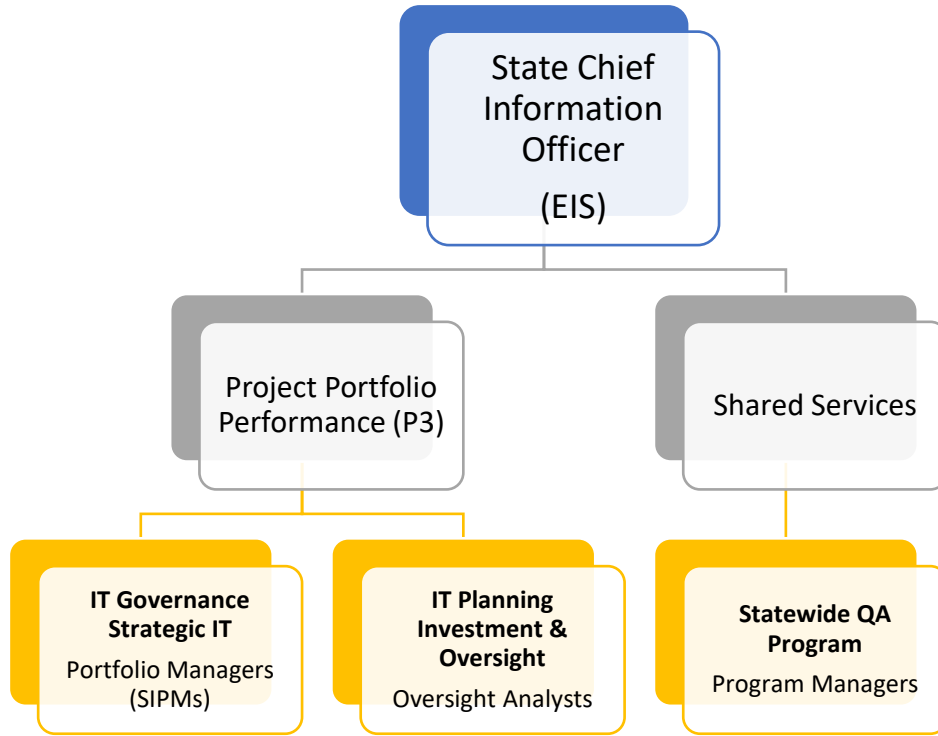
The Oversight Analyst team is part of the Project Portfolio Program (P3) team, which reports to the Deputy State Chief Information Officer. The P3 team is key in implementing and using the IT Governance Framework which includes oversight and portfolio management of all major IT investments using a standard framework and statewide policies. Oversight Analysts review all agency investments for which EIS oversight is required under Policy 107-004-130. This includes review of required project procurement documentation, and coordination with procurement and the Statewide QA Program.

The Statewide QA Program is functionally separate from P3, and reports through Shared Services to the Deputy State Chief Information Officer. The mission of the program is to improve the statewide delivery of IT projects through quality and risk management. The Program's primary method for improving software quality and risk management is through the use of Independent Quality Management Services (iQMS) as required by Policy 107-004-030 and ORS 276A.223. The Statewide QA Program determines whether a project or program requires iQMS and what should be included in the SOW for each project in collaboration with P3 and agencies. The Statewide QA Program also signs the Deliverable Acceptance Form for each iQMS deliverable (fulfilling EIS's obligation to consent to accept all iQMS deliverables under Policy 107-004-030).

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<sup>6</sup> See Clause 3 in the General Requirements section of Statewide Policy #107-004-030 on Independent Quality Management Services for Information Technology.

Enterprise Information Services (EIS) Partial Organization Chart\*



[\\*Visit the EIS website for the complete organization chart](#)