IQMS Contract Administration

Statewide Quality Assurance (SWQA)

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 IQMS contractor and Statewide Quality Assurance (SWQA) to ensure alignment with policy and contract requirements.

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 State Procurement Services, EIS, and Department of Justice (DOJ) on IQMS contract amendments or change orders.
- Partners with SWQA, DAS State Procurement Services, and IQMS contractor to resolve conflicts/disputes and seek remedies to performance issues.

DAS State Procurement Services

- 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.
- Note: Agency may perform the role of DAS-SPS if the agency has the necessary procurement authority.

SWQA

- Ensures IQMS engagements adhere to Statewide Policy 107-004-030 (IQMS for Information Technology Initiatives), including the requirement that the IQMS contractor maintains independence.
- Approves any tailoring of processes described in this guidance document.
- Reviews agency comments and IQMS contractor responses to ensure IQMS contractor findings are objective and independent.
- 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 endorsement of contract amendments or change orders.
- Partners with Authorized Representative, DAS State Procurement Services, and IQMS contractor to resolve conflicts/disputes and seek remedies to IQMS contractor performance issues.

EIS Oversight Analyst

- Endorses IQMS contract amendments or change orders with input from SWQA per Statewide Policy 107-004-130 (Information Technology Investment Oversight).

Contract Amendments and Change Orders

All amendments and change orders to the IQMS WOC require endorsement 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 State Procurement Services and DOJ as required. For change orders, the agency shall use the required Change Order Form found on the SWQA website. (https://www.oregon.gov/eis/shared-services/Documents/Change-Order-Template-for-iQMS-Contracts.docx)

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 Manager, and DAS State Procurement Services. It is important to involve both SWQA and DAS State 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 ask for clarification, correct facts or omissions, and provide additional information for the IQMS contractor's consideration. Reviewers must not attempt to copy-edit or change the report narrative or ratings. The IQMS contractor is required to 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 must allow enough time for EIS to review deliverables and sign the Deliverable Acceptance Form (DAF).

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.

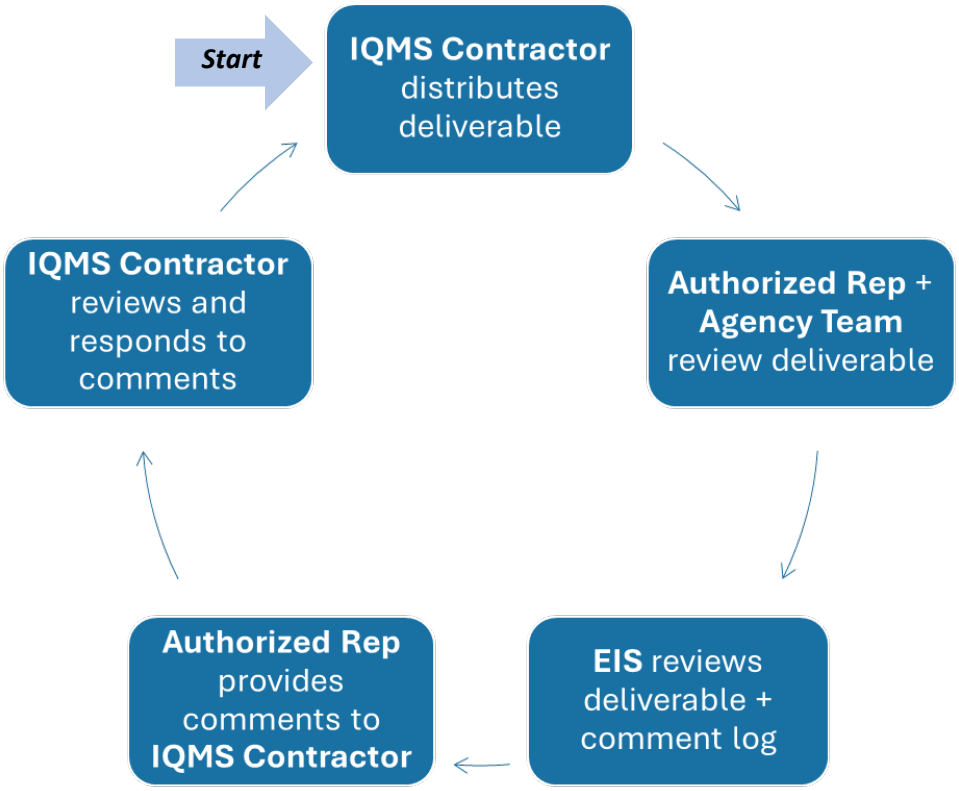
Role Clarity for Deliverable Review & Acceptance

The agency, SWQA, and the EIS Oversight Analyst 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 responsible for signing the Deliverable Acceptance Form (DAF) indicating that EIS consents to accept the IQMS deliverable. Prior to signing the DAF, SWQA will review 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. SWQA may also comment on draft versions of IQMS deliverables if there are concerns about deliverable quality or alignment with the IQMS contract.
- The **EIS Oversight Analyst** is typically not a direct participant in the deliverable review process but must be given an opportunity to read all IQMS deliverables before they are finalized. The Oversight Analyst will notify SWQA of any concerns about IQMS deliverables or the review process itself. The Oversight Analyst may also comment on draft versions of IQMS deliverables and will work with SWQA to have their comments added to the comment log.

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

Deliverable Review Process



Document Submission

1. The IQMS contractor shall send all preliminary (draft) and final IQMS deliverable submissions to the Authorized Representative with cc to:
    - Agency PM and CIO (or designee specified by Authorized Representative).
    - EIS_DL_QualityManagementOR@oregon.gov, which includes the DAS Director, the State CIO, and SWQA.
    - Oversight Analyst assigned to the project.
    - SWQA Program Manager assigned to the project.
    - LFO.ITQAReports@oregonlegislature.gov, which includes the Legislative Fiscal Officer.
    - Agency Director (or other governing body).

    Note: The IQMS contractor must not share draft deliverables in written form with the project team prior to sending the draft deliverable to the recipients listed above.

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 *For example: 0.91, 0.92, 0.93…*
Final Deliverable	1.0 The final document should be a different number than the final approved draft.

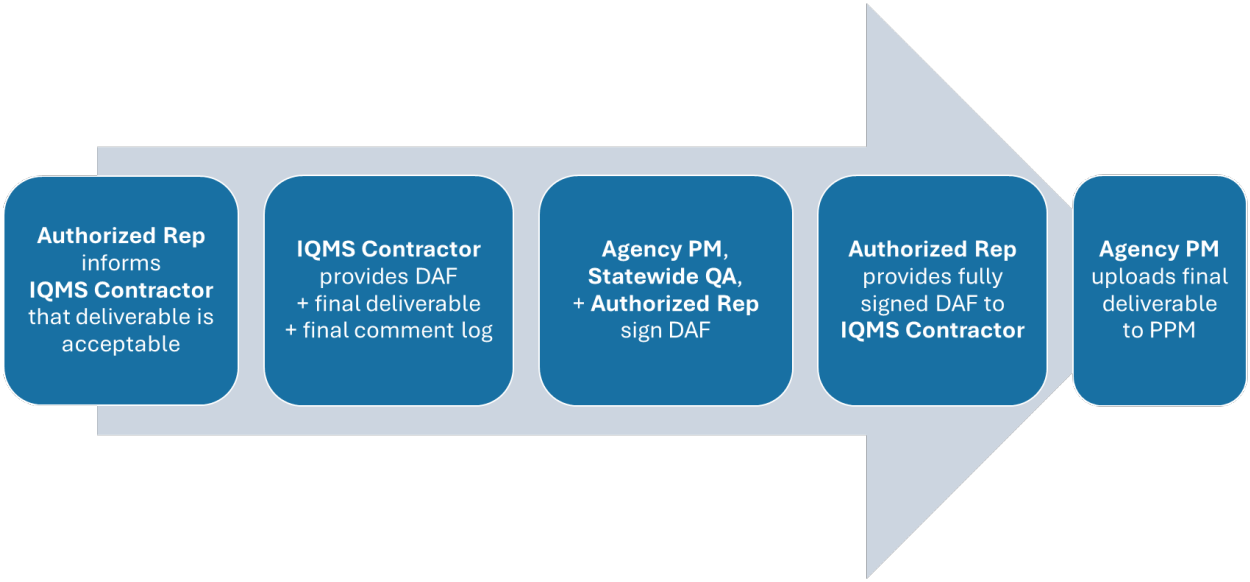
3. The IQMS contractor emails the deliverable and blank comment log.
(**Note:** Deliverable 1.2 On-Going Risk Notification must be sent to the required recipients listed in Step 1, but is exempt from the review, comment, and acceptance process.)
    - The subject line of the submission should contain 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.
    - SWQA provides a recommended Comment Log Template. (https://www.oregon.gov/eis/shared-services/Documents/eis-ss-iqms-comment-log-template.xlsx)
    - If the agency, the IQMS contractor, and SWQA have agreed to use inline comments (i.e., track changes in a Word document), 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 from the IQMS contractor, 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. If the agency has no comments on a deliverable, the Authorized Representative (or designee) should enter a row in the comment log indicating “no comments on version x.x”.
6. Authorized Representative (or designee) emails the draft deliverable and comment log to the SWQA Program Manager and the EIS Oversight Analyst who are assigned to the project.
7. The SWQA Program Manager will review the deliverable and comment log; add comments as needed; and reply all with an updated comment log or no comments.
    - If the Oversight Analyst has comments on a deliverable, they should provide them to the SWQA Program Manager by the specified deadline for inclusion in the comment log.
    - If EIS has no comments on a deliverable, the SWQA Program Manager will enter a row in the comment log indicating “no comments on version x.x”.
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. (https://www.oregon.gov/eis/shared-services/Documents/eis-ss-iqms-daf-swqa-agency-template.docx)
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.
7. Agency PM (or designee) uploads the final deliverable and comment log into appropriate IQMS folder within the project's PPM 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.

Use of Management Letters

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. SWQA 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 the management letter to the IQMS contractor when requesting v1.0 of the deliverable. The Authorized Representative will also direct the agency PM to upload the management letter to the PPM tool.
3. The IQMS contractor will append a scanned image of the management letter without modification into the v1.0 deliverable.

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 SWQA, statewideQA@das.oregon.gov, for further assistance and guidance related to management letters.

SWQA 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: ***3.3b_MonthlyStatusReportMay17_v09***
Comment Log (agency only)	[agency]_[project name]_ [deliverable number]_[deliverable name]_[version #]_AgencyCommentLog For example: ***3.3b_MonthlyStatusReportMay17_v09_AgencyCommentLog***
Comment Log (agency & EIS)	[agency]_[project name]_ [deliverable number]_[deliverable name]_[version #]_CompiledCommentLog For example: ***3.3b_MonthlyStatusReportMay17_v09_CompiledCommentLog***
Deliverable Acceptance Form (agency & SWQA)	[agency]_[project name]_ [deliverable number]_[deliverable name]_[version #]_DAF For example: ***3.3b_MonthlyStatusReportMay17_v1.0_DAF***

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, and SWQA. 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:

2. **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.
3. **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.
4. **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 any comments from SWQA or 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 SWQA 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.

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 WOC. 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 SWQA and the 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. They are in the best position to help SWQA 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 SWQA and the Authorized Representative that the deliverable meets the appropriate level of rigor.

The signatures of the agency PM, the SWQA Program Manager, and the Authorized Representative on the DAF document the agreement to accept an IQMS deliverable.

The signature of the SWQA Program Manager fulfills the requirement that EIS consents to accept the IQMS deliverable, as required by the IQMS Procedure. (See the IQMS Procurement and Contract Administration section of Statewide Procedure #107-004-030_PR.) IQMS deliverables should not be accepted by the Authorized Representative without a DAF signed by the agency PM and the SWQA Program Manager.

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.