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[Home](https://ocio.wa.gov/) > [Policies](https://ocio.wa.gov/policies) > [121 - IT Investments - Approval and Oversigh](https://ocio.wa.gov/policies/121-it-investments-approval-and-oversight)t > 121 - Procedures

# Purpose

To establish the procedures agencies and the OCIO follow in the planning and implementation of major IT investments

# Procedures

1. Concept Review
   1. As the first step in the IT investment process, the agency will assess all IT investments as oversight Level 1 (low), Level 2 (medium), or Level 3 (high) using the Severity and Risk Assessment tool (an online calculator). See Appendix A – Severity and Risk Assessment.
      1. All projects initially assessed at a Level 2 or 3 are considered “major IT projects” (also referred to as major IT investments) and should be presented to the OCIO for concept review.
      2. If an agency is uncertain about the assessment of a project’s risk level, the agency should follow the procedures for a concept review (See Step 2 below).
      3. Level 1 projects are not typically reviewed by the OCIO.
   2. The agency drafts a *Concept Briefing Document* for each preliminarily assessed Major IT Project.
      1. Using the OCIO’s *Concept Briefing Document* template, the agency prepares a short, high-level briefing on each Major IT Project. See Appendix B – Concept Briefing Document Template.
      2. The agency submits the completed *Concept Briefing Document* in a .doc or .docx format to the OCIO via [ocioconsultants@ofm.wa.gov.](mailto:ocioconsultants@ofm.wa.gov)
   3. After submitting the completed Concept Briefing Document, the agency will request a meeting with OCIO IT Consultants to review Major IT Project(s) at the concept stage
   4. Subsequent to the Concept Review meeting, the OCIO may provide written feedback and recommendations to the agency.
   5. Agencies must complete the concept review prior to submitting to the Office of Financial Management any request for project funding and prior to releasing an acquisition document (e.g., RFP, RFQ, RFQQ, etc.).
2. Evaluation and Approval of Planned IT Investments
   1. The agency will obtain OCIO approval when at least one of the following applies:
      1. The agency or OCIO assess the investment as oversight Level 2 or 3.
      2. The investment is placed under oversight by legislative proviso.
   2. Projects that are not subject to Section 2.1 above may still require OCIO approval. The agency will contact its OCIO consultant to determine if OCIO approval is needed if any of the following apply:
      1. The investment is not consistent with the state’s IT strategic plan.
      2. The investment does not follow OCIO approved technical standards.
      3. The investment is not consistent with the agency’s IT architecture.
      4. The investment duplicates or competes with an existing system or service provided or offered by another state agency.
      5. The investment is a private sector strategic partnership.
      6. The investment is an academic strategic partnership for a business or administrative application.
   3. The agency will submit an investment plan to the OCIO for approval of all projects that meet the conditions in sections 2.1 or 2.2 above. An investment plan includes:
      1. A final Severity and Risk Assessment. See Appendix A – Severity and Risk Assessment
      2. A completed Investment Plan Template. See Appendix C - Investment Plan Template
      3. Implementation and Maintenance Costs Spreadsheets. See Appendix D – Implementation and Maintenance Costs Spreadsheets
   4. Upon submittal of Investment Approval Requests, agencies shall schedule an in-person review of the investment plan with the OCIO consultant team.
      1. In addition to the *investment plan*, agencies shall submit a feasibility study for all Level 3 projects. See Appendix E – Feasibility Study Requirements for IT Investments
      2. The agency may provide additional information for OCIO consideration including discovery documentation such as feasibility studies for Level 2 projects, the results of Requests for Information or

Quotes.

* + 1. If an agency is authorized by the OCIO to use alternative documentation in lieu of an investment plan (e.g., a federal Planning-Advanced Planning Document (P-APD) or an Implementation-Advanced Planning Document (I-APD)), the agency will submit an outline of the investment plan topics with document and page references to the corresponding alternative documentation.
  1. The agency will receive approval of the investment plan before signing a contract with a vendor.
  2. The OCIO will make every attempt to process investment plans within 30 days. However, per RCW 43.41A, the OCIO has up to sixty (60) days within receipt of a signed *investment plan* to approve, reject, or propose modifications to the plan.

1. Project Monitoring
   1. The agency will adhere to oversight as delineated in *Oversight Requirements*. See Appendix F – Oversight Requirements.
   2. Using the web-based reporting tool, *IT’s Transparent: Project Dashboard*, the agency and the OCIO will submit critical documentation related to major IT projects as specified in Reporting Requirements for Transparency Dashboard. See Appendix G – Reporting Requirements for Transparency Dashboard.
   3. The agency will assess the scope, schedule and budget of major IT investments on a monthly basis.
   4. The OCIO will assess major IT investments no less than quarterly.
   5. The agency will contact the OCIO if the approved scope, schedule, or budget changes for any reason to determine if the investment plan needs to be amended.

# Definitions

Major IT Project (also referred to as “major IT investment”) - A “Major IT Project” is any project assessed as a risk level 2 or level 3 investment based on the Severity and Risk Assessment (See Appendix A).

# Responsibilities

## State Chief Information Officer (or designee)

Interpret the policy.

Update this policy and related resources as needed.

Maintain web-based tools for making critical project documentation publicly available. Review, recommend modifications, and approve investments.

Implement efficiencies and tools to streamline the execution of this policy.

## Technology Services Board (TSB)

Review and approve major policy changes. Provide oversight of major IT investments.

## Agency Heads

Responsible for the planning, management and use of IT systems, telecommunications, equipment, software, and services of their respective agencies.

Ensure agency follows the processes delineated by the OCIO. Respond to OCIO and TSB recommendations as needed.

Understand conditions requiring OCIO approval of investments.

Ensure all applicable laws, rules, policies, and standards governing IT are followed.

## Department of Enterprise Services (DES)

Develop policies and standards governing the acquisition and disposition of goods and services.

# Contact Information

For questions about this policy, please contact the [OCIO](https://ocio.wa.gov/about-ocio/who-we-are/it-consultants) [1].

# Revision History

|  |  |
| --- | --- |
| **Date** | **Action taken** |
| **May 15, 2015** | **Procedure modified (Sections 1.5, 2.3, and 2.5)** |
| **April 28, 2014** | **Revised Appendix B - Concept Review Template** |
| **January 8, 2014** | **Procedure adopted** |

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Links:

[1] https://ocio.wa.gov/about-ocio/who-we-are/it-consultants

[2] https://ocio.wa.gov/policies/121-it-investments-approval-and-oversight/121-appendix-severity-and-risk-assessment

[3] https://ocio.wa.gov/sites/default/files/121%20App%20B%20-%20Concept%20Briefing%20Template\_5\_2014.docx

[4] https://ocio.wa.gov/sites/default/files/121appendixc.docx

[5] https://ocio.wa.gov/sites/default/files/121%20App%20D%20-

%20Implementation%20and%20Maintenance%20Costs%20Spreadsheets.xls

[6] https://ocio.wa.gov/sites/default/files/121%20Appendix%20E%20-

%20Feasibility%20Study%20Requirements%20for%20IT%20Investments\_3\_0.docx

[7] https://ocio.wa.gov/sites/default/files/121%20App%20F%20-%20Oversight%20Requirements.docx

[8] https://ocio.wa.gov/sites/default/files/121%20App%20G%20-

%20Reporting%20Requirements%20for%20Transparency%20Dashboard%20FINAL.docx [9] <http://ocio.wa.gov/policies/121-it-investments-approval-and-oversight>

[10] <http://apps.leg.wa.gov/rcw/default.aspx?cite=43.41A>

[11] <http://waocio.force.com/>

[12] <http://des.wa.gov/about/pi/ProcurementReform/Pages/Policies.aspx>

[13] https://ocio.wa.gov/pmframework