

# Policy & Standard Background

**Name:** Policy 121

**New, Update or Sunset Review?** Update

**What is the business case for the policy/standard?**

There is confusion among state agencies when it is necessary to complete an ITPA and submit to the OCIO for an assessment of risk and consideration of oversight.

**What are the key objectives of the policy/standard?**

The objective of the proposed update to policy 121 is to provide guidance to agencies in the determination of what is a major project and when it is necessary to complete and submit an ITPA to the OCIO.

**How does policy/standard promote or support alignment with strategies?**

**Create opportunities for operational efficiency and improve constituent access to services –** Submission of an ITPA does not necessarily imply the project is under oversight. Submission of an ITPA creates awareness at the OCIO level of agency projects and assists in the support and implementation of the enterprise strategic plan.

**Develop accountability and transparency while managing with integrity –** A shared understanding of a major project and its application as agencies plan and implement projects indicates a maturing project management framework.

**Identify strategic technology investments to support common business needs and functions –** Submission of an ITPA helps the OCIO evaluate options for shared solutions across the state or business ‘ecosystems’. The ITPA also helps to identify common business practices supported by shared solutions.

## What are the implementation considerations?

Agencies are expected to complete an ITPA for IT investments that exceed \$500,000 and are anticipated to take longer than 4 months to complete.

The OCIO is expected to assess each ITPA submitted and determine if oversight is necessary. The OCIO is responsible to identify and share with agencies opportunities to leverage shared solutions and consolidate common technology and services where appropriate.

## How will we know if the policy is successful?

Improved investment analysis.

# CURRENT POLICY

## PURPOSE

The purpose of this policy is to establish the roles and responsibilities of the OCIO and state agencies in the planning and implementation of major IT investments. This policy seeks to ensure the success and transparency of all business-driven major IT investments through a relevant and responsive evaluation, approval and monitoring process that commences early in the lifecycle of projects.

## POLICY STATEMENT

1. All major IT investments are subject to the approval and oversight of the Office of the Chief Information Officer (OCIO).
  - a. The OCIO is responsible for defining what constitutes a major IT investment. At a minimum, the process used to make this determination will take into account the investment size, risk, and expected impact on citizens and state operations.
2. Agencies will perform a self-assessment of every IT investment using the [OCIO provided tool](#) and submit to the OCIO. The OCIO will make the final determination if the investment is or is not a Major Project subject to applicable oversight processes.
  - a. Agencies will follow procedures established by the OCIO for the review, approval, and oversight of major IT investments.
3. The OCIO will employ Lean principles to implement this policy, continuously improving the procedures and related materials.
4. To promote transparency in the planning and implementation of major technology investments, critical documentation related to approval and oversight of major IT investments will be made publicly available.
  - a. The OCIO will establish and maintain publicly accessible web-based reporting tools for the posting of critical documentation.
  - b. State agencies and the OCIO will make critical documentation publicly available using the reporting tools provided by the OCIO, in accordance with established procedures.
  - c. State agencies are responsible for submitting documents in a manner consistent with all applicable laws, rules, policies and standards including, but not limited to public disclosure and security.

## 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, approve, reject, and propose modifications to proposed investments.
- Implement efficiencies and tools to streamline the execution of this policy.
- Escalate/intervene with the agency leader and/or the agency CIO as and when it may be necessary and evident through applied oversight processes.

### *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.
- Accountable for the successful execution of IT investments,

*Department of Enterprise Services (DES)*

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

**CONTACT INFORMATION:**

Contact [OCIO Policy & Waiver Mailbox](#) for additional information or to [request a waiver](#).

**REVISION HISTORY**

Date	Action Taken
December 2017	Interim changes approved by the full Technology Services Board
November 2017	Interim changes recommended for approval by TSB Policy & Portfolio Subcommittee on 11/9/2017. State CIO adopted for use pending approval of the full TSB at their next meeting (December 2017). Changes added reference to new assessment tool, changed references to Level 1,2 and 3 projects to projects under or not under oversight. Clarified in Roles and Responsibilities section that OCIO can independently intervene or escalate with agency head and/or sponsor when necessary
January 8, 2014	Effective date. Major revision to policy. Procedures and appendices added. Policy adopted by the State CIO
March 1, 2013	Major revision to policy and Appendix A (Severity & Risk Level Criteria and Oversight Requirements)
April 30, 2012	Appendix A revised to reflect modifications to Appendix A, Section 6, Resolution of Complaints and Protests.
October 2011	Policy reformatted for migration to Office of Chief Information Officer. Sections of standards under review by OCIO and Department of Enterprise Services moved to Appendix A. Delegated authority section deleted, and Section 1 under review for remaining references to delegated authority related to OCIO and TSB approvals. Feasibility Study Guidelines changed to Feasibility Study Requirements since the standard refers to the contents of guidelines as required.
April 2010	Policy adopted.

**SUNSET REVIEW DATE: August 31, 2018**

**ADOPTION DATE: November 13, 2017**

**TECHNOLOGY SERVICES BOARD APPROVAL DATE: December 11, 2017**

**APPROVING AUTHORITY: Rob St. John, Acting Chief Information Officer**

# PROPOSED UPDATES TO POLICY



## PLANNING, ASSESSMENT, APPROVAL, AND OVERSIGHT

### PURPOSE

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2. Agencies will perform a self-assessment using the OCIO provided tool.
  - a. ~~of every IT investment using the OCIO provided tool and submit to the OCIO. The OCIO will make the final determination if the investment is or is not a Major Project subject to applicable oversight processes.~~
3. Agencies will submit the Information Technology Project Assessment (ITPA) online tool for every IT investment with:
  - a. Total cost\* that includes a combined level of effort of more than \$500,000 AND
  - b. Duration longer than 4-months.
4. The OCIO will make the final determination if the investment is or is not a major project subject to applicable oversight processes.
5. Agencies will follow procedures established by the OCIO for the review, approval, and oversight of major IT investments.
6. The OCIO will employ Lean principles to implement this policy, continuously improving the procedures and related materials.
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## Definitions:

\*Total cost (combined level of effort): The associated costs, from planning through closeout, of state, vendor, or both, in order to purchase, acquire, gather and document requirements, design, develop or configure, plan or conduct testing, and complete implementation of the project.

Information Technology Project Assessment (ITPA): A tool to assist agencies and the Office of the Chief Information Officer to assess the cost, complexity, and statewide significance of an anticipated information technology project (RCW 43.105.245)

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# AGENCY COMMENTS

ID	v0.1 Pg #	Section of Policy	Point of Contact	v0.1 - Comments	v0.1 - Response: Status	v0.1 Response: Comments
1				Was the intent to state that Major IT investment is determined by the scores of the assessment tool? It reads as if the selection is completely at the discretion of the OCIO. It is my strong recommendation that the criteria be clearly outlined so that agencies can plan for the extra time that oversight adds to efforts, even if via a reference to the outcome of a separately maintained tool that could be adjusted outside of the policy.	Comment	We appreciate that state agencies seek strong criteria to determine if a project is eligible for oversight. However, given the unique nature of projects and state agency culture, there is no one criteria that fits every project.
2	v0.01; p 2	Definitions	M. Mueller	Add definition for "Major IT Investment" in this section.	Comment	The revision language is the definition of a major project. 2(a) total cost more than \$500,000 and (b) longer than 4 month = major project and therefore an ITPA must be submitted for oversight consideration.
3	v0.01; p 2	Definitions	M. Mueller	Add definition for "ITPA" in this section.	Comment	Information Technology Project Assessment (ITPA) definition has been added to the Definition section.
4	v0.01	N/A	M. Mueller	Add a References section that lists and links to the RCW and WAC that provides the authority to establish the policy	Comment	Consideration for future policy 121 enhancements.
5	v0.01	N/A	M. Mueller	Add a policy title above Purpose or a summary of the intent that can be referenced		A policy title has been added: Planning, Assessment, Approval, and Oversight.
6		Policy Statement 3	Joy Danzer	Should read, agencies will submit the self-assessment to the OCIO using the ITPA online tool	Agree	Policy statement updated to read, 3. Agencies will submit the self-assessment and submit to the OCIO using the Information Technology Project Assessment (ITPA) online tool form for every IT investment with: a. Total cost* that includes a combined level of effort of more than \$500,000 AND b. Duration longer than 4-months;
7		Policy Statements 4 & 5	Joy Danzer	Should be in reverse order	Agree	The order of #4 and #5 have been reversed.
8			Joy Danzer	Agency Heads responsibilities, last bullet: change IT investments to IT projects	Comment	The term IT investment is used throughout the document. For consistency we will continue to use the term IT investment. Will add this consideration to future policy 121 enhancements.
9		Total Cost Definition	Joy Danzer	The definition is limited to enhancements of existing systems. The last section of the definition should be revised to read: testing, and complete implementation of the project.	Agree	Definition has been updated to read, *Total cost (combined level of effort): The associated costs, from planning through closeout, of state, vendor, or both, in order to purchase, acquire, gather and document requirements, design, develop or configure, plan or conduct testing, and complete implementation of the project.
10		Policy Statement 4	Joy Danzer	The only procedure I found on site is 121 which is very outdated. It would be helpful to have the procedures that the policy is requiring we follow.	Comment	Consideration for future policy 121 enhancements.
11			Lisa Kissler	Clarify the scope of oversight. Not all major IT investments are projects and not all of what I would call a major project require a significant monetary investment. The parameters for that seem to relate to projects not investments. In the purpose it points to business-driven major IT investments, what about ones that aren't business driven? Are they out of OCIO oversight? By the definition a single large switch replacement might require oversight, but then does the fact that it is not 'business-driven' exclude it. It seems very unclear what would be subject to OCIO oversight.	Comment	Good questions. Consideration for future policy 121 enhancements.
12			Lisa Kissler	Define project and define IT investment	Comment	Consideration for future policy 121 enhancements.
13		Purpose Statement	Lisa Kissler	The words "relevant and responsive" are qualitative, how would OCIO plan to measure those qualifiers?	Comment	Consideration for future policy 121 enhancements.
14		1 Policy Statement	K Yandle	ITPA abbreviation is not spelled out in #3. Number 2 references an "OCIO provided tool".	Agree	Information Technology Project Assessment (ITPA) has been spelled out.

