



Independent Quality Management Services (iQMS)

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Outline

- ▶ Statewide QA Program Overview
- ▶ iQMS Explained
- ▶ iQMS Statement of Work (SOW) & Planning
- ▶ iQMS Contract Administration
- ▶ *Independent Contractor Deliverables Distribution Report*
- ▶ Statewide QA Program Website Walkthrough
- ▶ Questions & Answers

Statewide QA Program Overview

Overview

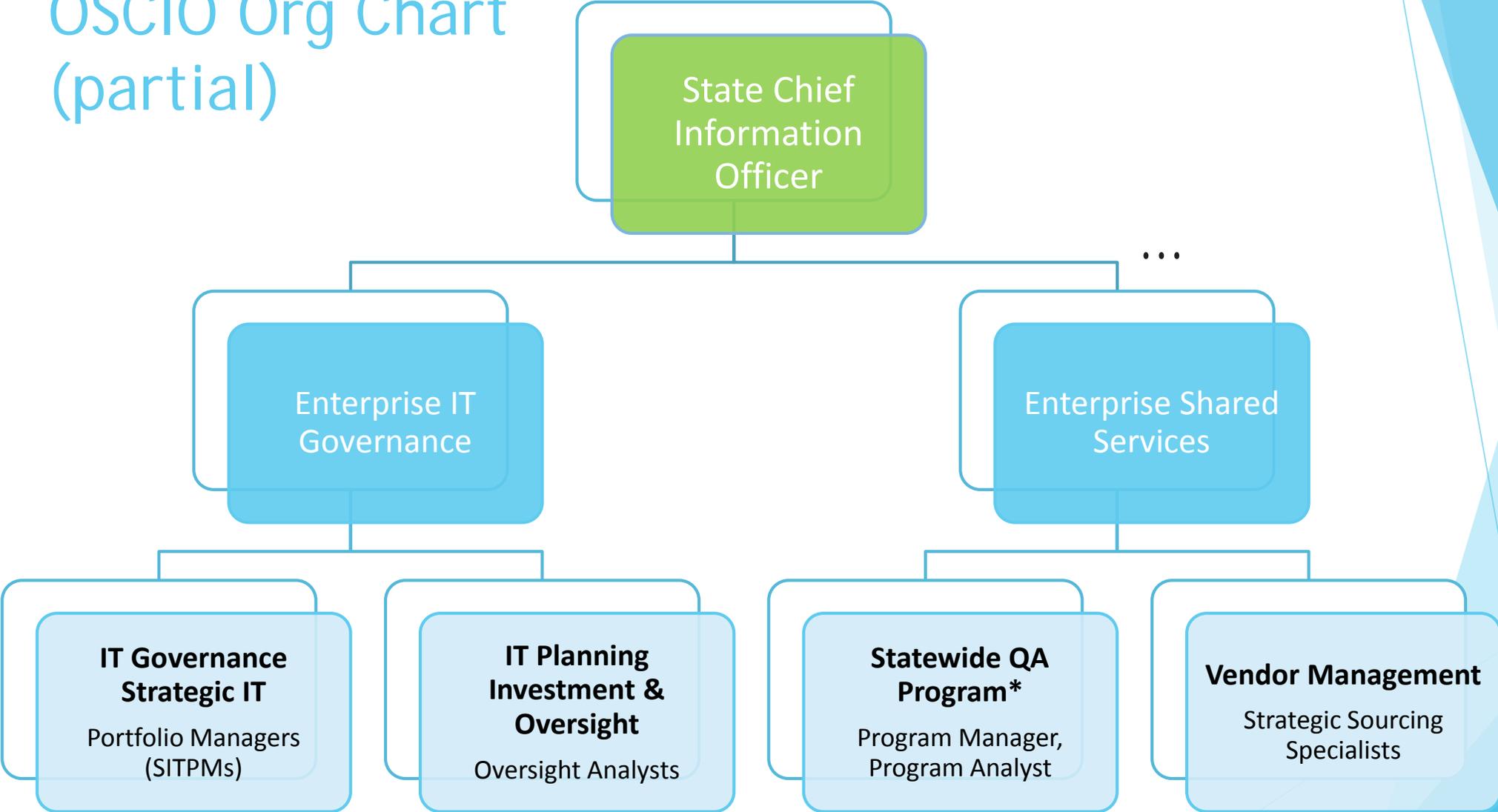
- ▶ Mission
 - ▶ Improve IT quality & risk management statewide
- ▶ Program Services

QA Support
& Services

iQA Support &
Services

Reporting

OSCIO Org Chart (partial)



iQMS Explained

PMBOK context of Quality & Risk Management



What is iQMS?

Information Technology (IT) Project Management

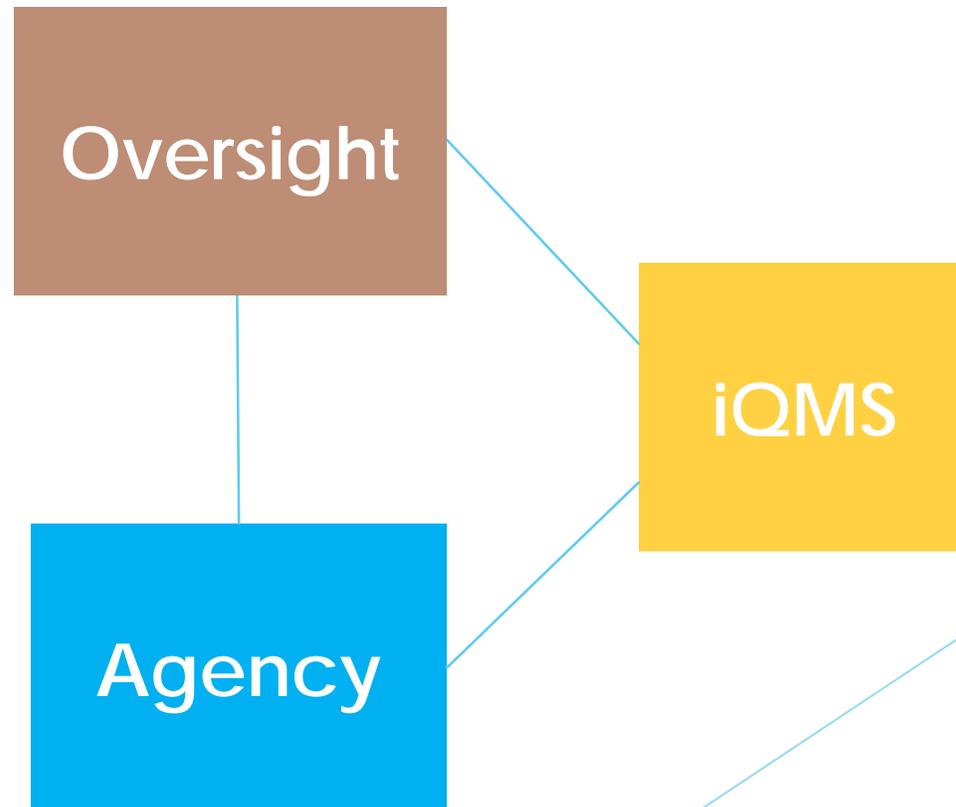
Project Management per PMBOK

Quality Management & Risk Management

*independent Quality Management Services
(iQMS*)*

What is iQMS?

In state government, iQMS is an extension of oversight bodies and agency management in quality & risk management.



Why use iQMS?

- ▶ It works
 - ▶ Independence & objectivity
 - ▶ Mitigation against “group think”
 - ▶ Earlier identification of problems
 - ▶ Lower cost of fixing defects
- ▶ It's the right thing to do
 - ▶ Accountability to the public
- ▶ It's the law
 - ▶ Oregon executive branch agencies

iQMS Statement of Work & Planning

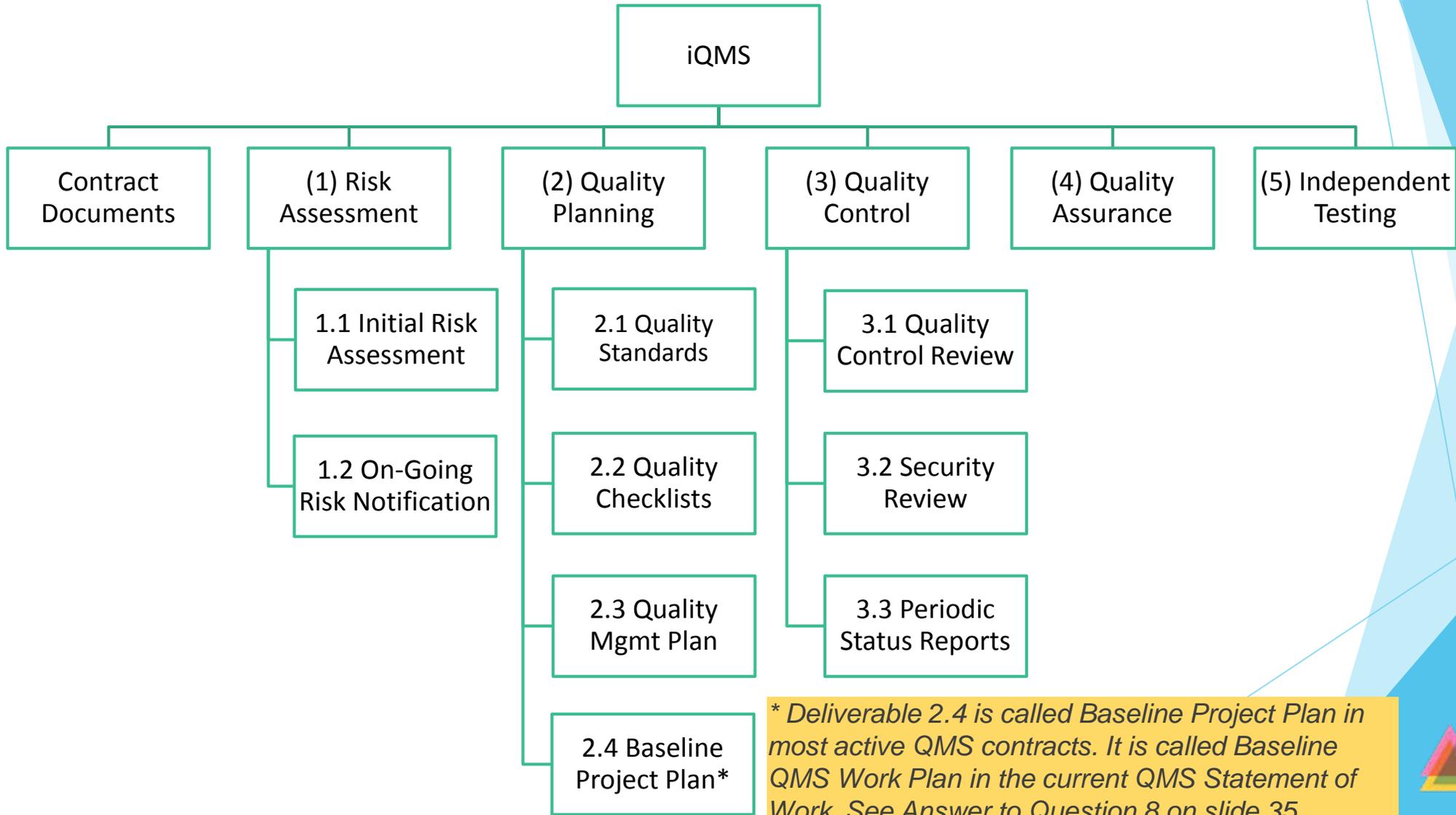
How is iQMS organized?

iQMS Statement of Work (SOW)

for typical iQMS Work Order Contract (WOC)

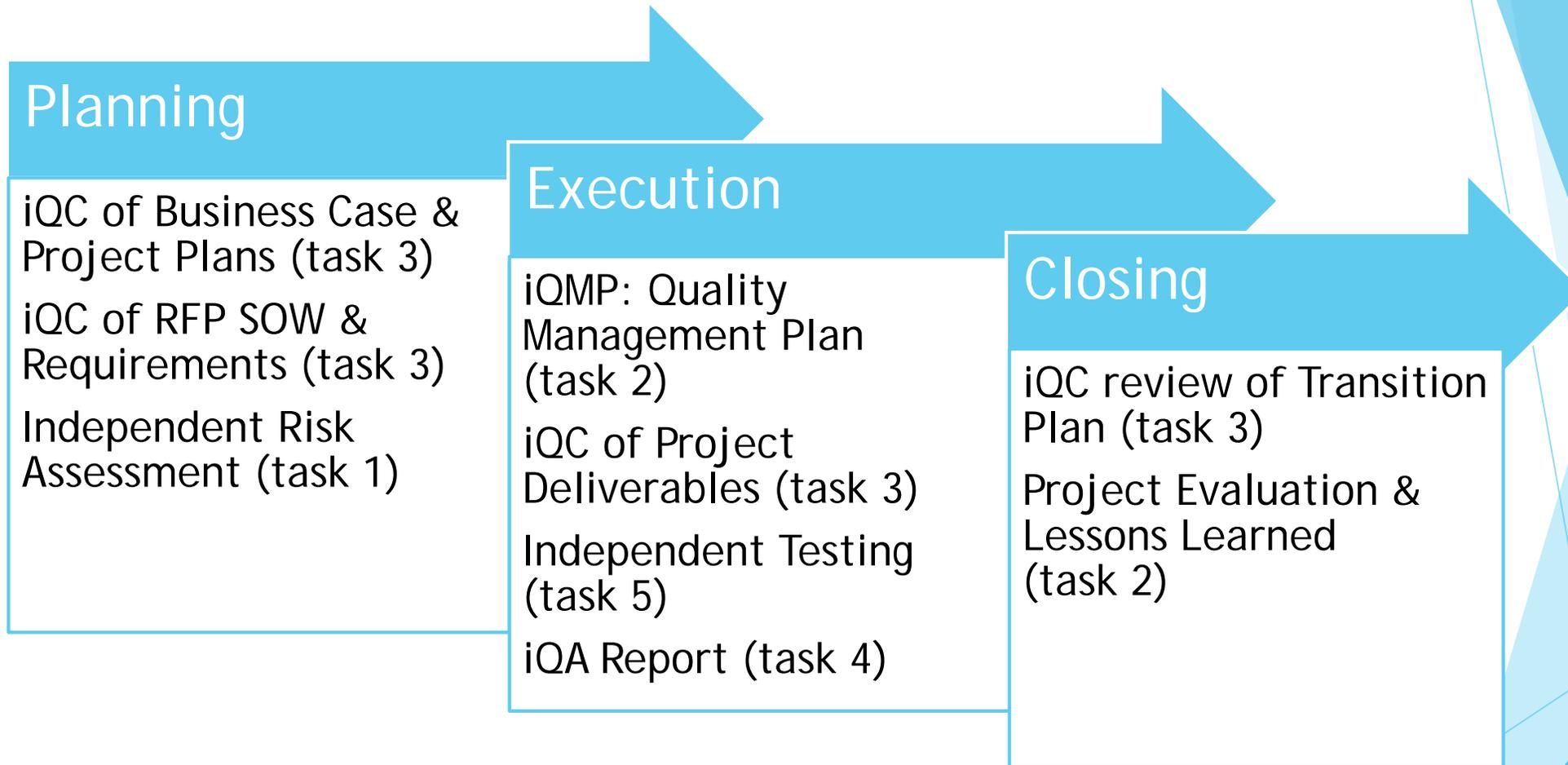
- ▶ Task 1: Independent Risk Assessment
- ▶ Task 2: Independent Quality Planning
- ▶ Task 3: Independent Quality Control (iQC)
 - ▶ “Static” QC of work products - plans, design, codes, data, ...
- ▶ Task 4: Independent Quality Assurance (iQA)
- ▶ Task 5: Independent Testing
 - ▶ “Dynamic” QC of work products - software, process, attestation, ...

iQMS Deliverables by Task



* Deliverable 2.4 is called Baseline Project Plan in most active QMS contracts. It is called Baseline QMS Work Plan in the current QMS Statement of Work. See Answer to Question 8 on slide 35.

iQMS Deliverables Timing



Resource: Statewide QA Program Guidance Document 3

iQMS Planning

Assigning an Authorized Representative / Contract Administrator

- Agency representative (ideally not part of the project management team), e.g. member of the executive steering committee
- Statewide QA Program is the contract holder of last resort
 - Federal request
 - State management request

Estimated Budget

- 4 - 6% reserved for Tasks 1,2,3, & 4
- Up to 10% including Task 5 (Independent Solution Testing)

Review Materials on Statewide QA Program Website

- QMS Policy, Procedure, and Exhibits
- Buyer's Guide
- Guidance Documents

iQMS Contract Administration

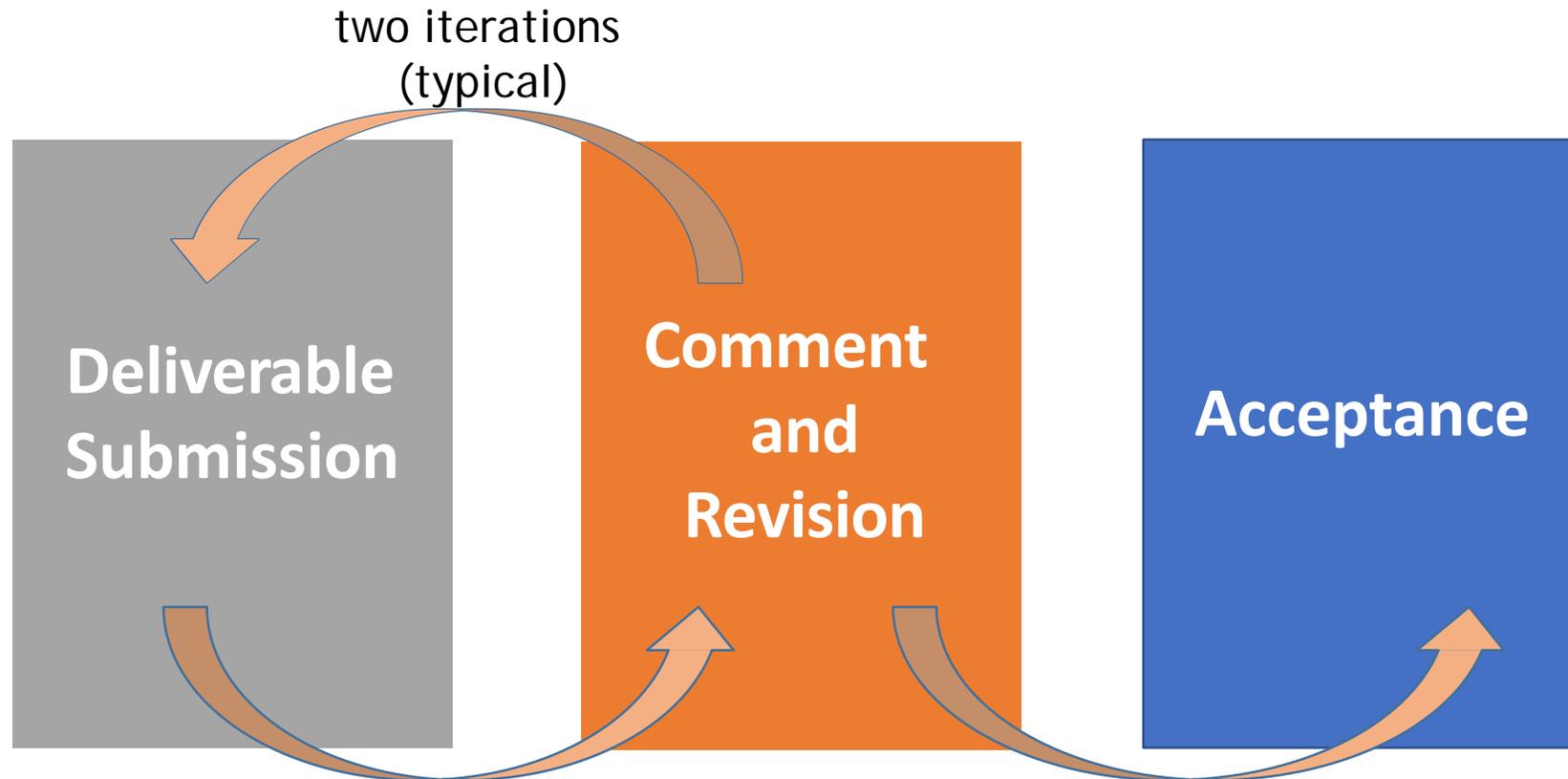
Contract Administration - Part 1

- ▶ Findings and recommendations of deliverables are used to improve the project.
- ▶ Deliverable review / acceptance to involve appropriate agency staff and OSCIO oversight analyst.
- ▶ Professional conduct of all parties involved
 - ▶ iQMS contractor independence
 - ▶ Opinions of state staff
 - ▶ Opinions of prime contractor staff

Contract Administration - Part 2

- ▶ Contract Verification Form to acknowledge the advice of DAS Procurement Services and DOJ.
- ▶ Enforce contract requirements, including:
 - ▶ iQMS deliverables (including drafts) are sent as required
 - ▶ Key Person replacements are approved
 - ▶ Professional quality work
 - ▶ Timely review, revision, and approval
- ▶ Escalate contract issues when appropriate to:
 - ▶ Statewide QA Program
 - ▶ DAS Procurement Services
 - ▶ Basecamp

Timely iQMS Deliverable Review Process



Typical reviewers: Authorized Rep, Project Team Reps, OSCIO

*Resource: Statewide QA Program Guidance Document 4
with recommended Templates*

Role of Authorized Representative (Part 3)

- ▶ Deliverable review is documented - Comment Log process.
- ▶ Deliverable acceptance / rejection is documented - Deliverable Acceptance Form (DAF) process.
- ▶ Admin changes (e.g. adjusted due dates, Special Requests, and other changes) are documented.
- ▶ Contract files are maintained and current.

Independent Contractor Deliverables Distribution Report

a new reporting requirement during agency quarterly reporting to OSCIO

Context: ORS 276A.223

(5)(a) If a state contracting agency or a public corporation awards a contract for preliminary quality assurance services or quality management services, the contract must provide that at the same time a contractor provides a preliminary or final report to the contract administrator, the contractor shall also provide a copy of the report to:

(A) The State Chief Information Officer;

(B) The Director of the Oregon Department of Administrative Services;

(C) The Legislative Fiscal Officer; and

(D) As appropriate for the specific information technology initiative, to:

(i) The director of the state contracting agency or, if a board or commission sets policy for the state contracting agency, to the board or commission; or

(ii) The governing body of the public corporation.

Context: *Policy 107-004-030, Exhibit A, Section 2*

OSCIO requires submission of quarterly reports for major IT projects currently in execution:

- ▶ Project Status Update Report
- ▶ Project Assessment Report
- ▶ Project Variance Report
- ▶ **Independent Contractor Deliverables Distribution Report**
 - ▶ New requirement effective May 17 2019

▶ For more information see:

<https://www.oregon.gov/das/OSCIO/Pages/Reporting.aspx>

Independent Contractor Deliverables Distribution Report - required template

Deliverable Number	Deliverable Name	Version Number	Date Sent to Persons as Required by ORS 276A.223 (5)(a)
			Add lines as needed.

For more information see:
<https://www.oregon.gov/das/OSCIO/Pages/Reporting.aspx>

More information

Independent QA Support & Services Webpage

<https://www.oregon.gov/das/OSCIO/Pages/IndependentQA.aspx>

- ▶ Guidance 1 - IT initiatives that need iQMS
- ▶ Guidance 2 - Portfolio in iQMS
- ▶ Guidance 3 - Use of the iQMS SOW
- ▶ Guidance 4 - iQMS Deliverable Review Process

Statewide QA Program Webpage

<https://www.oregon.gov/das/OSCIO/Pages/StatewideQA.aspx>

Papers - available upon request

- ▶ Y.K. Kwong, et al., "Independent Quality and Risk Assessment in Major IT Projects of Large Enterprises," *Software Quality Professional* (a journal of ASQ), December 2016, page 9-22.
- ▶ Y.K. Kwong & P. Lew, "Quality & Risk Management Challenges When Acquiring Enterprise Systems," *Proceedings of the Pacific NW Software Quality Conference*, October 2018.

Statewide QA Program Website Walkthrough

Questions & Answers

The recorded video / audio transcript of this presentation does not include Questions & Answers. They are provided here in writing instead.

1. Why is the Independent Contractor Deliverables Distribution Report required?

This is a new aspect of the OSCIO quarterly reporting process for Major IT Projects.

The Statewide QA Program created this process to respond to a recent Secretary State audit finding pertaining to ORS 276A.223 compliance.

2. Are we to document distribution of all independent QA deliverables?

Yes. All independent QA deliverables—including all draft and final versions—must be distributed by the independent contractor to statutorily required persons.

In the Quarterly reporting process, each Major IT Project will submit an Independent Contractor Deliverables Distribution Report. This Report identifies all independent QA deliverables—including all draft and final versions—sent to statutorily required persons since the last reporting period.

Reference: pages 6-8 of the [March 2019 Exhibits to iQMS Policy & Procedure](https://www.oregon.gov/das/OSCI0/Pages/IndependentQA.aspx) posted on <https://www.oregon.gov/das/OSCI0/Pages/IndependentQA.aspx>

3. When must the first Independent Contractor Deliverables Distribution Report be submitted?

For all Major IT Projects in executive branch agencies under OSCIO oversight, the first Independent Contractor Deliverables Distribution Report is due on May 17, 2019 and should include all independent QA deliverables submitted since the last reporting period (February 15, 2019).

Going forward, this Report is required every reporting period and should have no lapse in time between reports.

Reference: [2019 OSCIO Quarterly Reporting Process Due Dates](#) posted on <https://www.oregon.gov/das/OSCIO/Pages/Reporting.aspx>

4. Who should prepare the Independent Contractor Deliverables Distribution Report?

Under statute, the independent contractor must distribute independent QA reports to required persons.

To minimize agency workload, the Statewide QA Program recommends that the independent contractor keeps business records in the format of the OSCIO template for this Report, subject to the review and approval of agency management. Alternatively, agency management can prepare this report independently.

Reference:

https://www.oregon.gov/das/OSCIO/Documents/independent_contractor_deliverables_distribution_report_template.xlsx

5. Where and how should independent QA contractors send their deliverables?

The draft and final deliverables must be sent as email attachments to the Agency Director, the Legislative Fiscal Officer, the State CIO and the DAS Director.

An email address has been established that **must be used** for the State CIO and the DAS Director:

DAS_DL_OSCIO_QualityManagementOR@oregon.gov

This email address also copies the Statewide QA Program.

6. Can we modify the template to include additional information?

Yes. If you would like to add columns such as names of recipients or comment, you may add columns to the right of the existing columns of the OSCIO template for the [Independent Contractor Deliverables Distribution Report](#). Other modification to the template is to be avoided.

7. How do I get announcements from the Statewide QA Program?

To be placed on the mailing list, please email the Statewide QA Program at statewideqa@oregon.gov.

8. Why does Slide 13 refer to Deliverable 2.4 as "Baseline Project Plan"?

"Baseline Project Plan" is the historical name for this independent contractor deliverable for planning QMS work activities and related schedule.

The new QMS pricing agreements use the name "Baseline QMS Work Plan" to differentiate this deliverable with the State's integrated project plan and the prime contractor's work plan.

QMS contracts awarded before December 2018, which represent the majority of these contracts, use the name "Baseline Project Plan."

9. What is Basecamp?

For more information on the Basecamp program, please see the following webpage: www.oregon.gov/basecamp/