



IT Investments – Approval and Oversight 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 using the OCIO provided tool.
3. Agencies will submit the Information Technology Assessment Tool (ITPA)* online tool form for every IT investment with:
 - a. Total cost** that includes a combined level of effort of more than \$500,000
 - OR**
 - b. Duration longer than 4-months.
 - Examples:
 - If project cost is \$300,000, but over four months, complete an ITPA.
 - If project is three months duration and \$650,000, complete an ITPA.
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.
7. 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.

DEFINITIONS

*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](#)).

**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.

CONTACT INFORMATION:

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

REVISION HISTORY

Date	Action Taken
May 2019	Minor revision to Policy Statement in response to questions and confusion on policy intent. Added Definitions section.
August 2018	Interim changes recommended for approval by the Technology Services Board Policy & Portfolio Subcommittee and subsequently adopted by the State CIO/TSB Chair pending full Board approval
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, 2019

ADOPTION DATE: August 16, 2018

TECHNOLOGY SERVICES BOARD APPROVAL DATE: Anticipated September 18, 2018

APPROVING AUTHORITY: Vikki Smith, Acting Chief Information Officer