

A RIZONA D EPARTMENT O F A DMINISTRATION	<h1>STATEWIDE POLICY</h1>	 State of Arizona
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P1020 - INDEPENDENT VERIFICATION AND VALIDATION (IV&V)

DOCUMENT NUMBER:	P1020
EFFECTIVE DATE:	OCTOBER 5, 2023
VERSION:	1.0

1. AUTHORITY

To effectuate the mission and purposes of the Arizona Department of Administration (the “Department”), the Department shall maintain a “coordinated statewide plan for information technology” implemented and maintained through policies, and “adopting statewide technical, coordination and security standards” as authorized by Arizona Revised Statute (A.R.S.) § 18-104 (A)(1)(a). The Department shall also “formulate policies, plans and programs to effectuate the government information technology purposes of the department” pursuant to A.R.S. § 18-104 (A)(13).

2. PURPOSE

Information Technology (IT) PSPs are essential elements of the application, implementation, and operation of IT systems. The purpose of this Policy is to establish an effective understanding of the roles, responsibilities, and guidelines for Budget Units that are encompassed by the ASET Independent Verification and Validation (IV&V) management program in alignment with state statutory oversight requirements for projects with development costs over \$5 million dollars, in accordance with A.R.S. § 18-104 (A)(1)(g).

3. SCOPE

This Policy applies to all Budget Units (BUs), as defined in A.R.S. § 18-101, and IT integrations and/or data exchange with third parties that perform IT functions, activities or services for or on behalf of BUs. Applicability of this policy to third parties is governed by contractual agreements entered into between BUs and the third party/parties. In addition, policies, standards and procedures (PSPs) for security technology are covered by Policy 8120: Information Security Program.

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4. ROLES AND RESPONSIBILITIES

- 4.1.** State Chief Information Officer (State CIO) or his/her designee shall:
- 4.1.1.** Be responsible for establishing guidelines for use of IV&V consulting services for projects over \$5 million dollars that require such services as specified in A.R.S. § 18-104 (A)(1)(g).
 - 4.1.2.** Be responsible for communicating with the IV&V suppliers and the BU to facilitate engagement of and direction to an IV&V supplier.
 - 4.1.3.** Be responsible for determining if IV&V should be waived as part of a recommendation to ITAC in the case of a hardware refresh project in excess of \$5 million.
- 4.2.** Budget Unit Chief Information Officer (BU CIO) or his/her designee shall:
- 4.2.1.** Be responsible for understanding how IV&V is applied to projects.
 - 4.2.2.** Be responsible to provide leadership to the BU in applying this policy.
 - 4.2.3.** Assure that the BU engages in a cooperative manner with IV&V, the underlying system vendor, if any, the Department through its Arizona Strategic Enterprise Technology (ASET) division as IV&V Oversight and any and all involved federal agencies.
- 4.3.** Individual BU Users shall:
- 4.3.1.** Understand this policy and the purpose and role of IV&V to work towards project success for their BU in cooperation with IV&V, the underlying system vendor, if any, the Department through ASET as IV&V Oversight and any and all involved federal agencies.
- 4.4.** IV&V supplier shall:
- 4.4.1.** Work with the BU, the underlying system vendor, if any, the Department through ASET as IV&V Oversight and any and all involved federal agencies in accordance with the relevant Statement of Work under the State’s Master Service Agreement with the IV&V supplier.

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5. Policy

- 5.1.** For all IT projects with development costs of \$5 million or more presented to ITAC, ADOA-ASET will be responsible for overseeing third party IV&V suppliers, and providing scope and direction to the IV&V suppliers work, in alignment with state statutory oversight requirements (A.R.S. § 18-104 (A)).
- 5.1.1.** IV&V suppliers shall be selected before the BU brings the underlying project to ITAC, subject to federal requirements. (A) The agreement between the selected IV&V vendor and the BU shall be signed before the project is brought to ITAC. or (B) the BU shall provide ADOA-ASET with a written declaration they have selected the specific IV&V supplier and will provide the signed and executed agreement to ITAC within a timeline set by ADOA-ASET.
- 5.1.2.** Each BU is responsible for initiating and completing their financial arrangements to cover costs of IV&V engagement.
- 5.1.3.** IV&V will be selected by the BU in consultation with ADOA-ASET who will provide scope and direction to the IV&V consulting arrangement.
- 5.1.4.** The BU procurement department will manage the Task Order process, under delegated authority, and the State Procurement Office (SPO) will support, if needed, in alignment with the underlying statewide Master Services Agreement (MSA) for IV&V services.
- 5.1.5.** Each BU will engage with their IV&V supplier, and ADOA-ASET as specified in any and all task orders.
- 5.2.** Each BU will provide their own Project Manager for the underlying project who will be the primary point of contact to IV&V, ADOA-ASET, any federal agencies, and the selected underlying system vendor.
- 5.3.** Each BU is responsible for introducing the IV&V supplier to the selected project team - State and underlying system vendor. The BU is responsible for encouraging all team members to understand the IV&V supplier's roles and responsibilities and cooperate with the IV&V supplier, in an honest and open manner including in periodic interviews.
- 5.4.** Each BU is responsible for coordinating and cooperating directly with any Federal agency requirements and reviews for IV&V services.

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- 5.5.** Each BU shall work with IV&V suppliers (once selected) to determine details of interviews to be conducted and observance of project meetings, their frequency, scope and required and optional attendance as well as access to appropriate documentation.
- 5.6.** IV&V supplier is responsible for providing detailed recommendations for improvements and to assist the BU and underlying system vendor to remediate issues and mitigate risks toward project success.
- 5.7.** Each BU shall implement and maintain a recommendation tracker and use that tracker to track and report progress on all actionable recommendations from IV&V suppliers.
- 5.8.** Each BU shall arrange for the IV&V supplier to provide to the BU and ADOA-ASET, at least quarterly or more frequently, reports regarding the progress of each ongoing project in accordance with A.R.S. 18-104(A)(1)
 - 5.8.1.** Reports shall include the following core areas at a minimum:
 - Schedule Management
 - Resource Management
 - Scope & Requirements Management
 - Technical Solution Management
 - Data Management / Migration /Conversion
 - Quality Assurance, Testing, Defect Resolution, Re-Testing
 - Project Governance & Communication
 - Financial Management
 - Change, Issues & Risks Management
 - Documentation & Deliverables Management
 - Security Management
 - Training, Go-Live & Post Implementation Support
 - 5.8.2.** Before the reports have been finalized they shall be provided to the PM, and the ADOA-ASET in draft for any factual corrections only.
 - 5.8.3.** Once the reports have been finalized, IV&V Oversight shall forward the reports to the JLBC and ITAC.

6. DEFINITIONS AND ABBREVIATIONS

Refer to the PSP Glossary of Terms located on the ADOA-ASET website.

7. REFERENCES

- 7.1. A.R.S. § 18-104
<https://www.azleg.gov/viewdocument/?docName=https://www.azleg.gov/ars/18/00104.htm>
- 7.2. A.R.S. § 18-101
<https://www.azleg.gov/viewdocument/?docName=https://www.azleg.gov/ars/18/00101.htm>

8. LINKS

9. VERSION HISTORY

Date	Change	Revision	Signature
10/5/2023	Initial Release	1.0	J.R. Sloan 10/5/2023