

STATE OF OHIO



DEPARTMENT OF REHABILITATION
AND CORRECTION

SUBJECT: DRC IT Software Contractor Requirements	PAGE <u>1</u> OF <u>4</u>
	NUMBER: 05-OIT-22
RULE/CODE REFERENCE:	SUPERSEDES: 05-OIT-22 dated 01/02/13
RELATED ACA STANDARDS:	EFFECTIVE DATE: January 2, 2015
	APPROVED: 

I. AUTHORITY

This policy is issued in compliance with Ohio Revised Code 5120.01 which delegates to the Director of the Ohio Department of Rehabilitation and Correction the authority to manage and direct the total operations of the Department and to establish such rules and regulations as the Director prescribes.

II. PURPOSE

The purpose of this policy is to establish basic Ohio Department of Rehabilitation and Correction (DRC) information technology (IT) requirements for software contractors selected to complete DRC IT projects or deliver maintenance and support to DRC IT systems.

III. APPLICABILITY

This policy applies to all Ohio Department of Rehabilitation and Correction employees and software contractors selected to complete DRC IT projects or deliver maintenance and support to DRC IT systems.

IV. DEFINITIONS

DRC Information Technology Governance Group (ITGG) - The multi-disciplinary leadership group, chaired by the Office of Administration Deputy Director and comprised of DRC executive staff and administrators appointed by the Office of Administration Deputy Director and Bureau of Information Technology Services (BITS), charged with the responsibility of guiding DRC's information technology biennial plan to ensure that information technology system assets are identified, obtained and utilized in an efficient and effective manner to achieve and sustain DRC's mission and business continuity.

IT Biennial Plan – The written DRC IT plan completed by the Chief of BITS and approved by the ITGG pursuant to Department Policy 05-OIT-19, DRC Information Technology Biennial Planning.

IT Project – An information technology (IT) automation undertaking, completed internally by DRC staff and/or externally by contractors, approved by the DRC ITGG that requires a structured effort and specific resources to complete, has global impact for DRC, and produces a necessary IT product or service in alignment with the DRC IT Biennial Plan.

V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction to establish and monitor basic DRC IT requirements for software contractors selected to complete DRC IT projects or deliver maintenance and support to DRC IT systems.

VI. PROCEDURES

- A. Software contractors selected to complete DRC IT projects shall adhere to all IT project requirements contained in Department Policy 05-OIT-08, IT Internal and External Project Management Process.
- B. Software contractors selected to deliver maintenance and support to DRC IT systems, such as the Department Offender Tracking Systems (DOTS Portal) or the Ohio Risk Assessment System (ORAS), shall adhere to the following DRC IT requirements:
 - 1. The contractor must assign a project manager, proficient in project management principles, to coordinate all maintenance and support with the DRC BITS staff member designated by the DRC BITS Chief.
 - 2. The contractor must host a software application development, testing and support environment that mirrors DRC's software application development, testing and support environment.
 - 3. The contractor must utilize a change control management process agreed to mutually by the DRC BITS Chief and the contractor. Maintenance and support contracts will vary depending upon individual system maintenance and support requirements. Nonetheless, the DRC BITS Chief shall ensure that every software contractor's change management process shall be within scope and shall include, at a minimum:
 - a. A list of routine and emergency changes likely to require maintenance and support in the production system during the term of the engagement.
 - b. Routine and emergency change control management procedures that address:
 - i. How change requests and responses shall be reported, logged, and tracked;
 - ii. How change requests shall be assessed for immediate response, deferred response, or no response;
 - iii. How change requests will be authorized at the local level by DRC BITS staff and data owners or, in the case of global changes that impact the entire DRC enterprise, by the DRC ITGG;
 - iv. The contractor's change response service parameters;
 - v. How changes will be tested in the contractor's test environment and in the DRC test environment;
 - vi. How changes will be accepted by the data owners;
 - vii. How changes will be implemented;
 - viii. How changes will be reviewed periodically after implementation to monitor for quality assurance;

4. The contractor must provide DRC with mutually agreed upon over-the-shoulder knowledge transfer, skill development, and documentation for the purpose of DRC taking over maintenance and support responsibilities at the conclusion of the DRC – contractor engagement.
 5. The contractor must complete the mandated work tasks and activities, provide all deliverables, meet all contractor service level agreements (SLA), and meet all other requirements and expectations pursuant to the statement of work (SOW) and the maintenance and support contract.
 6. The contractor must follow a reporting, escalation and response process, provided by the DRC BITS Chief, for the routine monitoring of SLAs.
 7. The contractor must adhere to the system security standards and requirements, quality assurance practices, and system technology upgrade schedules mandated by the DRC BITS Chief.
 8. The contractor must update system documentation for software changes, operating procedures, and architectural diagrams as part of the maintenance and support engagement, in the format and timeframes mandated by the DRC BITS Chief.
 9. The contractor must provide documentation per a schedule mandated by the DRC BITS Chief that verifies that the contractor is reviewing log files from automatic job schedules for routine tasks.
 10. The contractor must meet on at least a quarterly basis with the DRC BITS Chief or designees to review contract compliance and contractor performance.
 11. The contractor must submit quarterly invoices that detail the services provided in order receive quarterly maintenance and support payments.
 12. The contractor must cooperate with other contractors and with DRC BITS staff assigned to or associated with the IT systems being maintained and supported by the contractor.
 13. During the course of the IT system maintenance and support engagement, on reasonable notice and during customary business hours, the contractor must allow DRC to audit the contractor’s records, documentation, and other materials that pertain directly to the maintenance and support.
 14. The contract must acknowledge that DRC has specific deliverable ownership rights, unless DRC explicitly waives said rights prior to the maintenance and support engagement.
- C. The DRC IT system contract requirements mandated in this policy shall be included in all DRC IT software contracts finalized on or after March 26, 2012. Any IT software contractor engaged in a contract that was finalized before March 26, 2012 and the contract requirements mandated in this policy were not included in the contract is exempt from the contract requirements until such

time as DRC and the contractor agree to incorporate the provisions of this policy into a new DRC IT software contract.