Quality Service Management Office Long-Term Designation Criteria *(as of April 2019)*

Overarching Key Dimensions

Element	Assessment Criteria	Evidence
Funding Mechanisms	❏ Has a Revolving Fund that allows for the collection of an operating reserve without fiscal year limitations ❏ Has a transparent fee-for-service model to support operations, upcoming strategic plan initiatives, future investments, security, and business risk ❏ All services (e.g., facilities, utilities, and technology infrastructure) provided to the Quality Service Management Office (QSMO) by the home agency are funded/documented by Interagency Agreement (IAA) ❏ Transparent pricing methodology for customers (Annual Operating Plans, customer invoices, customer satisfaction surveys) with plans to accommodate Technology Business Model in all contracts and IAAs	❏ QSMO Funding Strategy Document (template to be developed) ❏ QSMO Operating Plan (including IAA between QSMO and home agency, timeline and communications strategy) ❏ Last two years of IAA with home agency (if applicable)
Leadership	❏ Accountability for the performance of the QSMO is at the highest levels of the Department ❏ Objectives and goals of the QSMO align with the strategic priorities of the Department and the President's Management Agenda (PMA) ❏ Commitment to support the QSMO's short and long term capital investments through use of revolving fund authorities and other Department resources	❏ Department's Strategic Plan ❏ Department's Agency Priority Goals ❏ Department's Agency Reform Plan ❏ Organizational Structure of the QSMO and the Department ❏ Performance Plan of the Head of the QSMO and her/his boss ❏ Criteria/Decision Making Structure of the Revolving Fund
Strategic Thinking	❏ QSMO has a strategic plan which includes performance metrics and targets and measures its progress towards achieving the goals in its strategic plan ❏ Strategic plan articulates a vision for measuring and continuously improving QSMO operations ❏ Strategic plan includes a diverse and ad hoc service offering of technology, services, or an integrated managed service and pricing demonstrates the variation in level of effort ❏ Strategic plan includes an ongoing acquisition strategy to offer commercial offerings, Federal microservices, and other services that bring competition and innovation to customers ❏ Strategic plan includes allocation of funding and resources to conduct proof of concepts, pilots, and migrations to new technologies	❏ QSMO Three Year Strategic Plan ❏ Capacity Planning Model ❏ Enterprise Architecture Plans ❏ Plan for establishment or use of best in class contracts

	❏ QSMO articulates a "partnership" strategy for workforce and assets in 2-3-5 year increments as a part of its Strategic Plan, taking into consideration legacy providers and contractors/assets ❏ QSMO has a capacity model in place that allows it to scale up or down based on demand ❏ QSMO measures its own progress towards achieving goals in its strategic plan ❏ Customers have a voice in the strategic plan process before it is finalized ❏ Strategic plan aligns with PMA, Cross-Agency Priority Goals, and overall Federal strategic direction for sharing quality services in the QSMO area	

Quality Service Management Office Long-Term Designation Criteria *(as of April 2019)*

Key Dimension #1: Financial - *Funding sources and service costing/pricing methodologies*

Element	Assessment Criteria	Evidence
Capital Investment Plan	❏ Capital investment plan exists and clearly maps to strategic plan. Capital needs are documented in Major IT Business Case or Agency IT Portfolio Summary documentation along with appropriate sources of funds ❏ If IT assets are necessary for services delivered, investments include plans to buy commercial technology as Software as a Service, as determined by market research ❏ If IT assets need to be built or maintained by government (microservices), investment plans include funding to do so that minimizes spikes in customer fees ❏ Documentation/process exists to show that investments have been used as planned and how the Task Order Review Board is being used to maintain alignment where applicable	❏ QSMO 5-year investment plan and related CPIC reporting documentation
Accounting, Auditing and Financial Reporting of the QSMO	❏ Controls exist for Anti-Deficiency Act violations, funds independent auditing plan ❏ Demonstrates effective management and timely closure of corrective actions arising from QSMO audit findings and recommendation ❏ Maintains no material weaknesses in their internal controls or system configurations that contribute to customer audit deficiencies	❏ SSAE-18 ❏ Budget Execution/Funds Control Policy ❏ Cost Model ❏ Allocation Model ❏ Current Plan of Action and Milestones Listing (POA&M) ❏ List of material weaknesses (if applicable) and latest audit or GAO report, including customer findings directly related to the QSMO

Quality Service Management Office Long-Term Designation Criteria *(as of April 2019)*

Key Dimension #2: Organization - *Governance, stakeholder engagement, organizational capacity, strategy, and personnel skill sets/experience*

Element	Assessment Criteria	Evidence
Staffing	❑ Staffing and contract support strategies are aligned with current/future needs of QSMO, support flexibility to meet future demands, and allow for seamless transition of new options selected by agencies ❑ Ensures needed skill sets are readily available to meet current and anticipated/expected customer load ❑ Distinct integration/implementation teams exist if solutions offered necessitate IT ❑ Customer relationship management strategy allowing for QSMO to interact with customers either face-to-face or virtually on a recurring basis ❑ Has established a dedicated Project Management Office (PMO) ❑ Project leadership team with appropriate areas of expertise and relevant experience is identified and in place ❑ Formal project teams with subject matter skills are aligned to transitioning business functions (sending and receiving) ❑ Staff and/or contract support, with appropriate certifications (e.g., PMP) commensurate with current and anticipated needs. Performance metrics for staff and contractors are linked to strategic goals of the QSMO ❑ Post-transition commitments/support for dedicated team members next role ❑ Retention incentives or transition metrics achievement incentives	❑ Documented HR strategy to maximize the value of a blended workforce (incl. use of contractors, FTE, temporary hires, etc.) ❑ Support Team Organizational Models charts and geographic distribution of staff ❑ List of workforce certifications ❑ Sample Performance Plans ❑ Transition Team Retention Plan
Customer Engagement	❑ Customer engagement and implementation processes use the M3 Playbook ❑ Customer Service Operations clearly documented and staff trained ❑ Defined incident notification and escalation protocols process exists which includes target response times for resolution as well as assigned executive level customer relationship managers for major customers	❑ Review escalation processes ❑ Customer Services Ramp/Capacity Model ❑ Customer On-Boarding Model ❑ On-Boarding Capacity estimation model
Governance & Change Management *(e.g., adding/losing customers, changing service offerings, upgrading*	❑ Customers are provided the opportunity to formally review and provide input on strategic decisions and decisions that impact daily operations ❑ Release management process that deliberately engages customer in release preparedness and communications ❑ Process exists to assess the impact of adding new customers and impacts are communicated to governance board, parent agency and existing customers ❑ QSMO adheres to the Federal Integrated Business Framework (FIBF) and an orderly and disciplined approach to managing, controlling, and documenting proposed or actual system and/or operational changes to the FIBF exists in	❑ Customer Satisfaction Survey Results ❑ Governance and Change Control Management Documentation ❑ One year of meeting minutes from Customer Advisory Boards ❑ Customer communications and messages ❑ FIBF Adoption Plan ❑ TORB Plan and future Charter/SOP

technology)	accordance with the roles, responsibilities and processes of the Task Order Review Board ❑ Change control board includes customer representatives ❑ Inclusion of Cyber Security considerations in the change control process ❑ Communication of service changes (and impact on pricing) is forward looking and intentional ❑ Ongoing coordination with other QSMOs and policy organizations to ensure continued alignment and interoperability with standards, etc. ❑ Where Standards Leads and QSMOs are housed in the same agency (e.g., Treasury), clear demarcations should exist that enforce separation but encourage alignment and interoperability (see previous bullet)	

Quality Service Management Office Long-Term Designation Criteria *(as of April 2019)*

Key Dimension #3: Operations - *Transition, operations, support services, maintenance and recovery*

Element	Assessment Criteria	Evidence
SLA Management	❑ Service Level Agreement (SLA) metrics are developed and reviewed annually and adjusted in concert with SLA changes and pricing ❑ SLA metric results are tracked at an individual customer basis and are available and shared with customers at least monthly ❑ Alignment with QSMO standard Key Performance Indicators (KPIs)	❑ Review SLAs and pricing in either existing IAAs or proposed drafts ❑ Individual SLA reporting on a monthly basis ❑ Delivery of KPI results
Service Desk Support	❑ QSMO uses a per incident, transactional surveying mechanism to allow for anonymous scoring by users of service desk resolutions ❑ Service desk resolutions are meaningful and useful to users ❑ QSMO has implemented service desk system enabling customers to transparently assess current state of requests, comportment to relevant SLA, escalation/contact information, and periodic reporting	❑ Service desk support documentation that demonstrates incident based surveying, customer satisfaction, and transparency of end user into service request status
COOP/Business Continuity Plan	❑ Continuity of Operations (COOP) systems failover capabilities include ability to meet Recovery Time Objectives (RTO) and Recovery Point Objectives (RPO) based on documented customer agreements and at least annual testing of failover to alternative solutions ❑ Annual COOP testing that includes coordination with customers ❑ A COOP score as determined through Continuity Evaluation Tool by the FEMA National Continuity Program (NCP). It is recognized that the QSMO's COOP score may be rolled up into the Parent Agency's score at this time due to current policy. As applicable, QSMO should indicate if it has another way of documenting its COOP activities	❑ Documentation of COOP activities (or a COOP score by FEMA) that addresses 13 elements
Quality/Process Management	❑ QSMO holds an industry accepted certification in quality or process management (e.g., ISO 9001/Baldridge or CMMI) ❑ Transactions are audited for quality on a regular basis by an independent entity (performance quality assessment model)	❑ Documentation of active certification
Records Management/ Discovery	❑ Has a records management strategy and implemented solution that comports to records schedule of customers ❑ Compliant with records management laws and regulations, clear road map, tracking, and execution for compliance of permanent agency records by 2019 in accordance with M-12-18	❑ Documentation, including procedures, for records management capability
Data Management	❑ Compliance with OMB requirements such as M-13-3 and A-130 on appropriate data management throughout the information life cycle and management of information as an asset	❑ Policy, guidelines, templates for data quality, data strategy, and platform solutions that aid in establishing data

	- Compliance with relevant statutory and policy requirements - Enables customer data to be segmented appropriately for the purposes of auditing, discovery, and litigation activity - Data is used as an asset within the QSMO and similarly available to customers in a manner that increases mission return on investment by becoming more efficient with data management and analysis	management maturity Strategy that establishes a vision for the strategic use of data including use of data and information as an asset in driving decision making

Key Dimension #4: Program Management - *Compliance with government laws/regulations/policies/guidance and effective program/project management when undertaking improvement projects, major upgrades and/or new customer implementations*

Element	Assessment Criteria	Evidence
Mature Project Management Processes *(for migrations and modernizations)*	❏ Follows a generally recognized project management approach (e.g., PMBOK, ITIL) ❏ QSMO risk management processes consistent with best practices[1] ❏ QSMO cost management practices consistent with best practices ❏ QSMO schedule management practices consistent with best practices for M3 for integration (documenting results of control gates) ❏ Compliance with SLAs for operational performance ❏ Variances to Cost, Schedule, and Performance kept within acceptable tolerances as defined in the Program Management Plan ❏ Full life-cycle inclusion of cybersecurity requirements in program management processes	❏ Program Management Plan, including alignment to M3 (includes NIST Risk Management Framework 800-37) ❏ Risk Management Plan ❏ Schedule Management Plan ❏ Communication Management Plan
Performance Management	❏ Designated responsible and accountable individual(s) are identified for performance accountability ❏ Performance metrics shows consistent improvement or continuous high level of performance in QSMO Performance Assessment results ❏ Inspection/oversight processes defined	❏ Strategic Plan performance goals and results ❏ Performance quality assessment model and impact approach
Implementation Guidance	❏ Has documented customer engagement process that follows M3 ❏ Works with customer to integrate project management processes ❏ Engages with a working group/stakeholder committee (role/responsibilities, membership, governance)	❏ Customer engagement strategy
Program Management *(all phases of M3)*	❏ Assesses readiness of Business Unit/Area/Team to transition to new systems ❏ Implement cross-discipline decision and issue management forum ❏ Consistently Documents Risks, Action Items, Issues and Decisions ❏ Consistently follows the Risk Management Plan ❏ Monitors the program costs and allocations ❏ Consistently manages the Integrated Master Schedule (IMS) and analyzes impact to downstream activities ❏ Test Results documented against requirements and validated for accuracy and completeness	❏ Readiness Assessment results ❏ Project Reporting Processes (dashboards, etc.) ❏ Risks, Actions, Issues, Decisions Log

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[1] As identified in the "Project Management Body of Knowledge" (PMBOK) guide.

Key Dimension #5: Technology - *System tools and processes, facilities and security*

Element	Assessment Criteria	Evidence
Full Life Cycle Technology Management & Modernization	❏ QSMO has strategy to offer cloud-based technical solution alternatives and has an agile and expedient method for driving competition at the task order level ❏ QSMO has a strategy for migrating current customers to the cloud-based technical solutions ❏ QSMO strategy incorporates a plan for data migration and integration that leverages innovative and modern exchange technologies ❏ QSMO leverages approaches such as System/Software Development Life Cycle (SDLC) and Agile with appropriate feedback loops for self-assessment and continuous improvement	❏ Technology and services catalog ❏ Technology platform feature/function roadmap ❏ QSMO Modernization Strategy and/or plan
Software/System Alignment to Requirements	❏ QSMO solutions/systems adhere to FIBF requirements and outcomes established by applicable line of business ❏ QSMO has an orderly and disciplined approach to managing, controlling, and documenting proposed or actual system and/or operational changes. This process includes follow up with customers on how decisions are made and priorities identified	❏ System/Solution requirements documentation establishes traceability to FIBF
Privacy Policy, Procedures	❏ Established Privacy Management program, customer level protection of data through mechanisms such as logical/physical data segmentation and/or appropriate security controls and auditing	❏ Documentation demonstrates Privacy Mission Statement, Privacy framework, periodic review, Privacy metrics, compliance with relevant NIST Guidance and Privacy awareness training
Authority to Operate	❏ QSMO has Authority to Operate that comprehensively includes Security Plan, Security Assessment Report, and Plan of Action and Milestones ❏ QSMO ATO should include the following [FedRAMP and NIST] documentation: https://www.fedramp.gov/files/2016/08/Agency-ATO-Report-Template-version-2.3-website.pdf	❏ ATO documentation completed by an independent 3rd party within the last 3 years or upon major changes to QSMO Computing environment
Data Center and/or Cloud Operations	❏ QSMO has established data center operations plan and road map that includes consideration of goals outlined in M-16-19, as well as scalability through virtualization/cloud, energy efficiency, climate control, physical and logical security, and redundant power management such that overall availability of data center services to customers performed at 99.9% in its most recent year	❏ Documentation of annual performance metrics and data center operations in accordance with M-16-19

Enterprise Architecture	❏ QSMO executes deliberate approach to management of their Enterprise Architecture Model in a manner that comports to Federal enterprise architecture guidelines to include consideration for each of Performance Reference Model (PRM), Business Reference Model (BRM), Data Reference Model (DRM), Application Reference Model (ARM), Infrastructure Reference Model (IRM), and Security Reference Model (SRM)	❏ Review documentation of QSMO approach to Enterprise Architecture management
Environmental Segmentation	❏ Where applicable, a production environment logically and physically separate from development, test, and/or pre-production environments such that changes, updates, and other modifications will not compromise the integrity of production operations	❏ Documentation of production environment validating logical and physical separation from other test and development environments
Interoperability	❏ QSMO has established interoperability between solutions and systems within its own environment and has mechanisms for the secure electronic exchange of data with customers, across functional areas and other stakeholders ❏ System interconnection agreements and controls actively managed and coordinated with customers and compliant with NIST 800-47 ❏ QSMO has the capacity (staff and/or contracts) to support the development of federal-specific extensions and micro-services for approved customer specific requirements	❏ Inter-agency data sharing agreement ❏ Interconnection agreements
Security	❏ NIST Risk Management Framework (800-37) implemented to promote a comprehensive, organization-wide view of risk considerate of strategic objectives, priorities and stakeholder interests ❏ System categorization based on data and systems sensitivity ❏ Security Controls appropriately available and actively managed commensurate to data sensitivity ❏ Continuous monitoring program inclusive of 6 monitoring phases - Define, Establish, Implement, Analyze/Report, Respond, and Review/Update ❏ Integrated Security considerations into SDLC and other Project Management Methodologies (review of documentation and evidence related to NIST 800-64 with respect to security integration into 5 phases of SDLC - Initiation, Development/Acquisition, Implementation/Assessment, Operations and Maintenance, Disposal) ❏ Assessment planning and processes include implementation and blending of examine, interview, and test methodologies outlined in NIST guidance ❏ Plan of Action and Milestones (POA&M) process inclusive of customer in awareness and review ❏ Security Training – QSMO staff and contractors appropriately trained on	❏ Risk Management Plan demonstrates alignment of RMF planning to relevant legislation, directives and policy ❏ Information system categorization that comports to standards set forth in FIPS-199 and FIPS-200 ❏ Appropriate controls, processes, responsibilities, and reporting identified in System Security Plan NIST SP 800-18 ❏ Documentation indicating participation in a continuous monitoring program that identifies security metrics, risk tolerance thresholds, is holistically inclusive of IT assets, tracks threats/vulnerabilities and is integrated into change control ❏ Documentation that reflects test and assessment processes comport to NIST 800-53A and 800-115

	Annual Cybersecurity Awareness training and Role-Based Training ❏ System decommissioning /disposal meets requirements commensurate to data sensitivity ❏ A holistic exfiltration and data loss prevention capability	❏ Documentation of system decommissioning/disposal procedures ❏ Evidence of reporting, procurements, and procedures specifically aimed at employing the prevention, detection, and reporting of data loss and exfiltration