2024 Annual Policy Certification Survey

"*" Indicates a required field.
"**" Indicates a new question in 2024.

Responses that would trigger additional questions or a waiver are marked with a solid bullet. If additional questions are triggered, they will follow. If a waiver is triggered, it will be noted with an arrow bullet.

Contents

Introduction:

WaTech
Washington Technology Solutions

2024 Annual Agency Technology Policy Certification

This is the **2024 Annual Agency Technology Policy Certification** form referenced in William S. Kehoe's memo to Washington State Agency Heads and Agency CIOs.

Each year, agency partners are asked to provide information regarding compliance with selected statewide policies that support our statewide technology programs.

The policies covered are included on this list https://watech.wa.gov/policies

Agencies must complete this form by September 30, 2024.

Completion Information:

- You may move forward and back as much as you like.
- Questions do not have to be answered in order.
- The Technology Policy waiver requests have been embedded in this form and will appear after a Policy when required.
- When you click the final submit button you will be asked to complete required fields you left blank.
- All required fields are marked with a red asterisk.
- You can use the "Save and Resume Later" link found at the bottom of each page to save your work.
- Upon submitting the form, a copy of your response will be sent to the three email addresses you enter on this page.

    If you have questions, contact WaTech at WaTechPolicy@watech.wa.gov

Links to this form will remain active for 30 days. To extend time to work on your form, please save a fresh link to the form.

About Your Agency:

About Your Agency

Agency Name*

[▲▼]

This form can only be filled out once per agency.

Agency Head*

[First Name] [Last Name]

Email of Agency Head*

[   ]

CIO or Head of Technology*

[First Name] [Last Name]

Email of CIO or Head of Technology*

[   ]

Primary Cont*

[First Name] [Last Name]

Email of Primary Contact*

[   ]

Best way for OCIO to contact for clarification
questions

[   ]

Enter your phone, email, Skype, Teams, etc.

See [Policies Not Assessed in 2024](#).

Chapter 2. Management & Governance (MGMT)

1. **Technology Portfolio Foundation Policy**
   MGMT-01 (formerly 112)
   Agencies are to have their IT Strategic plan publicly posted on the agency website by 10/31/20.
   ➢ Provide a link to your IT Strategic Plan.*

2. **Technology Portfolio Foundation – Applications Standard**
   MGMT-01-01-S (Formerly 112.10)
   Has your agency updated and submitted the Application Inventory providing current information on the applications/systems in use within the agency?*
   - o Yes
   - • No
   - ➢ Provide the anticipated submission date of the updated inventory to WaTech.*

3. **Technology Portfolio Foundation – Infrastructure Standard**
   MGMT-01-02-S (Formerly 112.20)
   Has your agency submitted the infrastructure inventory providing current information on the technology components in use within the agency?*
   - o Yes
   - • No
   - ➢ Provide the anticipated submission date of the updated inventory to WaTech.*

4. **Business Application/System Governance Policy**
   MGMT-03 (formerly 114)
   a. Do all agency business applications/systems comply with each element of the policy?*
   - o Yes
   - • No
   - ➢ Waiver Questions

   b. Are you satisfied that appropriate levels of accountability exist for each agency business application/system?*
   - o Yes
   - • No
   - ➢ Waiver Questions

   [Will reassess in 2025 with updates to this policy.]

Chapter 3: Enterprise Architecture (EA)

1. **Statewide Migration to Enterprise Cloud Email Services****
   Policy 310
   Is your agency a member of the state's standard Enterprise Cloud Email Services? *
   - o Yes
   - • No
   - ➢ Waiver Questions

2. **Identity Management User Authentication Standard**
   Standard 183.20.10 section 4.1

    a.   Do agency employees login to any external applications, e.g. third-party or cloud-hosted, through a process separate from their Enterprise Active Directory EAD login? *
- Yes
- No
- ➢ Waiver Questions

Standard 183.20.10 section 4.2
    b.   Do external users of agency applications, whether agency-managed or third-party/cloud, login without using the state's standard SecureAccess Washington (SAW) solution? *
1. Yes
- No
- ➢ Waiver Questions

3. Data Center Investments Policy
Policy 184

Is all physical compute equipment located at agency offices/facilities allowed by policy?*
- Yes
- No
- ➢ Waiver Questions

4. Internet Domain Name Standards
EA-01-01-S was 171.10

Does your agency follow the Domain Naming Standards for all existing domains? *
- Yes
- No
- ➢ Waiver Questions

5. Email Address Naming Standards
EA-01-02-S (formerly 182.20.10)

Does your agency require alignment with the Email Address Naming Standard? *
- Yes
- No
- ➢ Waiver Questions

6. Cloud Highway Enterprise Service Standard
EA-02-01-S (New)

Does your agency have any established own connectivity to commercial CSPs that are not provided by WaTech? *
- Yes
- No
- ➢ Waiver Questions

7. **IPV6>Update is pending approval in June.**
   Did your agency submit a migration implementation plan? *
   - o   Yes
   - •   No
   - ➢   Provide the anticipated submission date of the updated inventory to WaTech.*

Chapter 4: Security (SEC)

1. Information Technology Disaster Recovery Planning
Policy SEC-12 (formerly 151)

a. Does your agency have a current Continuity of Operations Plan (COOP) that identifies your agency's mission critical and business essential services and applications? *
   - o   Yes
   - •   No
   - ➢   Waiver Questions

b. Does your agency have a disaster recovery (DR) plan in support of each component of your agency's COOP, mission critical/business essential services and applications? This must include services the agency does not own or manage directly, such as cloud services. *
   - o   Yes
   - •   No
   - ➢   Waiver Questions

c. Has your agency completed all disaster recovery (DR) plan reviews, updates, and exercises in the last 24 months? This includes documenting results and identifying corrective actions. *
   - o   Yes
   - •   No
   - ➢   Waiver Questions

d. Has your agency identified roles and responsibilities in executing the agency's DR plan and provided necessary training, including in response to identified corrective actions? *
   - o   Yes
   - •   No
   - ➢   Waiver Questions

e. Has your agency head approved all of the agency's disaster recovery plans? *
   - o   Yes
   - •   No
   - ➢   Waiver Questions

Chapter 5: Project Management

Please follow up with the [WaTech Oversight Consultant Pool](#) for more information.

1. IT Investments – Approval and Oversight Policy
   [PM-01 (formerly 121)](#)

   Agencies are required to submit every IT investment/project with a combined level of effort total cost of more than $500,000 - OR - a duration longer than six months through IT Investment Intake form. Submitted project data is retained and will be used for analysis and refinement of oversight policies, practices and the tool itself.

   a. Has your agency submitted an investment to WaTech for every IT Investment meeting the threshold currently ongoing? *
   - o Yes
   - ❖ No
   - ➢ "Please use the [IT Investment Intake Tool](#) - Submission form to submit Investment Intake records for all necessary investments."

   b. Are all projects under WaTech oversight in your agency following the requirements of policy [PM-01 IT Investments - Approval and Oversight Policy](#) including all associated procedures and standards?*
   - ▪ [IT Investments Approval and Oversight Procedure](#)
   - ▪ [IT Project Charter Standard](#)
   - ▪ [IT Investment Plan Standard](#)
   - ▪ [Project Characteristics by Tier Standard](#)
   - ▪ [Tiered Oversight and Reporting Standard](#)
   - ▪ [Feasibility Study for IT Investments](#)
   - ▪ [Project Go-Live Readiness Decision Governance](#)

   - o Yes
   - • No
   - ➢ Waiver Request. Please add: "List project names that do not adhere to PM-03 and all associated procedures and standards."

2. Project Quality Assurance
   [PM-03 (formerly 132)](#)

   Are all projects under WaTech oversight in your agency following the requirements of policy [PM-03 Project Quality Assurance](#) including all associated procedures and standards?*
   - ❖ [Minimum Qualifications for Quality Assurance Providers](#)
   - ❖ [Minimum Project Quality Assurance Activities](#)
   - ❖ [Minimum Project QA Activities - Readiness Assessment](#)
   - ❖ [Managing Information Technology Projects - Critical Indicators of Project Performance](#)

❖ [Providing Quality Assurance for Information Technology Projects - Principles of Quality Assurance Guideline](#)

- o Yes
- No
- a. Waiver questions. Please add: "List project names that do not adhere to PM-03 and all associated procedures and standards."

Chapter 6: Data Management

1. Open Data Planning Policy
DATA-01 (formerly 187)

Agencies must develop, implement and maintain an Open Data Plan that outlines how the agency will routinely work to make open data publicly available.

a) Agency plans, at minimum, must contain components that outline how the agency will:

i) Incorporate evaluations for public access or open data when acquiring, redesigning or rebuilding information systems

ii) Coordinate technology planning across agency boundaries to facilitate electronic access to state data

iii) Determine which information the public most wants and needs

iv) Set agency targets for and measure results in these areas.

a. Does your agency have an implemented and maintained Open Data Plan that includes the required elements specified in DATA-01? *
- o Yes
- No
- ➢ Waiver Questions

2. Geospatial Data Management Policy
DATA-02 (formerly 160)

a. Does your agency track information by addresses or on a map (this is geospatial information)? *
- ❖ Yes
- o No
- ➢ What software do you use for tracking this information? *
  - o Databases
  - o GIS software (e.g. Esri, QGIS)
  - o Other
  - o Other

3. Geodetic Control Standard
DATA-02-01-S (formerly 161.01)

a. Do you create data to store geospatial information? *
   - ❖ Yes
   - o No
   - ➢ Do you store the information according to DATA-02-01-S? *
     - o Yes
     - • No
     - ➢ Waiver Questions

4. **Hydrography Data Standard**
   DATA-02-02-S (formerly 161.03)
   a. Do you map water features (e.g. rivers and streams)? *
      - ❖ Yes
      - o No
      - ➢ Does your agency follow the Hydrography Data Standard DATA-02-02-S *
        - o Yes
        - • No
        - ➢ Waiver Questions

5. **NG-911 Data Standard**
   DATA-02-05-S (formerly 161.07)
   a. Do you store 911 data? *
      - ❖ Yes
      - o No
      - ➢ Does your agency follow the NG9-1-1 Geospatial Data Standard 161.07?*
        - o Yes
        - • No
        - ➢ Waiver Questions

Chapter 7: End User
1. **Accessibility Policy**
   USER-01 (formerly 188)
   a. Does your agency have an accessibility policy and processes to ensure compliance?*
      - o Yes
      - • No
      - ➢ Waiver Questions
   b. Does your agency have an accessibility plan to ensure new covered technologies are accessible and a plan for making existing covered technologies accessible?*
      - o Yes
      - • No
      - ➢ Waiver Questions
   c. Has your agency identified an information technology accessibility coordinator?*
      - o Yes
      - • No
      - ➢ Waiver Questions

2. **Acceptable Use Policy**
    USER-02
    a. Has your agency adopted practices in support of the requirements from the Acceptable Use Policy? *
        o   Yes
        •   No
        ➢   Waiver Questions

6. **Mobile Device Usage Policy**
    USER-03
    a. Does your agency have a mobile device policy and ongoing education of users?*
        o   Yes
        •   No
        ➢   Waiver Questions

    b. Has your mobile device management solution changed since the last certification? *
        o   Yes
        o   No
        ➢   Go to "6.c. Has the mobile device management solution been approved by OCS?"

    c. Has the mobile device management solution been approved by OCS?*
        o   Yes
        •   No
        ➢   Waiver Questions

Policies Not Assessed in 2024:
Chapter 1 POL:

1. **Technology Policies, Standards, and Procedures Policy.**
    POL-01 (formerly 101)
    Defines the policy structure and governance process. No assessment needed.

2. **Naming Convention Standard**
    POL-01-01-S (New)
    Describes the policy naming convention. No assessment needed.

3. **Technology Policy & Standard Waiver Request Standard**
    POL-01-02-S (formerly 103)
    Process to request a waiver. No assessment needed.

Chapter 2 MGMT:

1. **Managing Information Technology Portfolio Standard – Projects MGMT-01-03-S (formerly 112.30)**
   Planning to update this year. Will assess next year.

2. **Technology Business Management (TBM) Policy MGMT-02 (formerly 113)**
   Describes a WaTech process. No assessment needed.

3. **TBM IT Expenditure Data Provision Standard MGMT-02-01-S (formerly 113.10)**
   This is enforced as part of OFM procedures. No assessment needed.

4. **TBM Taxonomy Standard MGMT-02-02-S (formerly 113.30)**
   This is enforced as part of WaTech/OFM procedures. No assessment needed.

5. **TBM Reporting Solution Standard MGMT-02-03-S (formerly 113.40)**
   Describes a WaTech process. No assessment needed.

Chapter 3 EA:

1. **IP Address Management:**
   No questions because we allocate the IP addresses. No assessment needed.

Chapter 5 PM:

1. **Managing Information Technology Projects PM-02 (formerly 131).**
   We are planning to request to rescind this policy.

Delegation of Agency Head Waiver Authority

This is the end of this year's Policy Certification form

- Feel free to review your answers before submitting.
- If you have questions, contact WaTech at **WaTechPolicy@watech.wa.gov**
- When you press the SUBMIT button, the form will do a final check to make sure you completed all required fields.
- A copy of your submitted data will be emailed to the three email addresses you entered on the first page.

If you have any comments to share about the usability of this form or the certification process in general, feel free to enter your comments below.

I delegate the following individual for the purpose of signing waivers on behalf of the business interests for the agency. I understand that I am ultimately still accountable and responsible for the waiver.

☑ I acknowledge the information submitted as part of this survey is a complete and accurate representation of the data related to my agency's information technology assets and any associated waiver requests included therein.

Save and Resume Later

Attestation Information:

Washington state residents depend on state agencies to keep their data safe and secure. As good fiscal stewards, we strive to ensure our scarce resources are wisely applied to support agency priorities.

Each year, agency partners are asked to provide information to WaTech regarding compliance with selected statewide policies. Each topic highlight in the 2024 certification process has significant business implications or considerations and are key indicators of risk within your agency.

This page serves as your agency's attestation for completing the annual certification. Please ensure your responses and other submitted agency artifacts are completed before submitting this annual certification survey.

As you fill out the following attestation form, please use this as an opportunity to engage in conversations within your agency to ensure your organization is doing all that can be done to mitigate risk. (see options for signing on page 2).

Attestation and Signatures:

Attestation Form by Section

	Completed
Part 1 - Application Inventory submitted to WaTech by Sept. 30, 2024	◯
Part 2 - Infrastructure Inventory submitted to WaTech by Sept. 30, 2024	◯
Part 3 - Technology Policy Certification submitted to WaTech by Sept. 30, 2024	◯
Part 4 - Privacy Assessment Reporting Survey submitted to WaTech by Sept. 30, 2024	◯
Part 5 - Annual IT Security Reporting Due by Dec. 31, 2024: The Nationwide Cybersecurity Review (NCSR) enables our state to establish a baseline regarding security posture and helps agencies gain insight into their cybersecurity gaps and capabilities. This is to attest our agency will complete the online assessment through the Nationwide Cybersecurity Review (NCSR) before Dec. 31, 2024. For questions contact RiskManagement@watech.wa.gov.	◯

I certify this information is correct and complete.

Signature of agency head*

[clear]

Use your mouse to draw your signature above

Signature of agency CIO (or equivalent if the agency does not have a CIO)*

[clear]

Use your mouse to draw your signature above

Additional Comments

Waiver Questions

a. Is your agency exempt, (for example, a legislative or judicial agency)?
   - ○ Yes
   - ➢ No
     - b. Does your agency have a current waiver?
       - ○ Yes
       - ➢ No

c. Describe the extent of non-compliance:

d. Explain the technical, business, or other factors that prevent compliance:

e. Describe all associated risks that could result from non-compliance:

f. What mitigations have or will be implemented to address the risks of noncompliance?

g. What steps are you planning to become compliant, and by what date will you achieve each step?

h. By what date will compliance need to be achieved?

i. Please list all agency contacts needed for notification, including their title:

*Next Steps: The WaTech Policy Manager will respond with acknowledgement of receipt. WaTech will meet with agency representatives as needed to ensure issued waivers support the agency's needs.