

## IT INVESTMENTS APPROVAL AND OVERSIGHT PROCEDURE

**See Also:**

RCW [43.105.054](#) OCIO Governance

RCW [43.105.205](#) (3) Higher Ed

RCW [43.105.020](#) (22) "State agency"

RCW [43.105.255](#) Major technology projects and services – Approval

PM-01-03-S [Project Characteristics by Tier Standard](#)

PM-04 - [Project Quality Assurance Policy](#).

PM-01-01-S [Project Go-Live Readiness Decision Governance | WaTech](#)

1. Agencies must submit investment details using the online form provided by **WaTech** for every IT investment meeting the criteria defined in the [IT Investment Approval and Oversight Policy](#). See the [IT Investment Plan Standard](#).
2. Agencies must introduce **WaTech** to major IT investments in a project initiation to ensure the project team and **WaTech** share a mutual understanding of the key success criteria, governance structure, recognized limitations, and potential risks.
  - a. Agencies may use information available ([Project Charter](#), Decision Package, Business case documents, [Feasibility Study for IT Investments](#) report) to share relevant details.
  - b. **WaTech** representatives will provide an overview of the applicable oversight process, requirements and planning documents, including:
    - i. [Technology Budget](#).
    - ii. Project Charter.
    - iii. Quality Assurance requirements.
    - iv. Gating requirement (for gated funding projects subject to section 701 of the enacted budget).
  - c. Post kick-off, **WaTech** will give written feedback and suggestions to the agency, possibly recommending consultations with relevant **WaTech** experts like Security, Privacy, etc.
3. **WaTech** will evaluate and approve planned IT investments.
  - a. All IT investments under oversight must establish a technology budget and project charter.
    - i. The agencies may use [IT Project Charter](#) as a template or use

agency specific template as long as it includes the same elements.

- ii. The technology budget must cover total solution ownership costs, including a minimum of 5 years of maintenance and operational costs.
- iii. WaTech must approve the technology budget.
- b. High-risk or complex projects may need to submit an Investment Plan to WaTech for review and approval.
- c. Additional requirements apply to gated funding projects as follows:
  - i. The technology budget will meet the requirements outlined in Section 701 of the Washington State enacted budget.
  - ii. The technology budget will list the deliverables separated by project phase/gate.
  - iii. WaTech will coordinate with an OFM budget advisor for their review and approval.
- d. WaTech will evaluate the project charter outline and purpose to confirm planning, governance, methodology, readiness, prework, market analyses as needed.
  - i. Agencies may submit a completed project charter or an outline with references to appropriate alternative documentation.
  - ii. WaTech will evaluate the investment for:
    - A. Alignment with the state's IT strategic plan.
    - B. Adherence with WaTech policies and standards.
    - C. Enterprise service availability. Should WaTech or another agency offer a similar product or service, state agencies will be directed to utilize enterprise services for statewide benefits. See the [Establishing an Enterprise Service Policy](#).
- e. The agency must receive WaTech approval of the investment prior to making a commitment to purchase, acquire, or develop a product or service.
  - i. Agencies may engage with project management and business analyst resources before the technology budget is approved.

- ii. Agencies may engage QA providers after the technology budget is approved to assess readiness and address any recommendations as a result.

#### **4. Agencies and WaTech will partner to monitor IT projects.**

- a. The agency will adhere to oversight reporting requirements as outlined in [Tiered Oversight and Reporting Standard](#).
- b. Agencies will submit key project artifacts and regular status reports using the web-based reporting tool provided by WaTech.
  - i. Agencies will coordinate with a WaTech representative to receive access to this reporting tool.
- c. WaTech will submit the approval documents using the same web-based tool.
- d. For transparency, visibility, and accountability objectives, all project deliverables from the Agency and WaTech will be publicly accessible via the Statewide IT Dashboard.
- e. The agency will assess the major IT project status on scope, schedule, budget and overall, regularly.
- f. WaTech will assess major IT investments no less than quarterly.
- g. Agencies must inform WaTech of any changes to the approved scope, schedule, or to evaluate whether amendments to the technology budget, project charter, or investment plan are necessary.

#### **REFERENCES**

1. PM-01 [IT Investments - Approval and Oversight Policy](#).
2. PM-01-06-S [IT Investment Plan Standard](#).
3. PM-01-02-S [IT Project Charter Standard](#).
4. PM-01-05-S [Feasibility Study for IT Investments](#).
5. PM-01-04-S [Tiered Oversight and Reporting Standard](#).
6. [Technology Budget Template](#).
7. [Definition of Terms Used in WaTech Policies and Reports](#).

#### **CONTACT INFORMATION**

- For questions about this policy, please email the [WaTech Policy Mailbox](#).
- For technical assistance, please email [WaTech Consultant Mailbox](#).