

# SAMPLE SUBMISSION WITH SCREENSHOTS



## 2023 Annual Agency Technology Policy Certification

This is the 2023 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://ocio.wa.gov/policies>

**Agencies must complete this form by September 30, 2023.**

### Completion Information:

- This form has 17 pages including this introductory page.
  - You may move forward and back as much as you like.
  - Questions do not have to be answered in order.
  - The Policy 103 waivers 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 [ocio.policy@watech.wa.gov](mailto:ocio.policy@watech.wa.gov)

Form Name: 2023 Annual Agency Technology Policy Certification  
Submission Time: June 21, 2023 10:44 am  
Browser: Chrome 114.0.0.0 / Windows  
IP Address: 198.238.109.1  
Unique ID: 1114150033  
Location:

## 2023 Annual Agency Technology Policy Certification

### About Your Agency

Agency Name	Consolidated Technology Services (CTS)
Agency Head	Bill Kehoe
Email of Agency Head	bill.kehoe@watech.wa.gov
CIO or Head of Technology	Nick Stowe
Email of CIO or Head of Technology	nick.stowe@watech.wa.gov
Person filling out this form	Samantha Zee
Email of Person filling out form	samantha.zee@watech.wa.gov
Best way for OCIO to contact for clarification questions	Teams Chat

### About Your Agency

**Agency Name\***  
-- Select your agency --  
This form can only be filled out once per agency.

<b>Agency Head*</b> <input type="text"/> <small>First Name</small> <input type="text"/> <small>Last Name</small>	<b>Email of Agency Head*</b> <input type="text"/>
<b>CIO or Head of Technology*</b> <input type="text"/> <small>First Name</small> <input type="text"/> <small>Last Name</small>	<b>Email of CIO or Head of Technology*</b> <input type="text"/>
<b>Person filling out this form*</b> <input type="text"/> <small>First Name</small> <input type="text"/> <small>Last Name</small>	<b>Email of Person filling out form*</b> <input type="text"/>

**Best way for OCIO to contact for clarification questions**  
  
Enter your phone, email, Skype, Teams, etc.

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In the next year does your agency plan to develop, procure, or use a facial recognition service as defined by Chapter 43.386 RCW: FACIAL RECOGNITION? No

Facial Recognition (optional comment) Optional Comment

### Facial Recognition Accountability

[\(Chapter 43.386 RCW: Facial Recognition\)](#) Note: Each question set includes a link to the reference RCW or policy.

In the next year does your agency plan to develop, procure, or use a facial recognition service as defined by Chapter 43.386 RCW: FACIAL RECOGNITION?\*

Yes  No  Agency or use is exempt

Facial Recognition (optional comment)

1000/1000

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# Policy Certifications

Provide a link to your IT Strategic Plan <https://watech.wa.gov/sites/default/files/public/StrategicPlanBrief.pdf>

## Policy Certifications

### Technology Portfolios Foundation

[\(Policy/Standard 112\)](#)

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\***

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Has your agency updated and submitted the Application Inventory providing current information on the applications/systems in use within the agency?

No

Provide the anticipated submission date of the updated inventory to OCIO. Sep 01, 2023

Why the delay?

This will be within the due date.

### Technology Portfolio Foundation – Applications


[\(Policy/Standard 112.10\)](#)

Has your agency updated and submitted the Application Inventory providing current information on the applications/systems in use within the agency?\*

Yes  No

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Has your agency submitted the infrastructure inventory providing current information on the technology components in use within the agency?

No

Provide the anticipated submission date of the updated inventory to OCIO. Sep 01, 2023

Why the delay?

This will be within the due date.

## Technology Portfolio Foundation – Infrastructure

[\(Policy/Standard 112.20\)](#)

Has your agency submitted the infrastructure inventory providing current information on the technology components in use within the agency?\*

Yes  No

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Do all agency business applications/systems comply with each element of the policy? Yes

Are you satisfied that appropriate levels of accountability exist for each agency business application/system? Yes

## Business Application/System Governance

[\(Policy 114\)](#)

Do all agency business applications/systems comply with each element of the policy?\*

Yes  No

Are you satisfied that appropriate levels of accountability exist for each agency business application/system?\*

Yes  No

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Does your agency have a disaster recovery (DR) plan in support of each component of the agency's Continuity of Operations Plan (COOP) mission critical and business essential applications, including services not under direct control of the agency (such as cloud services)?

Yes

Has your agency exercised disaster recovery (DR) plans at least annually, documented results and identified corrective actions?

Yes

Has your agency identified roles and responsibilities in executing the agency's DR plan and provided necessary training?

Yes

## Information Technology Disaster Recovery Planning

[\(Policy 151\)](#)

Does your agency have a disaster recovery (DR) plan in support of each component of the agency's Continuity of Operations Plan (COOP) mission critical and business essential applications, including services not under direct control of the agency (such as cloud services)?\*

Yes  No

Has your agency exercised disaster recovery (DR) plans at least annually, documented results and identified corrective actions?\*

Yes  No

Has your agency identified roles and responsibilities in executing the agency's DR plan and provided necessary training?\*

Yes  No

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Does your agency track information by addresses or on a map (this is geospatial information)? No

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## Geospatial Data Management Policy

[\(Policy 160\)](#)

Does your agency track information by addresses or on a map (this is geospatial information)?\*


Yes  No

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Is your agency a member of the state's standard Enterprise Active Directory (EAD)? Yes

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Do agency employees login to any external applications, e.g. third-party or cloud-hosted, through a process separate from their EAD login? No

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Do external users of agency applications, whether agency-managed or third-party/cloud, login without using the state's standard SecureAccess Washington (SAW) solution? No

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### Identity Management User Authentication Standards

[\(Standard 183.20.10\)](#)

Is your agency a member of the state's standard Enterprise Active Directory (EAD)?\*

Yes  No

Do agency employees login to any external applications, e.g. third-party or cloud-hosted, through a process separate from their EAD login?\*

Yes  No

Do external users of agency applications, whether agency-managed or third-party/cloud, login without using the state's standard SecureAccess Washington (SAW) solution?\*

Yes  No

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Is all physical compute equipment located at agency offices/facilities allowed by policy? No

Do you have an approved waiver for each location that is not in compliance? No

### Data Center Investments Policy


[\(Policy 184\)](#)

Is all physical compute equipment located at agency offices/facilities allowed by policy?\*

Yes  No

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# Technology Policy 103 Waiver Request

Describe the Extent of the non-compliance with section(s) identified. Test

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

Describe all associated RISKS that could result from noncompliance. Test

Mitigations that have been or will be implemented to address the risks of noncompliance. Test

Steps planned to become compliant. Test

Date by which compliance will be achieved. Jan 01, 2024

## Technology Policy 103 Waiver Request

Waiver Request for:

**Policy 184 - Data Center Investments Policy**

Describe the Extent of the non-compliance with section(s) identified.\*

Explain the technical, business or other factors that prevent compliance.\*

Describe all associated RISKS that could result from noncompliance.\*

Mitigations that have been or will be implemented to address the risks of noncompliance.\*

Steps planned to become compliant.\*

Date by which compliance will be achieved.\*

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Does your agency track vendor's software product roadmaps and upgrade or retire commonly used software before it goes out of support?

Yes

## Commonly Used Software Product Retirement

[\(Policy 186\)](#)

The intent of Policy 186 is to ensure agencies update or retire commonly used software before it reaches end-of-support.

Software commonly used across the enterprise is identified in [Standard 186.10](#). An expanded list of common software is tracked online in the [End of Support Software list](#).

Agencies are encouraged to track product roadmaps for *all* software commonly used to run their critical business functions and upgrade or retire that software before it reaches end-of-support.

**Does your agency track vendor's software product roadmaps and upgrade or retire commonly used software before it goes out of support?\***

Yes  No

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Does your agency have an accessibility policy and processes to ensure compliance? Yes

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Does your agency have an accessibility plan to ensure new covered technologies are accessible and a plan for making existing covered technologies accessible? Yes

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Has your agency identified an information technology accessibility coordinator? Yes

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## Accessibility

[\(Policy 188\)](#)

Does your agency have an accessibility policy and processes to ensure compliance?\*

Yes  No

Does your agency have an accessibility plan to ensure new covered technologies are accessible and a plan for making existing covered technologies accessible?\*

Yes  No

Has your agency identified an information technology accessibility coordinator?\*


Yes  No

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Does your agency have a mobile device policy and ongoing education of users? Yes

Has your mobile device management solution changed since the last certification? No

## Mobile Device Usage

[\(Policy 191\)](#)

Does your agency have a mobile device policy and ongoing education of users?\*

Yes  No

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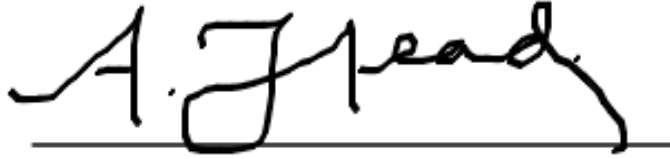


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I delegate the following individual for the purpose of signing waivers on behalf of the business interests for the agency. I understand that I am ultimately still accountable and responsible for the waiver.

Accountable Person

Signature of agency head



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



**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 [ocio.policy@watech.wa.gov](mailto:ocio.policy@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.

Signature of agency head\*



Use your mouse or finger to draw your signature above

[clear](#)

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



Use your mouse or finger to draw your signature above

[clear](#)

Additional Comments