Version 1 6/29/23

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| **Question** | **Answer** |
| **Why have an Annual Certification?** | WaTech collects agency’s information technology (IT) portfolio data through the annual certification process. The data helps guide state IT strategy, provides insight into enterprise architecture and reuse of state resources.  The data is also used to report to the Legislature on IT health across agencies. |
| **What resources are available to help me with my Annual Certification?** | We’ve compiled important links for your reference on the [Communication page](https://ocio.wa.gov/communications):   * [Application and infrastructure inventory template](https://ocio.wa.gov/sites/default/files/public/PortfolioManagement/App%20&%20Infrastructure%20Inventory%20Template.xlsx?794kj). * [Technology policy certification form](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fstofwadeptofenterpriseservices.formstack.com%2Fforms%2F2023_annual_agency_technology_policy_certification&data=05%7C01%7Ccammy.webster%40watech.wa.gov%7C3332856f09c54dfdf02508db518290a3%7C11d0e217264e400a8ba057dcc127d72d%7C0%7C0%7C638193393432729824%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000%7C%7C%7C&sdata=%2FCDnfmhiPUukQUEqSNbMlrpv5N%2FIVX%2B%2BD0J%2FtK2MxNc%3D&reserved=0). * [Cybersecurity website](https://cybersecurity.wa.gov/). * [Annual certification attestation form.](https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Focio.wa.gov%2Fsites%2Fdefault%2Ffiles%2Fpublic%2FAnnualCertification%2F2023%2520Annual_Cert_Attestation.docx%3Fu21kjd&wdOrigin=BROWSELINK) * [MS-ISAC’s NCSR resource page](https://www.cisecurity.org/ms-isac/services/ncsr/). |
| **What application and software do we need to include on the inventory?** | List applications used by the agency to achieve their mission, goals and objectives. See the [Standard 112.10 Application Guidelines](https://ocio.wa.gov/sites/default/files/public/PortfolioManagement/Standard%20Application%20Guidelines%20Update%202023.pdf?8sm7b9) for more information on what to include in the inventory. |
| **A business area within my agency purchased an application or software but it is not supported internally. Do I need to include this in my inventory?** | Yes. It does not matter which cost center makes a purchase or if it is supported internally. List all applications used by the agency to achieve their mission, goals and objectives. |
| **What is new on the application and infrastructure inventory for 2023.** | See the [Technology Portfolio Foundation - Applications standard](https://ocio.wa.gov/policy/technology-portfolio-foundation-applications) website for a list of changes to the application inventory items.  There are no new fields on the infrastructure inventory. |
| **What is the definition of ADS?** | ***ADS Definition/Guidance – ADS is not***  **Systems or applications that should not be included in the Automated Decision-Making System (ADS) inventory**:  If a system is making decisions based on state or federal law that specifies the criteria that should be used in determining eligibility, judgments, and conclusions.  In this case automated decisions are based on rules defined by law and there is no discretionary judgment that is performed by the ADS.    **Examples:**   * Eligibility to title a vehicle or vessel * When a driver’s license can be renewed * Issuance of a business or professional license * Issues of a fishing license * When fees should be charged for a specific transaction   ***ADS Definition/Guidance – ADS* *is***  **System or application that should be included in the Automated Decision-Making System (ADS) inventory:**  If a system makes automated decisions based on algorithms that include an interpretation of specific criteria not set by state or federal law to make a decision, judgment, conclusion, or determine eligibility for a service that affects individuals it should be included in the ADS inventory.    **Examples:**   * Who is likely to recidivate based on subjective risk criteria. * Which households should receive services based on risk of becoming homeless. * Assessment of penalties or loss of benefits not based on rules defined in law. |
| **Can I use my inventory template from last year?** | Yes, you can use the inventory template from last year for the infrastructure items.  Due to the number of changes to the application standard, agencies need to use the new template for the application inventory. |
| **Do I need to use the cell dropdown options or can hand key answers?** | You must use the dropdown options. Hand keyed entries make it difficult to consolidate the information and leads to reporting gaps. If you are having difficulty with the template, please reach out to [OCIOTBMProgramOffice@watech.wa.gov](mailto:OCIOTBMProgramOffice@watech.wa.gov) for assistance. |
| **Should our application inventory include software that is used to monitor systems and hardware*?*** | Yes. Software used for monitoring system and hardware should be included in the application inventory. |
| **Should we include M365 product licenses in our application inventory?** | See the [Standard112.10 Application Guidelines](https://ocio.wa.gov/sites/default/files/public/PortfolioManagement/Standard%20Application%20Guidelines%20Update%202023.pdf?8sm7b9) for more information on what to include in the inventory. |
| **Are we supposed to include enterprise applications such as AFRS, HRMS, CAMS in our inventory?** | See the [Standard 112.10 Application Guidelines](https://ocio.wa.gov/sites/default/files/public/PortfolioManagement/Standard%20Application%20Guidelines%20Update%202023.pdf?8sm7b9) for more information on what to include in the inventory. |
| **How should we register platform or low code software used to develop applications (including but not limited to SharePoint, Salesforce, ArcGIS, SSIS, Windows Communication Foundation, Web services, APIs.)** | See the [Standard 112.10 Application Guidelines](https://ocio.wa.gov/sites/default/files/public/PortfolioManagement/Standard%20Application%20Guidelines%20Update%202023.pdf?8sm7b9) for more information on what to include in the inventory. |
| **Do we need to include virtual instances in the infrastructure inventory?** | Yes. The infrastructure inventory should include all virtual items servers, storage, appliances, hardware, etc. This includes end user devices and radios. |
| **My agency does not have a dedicated FTE titled Privacy Officer. How do we identify the role in the agency for the certification?** | Not every agency has a dedicated privacy officer. It is the person in the agency who  performs that function. |
| **Is the NCSR assessment stored on a federal website and does the federal government have access to that data?** | MS-ISAC is considered the owner of the NCSR data and only shares an aggregate of the scoring results at the Federal level.  State agencies can see their own data and benchmarks but do not have access to information from other agencies. The Office of CyberSecurity has access to all the data reported by WA state agencies. |
| **Where can I get more information about the NCSR?** | For more information, please see [MS-ISAC’s](https://www.cisecurity.org/ms-isac/services/ncsr/) [NCSR resource page](https://www.cisecurity.org/ms-isac/services/ncsr/), which includes FAQs, an overview and a user guide. |
| **I’m a small agency, does WaTech submit the annual certification on my behalf?** | For agencies receiving support from WaTech, work with your WaTech Business Relationship Manager for your specific needs. WaTech will be able to assist you in preparing some certification documents, but the agency is required to submit and attest the annual certification. |
| **Is a Portfolio Management data sharing agreement with WaTech required for the annual submittal?** | A data sharing agreement with WaTech is not required for the annual submittal. |