



# Policy & Standard Reviews

TSB PORTFOLIO SUBCOMMITTEE

APRIL 8, 2015

# Agenda

- ▶ Overview of Policy & Standards Status
- ▶ NEW Technology Business Management (TBM) Policy & Standards
- ▶ NEW Data Center Policy
- ▶ REVISED Policy 151 – Disaster Recovery
- ▶ DISCUSSION Policy 101 rewrite
  - ▶ Policy on Technical Policies and Standards
  - ▶ Waivers
- ▶ What's in the works?

# High Level Process

- ▶ All policies/standards have owners within CIO's organization
- ▶ Owner is responsible for identifying stakeholder group (standing or ad hoc)
- ▶ Stakeholder group provides input to creation of the draft
- ▶ Updated final draft is circulated to the CIO community at large
- ▶ Updated final is referred to TSB Policy Subcommittee
- ▶ TSB Subcommittee comments are incorporated
- ▶ Policy referred to CIO for adoption or returned for more work
- ▶ Eventually referred to TSB for approval

# Current and Planned Activities

- ▶ Most current policies and standards are overdue for sunset reviews
- ▶ New and emerging topics also need attention
- ▶ Need to strike a balance old & new to make steady progress
- ▶ Stakeholder and governance groups need to be created and/or formalized
- ▶ Adopt agile mindset and methods
- ▶ Incrementally improve policy and architecture related communications and implementation planning
- ▶ Evaluate and increase input & feedback mechanisms over time

# Technology Business Management (TBM) Policy & Standards

## Statutory Authority:

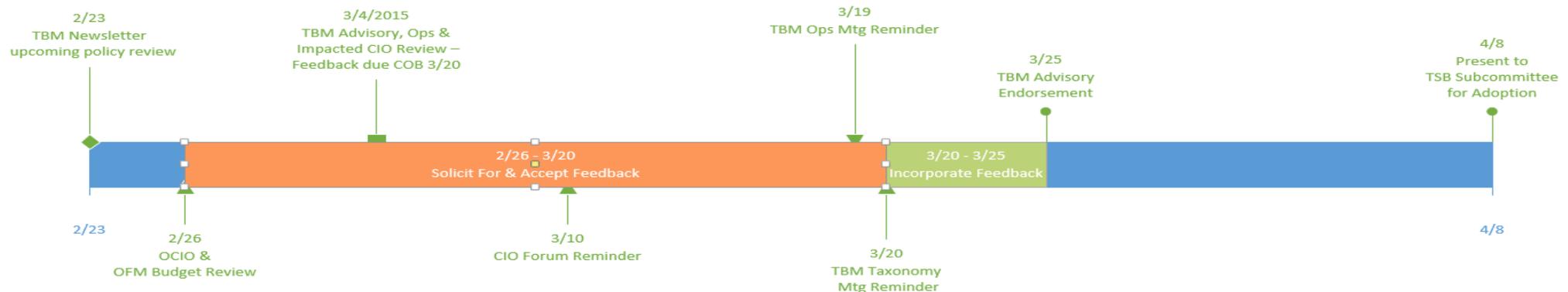
- ▶ [RCW 43.41A.025](#) (2011, revised in 2013) Section 2(g) requires OCIO to coordinate implementation of a technology business management program to identify opportunities for savings and efficiencies in [IT](#) expenditures and to monitor ongoing financial performance of technology investments.
- ▶ [RCW 43.88.092](#) (2011, revised 2013) requires OFM to institute a method of accounting for [IT](#)-related expenditures and to gather from agencies, as part of the biennial budget process, information in sufficient detail on current and proposed [IT](#) expenditures and budgets.

**Important to Note:** This policy and accompanying 2 standards serve to formalize expectations we already are operating under.

# TBM Policy & Standards - Stakeholdering

The TBM program has two formalized stakeholder groups:

- ▶ [TBM Advisory Group](#) advises on strategic direction and authorizes agency resources for operational support. Consists of a mixture of small and large agency CIOs, CFOs or their delegates, OCIO, and OFM Budget Division Representatives. Meets quarterly.
- ▶ TBM Operational Group executes strategic direction through operational support. Meets monthly.



# TBM Policy (113)

## [Policy 113: Technology Business Management \(TBM\)](#)

- ▶ **Purpose:** Define Agency and OCIO Responsibilities and Expectations Related to the [Technology Business Management \(TBM\)](#) program
- ▶ **Scope:** RCW specifically notes that involvement with this program is mandatory for state agencies with an annual [IT](#) expenditure exceeding ten million dollars (\$10,000,000).
  - ▶ OCIO is expanding this to include agencies with an annual [IT](#) expenditure exceeding two-hundred fifty thousand dollars (\$250,000) in order to facilitate enterprise-level decision support and outcome tracking around infrastructure (e.g. SDC migration, cloud computing adoption) and applications (e.g. modernization progress).
  - ▶ Feedback from State Treasurer's Office (OST) and the OFM Budget Division helped shape scope wording and requirement (biennial review to annual review)
- ▶ [Agencies currently in the TBM program](#)

# TBM Standards (113-A, 113-B)

## [Standard 113-A: TBM IT Expenditure Data Provision](#) and [Standard 113-B: TBM IT Labor Data Provision](#)

- ▶ Feedback from State Treasurer's Office (OST) on 113-A and Dept of Ecology (ECY) on 113-B helped clarify wording and intent.
- ▶ 113-A will impact Dept of Transportation, whose expenditure data comes from TRAINS rather than AFRS. No other impacts expected beyond current expected process.
- ▶ 113-B does not apply to most agencies with less than \$10 million in annual IT expenditure, unless they have elected to maintain an agency-specific presence. This is an example of lesser requirements/burden placed on those agencies.

**In Process/Coming Soon:** [Standard 113-C: TBM Taxonomy](#)

# Data Center Investment Policy

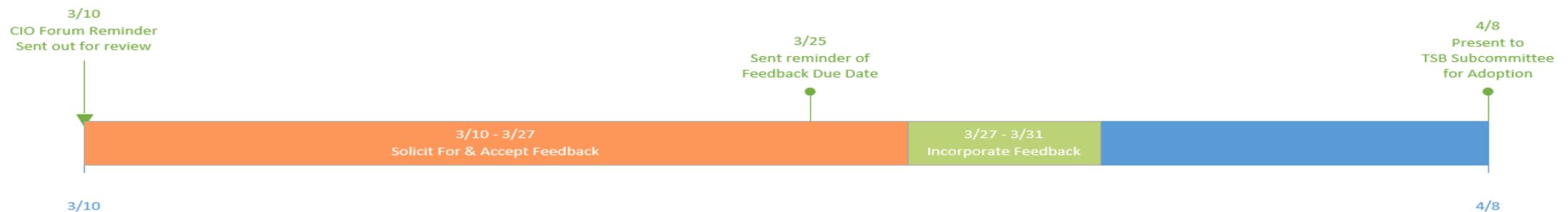
## Statutory Authority:

- ▶ [RCW 43.41A.150](#) (2011) gives responsibility for a business plan and migration schedule for state agencies to the state data center to OCIO, in consultation with the Office of Financial Management (OFM). The statute mandates that state agencies locate all existing and new servers in the state data center unless *OCIO grants a waiver*.

**Important to Note:** Agencies were aware of this statutory requirement but had slightly differing views of what it meant. This policy is intended to ensure consistent understanding.

# Data Center Investment- Stakeholdering

There were no formalized stakeholder groups for review of this policy. Consequently, reviewers included OCIO, CTS, OFM Budget Division and the large group of agency CIOs invited to the monthly CIO forum.



# Data Center Investment Policy (184)

## Policy 184: Data Center Investment

- ▶ **Purpose:** *Require* usage of [State Data Centers](#) for on-site/premise infrastructure *supporting* reduction and consolidation of agency-specific [data centers](#).
- ▶ **Scope:** Explicitly defines investments covered as well as noting exclusions
  - ▶ Distinction between 'Data Centers' vs 'Other Facilities'
  - ▶ Distinction between on-premise vs purchase of cloud computing services
  - ▶ Feedback received from a few agencies centered on clarifications of Data Centers vs Other Facilities, questions about whether 3<sup>rd</sup> party equipment was or was not included, and one item that is still under consideration/discussion.

# Disaster Recovery/Business Resumption - Stakeholdering

- ▶ This is an emergency update to fix a disconnect between policy and practice. No stakeholder group was convened. Reviewers included OCIO, CTS, OFM Budget Division and the large group of agency CIOs invited to the monthly CIO forum.



# Disaster Recovery & Business Resumption (151)

## [Policy 151 – Disaster Recovery and Business Resumption](#)

- ▶ Removes the requirement for annual certification to the OCIO.
  - ▶ This practice ended in 2013 but the policy was not updated to reflect the change.
- ▶ Removed the section stating that the State Auditor may review DR plans and tests.
- ▶ Includes some language clean-up that does not change intent.
- ▶ Will work with Military Department on a full sunset review within the next several months.
  - ▶ The sunset review must align with [Governor's Directive 13-02](#), statutes and recommendations of the Interagency Group.

# Policy 101 Rewrite – Current Content

- ▶ Policy is currently entitled “About the Manual” and contains information on:
  - ▶ General authority to make policy
  - ▶ Allows for policy review on a “continuous cycle” not to exceed three years
    - ▶ Indicates that policies not reviewed in 3 years become guidelines
  - ▶ What agencies are required to comply with policy/standards
  - ▶ Policy/standard waiver process
  - ▶ Template information
  - ▶ General policy contact information

# Policy 101 - Future Content

- ▶ Propose creation of two separate policies
  - ▶ Technology Policies and Standards
    - ▶ Sets out standard agency scope language
    - ▶ Identifies sunset review timelines – up to 3 years for policy and 2 for standards
    - ▶ Sets out roles and responsibilities of CIO, agencies & TSB more explicitly
  - ▶ Technical Policy and Standard Waivers
    - ▶ Policy will be close to earlier version but slightly more explicit on dispositions and timelines
- ▶ In early review now & early comments are welcome

# What's In The Works?

- ▶ Software Lifecycle/Software Deprecation Policy
- ▶ Accessibility Policy
- ▶ Revisit and update Project Oversight and Quality Assurance material
- ▶ Low hanging fruit to support technical architecture/enterprise service development

# Any Questions?

Feel free to contact me at any time

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