**D. Information Technology**

## ***1. IT Management and Administration***

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| 1—at risk | Responsibility for the management of the agency’s IT function is assumed by various individuals with limited experience and training and with limited centralized management supervision or support. |
| 2—approaching achievement of standard | IT administrative responsibilities have been assigned to a central IT technician with little systems management training or experience and/or outsourced to a vendor narrowly focused on the management of IT infrastructure. |
| 3—fully meets standard | IT management responsibilities have been assigned to a senior manager (e.g., Director, CIO, etc.) who has completed at least 2 years of technical training and has 2-6 years IT operations experience and/or responsibilities are outsourced to a supervised vendor with a portfolio including IT infrastructure support, security management and/customer support, policy consultation.  |
| 4—exceeds standard; approaching excellence | 3, plus the IT manager has completed 3+ years of technical training and has 7 + years of operations experience. |
| 5—excellent | 4, 3 plus the IT manager has a CDMP (Certified Data Management Professional) or equivalent professional certification.  |
| Score: | Scoring Rationale: |

***1. IT Management and Administration***

 *Assessment Questions:*

*1. Please describe who is responsible for the management and oversight of the agency’s Information Technology function. Who supervises this position? Describe the scope of IT support service(s) provided by a vendor under contract with the agency.*

*2. What IT training and experience does this IT manager have? Does the IT Manager have CDMP- Practitioner (e.g., 2-10 years’ experience,70% pass Data Management Fundamentals Exam plus 70% pass in 2 Specialist exams or equivalent certification (e.g., 2-6 years’ experience plus 2 year college/technical training institute degree with IT specialty course content)?*

*3. Does the IT Manager have CDMP-Master (Minimum 10 years’ experience and 80% pass Data Management Fundamentals Exam and 80% pass in 2 Specialist Exams.) or equivalent certification (e.g., Minimum 7 years’ experience plus 4 year+ college degree with IT related specialty course content.*

*4. Has the agency adopted am IT Contingency staffing plan?*

## ***2. IT Training 10***

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| 1—at risk | The agency does not provide to either new or existing network users any formal orientation or training related to either IT supported software applications and/or user use/security policies and procedures. Informal IT orientation and training may be offered to selected users by supervisors or colleagues but timing, access and content vary throughout the organization. |
| 2—approaching achievement of standard | A formal IT orientation program is provided to all new network users which includes a review of software applications and appropriate agency-wide IT operations policies and procedures however the agency does not provide/sponsor supplemental IT trainings for network users.  |
| 3—fully meets standard | 2, plus all network users are provided an IT Security Risk Prevention/Mitigation education program at least every 24 months. Training is provided to all appropriate staff when new technology, software applications, equipment or use policies are adopted.  |
| 4—exceeds standard; approaching excellence | 3, plus all network users are provided an IT Security Risk Prevention/Mitigation education program every 12 months and supplemental trainings are designed based on both user feedback and demands associated with the achievement of organizational strategic goals.  |
| 5—excellent | 4, plus network use experience and potential vulnerabilities are routinely monitored, tested and audited to target user education efforts to areas of greatest risk to network integrity.  |
| Score: | Scoring Rationale: |

## ***2. IT Training***

*Assessment Questions:*

*1. Please describe what, if any efforts, are made to inform new network users about IT use, support and security policies. Who provides this Orientation? How is this managed in different sites? Are written policies provided new staff (e.g., appropriate use, privacy expectations, security, helpdesk support, etc.)?*

*2. What IT training is provided to agency staff? How frequently is Network Security and other network use trainings provided? How are needs assessed?*

*3. How does the agency monitor network use to address both emerging and existing weaknesses and vulnerabilities?*

***3. IT Network Operations Policies and Procedures***

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| 1—at risk | The agency has not adopted any organization-wide IT operations policies/procedures or, policies and procedures exist but only cover 4 or fewer of the Critical Policy Elements requirements and/or have not been reviewed in 5+ years.  |
| 2—approaching achievement of standard | The agency has adopted system-wide IT operations policies and procedures that cover at least 5 of the Critical Policy Elements but they are not bundled into an accessible, user friendly Manual/Handbook and/or have not been reviewed in the past 3-5 years.  |
| 3—fully meets standard | The agency has an integrated IT Policy Manual that addresses all 6 of the Critical Policy Elements and is routinely reviewed and updated as required at least every two years. |
| 4—exceeds standard; approaching excellence | 3 Plus the IT Policy Manual is reviewed and, as required, updated on an annual basis with appropriate notification and support offered to network users.  |
| 5—excellent | 4, Plus testing is periodically conducted to both assure compliance with IT use policies and, identify emerging needs or risks which require policy guidance.  |
| Score: | Scoring Rationale:  |

***3.IT Network Operations Policies and Procedures.***

***Critical IT Systems Policy Elements:***

***1 Acceptable Network Use Policies/Procedures***

***2 Network Security – Risk Mitigation/Management Policies/Procedures Including Adequate Cyber-Security Insurance Coverage***

***3 User Support and Training Policies and Procedures.***

***4 Network Contingency Operations and Breech Management Plans.***

***5 Protection and Disposal of Confidential Information.***

***6 Network Documentation and Annual Inventory Policies/Procedures.***

Are policies bundled into an integrated, accessible Manual/Handbook?

How frequently are IT policies/procedures reviewed? How are users informed of changes?

How many Critical Policy Elements are covered by current agency policies?

Are periodic tests/audit of network security scheduled during the year?

***4. IT Equipment Inventory.***

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| 1—at risk | The agency has not conducted an inventory of IT equipment in the past 3 years+.  |
| 2—approaching achievement of standard | The agency has not conducted an inventory of IT equipment in the past 2 years or, the agency conducts annual inventory of equipment but documentation is incomplete. |
| 3—fully meets standard | The agency conducts an annual inventory of IT equipment and the documentation includes at least the following information: Description of Equipment, Date of Purchase, Location/User Assignment, ID #, Funding Source. |
| 4—exceeds standard; approaching excellence | 3, plus data from the IT Inventory is routinely considered in agency budgeting. |
| 5—excellent | 4, plus the IT Inventory is routinely updated during the year as new equipment is acquired or existing equipment is disposed.  |
| Score: | Scoring Rationale: |

***4. IT Equipment Inventory***

*Assessment Questions:*

*How often does the agency conduct an inventory of IT equipment? When was the last inventory completed?*

*Does the Inventory documentation include information on the areas listed in Standard # 3?*

*How is the Inventory used in agency budgeting?*

*How often during the year is the Inventory updated?*

***5. IT Network Security***

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| 1—at risk | There are no written IT Security policies in place or, policies exist but address only up to 5 of following risk areas: 1. Secure off-site backup data storage, 2. Contingency Operations Recovery, 3. Internet use and Intrusion/Filtering protections (Firewalls, Anti-Virus, Spam, Malware, etc.), 4. Password management and user security authorizations, 5. Virtual meeting, desktop and mobile device use/security, 6 Unauthorized software copying or installation 7.Breech/risk system monitoring/testing/reporting, 8. User network security training and 9. Cyber Security Insurance coverage.  |
| 2—approaching achievement of standard | There are written policies covering at least 7 of the 9 topics highlighted above.  |
| 3—fully meets standard | There are written IT Security policies and procedures that cover all 9 of the topics described in Cell #1. Network security information is reviewed with new staff and combinations of direct and virtual trainings addressing network security topics are provided to users at least every 2 years. |
| 4—exceeds standard; approaching excellence | 3, plus user training and IT Security policies and cyber insurance coverages are reviewed and updated as needed on an annual basis.  |
| 5—excellent | 4, plus the agency has created an incentive/reward program for users to report both system vulnerabilities and suggestions for strengthening network security.  |
| Score: | Scoring Rationale: |

## ***5. IT Security***

*Assessment Questions:*

*1. Does the agency have written IT Security policies? Do the policies address the topics listed in Cell #1? If not, what topics are missing from the current policies? Any plans to address these omissions?*

*2. How often are IT Security policies reviewed and updated? How are security protocols communicated to staff and with what frequency?*

*3. Does the agency have cyber security insurance coverage? How often is the policy reviewed to assure reasonable levels of protection?*

*4. Does the agency have a program which offers incentives for users to help ID network vulnerabilities and/or suggestions for strengthening current policies and practices?*

***6. Electronic Media Platform Technical Support***

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| 1—at risk | Responsibilities for providing technical support to develop and/or support agency electronic media platforms (e.g., web site, social media, etc.) are not documented creating confusion, risks and frustration for both users and managers.  |
| 2—approaching achievement of standard | Documentation of technical support responsibilities exist but are incomplete, outdated, inconsistently applied, are confusing or in conflict with other policies or staff/vendor assignments.  |
| 3—fully meets standard | Responsibilities for Electronic Media Platform technical support are clear, well documented and consistently understood and applied.  |
| 4—exceeds standard; approaching excellence | 3, plus a close and effective working relationship exists between the individual(s) assigned to oversee/manage/monitor the content of the platforms (e.g. web, social media) and the individual(s) assigned to provide technical support for the platforms.  |
| 5—excellent | 4, plus an annual assessment of site maintenance and support needs is undertaken to improve site accessibility, functionality and risk mitigation. All current logins for web-based platform services are documented, up to date and stored in a secure location  |
| Score: | Scoring Rationale: |

***6. Electronic Media Platform Technical Support***

*Assessment Questions:*

*1. What Platforms does the agency currently sponsor/support? Who is responsible for the design and technical maintenance/support of these agency Platforms? Are logins for web-based platforms (web hosting, social media, domain registrar) and any two-factor authentication methods well documented and securely stored?*

*2. Are responsibilities for Platform technical support clearly documented (e.g., Job Description, Policy Manual, Contract, etc.) both in house and/or outsourced? Are these responsibilities clear and do they guide actual practice?*

*3. How are needs for technical IT web site support communicated? Who receives these requests and authorizes service?*

*4 What is the nature of the working relationship between the person(s) assigned to manage platform use and platform technical support?*

***7. Electronic Client Data Management and Integration***

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| 1—at risk | Current agency’s client data management system is unable to collect, store, track and report family, agency and/or community outcomes and/or an analysis of the agency’s service outcomes in compliance with both ROMA and CSBG-COE Standards 9.1 – 9.4. |
| 2—approaching achievement of standard | The agency’s client data management system is able to collect, store, track and report family, agency and/or community outcomes in compliance with both ROMA and CSBG-COE Standards 9.1; 9.2 and 9.4 but reports to the Board (Standard 9.3) have exceeded 12 months. |
| 3—fully meets standard | The agency’s client data management system is able to collect, store and report timely and accurate data which complies with requirements of both ROMA and CSBG-COE Standards 9.1 – 9.4.  |
| 4—exceeds standard; approaching excellence | 3, plus the agency’s data management system is designed to support a seamless, agency-wide client enrollment/intake, assessment and case management program which operates on the principle of “every door the right door.” |
| 5—excellent | 4, plus agency management consistently seeks user feedback from key audiences (e.g., staff, board/committee, funders) on its reporting system and responds to needs and suggestions to improve the quality, timeliness and utility of the data collected and reported. |
| Score: | Scoring Rationale: |

## ***7. Electronic Client Data Management and Integration***

*Assessment Questions:*

*1. Please describe software currently being used to collect and report customer demographic and service related data.*

*2. Using bridges and related tools is the agency able to generate reports which track and report both client demographic and case management data to comply with CSBG-COE 9.0 standards? Is the agency able to produce an unduplicated report of clients served during a 12 month reporting period?*

*3. Does the current software support a centralized agency intake, assessment and case management system?*

*4. What types of reports are routinely prepared……for whom………..how frequently? How are types, format, and frequency of reports influenced by user feedback or suggestions?*

## ***8. IT Network User Training Support.***

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| 1—at risk | The agency fails to provide two or more of the following IT user supports: 1. Uniform IT Network Use Orientation overview for new staff, 2. A centralized, accessible user Help Desk resource or, 3. Staff training related to system use or new or existing software applications or equipment.  |
| 2—approaching achievement of standard | The agency fails to provide one of the three User Supports listed above. |
| 3—fully meets standard | The agency provides: 1. A uniform IT Network Use overview as part of the Orientation for new staff, 2. A centralized, accessible Help Desk resource for network users and, 3. Periodic in-service training is provided to agency staff related to IT topics including security, new software and equipment, etc. |
| 4—exceeds standard; approaching excellence | 3 plus Help Desk contacts are documented, immediately acknowledged, triaged and addressed within 24 hrs. and network security training is provided to users on an annual basis. . |
| 5—excellent | 4, Efforts are made to solicit user feedback on IT training and support needs (e.g., Survey Monkey, User Committee, Staff Meetings, etc.) on regular basis.  |
| Score: | Scoring Rationale: |

***8. IT Support***

*Assessment Questions:*

*1. Who/how are requests for IT helpdesk assistance processed and addressed? Do these policies and procedure apply agency wide or are different site locations handled differently? Do standards exist for timely response to helpdesk requests for assistance?*

*2. How are new staff informed about network use policies/procedures? What IT related trainings are provided to network users? How often are trainings scheduled?*

*3. Is helpdesk data analyzed to assess training/equipment/software upgrade needs?*

*4. Are efforts made to solicit user feedback on IT user support needs/suggestions?*

**Summary Team Scores**

**Information Technology**

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| **Standard** | **NIQCA Score** | **Agency Score** |
| **1. IT Management and Administration** |  |  |
| **2. IT Training** |  |  |
| **3. IT Network Operations Policies and Procedures** |  |  |
| **4. IT Equipment Inventory** |  |  |
| **5. IT Network Security** |  |  |
| **6. Electronic Media Platform Technical Support.** |  |  |
| **7. Electronic Customer Data Management and Integration** |  |  |
| **8. IT Network User Training and Support** |  |  |
| **Total Score** |  |  |
| **Average Section Score** |  |  |