

Software Review & AI Technology Approval Form

Purpose of this Form

It is the responsibility of all King County employees to ensure any software in use across King County be evaluated and approved prior to use. By completing this form, and engaging in the Software Approval Process, you are doing your part to keep our data, and the data of those we serve, safe and secure.

To learn more about King County security policies, visit [InfoSec Policies](#).

***Note:** This form is required by KCIT for software that is **not yet approved**. For software that is approved, check with your agency to learn more about agency-specific review requirements. Visit [Software Request Process - Software Status Dashboard](#) to review the approved software table and learn about next steps.*

This form is comprised of the following sections:

1. **Software Review questions:** This information helps us evaluate software requests and review their impact on our systems, data security and compliance. This section must be completed for all software requests.

Part I: [General Information](#)

Part II: [Business Justification & Accessibility](#)

Part III: [Authentication & Single Sign-On](#)

Part IV: [Data Risk & Retention](#)

2. **Artificial Intelligence (AI) Technology questions:** This information helps us assess AI-based technology for ethical use, bias concerns, and workflow integration. **This section only needs to be completed if you intend to use the AI capabilities in the software.**
3. **Approvals & Signatures:** This section captures necessary approvals and is required for all software requests. **This section must be completed for all software requests.**
4. **Reconsideration and Exception Request:** If your software request was denied and you believe it should have been granted, you can request a reconsideration or exception for **denied software to be reconsidered/re-evaluated.**

If there is something you'd like to include to help KCIT make a security determination, you are welcome to include attachments with this form.

Section 1: Software Review

Do your best to answer every question using the resources provided. For additional support, reach out to your [Agency Designee - see list here](#).

If you do not know the answer to a question, please indicate that by entering “unknown” as your response.

General Information

1. Provide the name of the software (e.g., Microsoft Word, Adobe Photoshop)

2. What version of the software are you requesting (e.g., Version 10.1, 2024 Edition)?

Note: Answer with unknown if you are not sure.

3. Provide the URL for the software's official page

4. How many employees are you expecting to use this software?

Note: Put “1” if you will be the only user. If you are unsure, explain what you know about the expected number of users.

Using the [Software Status Dashboard](#), determine the status of your software.

Approved

Conditionally Approved

Denied

Not Reviewed

Reviewing

Unknown/Not listed on dashboard

5. If your status is “Conditionally Approved” what are the conditions for approval?

Note: If the status is Approved or it's Conditionally Approved and you meet all the conditions, KCIT does not require that you complete this form. Check with your [Agency Designee](#) to determine next steps

Business Justification

1. How will you use this software? Explain the software's purpose and its relevance to your tasks or business needs (e.g., photo editing for marketing materials)

2. Do we already have a tool that does the same thing? If yes, why doesn't it work for you? If there's an existing tool, explain why it's inadequate for your business needs.

Accessibility

1. Does the software meet WCAG (Web Accessibility Guidelines) level AA for version 2.1 or 2.2?

Yes No Unsure

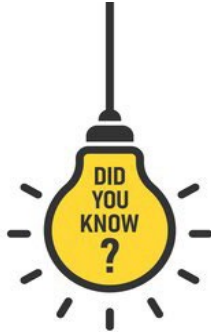
Note: In your browser, try searching "[app name] + WCAG level AA compliance"

Learn more at [ADA Title II and Digital Accessibility](#)

2. Is there anything else you'd like to include about accessibility? This may be a link to the vendor's website, an accessibility statement, or anything else you've found that may be relevant.

Authentication & Single-Sign On

The next set of questions are about **Authentication** and **Single Sign-On**. If you aren't sure what these are, read on to learn more.



Authentication is the process of checking someone's identity to make sure they are who they claim to be before allowing them access to a technology system. The County uses Microsoft's Entra ID as its Identity Provider to verify your identify.

Additionally, the county uses **Multi-factor Authentication (MFA)** to further secure our technology environments. This means that software might require multiple ways for you to verify your identity – like a password and a code sent to your phone or email.

Single Sign-On (SSO) makes logging in easier because you only need one set of credentials (username and password) for any system that uses SSO. This way, you don't have to remember multiple sets of credentials.

SSO also helps the County manage user access and authentication centrally. This centralized management allows King County's security team to access any King County system – which makes it easier to respond to county-wide security incidents.

Authentication & Single-Sign On

3. Does the vendor integrate with Microsoft Entra ID?

Yes No Unsure

Note: In your browser, try searching “[app name] + Microsoft Entra integration”

4. Does the software support Single Sign-On (SSO)

Yes No Unsure

Note: In your internet browser, try searching “[app name] + SSO/Single-Sign On”

5. Is the Entra ID integration and/or SSO only available at certain pricing tiers (e.g. **Business Tier, Enterprise Tier, etc.**)?

Data Risk & Retention

For the next set of questions, you will need to understand how King County categorizes data based on risk. Review the **Data Risk Category Table** to determine the type of data you will be using in your software.

Data Risk Category Table

Category	Explanation	Examples
No data	Used for personal productivity only	<ul style="list-style-type: none">• Planners• Managing To-Do Lists• Tracking Work
1 - Public	<p>Is this data available via a simple web search? If it's not, would it be a problem if it was made available?</p> <p>If it's either available or <i>could</i> be made available without issue, it's likely publicly available data</p>	<ul style="list-style-type: none">• King County Code• Real Property Information• Recreation Program Schedules
2 - Sensitive	<p>"For official use only" meaning it is only available to KC Employees who need it to do their job.</p> <p>Generally this data is not released to the public unless specifically requested.</p>	<ul style="list-style-type: none">• Purchase Requests or Preliminary Budget Documentation• Email Communications not covered by a disclosure exemption
3 - Confidential	<p>Specifically protected from either release or disclosure by law.</p> <p>Includes PII (Personally Identifiable Information) – meaning information that, when used alone or with other relevant information, can identify a person</p>	<ul style="list-style-type: none">• Application for King County employment• IT Network Infrastructure Diagram• Usernames and Passwords used to access King County technology assets
4 - Confidential with Special Handling	<p>Specifically protected from disclosure by law and for which especially strict handling requirements are dictated.</p> <p>Incorrect handling/disclosure could lead to serious life and safety consequences and/or legal consequences</p>	<ul style="list-style-type: none">• Protected Health Information as defined by the Health Insurance Portability and Accountability Act (HIPAA)• Criminal Justice Information (CJIS) as defined by the Criminal Justice Information Services Security Policy• 911 Computer Aided Dispatch System

If you'd like more information, you can review the full Information Classification Policy here: [InfoSec Policies - Information Classification Policy](#).

Data Risk & Retention

1. Use the Data Risk Category Table (on the previous page) to determine the highest category of data you will use in this application. Select your response below.

- 0 - No data 1 - Public 2 - Sensitive 3 - Confidential
4 - Confidential with Special Handling

If you are not sure what the highest category of data will be, use this space to explain what you *think* it is, and why.

2. Does this vendor store data outside the United States?

- Yes No Unknown

Note: In your internet browser, try searching “[app name] + data storage policy/data residency/data storage location”

If Yes or Unknown, please explain what you know about where the data is stored:

3. Does King County have consent to collect, use, or store this data? Note: if using no data or Category 1 (public) data, the answer will be “Yes”.

- Yes No Other

Not sure what it means to “consent to collect, use or store data”? [Head over to the “Data Consent Examples” under Additional Resources.](#)

If Other, please explain:

Data Risk & Retention, cont'd.

4. Is there a data sharing agreement or other contract that governs how this data must be managed? If so please include with this form.

Yes No Unsure

***Note:** This is generally only applicable when there is a vendor and contract involved.*

If the software will use category 3 or 4 data AND it will have 10+ users please submit a Role-Based Access Management plan. You can use the table linked here: [Role Based Access Management Plan](#).

5. Will you be submitting a Role-Based Access Management plan?

Yes No

This is for a project that has gone through ISRC security reviews where all of this is documented.

See https://kc1.sharepoint.com/:x:/r/teams/KCITISRC/_layouts/15/Doc.aspx?sourcedoc=%7B0223FAD5-F1CA-4A2D-B50E-C4447FAFD104%7D&file=KCEO-%20Constituent%20Relations.xlsx&wdLOR=c993DAB2B-9538-4AD0-B1A9-62840AEF03F7&action=default&mobileredirect=true

If you intend to use category 2, 3 or 4 data, complete questions 6 and 7 below (skip if only using no data or category 1 data).

Instructions:

6. Place a check mark next to the data attributes you intend to use in the [Data Elements chart](#) on the next page.

7. Use this space to describe any data elements not captured on the chart. In addition, provide any additional information about data elements that you think is relevant.

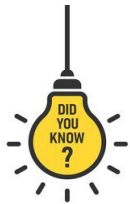
DATA ELEMENTS CHART

Check all that apply:

	Email Address	Military
Names		
First or First Initial	<input type="checkbox"/> Personal	<input type="checkbox"/> Military Status/Records/ ID #, Explain:
Middle or MI	<input type="checkbox"/> Work	<input type="checkbox"/> Investigation
Last	<input type="checkbox"/> Records or History	<input type="checkbox"/> Investigation Report #, explain:
Alias	<input type="checkbox"/> Education, explain:	<input type="checkbox"/> Employment
Mother's Maiden Name	<input type="checkbox"/> Criminal, explain:	<input type="checkbox"/> Salary/ Compensation
Personal Information		<input type="checkbox"/> Employment Status
Date of Birth	<input type="checkbox"/> Driver's License/State ID	<input type="checkbox"/> Performance History
Date of Death	<input type="checkbox"/> Govt Issued ID # (eg passport)	<input type="checkbox"/> Other History or Information, explain:
Age	<input type="checkbox"/> Social Security Number	<input type="checkbox"/> Health
Race/ ethnicity	<input type="checkbox"/> Taxpayer ID	<input type="checkbox"/> Health Plan, HPID
Religion	<input type="checkbox"/> Employee Identification Number (EIN)	<input type="checkbox"/> Insurance Plan
Sex	<input type="checkbox"/> Vehicle Identifiers (e.g., serial number, license plate)	<input type="checkbox"/> Beneficiary Information
Sexual Orientation	<input type="checkbox"/> Biometric Identifiers:	<input type="checkbox"/> Medical ailment/ diagnosis or treatment
Marital Status	<input type="checkbox"/> Fingerprints, voiceprint	<input type="checkbox"/> Admission/ Discharge Date
Place of Birth	<input type="checkbox"/> Audio recordings	<input type="checkbox"/> Medical Record #
Address	<input type="checkbox"/> Photographic identifiers (eg image, x-ray, video)	<input type="checkbox"/> Injury detail
Home Address	<input type="checkbox"/> Certificates	<input type="checkbox"/> Other, explain
Work Address	<input type="checkbox"/> Birth	<input type="checkbox"/> Third-Party personal information (eg emergency contacts), explain:
Country	<input type="checkbox"/> Death	<input type="checkbox"/> Technology
State	<input type="checkbox"/> Marriage	<input type="checkbox"/> UserID
City	<input type="checkbox"/> Other, explain:	<input type="checkbox"/> Web Universal Resource Locators (URLs)
Zip Code	<input type="checkbox"/> Legal Documents	<input type="checkbox"/> IP/MAC Address
Phone numbers	<input type="checkbox"/> Divorce	<input type="checkbox"/> Device/ Equipment Identifiers or Serial Numbers
Personal	<input type="checkbox"/> Decree	<input type="checkbox"/> Other unique identifier or codes, explain:
Work	<input type="checkbox"/> Criminal records	<input type="checkbox"/> Financial
Fax	<input type="checkbox"/> Other, explain:	<input type="checkbox"/> Account numbers
	<input type="checkbox"/> Geolocation Information, Explain:	<input type="checkbox"/> Debit/ Credit card number
Classification Category:	Sensitive Authentication Data (SAD):	<input type="checkbox"/> Security code
Personally Identifiable Info (PII):	Criminal Justice Information (CJI):	<input type="checkbox"/> PINs
Card Holder Data (CHD):	Protected Health Information (PHI):	<input type="checkbox"/> passwords
		<input type="checkbox"/> credit report
		<input type="checkbox"/> bank routing info

Record Retention

Record Retention involves storing, managing, and disposing of organizational records. Following Record Retention guidelines helps to ensure that records are maintained for the length of time required (in the instance of an audit, public record's request, etc. you may be required to produce these records) AND that records are removed/destroyed/etc. when their retention period ends.



Did you know – **Personally identifiable information (PII) is like currency to a hacker** – the more PII King County stores, the more lucrative we are as targets. PII enables hacking groups to set higher ransoms and/or to sell personal data on the black market for higher profits.

Record Retention

1. Does this application allow you to set retention schedules?

Note: This can look different in each application but generally involves the ability to tag sensitive data and apply business rules to delete the data based on a programmed schedule.

Yes No Other

If Other, please explain:

2. In a few sentences, explain how the retention functionality works:

Record Retention, cont'd.

If you intend to use category 3 or 4 data, complete the following Record Retention table. Otherwise, you may skip to [Section 2: Artificial Intelligence](#).

3. **Complete** the Records Retention Table below.

Instructions:

- Navigate to [King County Records Retention Schedules table](#).
- Under **Select your Schedule(s)**, select your agency
- Using the down symbol (v) to the left of your agency name, filter for more specific teams/groups.
- Refer to the Table. Review the types of data under **Category Title and Description** for any data you expect to store in the software you are requesting.
- Using the table below, Input any relevant **Category Titles** (e.g. *General Office Communications and Staff Meetings* or *Project Files*) and the associated Retention Period.

Can't find your agency or team? Under **Select your Schedule(s)** you can select **General Schedule**. You can then use the **Search** feature to look for specific record types.

If you need additional help, contact records.management@kingcounty.gov.

Records Retention Table

Owner (Organization)	Category of Data	Length of Retention
Example: General Schedule	PROJECT FILES	6 years

Section 2: Artificial Intelligence additional questions

For information about using AI at King County, visit: [Generative Artificial Intelligence \(GenAI\) at King County](#). For a brief overview of what AI can do and some its associated risks, watch this video:

Artificial Intelligence

1. **Does the software include AI features?** Examples may be the ability to summarize documents, provide suggestions or develop AI images.

Yes No Unknown

***Note:** If you are unsure, try entering the name of the application + AI/GenAI/GenerativeAI into a search engine.*

2. **Are you, or other users, intending to use the AI capabilities?**

Yes No Unknown

If you answered “Yes” to questions 1 and 2, complete questions 3-6 below to further explain how you will use the AI capabilities.

Otherwise, move on to [Section 3: Reviews & Approvals](#).

3. **How will you use the AI features of this software/tool? How does this support your business needs?**

4. **What are your expected outcomes from using AI, and how will those integrate into your department/team workflows?**

Artificial Intelligence, cont'd.

5. What are potential risks, harms, or biases that might arise from the use of the AI technology? This includes data privacy concerns or algorithmic bias.

Note: For guidance, refer to KCIT's Generative AI SharePoint site: [Generative AI Guidelines.](#)

6. Will the vendor train its model with your data?

Note: If you're unsure, try searching "Does [app name] use my data to train its AI model?"

Section 3: Approvals & Signatures

Once you have completed Section 1 (and Section 2, if needed) you will need approval from your Agency Designee before submitting this form. If you need an expedited review (i.e., outside of our quarterly review) please check the box below and write your justification.

Department/Agency Name:

Agency Designee Name:

The Agency Designee named above has vetted this request and gave approval to submit this request to KCIT.

I Attest

Do you need an Expedited Review?

Yes No

If yes, please describe your business justification and your required turnaround time:

Note: In the Cherwell ticket, put “EXPEDITED REVIEW” in the title

Next Steps:

Refer to the [Software Approval SharePoint Site \(Step 3 – Submit Software Approval Form to KCIT Security Team\)](#)

Section 4: Reconsideration and Exception Request Form

If your software request was denied – or the software you want was previously denied - and you wish to appeal the decision, please provide detailed supporting information explaining why the denial was incorrect or, in the case of a policy violation, why an exception to the policy should be granted. After you complete this section, submit this form with a Cherwell ticket.

Note: When creating your Cherwell ticket, put “RECONSIDERATION” or “EXCEPTION” in the title

Justification for Reconsideration or Exception:

Department/Agency Name:

Agency Designee Name:

Date:

The Agency Designee named above has vetted this request for reconsideration or for an exception.

I Attest

Do you need an Expedited Review?

Yes No

If yes, please describe your business justification and your required turnaround time:

Note: In the Cherwell ticket, put “EXPEDITED REVIEW” in the title (e.g. “RECONSIDERATION - EXPEDITED REVIEW” OR “EXCEPTION - EXPEDITED REVIEW”

Refer to the [Software Approval SharePoint Site - Reconsiderations & Exceptions](#)