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| PXXXX - Policies, Standards and Procedures (PSP) | |
| Document Number: | P1050 |
| Effective Date: | OCTOBER 11, 2015 |
| Revision: | 1.0 |

# AUTHORITY

To effectuate the mission and purposes of the Arizona Department of Administration (ADOA), the Agency shall establish a coordinated plan and program for information technology (IT) implemented and maintained through policies, standards and procedures (PSPs) as authorized by Arizona Revised Statute (A.R.S.) § 18-104.

# PURPOSE

This purpose of this policy is to provide a consistent management approach to enable the IT mission and vision. PSPs satisfy governance requirements, covering management processes, organizational structures, roles and responsibilities, reliable and repeatable activities, and skill and competencies (CobiT 5.0, AP001).

# SCOPE

This policy applies to (Budget Unit) and IT integrations and/or data exchange with third parties that perform IT functions, activities or services for or on behalf of (Budget Unit) or its Divisions. Applicability of this policy to third parties is governed by contractual agreements entered into between (Budget Unit) and the third party/parties.

# EXCEPTIONS

## PSPs may be expanded or exceptions may be taken by following the Statewide Policy Exception Procedure.

### Existing IT Products and Services – (Budget Unit) subject matter experts (SMEs) should inquire with the vendor and the state or (Budget Unit) procurement office to ascertain if the contract provides for additional products or services to attain compliance with PSPs prior to submitting a request for an exception in accordance with the Statewide Policy Exception Procedure.

### IT Products and Services Procurement - Prior to selecting and procuring information technology products and services, (Budget Unit) SMEs shall consider (Budget Unit) and Statewide IT PSPs when specifying, scoping, and evaluating solutions to meet current and planned requirements.

# ROLES AND RESPONSIBILITIES

## State Chief Information Officer (CIO) shall:

1. Be ultimately responsible for ensuring the effective implementation of Information Technology PSPs within each BU.

## (Budget Unit) Chief Information Officer (CIO) or his/her designee shall:

1. Be responsible for ensuring the effective implementation of Information Technology PSPs within (Budget Unit).
2. Have sole discretion to declare an emergency approval process as referenced in 6.4 and shall communicate such declaration as soon as is reasonably possible, prior to release of the PSP document.
3. Ensure that all roles and responsibilities have been assigned.

## (Budget Unit) Manager, Enterprise Architecture and Strategy or his/her designee shall:

1. Develop and document a comprehensive set of PSPs that support (Budget Unit)’s IT Mission and Vision.
2. Review PSPs at least every two years, or as needed, to ensure that they are current.
3. Ensure approved PSP documents are published on the (Budget Unit) website or other appropriate access point;
4. Ensure an unapproved, draft copy of a new PSP that has completed the review process may be placed on the (Budget Unit) website or other appropriate access point for reference;
5. Designate a contact point for PSP-related documents and processes; the contact point may be referenced on the (Budget Unit) website;
6. Maintain the approved document, signature, and any required supporting documentation in a PSP archive file;
7. Maintain an electronic record that notes the title, document number, effective date, and date of next review for each approved PSP document; and
8. Maintain a current glossary of terms to define technical terms, abbreviations, and acronyms used in published PSP documents; the glossary shall be available on the (Budget Unit) website.

## (Budget Unit) IT Supervisors shall:

1. Ensure users are appropriately trained and educated on PSPs; and
2. Monitor employee activities to ensure compliance.

## Individual Users shall:

1. Become familiar with this and relevant PSPs; and
2. Adhere to all state and (Budget Unit) PSPs pertaining to the use of the State IT resources

# POLICY

(Budget Unit) carries out its statutory authority for adopting policies and standards related to information technology through the (Budget Unit) PSP Program under the direction of the CIO. IT PSPs are essential elements of the application, implementation, and operation of networks, security, hardware, software, and data.

## PSP Program

### The (Budget Unit) PSP Program shall consist of policy, standard, guideline and procedure (PSP) documents.

### The PSP Program shall adhere to a documented process for development, review, approval, and revision of PSP documents, as described herein and detailed in A.R.S. § 18-104 and Standard S1050, Policies, Standards, and Procedures (PSP) or equivalent.

### The PSP Program shall utilize industry-standard frameworks or framework concepts where appropriate to ensure a comprehensive set of PSPs aligned with industry best practices.

### (Budget Unit) shall provide the management, integration, coordination, and collaboration to ensure participation and consensus in the PSP development, adoption, and retirement process to maintain a viable set of IT policies and standards.

### (Budget Unit) shall perform the following activities to ensure (Budget Unit) is aligned with the evolving IT industry, the changing application of IT in the workplace, and legal or legislative mandates:

1. Track PSP development;
2. Actively coordinate with divisions, public- and private-sector entities, technical working groups, or subject matter experts; and
3. Maintain a forward-looking profile of adopted policies and standards.

### (Budget Unit) shall comply with IT Policies and Standards when designing, selecting and procuring information technology products and services, and making informed judgments when specifying and choosing solutions to meet current and planned requirements. Divisions may elaborate, expand or take exceptions upon published IT Standards when products or services require additional specificity.

### Specific policies or standards shall not impose requirements or compliance beyond (Budget Unit)’s or community of interest’s statutory authority and obligations.

## PSP Development

### Any interested party may provide written input for development or revision of a (Budget Unit) PSP, as business needs or objectives dictate.

### (Budget Unit) develops and revises PSP documents to codify requirements related to Enterprise Architecture (EA).

### During development, (Budget Unit) may solicit input and comments from specific groups, e.g., technical work teams, divisions, and stakeholders.

## Normal Review and Approval Process

### Each PSP document shall proceed through a review and approval process prior to implementation.

### (Budget Unit) shall designate a contact point for PSP-related processes.

### PSP documents shall remain in “DRAFT” status and be clearly identified as “DRAFT” until approved by the (Budget Unit Director, Commissioner, top executive) or designee. PSP draft documents shall be circulated, comments collected, and refinements made until consensus is reached among reviewers.

### The draft document review period for (Budget Unit) shall be no shorter than two calendar weeks. The review end date shall be clearly communicated in writing.

### When no material comments have been received from the review period sufficient to require further refinement of the draft document, the document shall be recommended for approval to (Budget Unit Director, Commissioner, top executive) or designee.

### All PSP documents shall be approved for release by the (Budget Unit Director, Commissioner, top executive) or designee. A PSP document shall become effective upon either the date of the (Director’s, Commissioner’s, top executive)’s or designee’s approval, or the announced effective date, whichever is later.

### Approved PSP documents shall be published on the (Budget Unit) website or other appropriate access point.

### An unapproved, draft copy of a new PSP that has completed the review process may be placed on the website for reference, but must clearly identified as “DRAFT” until approved by the (Budget Unit Director, Commissioner, top executive) or designee.

### (Budget Unit) shall maintain the approved document, and any required supporting documentation, in a PSP archive file. An electronic record shall also be maintained to note the title, document number, effective date, and date of next review for each approved PSP document.

## Emergency Review and Approval Process

### Certain circumstances may arise that warrant immediate publication of a PSP document without sufficient time for the review and approval process described in Paragraph 6.3, Normal Review and Approval Process. (Budget Unit Director, Commissioner, top executive) or designee shall have sole discretion to declare an emergency approval process and shall communicate such declaration as soon as is reasonably possible, prior to release of the PSP document affected.

## Compliance with Public Standards

### Upon publication of a new or revised standard, all new IT products or services, as well as any substantial modifications or improvements to existing IT products or services, shall comply with the published standard, unless otherwise specified in the standard. A variance may be granted on a project-specific basis when substantiated in a Project Investment Justification (PIJ) and supported by business requirements, legal, or legislative mandates. (Budget Unit) will include in their Annual IT Plan submittal a plan for migrating the nonconforming technology, system, or service to the standard.

# DEFINITIONS AND ABBREVIATIONS

Refer to the PSP Glossary of Terms located on the ADOA-ASET website.

# REFERENCES

## A.R.S. § 18-104

## Standard S1050, Policies, Standards, and Procedures (PSP)

## Policy P3400, Project Investment Justification (PIJ)

# ATTACHMENTS

None.

# Revision History

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| **Date** | **Change** | **Revision** | **Signature** |
| **05/29/2015** | Initial release | DRAFT | Mike Lettman, Acting State CIO and State Chief Information Security Officer |
| 10/11/2016 | Updated all the State Statutes | 1.0 | Morgan Reed, State CIO and Deputy Director |