ARIZONA DEPARTMENT OF ADMINISTRATION	Statewide POLICY	State of Arizona

P1050 - POLICIES, STANDARDS AND PROCEDURES (PSP)

DOCUMENT NUMBER:	P1050
EFFECTIVE DATE:	OCTOBER 11, 2016
REVISION:	1.0

1. 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.

2. 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).

3. SCOPE

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

4. EXCEPTIONS

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

4.1.1 Existing IT Products and Services - BU subject matter experts (SMEs) should inquire with the vendor and the state or BU 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.

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

5. ROLES AND RESPONSIBILITIES

5.1   State Chief Information Officer (CIO) shall:

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

5.2   BU Chief Information Officer (CIO) or his/her designee shall:

   a. Be responsible for ensuring the effective implementation of Statewide Information Technology PSPs within the BU.

   b. 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.

   c. Ensure that all roles and responsibilities have been assigned.

5.3   BU Manager, Enterprise Architecture and Strategy or his/her designee shall:

   a. Develop and document a comprehensive set of PSPs that support the BU's IT Mission and Vision.

   b. Review PSPs at least every two years, or as needed, to ensure that they are current.

   c. Ensure approved PSP documents are published on the BU website or other appropriate access point;

   d. Ensure an unapproved, draft copy of a new PSP that has completed the review process may be placed on the BU website or other appropriate access point for reference;

   e. Designate a contact point for PSP-related documents and processes; the contact point may be referenced on the BU website;

   f. Maintain the approved document, signature, and any required supporting documentation in a PSP archive file;

   g. Maintain an electronic record that notes the title, document number, effective date, and date of next review for each approved PSP document; and

   h. 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 BU website.

5.4   BU IT Supervisors shall:

   a. Ensure users are appropriately trained and educated on IT PSPs; and

   b. Monitor employee activities to ensure compliance.

5.5 Individual Users shall:

    a. Become familiar with this and relevant PSPs; and

    b. Adhere to all state and BU PSPs pertaining to the use of the State IT resources

6. POLICY

BUs carry out their statutory authority for adopting policies and standards related to information technology through the BU 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.

6.1 PSP Program

6.1.1 The BU PSP Program shall consist of policy, standard, guideline and procedure (PSP) documents.

6.1.2 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

6.1.3 Standard S1050, Policies, Standards, and Procedures (PSP) or equivalent.

6.1.4 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.

6.1.5 Each BU 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.

6.1.6 Each BU shall perform the following activities to ensure the BU is aligned with the evolving IT industry, the changing application of IT in the workplace, and legal or legislative mandates:

    a. Track PSP development;

    b. Actively coordinate with divisions, public- and private-sector entities, technical working groups, or subject matter experts; and

    c. Maintain a forward-looking profile of adopted policies and standards.

6.1.7 The BU 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.

6.1.8 Specific policies or standards shall not impose requirements or compliance beyond the BU's or community of interest's statutory authority and obligations.

6.2 PSP Development

6.2.1   Any interested party may provide written input for development or revision of a BU PSP, as business needs or objectives dictate.

6.2.2   The BU develops and revises PSP documents to codify requirements related to Enterprise Architecture (EA).

6.2.3   During development, BUs shall solicit input and comments from specific groups, e.g., technical work teams, divisions, and stakeholders.

6.3   Normal Review and Approval Process

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

6.3.2   Each BU shall designate a contact point for PSP-related processes.

6.3.3   PSP documents shall remain in "DRAFT" status and be clearly identified as "DRAFT" until approved by the BU Director, Commissioner, top BU executive or designee. PSP draft documents shall be circulated, comments collected, and refinements made until consensus is reached among reviewers.

6.3.4   The draft document review period for BUs shall be no shorter than two calendar weeks. The review end date shall be clearly communicated in writing.

6.3.5   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 the BU Director, Commissioner, top BU executive or designee.

6.3.6   All PSP documents shall be approved for release by the BU Director, Commissioner, top BU executive or designee. A PSP document shall become effective upon either the date of the Director's, Commissioner's, top BU executive's or designee's approval, or the announced effective date, whichever is later.

6.3.7   Approved PSP documents shall be published on the BU website or other appropriate access point.

6.3.8   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 BU Director, Commissioner, top BU executive or designee.

6.3.9   The BU 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.

6.4   Emergency Review and Approval Process

6.4.1   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. The BU Director, Commissioner, top BU 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.

6.5   Compliance with Public Standards

6.5.1   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. BUs should include in their Annual IT Plan submittal a plan for migrating the nonconforming technology, system, or service to the standard.

7.   DEFINITIONS AND ABBREVIATIONS

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

8.   REFERENCES

8.1   A.R.S. § 18-104

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

8.3   Policy P3400, Project Investment Justification (PIJ)

9.   ATTACHMENTS

None.

10. REVISION HISTORY

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