STATE of ARIZONA

Government Information Technology Agency	**Statewide** **PROCEDURE** **S105-P105 Rev 2.0**	**TITLE: Policies, Standards, and Procedures (PSP)** **Effective Date: August 15, 2008**

1. AUTHORITY

The Government Information Technology Agency (GITA) shall develop, implement and maintain a coordinated statewide plan for information technology (IT) (A.R.S. § 41-3504(A (1))), including the formulation of policies to effectuate the purposes of the agency (A.R.S. § 41-3504(A (13))).

2. PURPOSE

The purpose is to establish a standard procedure and process for Statewide IT Policies, Standards and Procedures (PSPs) under the Statewide PSP Program.

3. SCOPE

This applies to all budget units. Budget unit is defined as a department, commission, board, institution or other agency of the state receiving, expending or disbursing state funds or incurring obligations of the state including the Arizona Board of Regents but excluding the universities under the jurisdiction of the Arizona Board of Regents, the community college districts and the legislative or judicial branches. A.R.S. § 41-3501(2).

The Budget Unit Chief Executive Officer (CEO), working in conjunction with the Budget Unit Chief Information Officer (CIO), shall be responsible for ensuring the effective implementation of Statewide Information Technology Policies, Standards, and Procedures (PSPs) within each budget unit.

4. PROCEDURE

GITA has statutory authority for adopting policies, standards, and procedures related to information technology. The agency accomplishes this through the Statewide PSP Program, in accordance with *Statewide Policy P105, Policies, Standards, and Procedures (PSP),* and *Statewide Standard P105-S105, Policies, Standards, and Procedures (PSP)*. This procedure establishes specific criteria for development, review, approval, and revision of PSP documents, following the steps outlined below and represented in Attachment A, *PSP Development Flowchart*, as well as the formats identified in *Statewide Standard P105-S105, Policies, Standards, and Procedures (PSP)*.

4.1. PSP DEVELOPMENT

4.1.1 Upon receiving a written request for a new PSP or revision to an existing PSP, GITA's designated contact point for the PSP Program shall:

A. Assess the request to ensure it is not already being fulfilled as part of a current development effort.

B. Assign a relative priority for development work related to the request.

C. Acknowledge receipt of the request to the requestor in writing.
- Include the disposition of the request and the relative priority. If the request is being rejected, share the reason for rejection and, if appropriate, direction for further action by the requestor.

D. Log the request by adding the subject and assigned document number/revision identifier to the appropriate table of the PSP Database along with the appropriate status code to reflect the relative priority for work on the PSP (see Attachment B, *Status Codes for PSP Work*).

E. Assign a unique identification number in the PSP Database. The document category shall be selected based on the subject area in accordance with the PSP categories matrix shown in Attachment C, *PSP Categories Matrix*. During document development and the review process, the title or subject may be changed requiring an update to the unique number before the document becomes effective.

F. Assign the development work to the appropriate GITA analyst or inform the outside author of the required content sections for the white paper and document.

4.1.2 The originator of the request or assigned staff shall research and develop a draft document for review. When a PSP author is outside of GITA, the author shall provide an initial white paper identifying the purpose of the requested PSP document. The author may work with a technical working group, including the original requestor, as applicable, to develop the specific content of the draft document. A research resource, such as a consultant, may also be used to assist in the research and development process. Ensure each standard references an overarching policy. If one does not exist, it must be developed in conjunction with the new standard. Ensure each procedure references a governing standard. If one does not exist, it must be developed in conjunction with the new procedure.

4.1.3 Once the proposed document topic from an author outside GITA has been approved by GITA for development, the author shall provide a complete white paper that includes the remaining three points of completeness for a policy, standard, or procedure as follow:

A. **Definitions and abbreviations**: Further explanation of technical words/terms, abbreviations, and acronyms used in the PSP that may not be understood to those interested.

B. **References**: All references applicable to the development of the PSP document.

C. **Attachments**: All forms, documents, examples, etc., applicable to the content of the PSP document.

4.1.4 Assigned GITA staff shall:

A. Ensure the required content is placed into the appropriate sections of the document,
B. Format the finished document,
C. Conduct the review process, and
D. Seek the document author's or subject matter expert's assistance in resolving comments about the content of the document.

4.2. NORMAL REVIEW AND APPROVAL PROCESS

4.2.1 As content is solidified, the working document is labeled "DRAFT." Comments are solicited from the work team, budget units, stakeholders, etc., as appropriate. Comments are used to refine the draft document in accordance with Attachment D, *PSP Comments Incorporation Process Flow*. Drafts shall be circulated, comments collected, and refinements made until consensus is reached among reviewers.

4.2.2 The draft document shall be attached to a descriptive email and sent to the CIO Council Membership distribution list. The CIO is the contact point for review of the draft document at the budget unit. The review period shall be no shorter than two calendar weeks and may be lengthened when the community interest for allowing more time outweighs the urgency of publishing the document. The end date of the review shall be communicated in the text of the email.

4.2.3 As content of the draft document is solidified, comments are solicited from the technical working group, budget units, stakeholders, etc., as appropriate. Comments received shall be used to refine the draft document. Comments are collected throughout the review period. Aid is solicited from the technical working group, document author, subject matter experts, etc., as applicable. If necessary, the draft document is updated and circulated for review. Changes from the previous draft shall be clearly indicated to expedite review. Again, the review period shall be no shorter than two weeks. The end date of the review period shall be clearly communicated in writing.

4.2.4 When no material comments have been received from the review period sufficient to require further refinement of the draft document, the document is recommended for approval to the State CIO. The draft document, pertinent development documentation, and a notice of approval cover page (see Attachment E, *Notice of Approval Cover Sheet*) for signature is provided to the State CIO.

4.2.5 An informational hardcopy of the final draft document may be provided to CIO Council members and other interested stakeholders for their awareness.

4.2.6 The PSP document shall become effective upon either the date of the State CIO's (or designee's) approval, or the announced effective date, whichever is later.

4.3. EMERGENCY REVIEW AND APPROVAL PROCESS

4.3.1 Emergency approval occurs at the sole discretion of the State CIO, as defined in *Statewide Policy P105, Policies, Standards, and Procedures (PSP)*. Once declared, the State CIO notifies CIOs of major budget units as soon as is reasonably possible, before the document is published.

4.3.2 No comments are solicited during an emergency approval. The State CIO signs and releases the policy or standard.

4.3.3 The published policy or standard is distributed directly to CIOs of major budget units for their awareness.

4.4. PUBLICATION AND ARCHIVING PROCESS

4.4.1 Approved PSP documents are posted in Word and pdf format on the GITA website at http://www.azgita.gov/polices_standards . A draft copy of a document that has completed the review process may be placed on the site for reference, provided no effective date appears and the document is clearly labeled as DRAFT.

4.4.2 The approved document hardcopy, signature page, and any required supporting documentation shall be archived in the GITA PSP archive file.

4.4.3 Details of all published documents, as well as those under development, are maintained in the PSP Database. At a minimum, title, document number, effective date, and date of next review for each approved PSP document shall be recorded. The PSP Database shall note the effective date and date of next review for each approved document.

A. Working group members may be noted in the PSP Database for reference with developing revisions to the document.

B. Ensure that published documents undergo a periodic review no longer than 24 months from the date of publication.

4.4.4 Definitions and abbreviations, as described in paragraph 4.1.3(A), shall be added to the PSP Glossary of Terms. The PSP Glossary of Terms shall be maintained by GITA staff and published on the GITA website.

4.5. TWO-YEAR REVIEW PROCESS

4.5.1 Each published policy, standard, and procedure shall undergo a content review no later than 24 months from its date of publication.

4.5.2 Changes identified by the appropriate subject matter expert shall be incorporated into a document revision and processed in accordance with Sections 4.2 and 4.4 above.

4.5.3 If no content changes have been identified by the subject matter expert, a Notice of Review (see Attachment F) shall be completed and placed over the applicable Notice of Approval in the GITA PSP file.

A. The document's effective date shall be updated to match the date provided on the Notice of Review. A notification email shall be sent to the CIO Council Membership distribution list.

B. The document shall be reprinted and placed in the GITA PSP file.

C. The PSP Database entry for the document shall be updated to match the date on the Notice of Review.

5. DEFINITIONS AND ABBREVIATIONS

Refer to the PSP Glossary of Terms located on the GITA website at http://www.azgita.gov/policies_standards or definitions and abbreviations.

6. REFERENCES

6.1 A. R. S. § 41-621 et seq., "Purchase of Insurance; coverage; limitations, exclusions; definitions."
6.2 A. R. S. § 41-1335 ((A (6 & 7))), "State Agency Information."
6.3 A. R. S. § 41-1339 (A), "Depository of State Archives."
6.4 A. R. S. § 41-1346 (A), "Records Management Program."
6.5 A. R. S. § 41-1461, "Definitions."
6.6 A. R. S. § 41-1463, "Discrimination; unlawful practices; definition."
6.7 A. R. S. § 41-1492 et seq., "Prohibition of Discrimination by Public Entities."
6.8 A. R. S. § 41-2501 et seq., "Arizona Procurement Codes, Applicability."
6.9 A. R. S. § 41-3501, "Definitions."
6.10 A. R. S. § 41-3504, "Powers and Duties of the Agency."
6.11 A. R. S. § 41-3521, "Information Technology Authorization Committee; members; terms; duties; compensation; definition."
6.12 A. R. S. § 44-7041, "Governmental Electronic Records."
6.13 Arizona Administrative Code, Title 2, Chapter 7, "Department of Administration Finance Division, Purchasing Office."
6.14 Arizona Administrative Code, Title 2, Chapter 10, "Department of Administration Risk Management Section."
6.15 Arizona Administrative Code, Title 2, Chapter 18, "Government Information Technology Agency."
6.16 Statewide Policy P100, Information Technology.
6.17 Statewide Policy P105, Policies, Standards, and Procedures (PSP).

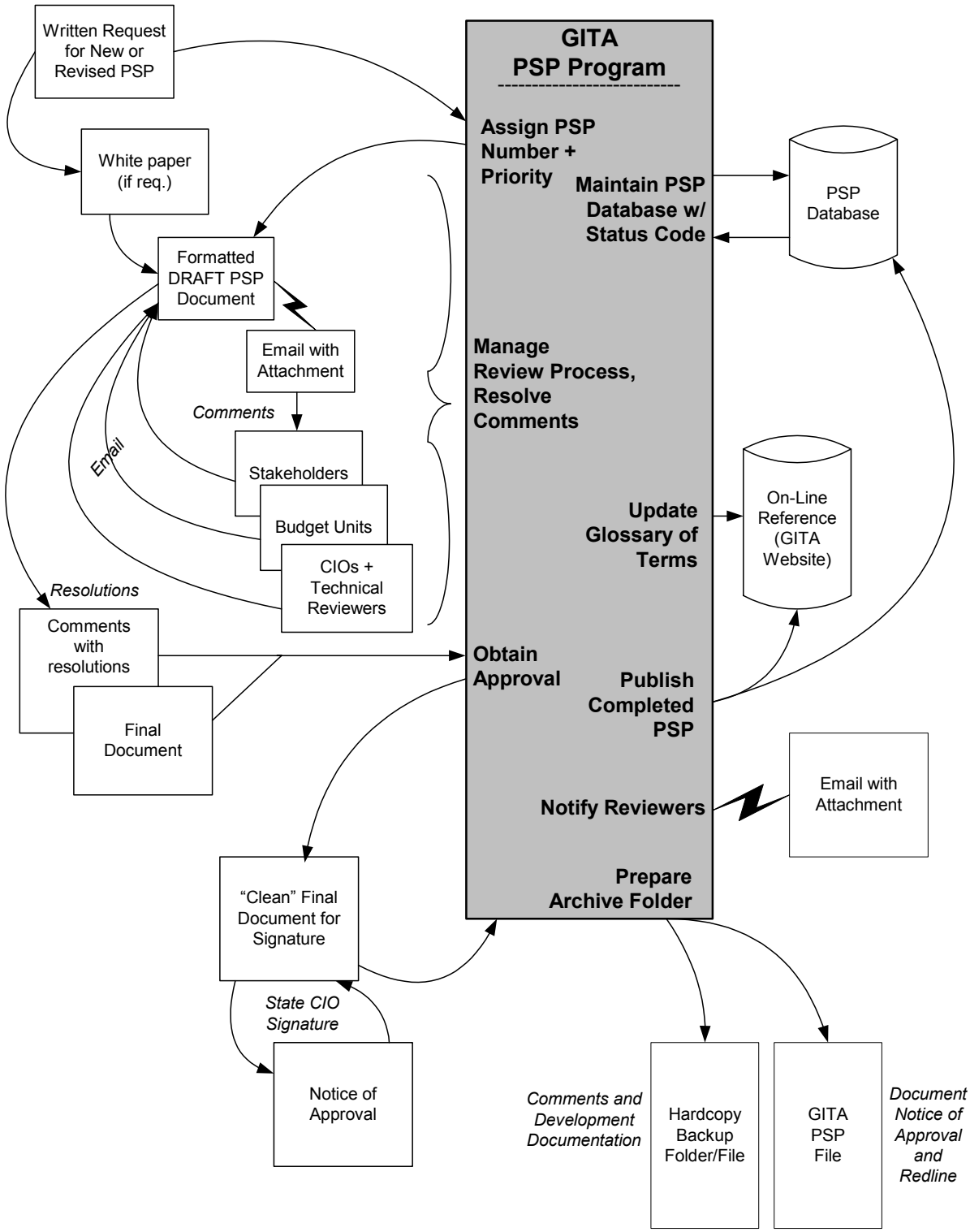
6.17.1 Statewide Standard P105-S105, Policies, Standards, and Procedures (PSP).

6.18 Internet Engineering Task Force (IETF) Request for Comment (RFC) 2026, "Internet Standards Process."

7. ATTACHMENTS

Attachment A – PSP Development Flowchart
Attachment B – Status Codes for PSP Work
Attachment C – PSP Categories Matrix
Attachment D – PSP Comments Incorporation Process Flow
Attachment E – Notice of Approval Cover Sheet
Attachment F – Notice of Review

ATTACHMENT A. PSP Development Flowchart



ATTACHMENT B. Status Codes for PSP Work

Not Scheduled – Recognized as necessary, but not yet assigned or scheduled for work

Assigned – Assigned to a GITA analyst for development

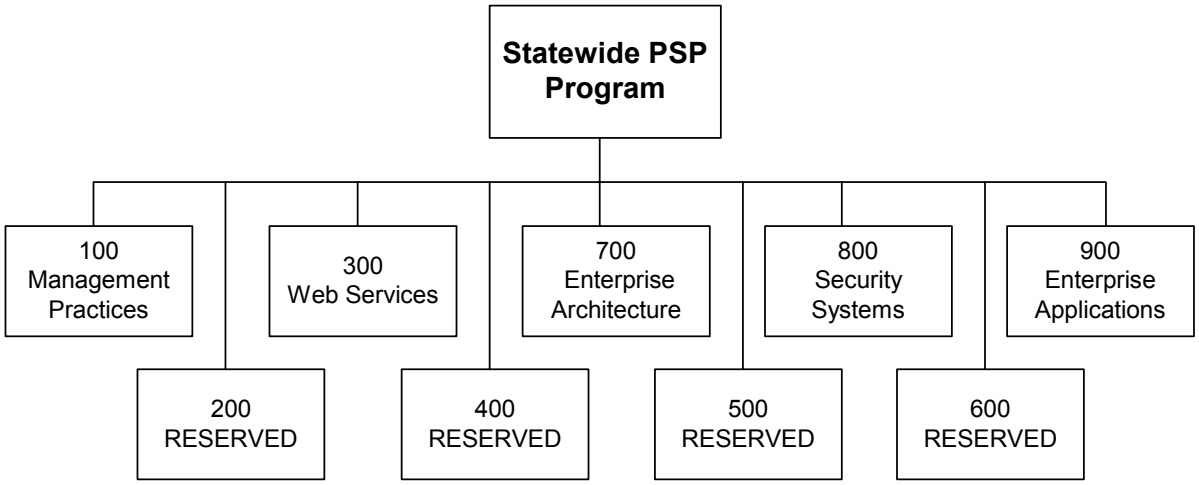
Research – Currently being developed by the responsible analyst and working group

Draft –Being reviewed as part of the approval process (includes comments and their resolution)

Approved – Signed by the Director of GITA/State CIO and published

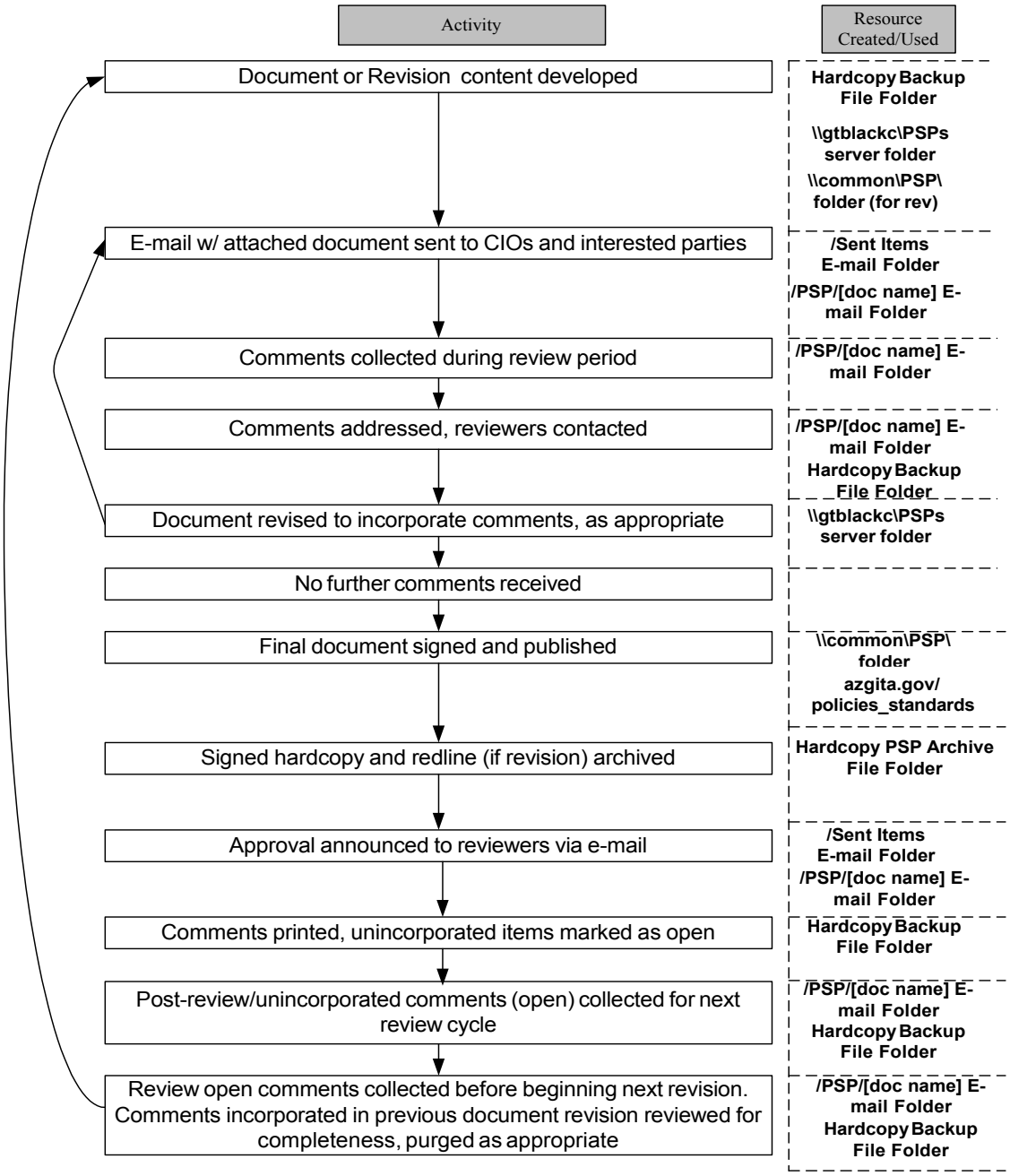
Review – Document is undergoing its periodic review (separate from a requested revision) and will be given a new status code as work progresses

ATTACHMENT C. PSP Categories Matrix



Note: Published documents are not renumbered to fit new categories.

ATTACHMENT D. PSP Comments Incorporation Process Flow



ATTACHMENT E. Notice of Approval Cover Sheet

Policies, Standards, and Procedures

Notice of Approval

STATE of ARIZONA

Government **I**nformation **T**echnology **A**gency	Statewide **STANDARD** **PXXX-SXXX**	**TITLE: Document Title** **DATE EFFECTIVE: (include only if other than date signed)**

Notice is hereby given, that the above specified document meets the

requirements of the Government Information Technology Agency

Policies, Standards, and Procedures Program,

thereby warranting approval for implementation, effective immediately.

_____ _____
Director Name Date of Signature
Director, Government Information Technology Agency

ATTACHMENT F. Notice of Review

Policies, Standards, and Procedures

Notice of Review

STATE of ARIZONA

Government **I**nformation **T**echnology **A**gency	**Statewide** **STANDARD** **PXXX-SXXX**	**TITLE: Document Title** **DATE EFFECTIVE:** (match PSP DB entry and document header)

Notice is hereby given that the above specified document has been

reviewed by the Government Information Technology Agency

as part of the Policies, Standards, and Procedures Program

with no technical changes identified,

thereby warranting change of the document's effective date.

_____ _____
Analyst Name Date of Signature
PSP Analyst, Government Information Technology Agency