

Government
Information
Technology
Agency

Statewide
POLICY
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

To establish a statewide policy on the development and implementation of Statewide Policies, Standards, and Procedures (PSP), referred to as the Statewide PSP Program, pertaining to IT products and/or services for the State of Arizona.

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. POLICY

GITA carries out its statutory authority for adopting policies and standards related to information technology through the Statewide PSP Program under the direction of the Director of GITA, who is also the State CIO. IT policies, standards, and procedures are essential elements of the application, implementation, and operation of networks, security, hardware, software, and data/information. Enterprise Architecture is a critical component of the State of Arizona's coordinated statewide plan for information technology that provides the framework and general content from which Statewide IT Policies and Standards are formulated.

4.1 STATEWIDE PSP PROGRAM

The Statewide PSP Program shall consist of policy, standard, and procedure documents. The Statewide PSP Program shall adhere to a documented process for development, review, approval, and revision of PSP documents, as described herein and detailed in Statewide Procedure S105-P105, Policies, Standards, and Procedures (PSP).

4.1.1 GITA shall provide the management, integration, coordination, and collaboration to ensure statewide participation and consensus in the PSP development, adoption, and retirement process to maintain a viable set of IT policies and standards. GITA tracks PSP development; actively coordinates with budget units, public- and private-sector entities, technical working groups, and subject matter experts; and maintains a forward-looking profile of adopted policies and standards. This effort ensures that the State is aligned with the evolving IT industry, the changing application of IT in the workplace, and legal or legislative mandates.

4.1.2 Statewide IT Policies and Standards guide the State and budget units in selecting and procuring information technology products and services, and making informed judgments when specifying and choosing solutions to meet current and planned requirements.

Design/development specifications shall be based on published Statewide IT Standards. When design/development specifications require additional specificity, they may elaborate or expand upon published Statewide IT Standards, but shall never contradict them.

4.1.3 When budget units or communities of interest require additional specificity beyond Statewide IT Policies or Standards, they may develop specific policies or standards that elaborate or expand upon published Statewide IT Policies or Standards, but shall never contradict them. Specific policies or standards shall not impose requirements or compliance beyond the budget unit's or community of interest's statutory authority and obligations.

4.2 PSP DEVELOPMENT

4.2.1 **Any interested party** may provide written input to GITA for development or revision of a Statewide policy, standard, or procedure, as business needs or objectives dictate.

- GITA also develops and revises PSP documents to codify requirements related to Enterprise Architecture (EA) as well as certain internal policies, standards, and procedures applying solely to the agency itself.

4.2.2 GITA shall solicit input and comments from technical work teams, budget units, stakeholders, etc., during PSP development, as appropriate.

4.3 NORMAL REVIEW AND APPROVAL PROCESS

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

4.3.1 GITA shall designate a contact point for PSP-related processes. The contact point shall be referenced on the GITA Policies/Standards website.

- 4.3.2 PSP documents shall remain in “Draft” status and be clearly identified as “DRAFT” until approved by the State CIO (or designee). PSP draft documents shall be circulated, comments collected, and refinements made until consensus is reached among reviewers.
- 4.3.3 The draft document review period for major budget units shall be no shorter than two calendar weeks. The review end date shall be clearly communicated in writing.
- 4.3.4 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 State CIO.
- 4.3.5 All PSP documents shall be approved for release by the State CIO. A 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.
- 4.3.6 Approved PSP documents shall be published on the GITA Policies/Standards website
 - An unapproved, draft copy of a new PSP that has completed the review process may be placed on the website for reference.
- 4.3.7 GITA shall maintain the approved document hardcopy, signature page, 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.
 - The date of next review should not exceed 24 months from the date of publication.

4.4. 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 4.3. The State CIO 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. GITA shall distribute the published policy or standard directly to CIOs of major budget units.

4.5. RESPONSIBILITIES

- 4.5.1 The State CIO shall approve all PSP documents for release.
- 4.5.2 GITA shall publish all approved PSP documents on the Policies/Standards website.
 - An unapproved, draft copy of a new PSP that has completed the review process may be placed on the website for reference.

- 4.5.3 GITA shall designate a contact point for PSP-related processes. The contact point shall be referenced on the GITA Policies/Standards website.
- 4.5.4 GITA shall maintain the approved document hardcopy, signature page, 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.
- The date of next review should not exceed 24 months from the date of publication.
- 4.5.5. GITA shall 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 GITA website.

4.6. **COMPLIANCE WITH PUBLISHED STANDARDS**

Upon publication of a new or revised Statewide standard, all new IT products and/or services, as well as any substantial modifications or improvements to existing IT products and/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. A budget unit should include in its Annual IT Plan submittal a plan for migrating the nonconforming technology, system, or service to the standard.

5. DEFINITIONS AND ABBREVIATIONS

Refer to the PSP Glossary of Terms located on the GITA website for 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 Standard P105-S105, Policies, Standards, and Procedures (PSP).
 - 6.17.1 Statewide Procedure S105-P105, Policies, Standards, and Procedures (PSP).
- 6.18. Statewide Policy P340, Project Investment Justification.
 - 6.18.1 Statewide Standard P340-S340, Project Investment Justification.
- 6.19. Internet Engineering Task Force (IETF) Request for Comment (RFC) 2026, “Internet Standards Process.”

7. ATTACHMENTS
None