

## P1050 - IT POLICIES, STANDARDS & PROCEDURES PROGRAM

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### 1. AUTHORITY

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To effectuate the mission and purposes of the Arizona Department of Administration (the “Department”), the Department shall maintain a “coordinated statewide plan for information technology” implemented and maintained through policies, and “adopting statewide technical, coordination and security standards” as authorized by Arizona Revised Statute (A.R.S.) § 18-104 A.1.(a). The Department shall also “formulate policies, plans and programs to effectuate the government information technology purposes of the department” pursuant to A.R.S. § 18-104 A.13.

### 2. PURPOSE

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The purpose of this policy is to provide a consistent management approach to development of policies, standards and procedures (PSPs). Information Technology (IT) PSPs are essential elements of the application, implementation, and operation of IT systems.

### 3. SCOPE/EXCEPTIONS

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This policy applies to all Budget Units (as defined in A.R.S. § 18-101) and IT integrations and/or data exchange with third parties that perform IT functions, activities or services for or on behalf of Budget Units. Applicability of this policy to third parties is governed by contractual agreements entered into between Budget Units and the third party/parties. In addition, all PSPs for security technology must comply with Policy 8120: Information Security Program.

### 4. ROLES AND RESPONSIBILITIES

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- 4.1. The State Chief Information Officer (CIO) shall:
  - 4.1.1. Be responsible for defining Statewide IT PSPs as authorized by Arizona Revised Statute A.R.S. § 18-104.
  - 4.1.2. Be responsible to advance Budget Units’ compliance with the statewide IT PSPs through the Annual IT Plan review and PIJ approval processes (as described in Section 5.5 of this Policy).

- 4.1.3. Have sole discretion to declare an emergency approval process for statewide IT PSPs as referenced in 5.4 and shall communicate such declaration as soon as is reasonably possible, prior to its release.
- 4.1.4. Have the sole discretion to rescind an out of date statewide IT PSP pursuant to the process referenced in Section 5.3.3 of this Policy.
- 4.2. Budget Unit Chief Information Officer (CIO) or his/her designee shall:
  - 4.2.1 Be responsible for development of agency specific IT PSPs, within their statutory authority, which they deem necessary or appropriate for the conduct of their business.
  - 4.2.2 Be responsible for ensuring the effective implementation of statewide and agency specific IT PSPs within their Budget Unit.
  - 4.2.3 Be responsible to address compliance with statewide and agency specific IT PSPs in the Budget Unit's Annual IT Plan and each PIJ submission.
  - 4.2.4 Be responsible to ensure BU users are appropriately trained, educated, and in compliance with statewide and agency specific IT PSPs.
- 4.3. Individual BU Users shall:
  - 4.3.1 Become familiar with statewide and agency specific IT PSPs.
  - 4.3.2 Adhere to statewide and agency specific IT PSPs pertaining to the use of State or BU IT resources.

## 5. Policy

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The Department carries out its statutory authority for adopting statewide IT PSPs through the statewide IT PSPs Program under the direction of the State CIO. Each BU shall be responsible to develop an agency specific PSP program.

- 5.1. IT PSPs Program Description - Statewide & Agency Specific PSPs
  - 5.1.1. The IT PSP Program shall consist of policy and standard documents.
  - 5.1.2. The IT PSP Program shall adhere to a documented process for development, review, approval, and revision of documents. See Sections 5.2 to 5.4 of this Policy.
  - 5.1.3. The Department for statewide PSPs and the BU for agency specific PSPs shall provide the management, integration, coordination, and collaboration to ensure participation in the IT PSP development, adoption, and related processes to maintain a viable set of IT PSPs.
  - 5.1.4. The Department for statewide PSPs and the BU for agency specific PSPs shall perform the following activities to ensure alignment with the evolving application of IT in the workplace.

- a. Actively seek feedback from impacted Budget Units or BU Divisions, as applicable, encouraging oral and written feedback on draft PSPs.
- b. Research information from authoritative industry sources and subject matter experts.
- c. Utilize industry-standard frameworks or framework concepts, where appropriate, to ensure a comprehensive program aligned with industry best practices.

5.2. Development, Review and Approval Process - For Statewide Documents

- 5.2.1. Each statewide IT PSP document shall be developed by the Department.
- 5.2.2. Each statewide IT PSP document shall proceed through a review and approval process prior to adoption.
- 5.2.3. Statewide IT PSP documents shall remain in "DRAFT" status and be clearly identified as "DRAFT" until approved.
- 5.2.4. An unapproved, draft copy of a new or updated statewide IT PSP document that has completed the review process may be placed on the website for reference, but must be clearly identified as "DRAFT" until approved.
- 5.2.5. Draft statewide IT PSP documents shall be circulated, comments collected, and refinements made until the Department determines it has received sufficient input to proceed with approval.
- 5.2.6. The draft document review period for statewide IT PSPs shall be no shorter than two calendar weeks but may be longer in any particular case, in the Department's sole discretion, the review period end date shall be clearly communicated in writing when the draft is distributed. Exception exists for emergencies, see Section 5.4.
- 5.2.7. When no material comments have been received from the review period sufficient to require further refinement of the draft statewide IT PSP document, the document shall be recommended for approval. When material comments are received, they shall be considered for inclusion in the PSP. If material changes are made, the updated PSP shall be reposted for review.
- 5.2.8. All statewide IT PSP documents shall be approved for release by the State CIO or his/her designee in his/her sole discretion.
- 5.2.9. Approved statewide IT PSP documents shall be published on the statewide website or other appropriate access point accessible to BUs, and communicated through appropriate channels to the parties responsible for implementing PSPs.
- 5.2.10. The Department shall maintain the approved statewide IT PSP document, and any required supporting documentation, in a PSP Program file accessible to members of the Department involved in PSP development and updates.

5.3 Dates - For Statewide PSPs

- 5.3.1 A new or updated statewide IT PSP document shall become effective upon the stated effective date.
- 5.3.2 Every new or updated statewide IT PSP shall be effective for a period of three (3) years, unless another expiration date is specified. The expiration date shall automatically be renewed by the State CIO for additional one year periods if the document is not updated, rescinded or replaced.
- 5.3.3 If a statewide IT PSP has been in place for 5 years from the effective date, it is considered out of date and eligible for rescission by the State CIO. The Department shall provide a 2 week period for comment on the decision to rescind any outdated statewide IT PSP before the rescission becomes effective. If not rescinded, the outdated statewide IT PSP shall remain in effect until properly updated, replaced or rescinded in accordance with this Policy.

5.4 Emergency Review and Approval Process - For Statewide PSPs

- 5.4.1 Circumstances may occasionally arise that warrant immediate publication of a statewide IT PSP document without sufficient time for the review and approval process described in Section 5.2 of this Policy.
- 5.4.2 The State CIO or his/her 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 statewide IT PSP document affected.
- 5.4.3 After a statewide PSP has been approved by emergency approval, the Department will endeavor to obtain comment on the document and consider revisions to the PSP in due course, taking into account the feedback provided.

5.5 Compliance with PSPs - Statewide & Agency Specific PSPs

- 5.5.1 Upon publication of a new or revised PSP, 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 PSP, unless otherwise specified in the relevant PSP document.
- 5.5.2 Budget Units shall include in their Annual IT Plan submittal, a plan for migrating all nonconforming technologies, systems, or services to the statewide IT PSPs.
- 5.5.3 A variance to the statewide policy or standard may be granted on a project-specific basis when substantiated in a BU's Project Investment Justification (PIJ) and supported by business requirements, legal, or legislative mandates as documented by the approved PIJ.
- 5.5.4 Budget Units shall comply with statewide and agency specific PSPs 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.

**6. DEFINITIONS AND ABBREVIATIONS**

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Refer to the PSP Glossary of Terms located on the [ADOA-ASET website](#).

**7. REFERENCES**

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- 7.1. A.R.S. § 18-101, 18-104, 18-105
- 7.2. R2-18-201, R2-18-301
- 7.3. Policy P8120, Information Security Program Policy

**8. LINKS**

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- Glossary
- PSP Template

**9. VERSION HISTORY**

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Date	Description	Version	Approval
05/29/2015	Initial release	1.0	Mike Lettman, Acting State CIO and State Chief Information Security Officer
10/11/2016	Updated all the State Statutes	2.0	Morgan Reed, State CIO and Deputy Director
4/1/2021	Complete rewrite of policy	3.0	J.R. Sloan, State CIO