

COMMONWEALTH OF VIRGINIA



Information Technology Resource Management (ITRM)

POLICY, STANDARD AND GUIDELINE FORMULATION STANDARD

Virginia Information Technologies Agency (VITA)

Reviews

- This publication was reviewed and approved by the VITA Enterprise Architecture Division.
- Online review was provided for agencies and other interested parties via the VITA Online Review and Comment Application (ORCA).

Publication Version Control

Questions related to this publication shall be directed to VITA's Enterprise Architecture Division (EA) at ea@vita.virginia.gov. EA notifies the Agency Information Technology Resources (AITRs) at all state agencies, institutions and other interested parties of proposed revisions to this document.

The following table contains a history of the revisions to this publication.

Version	Date	Revision Description
Original	08/10/2000	Base Document
101-01	12/08/2004	Updated "Authority," "General Responsibilities;" restructured and number each section, sub-section (see Appendix F: PSG Formulation Style Guide); separated PSG procedure into 3 processes: Promulgation, Revision, and Rescission; amended each Process Flowchart to reflect tasks described in Steps 1 – 7; added Appendices A – F and H; and changed the alphanumeric Publication Designator scheme in Appendix G: Designators for PSGs.
101-02	03/22/2016	<p>This is a complete rewrite of the standard (COV 101-) that revises and streamlines processes and procedures related to the establishment of a comprehensive and uniform process for developing, adopting, maintaining, and retiring, Commonwealth of Virginia information technology policies, standards, and guidelines (PSGs).</p> <p>This revision includes changing the name of the document from "Policies, Standards and Guidelines: Process for Initiation, Development, Review, Approval and Promulgation Standard" to "Policy, Standard and Guideline Formulation Standard"</p> <p>This revision also includes administrative changes that reflect the new IT governance structure of the Commonwealth as well as 2010 and 2015 amendments to the <i>Code of Virginia</i>.</p>

Identifying Changes in This Document

- See the latest entry in the revision table above.
- **Standard Language Example with No Change** – The text is the same.
- **EXA-R-02 Technology Standard Example with Revision** – The text is the same. *A wording change, update or clarification is made in this text. See italics and underlined words*

- **EXA-R-03 Technology Standard Example of New Standard** – *This standard is new.*

- **EXA-R-04 Technology Standard Example of deleted text** – ~~*This text was deleted*~~

Preface

Publication Designation

Policy, Standard and Guideline Document
Formulation ITRM Standard (GOV101-02)

Subject

Formulation and governance of policies, standards and guidelines

Effective Date

March 22, 2016

Supersedes

GOV101-01, December 8, 2004

Scheduled VITA Review

Periodically or as needed

Authority

[Code of Virginia, §2.2-225](#)
(Powers and Duties of the Secretary of Technology)

[Code of Virginia, §2.2-2007](#)
(Powers of the CIO)

[Code of Virginia, §2.2-2005 et seq.](#)
(Powers and Duties of the Virginia Information Technologies Agency; "VITA")

[Code of Virginia, § 2.2-2009](#). (Additional duties of the CIO relating to security of government information)

Scope

This standard is applicable to all Executive Branch state agencies and institutions of higher education (collectively referred to as "agencies") that manage, develop, purchase, and use information technology resources in the Commonwealth of Virginia.

This policy does not apply to research projects, research initiatives or instructional programs at public institutions of higher education.

Purpose

This standard establishes a comprehensive and uniform process for developing, adopting, maintaining, and retiring, Commonwealth of Virginia Information Technology policies, standards, and guidelines (PSGs).

General Responsibilities**Chief Information Officer of the Commonwealth (CIO)**

Develops statewide technical and data policies, standards and guidelines for information technology and related systems

Directs the formulation and promulgation of policies, guidelines, standards, and specifications for the purchase, formulation, and maintenance of information technology for state agencies.

Virginia Information Technologies Agency (VITA)

At the direction of the CIO, VITA leads efforts that draft, review and update technical and data policies, standards, and guidelines for information technology and related systems. VITA uses requirements in IT technical and data related policies and standards when establishing contracts; reviewing procurement requests, agency IT projects, budget requests and strategic plans; and when developing and managing IT related services

Information Technology Advisory Council (ITAC)

Advises the CIO on the formulation, adoption and update of statewide technical and data policies, standards and guidelines for information technology and related systems

Executive Branch Agencies

Provide input and review during the formulation, adoption and update of statewide technical and data policies, standards and guidelines for information technology and related systems. Comply with the requirements established by COV policies and standards. Apply for exceptions to requirements when necessary.

Related ITRM Policies, Standards, and Guidelines

Current version of ITRM Policy (GOV 102 -) concerning PSG policy formulation and maintenance

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Introduction

Background

The management of information technology (IT) resources requires the establishment and control of a set of documents that convey purpose, direction, and required activities. The documents that accomplish this in the Commonwealth are policies, standards, and guidelines (PSGs). This standard supports the framework established by COV ITRM Policy (GOV102-series) through the establishment of a comprehensive and uniform process for formulation, review, approval, maintenance and retirement of policies, standards, and guidelines (PSGs) for use in information technology resource management (ITRM) by executive branch agencies in the Commonwealth of Virginia.

Definition of Key Terms

ITRM Policy – a document that elaborates on the Commonwealth’s information technology resource management philosophy by providing general statements of purpose, direction and required activities for one or more defined areas of the ITRM framework.

ITRM Standard – a document that elaborates on the Commonwealth’s information technology resource management program by providing required technical or programmatic activities in detail for a specific area of the ITRM framework.

ITRM Guideline – a document that provides information on optional activities related to an area of control for the Commonwealth’s information technology resource management program. Activities in guidelines are considered to be best practices but are not required.

Other Policies, Standards, and Guidelines (not ITRM) – are documents prepared at the direction of the Governor and/or General Assembly, involve miscellaneous information technology related issues and are not related to technology resource management. These documents are sometimes developed using procedures and formats similar to those used in the creation of ITRM policies and standards. However, if the area or topic addressed is outside of the ITRM framework, it will not have the designation of ITRM.

Acronyms

AITR:	Agency Information Technology Resource
CIO:	Chief Information Officer of the Commonwealth
EA:	Enterprise Architecture
IT:	Information Technology
ITAC:	Information Technology Advisory Council
ITIB:	Information Technology Investment Board
ITRM:	Information Technology Resource Management
ORCA:	Online Review and Comment Application
PSG:	Policy, Standard and Guideline
VITA	Virginia Information Technologies Agency

Glossary

As appropriate, terms and definitions used in this document can be found in the COV ITRM IT Glossary. The COV ITRM IT Glossary may be referenced on the ITRM Policies, Standards and Guidelines web page at <http://www.vita.virginia.gov/library/default.aspx?id=537>.

Policy, Standard and Guideline (PSG) Requirements

PSG Lifecycle Diagram

The following figure represents the lifecycle for developing, approving, maintaining, and retiring information technology related policies, standards, and guidelines (PSGs). The top row denotes the PSG lifecycle stage and the bottom row indicates the activity during each stage.

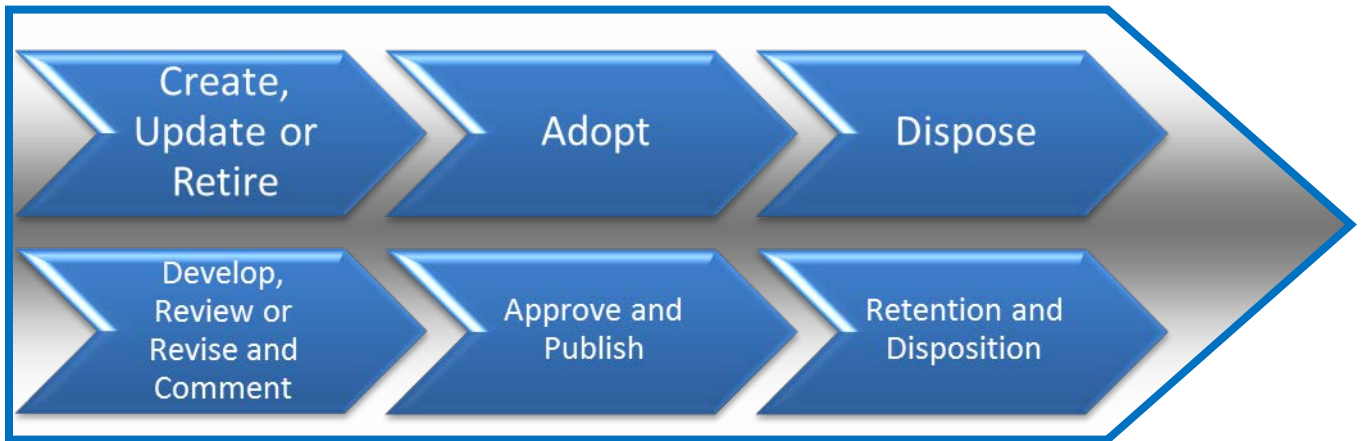


Figure 1 – PSG Lifecycle

PSG Lifecycle Stages

Create/Update/Retire Stages:

Create/Update/Retire includes processes for initiating the formulation, review, revision, and as needed, retirement of a PSG.

All new or revised PSG documents or actions to rescind a PSG document shall be subject to stakeholder reviews as outlined below.

The PSG document formulation team identified the following requirements:0

PSG-R-01 **Initiate PSG formulation** - Requests to create/update/retire a PSG shall be sent to the VITA Enterprise Architecture (EA) Division at ea@vita.virginia.gov.

Requests shall describe the intended purpose of the PSG and provide sufficient detail to enable EA to understand and identify the rationale for the PSG, the expected benefits, the stakeholders and appropriate subject matter experts needed for formulation.

Rationale:

Requests or requirements to initiate the formulation of a new PSG can come from a variety of sources and in various degrees of detail.

Sources can include, but are not limited to the Secretary of Technology, CIO, VITA staff, agencies, institutions of higher education, advisory bodies, the administration, the General Assembly, the vendor community, or other interested parties.

PSG-R-02 **Initiate PSG review and revision or retirement** - All PSGs shall be scheduled to be reviewed periodically or as needed. All reviews are documented in the revision table at the beginning of the document. A review may result in no action, revision or retirement of the PSG.

Rationale:

Scheduled reviews are part of the normal processes established when a PSG is approved to ensure it remains current and relevant.

PSG-R-03 **Document formulation or revision workgroup** - The EA Division together with the designated business lead organization shall establish an appropriate workgroup of subject matter experts from various stakeholder groups to assist in the research, review, revision and/or formulation of a PSG.

EA Division staff shall facilitate and assist the workgroup with research and with the formulation and review of draft documents.

PSG-R-04 **Stakeholder review and comments** – The stakeholder review and comment period shall be one of the following:

- a. **Standard comment period** requires VITA EA to post the draft PSG documents or the Notice to Rescind on the VITA Online Review and Comment Application (ORCA) for (30) thirty calendar days to facilitate review and comment by all stakeholders.
- b. **Emergency comment period** addresses an emergency situation, as determined by the CIO. In this situation EA shall take the necessary steps to have the CIO approve or rescind the new or revised PSG immediately. EA shall post the PSG or Notice to Rescind on ORCA for a period of (30) thirty calendar days. Based on comments received through ORCA, the PSG may need to be modified, reposted on ORCA for (30) thirty calendar days and then reapproved by the CIO.

PSG-R-05 **Agency Information Technology Resource (AITR) notification** - Concurrent with posting the PSG for review and comment, EA shall notify by email the Agency Information Technology Resources (AITRs) at all Executive Branch Agencies, as well as notify other stakeholders EA considers interested in the formulation, revision or rescission of the PSG.

PSG-R-06 **Administrative updates** – These updates are necessitated by changes in the *Code of Virginia* and or organizational changes in VITA. They shall be made as needed and stakeholders shall be advised through their AITRs.

There shall be no Online Review and Comment Application (ORCA) review of administrative updates.

Rationale

An example of an administrative update would be the replacement of the Information Technology Investment Board (ITIB) with the Information Technology Advisory Council (ITAC) by the General Assembly in 2010. As a result, numerous policies, standards and guidelines needed administrative updates to align these documents with the amendments made to the *Code of Virginia*.

PSG-R-07 **Comment responses** - Following the comment period, EA shall compile all of the comments received into a single document and work with members of the applicable workgroup to:

- a. develop responses to each comment received;
- b. revise the draft PSG document as needed based on the comments received;
- c. re-post the draft PSG document for further review if there are substantial changes as a result of the comment and review process; and
- d. provide a copy of the responses and resolutions to each of the respondents.

Rationale

To provide for transparency during the formulation of PSG documents and awareness once it is approved and published.

Adopt Stage:

The PSG document formulation team identified the following requirements:

PSG-R-08 **Final draft review** - Final draft documents shall be submitted to EA for review and action. EA shall facilitate and coordinate any needed internal VITA management reviews prior to submitting the document to the CIO for review and approval. This includes reviews related to consistency of format, compliance with existing policies and standards, and document readability.

After internal review, EA may:

- a. submit the document to the CIO for review and approval;
- b. return the document to the workgroup for additional work; or
- c. refer it to ITAC for advice.

PSG-R-09 **CIO review and approval** - Draft PSG documents and draft Notices to Rescind documents shall be provided by EA to the CIO for review and approval along with appropriate documentation as defined by the CIO.

At a minimum, appropriate documentation shall include a Decision Brief from EA to the CIO that contains the following information and the recommendations relative to the new or revised PSG or to the rescinding of an existing PSG.

- a. Purpose of the document
- b. Reason for the update
- c. Changes
- d. Impact of changes on agencies and VITA
- e. ITAC advice, as appropriate
- f. EA recommendation(s)
- g. CIO action

New or revised PSG documents or Notice to Rescind PSG documents approved by the CIO shall be returned to EA for publication or removal.

PSG-R-10 **Publish PSG documents** - Standards and guidelines shall be published on the VITA website. At a minimum, publication includes the following:

- a. notifying Agency Information Technology Resources (AITRs) and other interested parties via email of the actions taken and availability of the resulting PSG documents; and
- b. posting new and revised PSG documents to the VITA Website.

Disposition Stage:

The PSG document formulation team identified the following requirements:

PSG-R-11 **PSG retention** - Original PSG documents shall be retained at VITA while actively referenced. Once a PSG is no longer actively referenced, the originals are archived at the Library of Virginia.

Rationale:

PSG original documents are public records and are retained permanently, in accordance with [General Schedule 101-100350](#) published by the Library of Virginia.

PSG style and format:

PSG-R-12 Document style - Where appropriate, PSG documents shall follow *The Associated Press Stylebook*. A copy of the stylebook is available through VITA Communications at VITACOMMS@vita.virginia.gov.

PSG-R-13 Document layout – The body of the document shall use 10-point Verdana with single line spacing.

The Preface shall use 8-point Verdana type in double columns with single line spacing.

Names of tables and figures shall use 9-point Verdana.

Whenever possible, documents shall be formatted in portrait mode to fit on 8.5 by 11-inch paper when printed.

The document shall have a 1-inch margin for the right and left, and a 0.8-inch margin for the top and bottom of the page.

PSG-R-14 Document format – non-procurement – PSGs shall be organized as follows:

Cover

PSG title (Header left):

ITRM (if applicable) P/S/G (as applicable) (date in “month dd, yyyy” format) (Header right)

COMMONWEALTH OF VIRGINIA (centered)

Seal of the Commonwealth of Virginia (centered)

Information Technology Resource Management (if applicable, centered)

Virginia Information Technologies Agency (VITA) (centered)

ITRM publication version control

Questions related to this publication shall be directed to VITA’s Enterprise Architecture Division (EA) at ea@vita.virginia.gov. EA notifies the Agency Information Technology Resources (AITRs) at all state agencies, institutions of higher learning and other interested parties of proposed revisions to this document.

The following table contains a history of the revisions to this publication.

Version	Date	Revision Description
Original	00/00/0000	Base Document

Identifying Changes in this Document

See the latest entry in the revision table above

Vertical lines in the left margin indicate the paragraph has changes or additions. Specific changes in wording shall be noted using italics and underlines; with italics only indicating new/added language and italics that is underlined indicating language that has changed. Deleted language shall be noted by ~~striking it through~~.

The following examples demonstrate how the reader may identify requirement and recommend practice updates and changes:

EXA-R-01 Example with No Change – The text is the same. The text is the same. The text is the same.

EXA-R-02 Example with Revision – The text is the same. *A wording change, update or clarification is made in this text.*

EXA-R-03 Example of New Text – *This language is new.*

~~**EXA-R-03 Example of Deleted Requirement**~~ – This requirement was rescinded on mm/dd/yyyy.

Preface (including, but not limited to)

Publication Designation: see current version of [ITRM Policy GOV102](#).

Subject: restate the document title and add an appropriate description.

Effective Date: the date the PSG was approved.

Compliance Date (optional): the date an organization must conform to the requirements stated in the PSG.

Supersedes: the name and version number of the PSG superseded by this version – if this is a new PSG, state “None.”

Scheduled VITA Review: the scheduled review timeframe in years from the effect date.

Authority: cite the pertinent sections from the *Code of Virginia*, which authorize the PSG.

Scope: identify the organizations required to comply with this PSG. Customarily VITA PSGs apply only to Executive Branch Agencies and

Institutions of Higher Educations. If other entities are to comply, identify them and any entities exempted from the PSG.

Purpose: summarize the intent of the document and the reason for its formulation.

General Responsibilities: summarize the pertinent language from the *Code* for the entities impacted by the PSG.

Related PSGs: list any associated polices, standards and or guidelines.

Table of Content - The body of the Table of Contents shall include the headings for major sections (Heading-1, Heading-2 and Heading-3) and their beginning page number.

Heading levels shall be limited to not below Heading-3 (i.e. heading-1 = section 2. "Heading Name"; heading-2 = section 2.1 "Heading Name"; heading-3 = section 2.1.1 "Heading Name").

The TOC shall also list figures, tables, and appendices, endnotes, if used in place of footnotes and references.

Document Body – The body of the document shall include, but is not limited to, the following information categories:

Executive Summary (optional in short documents): in lengthy documents, include a concise and thorough synopsis of the document

Introduction: Introduce the reader to the report by briefly addressing the following common elements of an introduction section:

- a. The specific topic of the report.
- b. Why the report is written and for what purpose.
- c. Who are the appropriate or intended audience.
- d. The main contents of the report.
- e. The situational background that brought about the need for the report.

Benefits (optional): state the benefits derived from implementing the PSG beyond compliance with the *Code of Virginia*.

Definitions (optional): explain the meaning of a key word, phrase, etc.

Main text of ITRM Policies, Standards, or Guidelines: the main text of the document shall include statements that describe the purpose and objectives of any identified requirements or best practices and the corresponding rationale for their inclusion in the PSG.

Page Numbering: do not number the cover page. Introductory pages such as "Version Control", "Preface" and "Table of Contents" shall be numbered with lowercase Roman numerals. The pages in the body of the document shall be numbered in Arabic numbers. The page number shall be numbered using the following format: Page XX of XX. The pages in the body of the document may be further divided into subsections and numbered accordingly (e.g. 1-1, 1-2, 1-3, 2-1, 2-2, 2-3, etc.).

PSG-R-15

Document format – Procurement - information technology related procurement policies, standards and guidelines are exempt from the style and format requirements identified in this standard. Procurement related PSGs shall follow the same style and format used by the Department of General Services for their corresponding non-IT related policies, standards and guidelines.