COMMONWEALTH OF VIRGINIA

Enterprise Architecture (EA)

**Information Technology
Resource Management (ITRM)**

Policy, standard and guideline formulation standard

Reviews

Updates to this publication and opportunities for review occur through the regulatory process for guidance documents.

Publication Version Control

Please direct questions related to this publication to VITA's Enterprise Architecture Division (EA) at ea@vita.virginia.gov. VITA notifies the Agency Information Technology Resources (AITRs) at all state agencies, institutions, and other interested parties of 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	03/01/2016	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). 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" 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 *Code of Virginia*.
101-03	06/23/2020	Administrative changes to this version of the standard were necessitated by changes in the Code of Virginia, organizational changes in VITA and the Library of Virginia's change to Series 100350 in the Records Retention and Disposal Schedule.
101-03.1	01/01/2021	This administrative update addresses organizational changes at VITA, abridged text and a font change to Rajdhani (heading) and Roboto (content). No substantive changes have been made to the requirements in this document.
101-04	*02/29/2024*	*Administrative update to streamline content, add flexibility, and reduce requirements pursuant to EO19 (2022)*

Identifying Changes in This Document

- See the latest entry in the revision table above. Where revisions are not shown with Track Changes, the following convention will be used:

    - **EXA-R-01   ~~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 (GOV101-04)

Subject
Formulation and governance of policies, standards and guidelines

Effective Date
January x, 2023 ~~June 23, 2020~~

Supersedes
GOV101-03.1 *January 1e 1, 2021*

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, §2.2-2007.1
(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 agencies as defined in Virginia Code § 2.2-2006 that manage, develop, purchase, and use information technology resources in the Commonwealth of Virginia.

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).
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General Responsibilities

Chief Information Officer of the Commonwealth (CIO)
Develops and approves 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

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 *focus* ~~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

~~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 https://www.vita.virginia.gov/it-governance/glossary/ ~~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 polices, standards, and guidelines (PSGs). The top row denotes the PSG lifecycle stage and the bottom row indicates the activity during each stage.
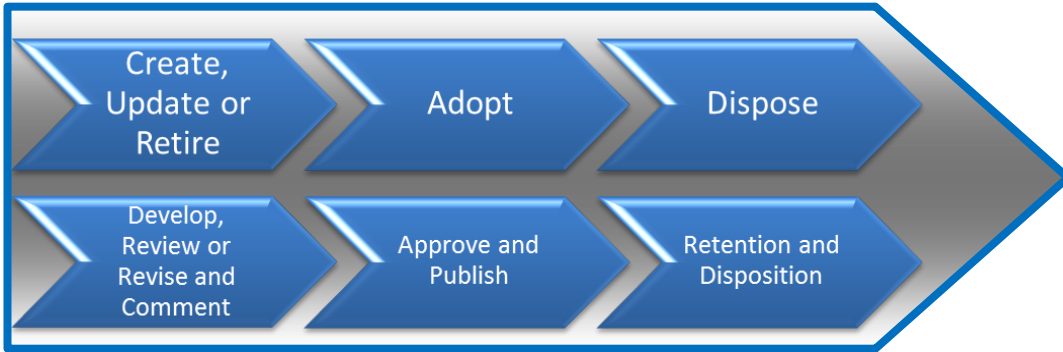

Figure 1 – PSG Lifecycle

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.

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.

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 CIO, VITA staff, agencies, advisory bodies, the administration, the General Assembly, the vendor community, or others.

PSG-R-02   **Initiate PSG review and revision or retirement -** All PSGs are scheduled to be reviewed periodically or as needed. All updates 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, establish an appropriate informal workgroup of subject matter experts from various stakeholder groups to assist in the research, review, revision, and/or formulation a PSG.

EA staff 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 is one of the following or the guidance document process through the Virginia Regulatory Town Hall:

   a. **Standard comment period** involves VITA EA posting 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 takes the necessary steps to have the CIO approve or rescind the new or revised PSG immediately, with such notice and posting as is practicable.

PSG-R-05   **Agency Information Technology Resource (AITR) notification –** Concurrent with posting the PSG for review and comment, EA notifies by email the Agency Information Technology Resources (AITRs) at all Executive Branch Agencies, as well as notifies other stakeholders who may be interested in the revision or rescission of the PSG. Public notice and comment through the regulatory process may substitute.

PSG-R-06   **Administrative updates –** These updates are necessitated by changes in the *Code of Virginia* and or organizational changes in VITA. They are made as needed and stakeholders are advised through their AITRs and/or through the regulatory process for guidance documents. There will be no Online Review and Comment Application (ORCA) review of administrative updats.

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, VITA compiles all of the comments received into a single document and works 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:

PSG-R-08   **Final draft review –** Final draft documents are submitted to EA for review and action. EA facilitates and coordinates 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.

PSG-R-09   **CIO review and approval -** Draft PSG documents and draft Notices to Rescind documents are provided to the CIO for review and approval along with appropriate documentation.
Appropriate documentation may include a Decision Brief 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

New or revised PSG documents or notice to rescind PSG documents, once approved, shall be returned to EA for publication or removal.

PSG-R-10   **Publish PSG documents -** Standards and guidelines are 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 (and/or the Virginia Regulatory Town Hall if a PSG is a guidance document).

Disposition Stage:

PSG-R-11   **PSG retention -** Original PSG documents are retained at VITA.

   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 –** *The Associated Press Stylebook* may be consulted on style issues. A copy is available through VITA Communications at VITACOMMS@vita.virginia.gov.

PSG-R-13   **Document layout** - - The body of the document shall use at least 10-point *Roboto (content) and 12-point or larger Rajdhani* (heading) ~~Verdana~~ with single line spacing. The Preface shall use at least 8-point *Roboto* ~~Verdana~~ type in double columns with single line spacing.

Names of tables and figures shall use at least 9-point *Roboto* ~~Verdana~~.

Whenever possible, documents are 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 are organized as follows:

Cover – PSGs should use a current cover page design from VITA Comms and include at least the following information:
- title,
- number,
- identification of the document by listing Commonwealth of Virginia,

VITA, and the business unit and/or program within VITA responsible for the document.

ITRM publication version control

Please direct questions related to this publication to VITA's Enterprise Architecture Division (EA) at ea@vita.virginia.gov.

VITA notifies the Agency Information Technology Resources (AITRs) at all state agencies, institutions of higher education, 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. Where revisions are not shown with Track Changes, the following convention will be used:

Vertical lines in the left margin may be used to indicate 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*.

Scope: identify the organizations required to comply with this 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 also lists figures, tables, and appendices, endnotes, if used in place of footnotes and references.

Document Body – The body of the document includes, 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 *document* ~~report~~ by briefly addressing the following common elements of an introduction section:

    a.   The specific *focus* ~~topic~~ of the *document* ~~report.~~

    b.   Why the *document* ~~report~~ is written and for what purpose.

    c.   Who are the appropriate or intended audience?

    d.   The main contents of the *document* ~~report~~.

    e.   The situational background that brought about the need for the *document* ~~report~~.

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

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

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

<u>Page Numbering:</u> Do not number the cover page. Introductory pages such as "Version Control", "Preface", and "Table of Contents" should be numbered with lowercase Roman numerals. The pages in the body of the document should be numbered in Arabic numbers.

The page number is to 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 –** IT-related procurement policies, standards and guidelines may follow the style and format requirements identified in this standard or another appropriate format.