Purpose and Background

Information Technology Services (ITS) authors documents governing the use of Information Technology at UNC-Chapel Hill (the University). This standard describes how ITS will produce University IT policies and other governance documents. Policies describe a concise vision of how affiliates of the University will use Information Technology to achieve the mission of the University. Policies also govern how IT staff will interact with the UNC-Chapel Hill community, set the big-picture view of IT priorities and goals, and may describe commitment to specific statutory or regulatory requirements. Standards and Procedures define minimum requirements and necessary actions according to policy.

Fig. 1. Relationship of Policy, Standards and Procedures

This document provides approved procedures for writing and authorizing new IT policies, as well as standards and procedures for revising existing policies, as well as delineating approval authorities at all levels.
Audience

IT staff who create, maintain, or contribute to UNC-Chapel Hill Information Technology governance documents.

Standard

Subject to applicable law, regulation or higher policy, governance documents produced by ITS staff will meet or exceed the following requirements:

Template:

All governance documents will use the authorized ITS template for publication. Contact the Policy representative in the Office of the Deputy Chief Information Officer to obtain a copy.

All documents will include footers with version numbers listed as the authorization date in a ISO 8601 standard date (YYYYMMDD) format. Electronic copies of the writable file and of both the signature version and publication version of the standard must be provided to in the Office of the CIO for archiving.

When published, all documents will have the signature removed, but the authorizing official’s name and title as well as signing date must remain.

Policies:

ITS is responsible for producing and maintaining UNC-Chapel Hill administrative policies with IT implications. Those policies and any associated procedures must follow the University Policy on Policy Development Approval and Publication (PDAP) and other requirements defined at the University level. UNC-Chapel Hill IT administrative Policies should use the term “UNC-Chapel Hill Policy” in the title to distinguish them from internal ITS or other Department policies.

UNC-Chapel Hill administrative IT policies will reside on the ITS policy page or, if directed by the UNC Provost Office, on the UNC policy page. Since publication on either page implies the policies have been fully authorized, all policies will be signed by the Responsible University designee prior to publication.

With respect to Information Technology at the University, the only policymaker is the Vice Chancellor for Information Technology and Chief Information Officer (CIO). Policies may be drafted by others at ITS, by responsible committees, or by other methods, but to be an official IT policy, a document must be authorized (signed and dated) by the CIO. The official copy, with signature, will be maintained by the office of the CIO. Electronic copies of authorized policies will be maintained by the office of the Deputy CIO.
Standards and Procedures:

Standards and procedures are published as a single document and authorized in the same manner as policies, but will be authorized by the respective Responsible Official. Only Responsible Officials within ITS who are designated by the CIO may sign IT governance standards and procedures. As of initial publication of this standard, these designees are the Associate Vice Chancellor and Deputy Chief Information Officer (DCIO), the Chief Information Security Officer (CISO) and the Chief Privacy Officer (CPO). Additional designations may occur without republication of this standard.

A University-wide technology standard and procedure may be drafted in any area of ITS, but must be authorized by the CIO or designee, and published with a link on the ITS policy page. University-wide standards and procedures will use the term “UNC-Chapel Hill” in the title. Titles for standards and procedures will include the terms “Standard” and/or “Procedure,” as appropriate.

Governance Document Approval:

<table>
<thead>
<tr>
<th>Type of Document</th>
<th>Who Approves</th>
<th>May apply to</th>
<th>Template</th>
</tr>
</thead>
<tbody>
<tr>
<td>University Policy</td>
<td>OUC Determines</td>
<td>All UNC-Chapel Hill affiliates</td>
<td>policies.unc.edu</td>
</tr>
<tr>
<td>Administrative Policy (IT-related)</td>
<td>CIO</td>
<td>All UNC-Chapel Hill affiliates</td>
<td>ITS official template from DCIO office</td>
</tr>
<tr>
<td>IT governance Standards and Procedures</td>
<td>CIO or official designee (DCIO, CISO, CPO or other)</td>
<td>All UNC-Chapel Hill affiliates</td>
<td>ITS official template from DCIO office</td>
</tr>
<tr>
<td>ITS Dept. Policy</td>
<td>CIO</td>
<td>ITS Staff</td>
<td>Unofficial</td>
</tr>
</tbody>
</table>

Table 1. Governance Document Approval

Cross-document Connections:

When referring to related documents, whenever possible documents will use links to the official repository where the document resides (the policy page, for example) rather than direct links to documents. This allows for updates of individual documents without requiring an update to every related document. Refer to documents by their main title, not to version numbers.

References to People:
Wherever possible, documents will provide roles rather than names, and departmental numbers rather than direct numbers or emails (e.g. 962-HELP).

**Document Decommissioning:**

When a policy, procedure or standard has outlived its applicability, it may be superseded or decommissioned by a person with the same or higher authority as the one who authorized it. A reference should be placed in the original location if the original has merged into another document or otherwise changed forms or titles or a notice in its place if the document has been removed.

**Special Situations:**

UNC-Chapel Hill may be required by an outside authority to adopt specific governance documents as its own, and the requirement may determine format, content, and/or document classification.

If authorized by the CIO with the intention of creating policy, a document in any format, with any title will be considered policy (or procedure or standard). Such variances will be documented appropriately by ITS policy staff.

Governance documents promulgated prior to the authorization date of this standard needing updates to bring them to this standard will be addressed on a case-by-case basis. Until updates occur, existing documents are considered “grandfathered” for authority purposes and should be followed as if authorized according to this standard.

**Compliance**

Failure to follow this standard may result in publication of ambiguous or conflicting governance documents which could lead to network security breaches, failure to properly control sensitive information, and other significant incidents.

Governance documents apparently not conforming to this standard should be brought to the attention of the Deputy CIO for appropriate action.

To request a variance to these requirements, contact the policy representative in the office of the Deputy CIO.

**Roles and Responsibilities**

Vice Chancellor for Information Technology and Chief Information Officer: Final responsibility for all ITS policy.

Deputy CIO: Provides guidance for governance document reviews and enforcement of this
standard.

ITS Staff: Assist with maintenance, updating, and management of policies, standards and procedures.

---

**Definitions**

Authorized Policy, Standard or Procedure: Any policy, standard or procedure reviewed, signed, and dated by the Responsible University Official.

Department Policy: Internal policy applicable to members of a UNC-Chapel Hill department (or other organization) but not applicable to the wider University community. ITS and other department policy is outside the scope of this standard. See Also “Policy”

Governance Documents: Collective name for all administrative control documents, including, but not limited to, policies, procedures and standards. Help files and training documents are not governance documents. Internal small-group technical and business processes are not governance documents. This standard describes only UNC-Chapel Hill IT governance documents in the form of UNC-Chapel Hill administrative policies and their supporting standards and procedures.

Guideline: Non-mandatory organizational goal-statement, recommended standard, best-practice procedure, or other document that defines recommended but not required practices. Guidelines are identifiable by use of “should” rather than “shall” language. Guidelines are outside the scope of this standard.


Policy: The set of basic principles formulated to direct and limit actions in pursuit of long-term goals. Policies provide the guidance required to create and enforce standards, and procedures required to enact policy. Adherence to policy is mandatory. See Also “University Policy” “UNC-Chapel Hill Administrative Policy” and “Department Policy”. As used in this Standard, “Policy” refers to UNC-Chapel Hill administrative policy enacted by the Vice Chancellor for Information Technology and CIO.

Procedure: An established protocol or official way of doing something. A series of actions or processes conducted in a certain order or manner. A sequence of actions designated as a procedure is the required methodology for accomplishing a task. Deviation from a required procedure may create unnecessary risk for the University. Governance procedures define mandatory actions. This standard applies to governance procedures applicable to individuals affiliated with UNC-Chapel Hill, not to other technical or business procedures or processes.

Standard: Written definition, limit or rule, approved and monitored for compliance as a minimum acceptable benchmark. As used in this document, “Standard” refers to governance documents
supporting UNC-Chapel Hill wide policy. Technical standards and other non-governance standards used in Information Technology are outside the scope of this document.

University Policy: UNC-Chapel Hill policy which requires approval above the Vice Chancellor level. Governed by the University Policy on Policy Development, Approval, and Publication.

UNC-Chapel Hill Administrative Policy: UNC-Chapel Hill policy approved by the Vice Chancellor responsible for the area described by the policy scope. Applies to members of the University community. This standard defines the minimum requirements for creation of IT policy for the University.

Related Documents

UNC Chapel Hill Policy on Policy Development, Approval, and Publication
UNC Chapel Hill Policies Guidance

Contacts

<table>
<thead>
<tr>
<th>Subject</th>
<th>Contact</th>
<th>Telephone</th>
<th>Online/Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interpretation of standard</td>
<td>DCIO’s Office</td>
<td>962-HELP</td>
<td>help.unc.edu</td>
</tr>
<tr>
<td>Reporting noncompliant documents</td>
<td>DCIO’s Office</td>
<td>962-HELP</td>
<td>help.unc.edu</td>
</tr>
<tr>
<td>Assistance with template use</td>
<td>DCIO’s Office</td>
<td>962-HELP</td>
<td>help.unc.edu</td>
</tr>
</tbody>
</table>

Table 2. Contact Information

Document History

Effective Date: 3/12/2015
Last Revised Date: