

ITS DEPARTMENT STANDARD

Title

ITS STANDARD ON POLICIES, STANDARDS, AND PROCEDURES

Introduction

PURPOSE

This document provides approved guidance for writing and authorizing new University and Information Technology Services (ITS) Department Policies, Standards, and Procedures, for revising existing Policies, Standards, and Procedures, and delineating approval authorities at all levels.

ITS authors policies and other governance documents outlining IT and privacy-related matters and the appropriate use of Information Technology at UNC-Chapel Hill (the University). *Policies* describe a concise vision of how Constituents of the University will use IT 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 required to implement Policies.

Responsible University Officer
Vice Chancellor for Information
Technology and Chief Information
Officer

Responsible Office
Information Technology Services –
Policy Office

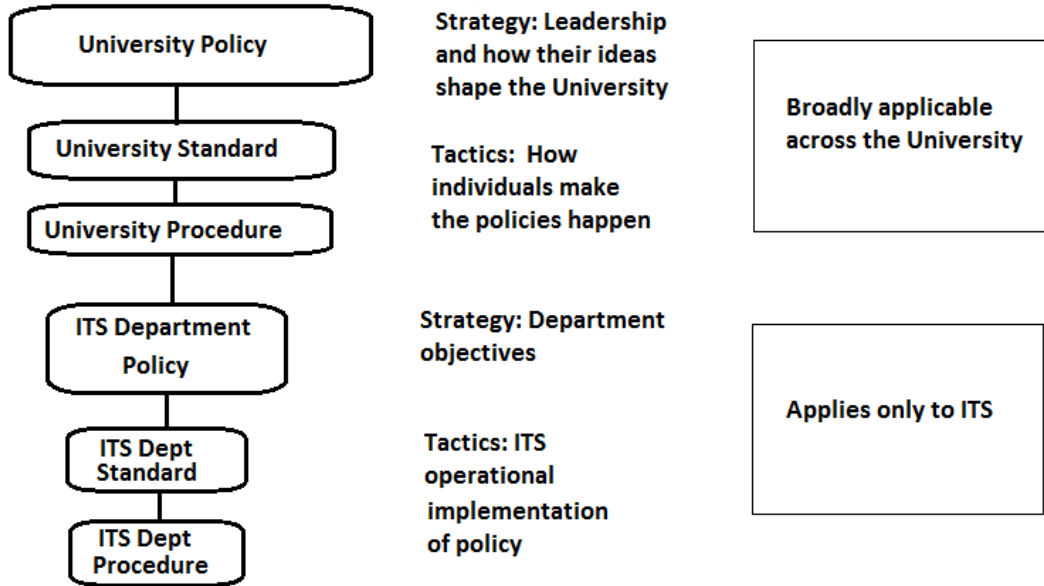


Fig. 1. Relationship of Policy, Standards, and Procedures

SCOPE OF APPLICABILITY

ITS staff who create, maintain, or contribute to UNC-Chapel Hill governance documents pertaining to Information Technology or Privacy-related matters.

Standards

Subject to applicable law, regulation and other University policies, particularly the [University Policy on Policies](#), governance documents produced by ITS staff will meet or exceed the following requirements:

Format:

All Policies, Standards, and Procedures promulgated by ITS will use the authorized templates provided by the UNC-Chapel Hill Office of Ethics Education and Policy Management (OEEPM). (See “Exceptions” below).

Contact the Policy representative in the Office of the Deputy Chief Information Officer for guidance.

All documents will include version numbers listed as the authorization date in ISO 8601 standard date (YYYYMMDD) format.

Document Management:

For records retention purposes, the “official” (original/record) version of current policies will be maintained in electronic form by the ITS Policy Office in a secure archive. An image of the most recent signed version, as well as the current published version must be maintained in the archive. Previous versions may also be maintained in keeping with the University Schedule for Records Retention and Disposition.

Publication versions of documents will have the signature removed, but the authorizing official’s title as well as signing date and revision history must remain.

As directed by the OEEPM, the Document Management section of this Standard may be superseded without update to allow for record copies of documents to be stored in an official University Policy Repository. If automated document history is maintained by the Policy Repository, document history requirements described in this Standard will also be superseded without update to conform to those system parameters.

Policies:

ITS is responsible for producing and maintaining most UNC-Chapel Hill University Policies with IT or Privacy implications (as determined by the OEEPM). (See “Exceptions” below for discussion of Policies with IT or Privacy implications that are not produced and/or maintained by ITS.) Those Policies and any associated Standards and Procedures must follow the University Policy on Policies and other requirements defined at the University level.

Unless an exception applies, new UNC-Chapel Hill IT/Privacy Policies developed under this Standard must use the term “UNC-Chapel Hill Policy” or “University Policy” in the title (or as directed by OEEPM) to distinguish them from internal ITS or other Department Policies. ITS Department Policies must use the term “ITS Department Policy” in the title (or as directed by OEEPM).

The ITS Policy Office must maintain an ITS policy page to assist University users to find relevant ITS policies. Since publication implies that the Policies have been fully

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Vice Chancellor for Information
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Officer

Responsible Office

Information Technology Services –
Policy Office

authorized, all Policies must be signed by the Responsible University designee prior to publication unless an exception applies, as described below.

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 unless an exception applies. (See “Exceptions” below.)

Standards and Procedures:

Standards and Procedures are published as independent documents and authorized in the same manner as Policies, but may 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. Currently, 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 by the CIO may occur in writing without republication of this Standard. (Record of such additional delegations must be stored in the official electronic file with the related document.)

A University-wide Standard or 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. Unless an exception exists, new University-wide Standards and Procedures drafted under this Standard must use the phrase “UNC-Chapel Hill” or “University of North Carolina at Chapel Hill” in the title (or as directed by OEEPM). ITS Department Standards and Procedures must use the term “ITS Department” in the title. Titles for Standards and Procedures must include the terms “Standard” and/or “Procedure,” as appropriate (or as directed by OEEPM).

Governance Document Approval:

University governance documents promulgated by ITS must follow review and approval processes determined by the OEEPM, as well as internal policy review and approval processes managed by the ITS Policy Office. ITS Department internal governance documents must follow review and approval processes determined by the DCIO and managed by the ITS Policy Office. Such processes must be designed to efficiently offer opportunities for input by representatives of affected user groups.

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Type of Document	Who Approves	May apply to	Template
University IT/Privacy Policy	CIO	All UNC-Chapel Hill constituents or designated groups of constituents including some outside of ITS	University template provided by OEEPM
Administrative Policy (IT-related) NOTE: Revision of University Policy Process in 2017 removed this category. All effective policies are considered University Policy.	CIO	All UNC-Chapel Hill affiliates	Superseded. When revised, convert to University Policy.
University IT/Privacy Standards and Procedures	CIO or official designee (DCIO, CISO, CPO or other)	All UNC-Chapel Hill constituents or designated groups	University template provided by OEEPM
ITS Dept. Policy	CIO	ITS Staff	Department template provided by OEEPM
ITS Dept. Standards and Procedures	CIO or official designee (DCIO, CISO, CPO or other)	ITS Staff	Department template provided by OEEPM

Table 1. Governance Document Approval

Cross-document Connections:

To support durable document connections (prevent dead links) when referring to related documents, documents should whenever possible use either links to the official repository where the related document resides or textual description of document location. This allows for updates of individual documents without requiring an update to every related document. Policy writers and editors must refer to documents by their main title, not to version numbers. References to general Policy pages or to the Repository are permitted. Policy writers and editors should use their best judgment. When broken links or change in linked-document location do occur, updates to broken links in published documents do not require reauthorization or notation in document history.

References to People:

Wherever possible, documents will provide roles rather than names, and departmental or shared numbers and emails rather than direct numbers or emails (e.g. 962-HELP). If contact information becomes incorrect, updates to contact information in published documents are considered ministerial change and do not require reauthorization or notation in document history.

Document Review:

Official policy, standard, and procedure documents maintained by the ITS Policy Office shall be reviewed regularly to ensure the continuing suitability, adequacy, and effectiveness of each document.

The ITS Policy Office must schedule documents for review and record the completion of each review. The ITS Policy Office must track schedules and completed reviews. Inquiries about review schedule or last review dates may be made by contacting the ITS Policy Office.

Reviews must occur at a minimum once every three years. More frequent review of specific documents must occur as needed to comply with regulatory requirements, best practices, at the discretion of OEEPM or the ITS Policy Office, or at the request of the document owner.

Document review must, at a minimum, consist of the IT Policy Office providing an executive sponsor, key stakeholder, or primary subject matter expert (as determined

by ITS Policy Office staff or DCIO) with a request to read and comment on the document to identify any need for changes. Office review by the ITS Policy Office staff may be deemed sufficient by the stakeholder.

Relevant comments received on the document (if any) since the last revision or a summary of any issues the stakeholder should note may be provided in the review request, at the discretion of ITS Policy Office staff.

If a document review results in a determination that changes are needed, the document will be prioritized appropriately for revision (or administrative/ministerial change) and undergo any required revision process as time and resources allow.

Document Revision:

Revision of documents reflects material change to the document that alters meaning, intent, or effect of the policy, standard, or procedure. Document revision requires re-approval (signature and date) by the appropriate document authority for the revised document to be in effect.

When the ITS Policy Office determines a document requires material change which would require reauthorization, the document must be prioritized for revision. (This determination may be made at the direction of the document signing authority, OEEPM, Office of University Counsel, DCIO, may be based on the results of a formal review, or may be at the discretion of the ITS Policy Office to coordinate policy management efforts.)

Revision of documents should occur in priority order reflecting environmental factors, organizational need, and coordination with other policy activity at the University, risk to the University, or direction by the CIO or delegate.

Document revision must follow the same review and approval processes as creation of new policies, standards, and procedures. Document history must be updated according to OEEPM requirements to reflect new revision dates and details. Storage of documents must follow the same requirements as new documents.

Administrative/Ministerial Changes:

As permitted by the University Policy on Policies, administrative/ministerial changes to fix broken links, formatting, template, contact information, correct document history, correction of grammar or punctuation errors, or to bring documents into technical compliance with this Standard or with the University Policy on Policies will not be considered revisions. Such administrative/ministerial changes to ITS documents may be made and immediately published by the ITS Policy Office staff, or the DCIO or delegate, at any time without notification or re-approval (signature). The revised publication version must be stored in the electronic file for that document in such a way that it is clear that the document has been altered from the most recently-authorized version.

Document Decommissioning:

As permitted by the Policy on Policies, when a Policy, Standard, or Procedure has outlived its utility, the Policy, Standard, or Procedure may be superseded or decommissioned by a person with the same or higher authority as the one who authorized it. The CIO and other Responsible Officials must follow University procedures for decommissioning of University Policy documents as outlined in the UNC-Chapel Hill Procedure for Policy Management and UNC-Chapel Hill Standard on Policy.

Document Index:

The ITS Policy Office or DCIO must maintain a master list of IT and Privacy Policies, Standards, and Procedures promulgated by ITS. This list must contain at minimum the official document title, location of the published version, as well as (if known) last revised date, last review date, and next required review date of each document deemed to be an official Policy/Standard/Procedure maintained by ITS.

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.

EXCEPTIONS

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 approved by the correct authority, such documents must be considered official Policy/Standard/Procedure regardless of format or process used for approval.

If authorized by the CIO with the intention of creating Policy, a document in any format, with any title will be considered ITS Unit Policy. If authorized by the DCIO or CIO, a document in any format, with any title may be considered ITS Unit Standard or Procedure. The circumstances of such variances will be documented appropriately by ITS Policy staff (a memo to the file by Policy staff is sufficient). This documentation is required only once for each document, not for each revision. The variance information will be stored in the Policy Office electronic file for the document.

Governance documents promulgated prior to the original authorization date of this Standard (5/12/2015) needing updates to bring them to this Standard will be addressed on a case-by-case basis. Until the documents are brought into compliance, or are decommissioned, existing documents are considered “grandfathered” for authority purposes and should be followed as if authorized according to this Standard.

Administrative/ministerial changes may be made to these “grandfathered” documents as-needed, and they remain covered by this exception. Revisions to these documents may also occur without bringing the document into compliance if accompanied by variance documentation (and OEEPM approval for revision of University Policies/Standards/Procedures.) Review of such documents must occur on the required schedule, but may consist solely of a Policy Office evaluation and confirmation by the CIO or DCIO.

Processes in development (e.g. the ITS Change Management process) which are not yet incorporated in Policy, Standard, or Procedure, may be given the effect of ITS Unit Policy if that is the intent of the CIO. The ITS Policy Office must include such processes on the Master List.

ITS unit policies, standards, and procedures covering human resources and facilities may be maintained by the ITS Associate Vice Chancellor for Finance at the direction of the CIO and are outside the scope of this Standard.

Some Institutional Privacy Office (IPO) policies, standards, and procedures may be maintained separately by the IPO, and if so, fall outside the scope of this Standard.

Other exceptions to this Standard may be made by the CIO in keeping with the University Policy on Policies. The OEEPM may also authorize exceptions to this Standard.

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

Definitions

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

Unit Policy: Internal policy applicable to members of a UNC-Chapel Hill department (or other organization) but not applicable to the wider University community. **See Also** “Policy”

Governance Documents: Collective name for 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 for purposes of this Standard. Service Level Agreements (SLA), Memoranda of Understanding (MOU) and related documents which may govern activities between parties are not within the scope of this Standard. This Standard describes only UNC-Chapel Hill IT governance documents in the form of UNC-Chapel Hill or ITS Department Policies, 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 “must” language. Guidelines are outside the scope of this standard.

Mission: An organizational purpose statement. Policies are enacted in support of organizational mission.

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” and “Department Policy”. As used in this Standard, “Policy” refers to UNC-Chapel Hill University or Department 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 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 governed by the University [Policy on Policies](#). University Policy may apply to all Constituents of the University or to specific groups.

UNC-Chapel Hill Administrative Policy: A former category of Policy under a previous University Policy on Policy Development, Approval, and Publication. Policies created in this category remain in force, but when updated must be categorized as University Policy.

UNC-Chapel Constituent: UNC-Chapel Hill faculty, staff, students, retirees and other affiliates, contractors, distance learners, visiting scholars and others who use or access UNC-Chapel Hill resources.

Related Documents

[UNC-Chapel Hill Policy on Policies](#)

[UNC-Chapel Hill Standard on Policies](#)

[UNC-Chapel Hill Procedure for Policy Management](#)

Contacts

Subject	Contact	Telephone	Online/Email
Interpretation of standard	ITS Policy Office	919-962-HELP	its_policy@unc.edu
Reporting noncompliant documents	ITS Policy Office	919-962-HELP	its_policy@unc.edu
Assistance with template use	ITS Policy Office	919-962-HELP	its_policy@unc.edu

Document History

- Effective Date and title of Approver:
 - a. Effective Date: May 12, 2015
 - b. Approver: Vice Chancellor for Information Technology and Chief Information Officer

- Revision and Review Dates, Change notes, title of Reviewer or Approver:
 - a. Last Revised Date: November 28, 2017
 - i. Revised by: Chief Information Officer
 - ii. Substantive Revisions:

1. Clarified processes for review, revision, and ministerial/administrative changes.
 2. Brought document into current template format.
 3. Altered requirements for record copy storage to remove requirement for paper documents. Change also anticipates shift from unit storage to OEEPM storage of official documents.
 4. Clarifications
- b. Previous Revised Date: March 14, 2017
- i. Revised by: Vice Chancellor for Information Technology and Chief Information Officer
 - ii. Substantive Revisions:
 1. Altered to comply with revised University Policy on Policy Development, Approval, and Publication;
 2. Renamed from “ITS Governance Document Standard;”
 3. Clarifications