

## ITS DEPARTMENT STANDARD

### Title

## ITS STANDARD ON POLICIES, STANDARDS, AND PROCEDURES

### Introduction

#### PURPOSE

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 Constituents 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.

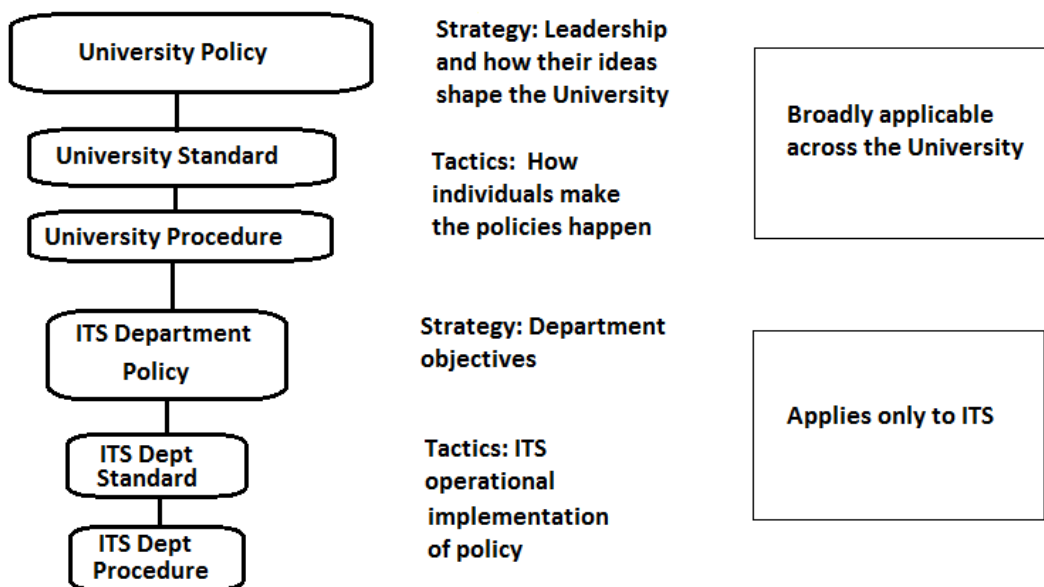


Fig. 1. Relationship of Policy, Standards, and Procedures

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

## SCOPE OF APPLICABILITY

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

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### Standards

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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 applicable University-wide will use the authorized templates provided by the UNC-Chapel Hill Office of Ethics Education and Policy Management. ITS Department Policies, Standards, and Procedures will use the currently-approved ITS template for publication which will closely follow the University templates. Contact the Policy representative in the Office of the Deputy Chief Information Officer for guidance.

All documents will include footers with version numbers listed as the authorization date in ISO 8601 standard date (YYYYMMDD) format. Electronic copies of the writable file and of both the signature and publication versions will be archived by the ITS Policy Office. Signed paper versions will be maintained in the Office of the CIO.

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 University Policies with IT or Privacy implications. Those Policies and any associated Standards and 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/Privacy Policies should use the term "UNC-Chapel Hill Policy" or "University Policy" in

the title to distinguish them from internal ITS or other Department Policies. Department Policies will use the term “ITS Department Policy” in the title.

UNC-Chapel Hill University IT/Privacy policies will reside on the [ITS policy page](#) or, if directed by the Office of Ethics Education and Policy Management, on the [UNC policy page](#) or other central repository. 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.

#### **Standards and Procedures:**

Standards and Procedures are published as independent documents 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. 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.

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 or University Policy Repository as directed by the University Office on Ethics Education and Policy Management. University-wide Standards and Procedures will use the phrase “UNC-Chapel Hill” or “University of North Carolina at Chapel Hill” in the title. ITS Department Standards and Procedures will use the term “ITS Department” in the title. Titles for Standards and Procedures will include the terms “Standard” and/or “Procedure,” as appropriate.

#### **Governance Document Approval:**

University governance documents promulgated by ITS shall follow review and approval processes determined by the Office of Ethics Education and Policy Management, as well as internal policy review and approval processes managed by the ITS Policy Office. ITS Department internal governance documents shall follow

review and approval processes determined by the DCIO and managed by the ITS Policy Office. Such processes shall be designed to efficiently offer opportunities for input by representatives of affected user groups.

<b>Type of Document</b>	<b>Who Approves</b>	<b>May apply to</b>	<b>Template</b>
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	ITS official template from DCIO Policy Office
ITS Dept. Standards and Procedures	CIO or official designee (DCIO, CISO, CPO or other)	ITS Staff	ITS official template from DCIO Policy Office

*Table 1. Governance Document Approval*

### **Cross-document Connections:**

When referring to related documents, whenever possible documents will use either links to the official repository where the document resides (the policy page, for example) or direct links to documents if the document link can be maintained on a long-term basis or be redirected. 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 general Policy pages or to the Repository are permitted. Use best judgment.

### **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).

### **Document Review:**

Documents should be reviewed periodically and updated as needed, in response to environmental or operational changes affecting the security of electronic protected health information. Other document review as appropriate, under the discretion of the ITS Policy Office and DCIO.

### **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 for a reasonable period 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. Follow University procedures for decommissioning of University Policy documents.

### **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 approved by the correct authority, such documents shall 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 Policy. If authorized by the CIO or DCIO such a variance

may be allowed for any Procedure or Standard. Such variances will be documented appropriately by ITS policy staff.

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 updates occur or documents are decommissioned, 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.

### EXCEPTIONS

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

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### Definitions

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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.

**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 “shall” 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 [Policy Development, Approval, and Publication](#). University Policy may apply to all affiliates 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 Hill Affiliate/Constituent: UNC-Chapel Hill faculty, staff, students, retirees, contractors, distance learners, visiting scholars and others who require UNC-Chapel Hill resources to work in conjunction with UNC-Chapel Hill.

**Related Documents**

[UNC Chapel Hill Policy on Policy Development, Approval, and Publication](#)

**Contacts**

<b>Subject</b>	<b>Contact</b>	<b>Telephone</b>	<b>Online/Email</b>
Interpretation of standard	ITS Policy Office	962-HELP	<a href="mailto:its_policy@unc.edu">its_policy@unc.edu</a>
Reporting noncompliant documents	ITS Policy Office	962-HELP	<a href="mailto:its_policy@unc.edu">its_policy@unc.edu</a>
Assistance with template use	ITS Policy Office	962-HELP	<a href="mailto:its_policy@unc.edu">its_policy@unc.edu</a>



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### Document History

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- Effective Date and title of Approver: 5/12/2015 Vice Chancellor for Information Technology and Chief Information Officer
- Revision and Review Dates, Change notes, title of Reviewer or Approver:
  - a. Altered to comply with revised University Policy on Policy Development, Approval, and Publication; renamed from “ITS Governance Document Standard;” and for clarifications. March 14, 2017 VC for IT and CIO