Maine State Government
Dept. of Administrative & Financial Services
Office of Information Technology (OIT)

Policy, Standard, or Procedure Creation Process

1.0   Purpose

1.1   Establish standardized methods for adopting, formatting, reviewing and updating Information Technology (I.T.) *Policies, Standards, and Procedures,* collectively referred to here as "policy".

Define a procedure for drafting, vetting, and adopting Policies, Standards and Procedures pertaining to Information Technology and provide the preferred format to be used.

2.0   Definitions

2.1   *Policy*: A Policy is a statement of direction with respect to the planning and management of information technology approved by the Chief Information Officer (CIO).

2.2   *Procedure*: A Procedure or Standard Operating Procedure is a fixed, step-by-step sequence of activities or course of action (with definite start and end points) that must be followed in the same order to correctly perform a task.

2.3   *Standard*: A standard is a specific approach, solution, methodology, product, or protocol that must be adhered to for establishing uniformity.

2.4   *Insubstantial Change*: A change to a policy which is cosmetic or reflects organizational role change, or the retirement of a policy.

2.5   *Substantial Change*: The creation of a new policy or a change to an existing policy which includes non-trivial content changes.

3.0   Applicability

This process applies to Information Technology Policies, Standards, and Procedures.

4.0   Responsibility

4.1   All staff engaged in operations, analysis, or actions subject to a policy are responsible for becoming familiar and complying with the contents of the policy. Supervisors are responsible for incorporating standard operating procedures to ensure their staff members are familiar with, and adhere to, the policy affecting their functions.

4.2   The Director of Architecture and Policy is responsible for the enforcement and facilitation of this procedure.

5.0   Directives

5.1   The Approval and Revision Process for I.T. Policies, Standards, or Procedures is as follows:

  5.1.1   The Enterprise Architect at OITEnterpriseArchitect@Maine.Gov initiates or receives requests for new, or updates to existing, policy. Depending on whether the change is unsubstantial or substantial, the following procedures apply.

  5.1.2   If the change is unsubstantial:
    5.1.2.1   The Policy Team consults with Subject Matter Experts (SMEs) and incorporates changes.
    5.1.2.2   The Policy Review Board and, when necessary, Security and Compliance, will be given an opportunity to review the draft. If there is significant feedback, the policy gets a second review cycle and is then published.

  5.1.3   If the change is substantial:
    5.1.3.1   The Policy Team consults with SMEs to create a draft.
    5.1.3.2   The Policy Review Board, Extended Leadership Forum, and, when necessary, Security and Compliance, will be given an opportunity to review the draft. If there is significant feedback, the policy gets a second review cycle and is then published.

5.2   The prior document version is archived when an update occurs.

6.0   Document Information

6.1   Initial Issue Date: May 9, 2006

6.2   Latest Revision Date: September 18, 2019

6.3   Point of Contact: Enterprise.Architect@Maine.Gov

6.4   Approved By: Chief Information Officer, OIT

6.5   Legal Citation: Title 5, Chapter 163: Office of Information Technology[1]

6.6   Waiver Policy: N/A

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[1] https://legislature.maine.gov/statutes/5/title5ch163sec0.html

Attachment 1: Policy, Standard, or Procedure Sample Format

Maine State Government
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Policy, Standard, or Procedure Name

1.0   Purpose

2.0   Definitions

3.0   Applicability

4.0   Responsibilities

5.0   Directives

6.0   References (if applicable)

7.0   Document Information

7.1   Initial Issue Date:
7.2   Latest Revision Date:

7.3   Point of Contact:
7.4   Approved by:

7.5   Legal Citation: [Title 5, Chapter 163: Office of Information Technology](http://legislature.maine.gov/statutes/5/title5ch163sec0.html)[2]
7.6   Waiver Process: See the [Waiver Policy](https://www.maine.gov/oit/policies/waiver.pdf)[3]

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[2] http://legislature.maine.gov/statutes/5/title5ch163sec0.html
[3] https://www.maine.gov/oit/policies/waiver.pdf