



RUTGERS POLICY

Section: 70.2.11

Section Title: Legacy UMDNJ policies associated with Information Technology

Policy Name: OIT - Operational Management of Policies

Formerly Book: 95-01-02-02:00

Approval Authority: Vice President for Information Technology & Chief Information Officer

Responsible Executive: Vice President for Information Technology & Chief Information Officer

Responsible Office: Office of Information Technology (OIT)

Originally Issued: 2/19/2010

Revisions: 4/18/2012; 7/1/2013

Errors or changes? Contact: oitpolicy@rutgers.edu

1. **Policy Statement**

Roles, responsibilities and processes associated with the request, review, and approval of Rutgers, The State University of New Jersey, legacy UMDNJ Information Services and Technology (IS&T) policies, and the revision or rescission of existing policies should be defined to ensure that all process participants are aware of the agreed upon process and their responsibilities.

2. **Reason for Policy**

To outline the requirements and a process for the life cycle management of all legacy UMDNJ Information Services and Technology (IS&T) policies leading to decisions and actions to develop and adopt new policies, revise content, change ownership responsibility for existing policies or rescind policies which are no longer relevant.

3. **Who Should Read This Policy**

This policy applies to any individual responsible for the management, operation, and/or maintenance of the legacy UMDNJ information technology services and/or environment. If you are uncertain whether this policy applies to you, please contact your direct supervisor.

4. **Related Documents**

N/A

5. **Contacts**

oihelp@rutgers.edu

6. The Policy

70.2.11 OFFICE OF INFORMATION TECHNOLOGY OPERATIONAL MANAGEMENT OF POLICIES

The Vice President for Information Technology & Chief Information Officer establishes policies to fulfill the delegated responsibility and accountability for the assigned functional area. These functional policies provide guidelines to ensure the University's compliance with the relevant legal, technological, contractual and regulatory requirements. These policies are developed by the designated IT staff at the direction of and approval by the Vice President for Information Technology & Chief Information Officer.

I. Requirements:

A. Office of Information Technology formally approves, issues, and maintains in a consistent format, official IT policies. Individuals engaged in developing and maintaining these policies must follow the requirements outlined in this document for drafting, approving, revising, and rescinding policies. IT policies are official directives which mandate requirements or constraints and establish boundaries for conduct of members of the Rutgers community to:

- enhance missions and strategic goals
- reduce institutional risks and enhance internal controls
- establish delegation of authority and responsibility
- promote compliance with federal, state and other applicable laws and regulations
- promote operational alignment, consistency and efficiency.

B. Life Cycle Management

1. All policies within the individual portfolio must be reviewed by the respective Owner or the designated Author every three years to determine the need for an appropriate management action to either "Develop (new)," "Revise," "Reassign" or "Rescind".
2. Policies under revision will remain in full effect as written until the new version is adopted pursuant to this policy. Policies may be suspended under certain circumstances. If the University is legally, financially, operationally or otherwise unable to comply with or enforce a policy in its current form, it may be suspended for a specific time period during which either a revised policy is adopted or the current policy is deleted. To suspend a policy the Owner or the designated Author must develop a plan in conjunction with appropriate affected divisions. This plan must include, at a minimum, a directive to suspend enforcement of the existing policy, the reason for the suspension, the estimated timeframe for suspension, the procedures to be followed in the interim, and the contact information for further guidance. This plan must be approved by the Vice President for Information Technology & Chief Information Officer. The suspension may only be granted for an initial 90 day period and then the possibility of a 30 day extension with another approval.

3. Proposals for **revisions** qualifying for acceptance must include the following steps:
 - a. The Author/Owner will provide the current policy version showing strikeouts and additions, highlighting (in yellow) the changes being proposed.
 - b. The OIT Policy & Procedure Group will compile the policy and present it to the OIT Directors for review and comment.
 - c. The OIT Policy & Procedure Group will compile documentation attesting to the completed review/acceptance by the members of the OIT Policy Review Committee.
 - d. The OIT Policy & Procedure Group will obtain final approval by the Vice President for Information Technology & Chief Information Officer.

If the policy is a Rutgers Board-level policy, then it will move on to the Board for approval.

4. A policy that has outlived its usefulness or been superseded by another policy may be identified for **rescission**. Recommendations for rescissions must include the following steps:
 - a. The Author/Owner will prepare documentation containing justification for rescission attesting to the review and agreement by impacted entities.
 - b. The OIT Policy & Procedure Group will compile documentation attesting to the completed review/acceptance by the members of the OIT Policy Review Committee.
 - c. The OIT Policy & Procedure Group will send to the Directors of OIT documentation containing justification for rescission attesting to the review and agreements by impacted entities.
 - d. The OIT Policy & Procedure Group will obtain final approval by the Vice President for Information Technology & Chief Information Officer.
 - e. If the policy is a Rutgers Board-level policy, then it will move on to the Board for approval.
5. Recommendations for changes in ownership of policies must be reviewed and negotiated by the original Owner with the new Owner.
6. The procedures outlined in Section ~~VI~~ **I** must be used to comply with the life cycle management requirements.

II. Responsibilities:

A. Policy Owner:

1. Designates responsibility for compliance, implementation and effectiveness of policies within his/her portfolio over the entire life cycle.

2. Reviews policies within the respective portfolio every three years to determine the need for the appropriate management action working in conjunction with OIT Policy and Procedure group to ensure the directives are up-to-date and consistent with current environment, business practices and organizational roles.
 3. Designates responsibility to develop and maintain policies within his/her portfolio in conformance with the life cycle management requirements as outlined in this policy.
 4. Designates responsibility to provide interpretation of all policies within his/her portfolio.
- B. Directors of OIT:
- Review policy proposal documentation, determine if it is necessary to review the documents with their departments, and provide the OIT Policy & Procedure Group with feedback indicating endorsement or suggestions for change.
- C. Members of the OIT Policy Review Committee:
1. Review policy-related proposals with others in their functional area and provide collective feedback indicating endorsements or comments to the Owner or the designated Author.
 2. Respond to requests for feedback for the initial draft within a specific amount of time. Failure to provide feedback within these timeframes will be interpreted as an acceptance unless an extension has been negotiated in advance.
 3. Work in conjunction with the Owner or the designated Author to resolve any concerns/issues about the proposals to facilitate timely closure.
- D. Vice President for Information Technology & Chief Information Officer:
1. Reviews policy proposals and provides feedback to the OIT Policy and Procedure Group indicating endorsements or suggestions for change.
 2. Approves policy proposals consistent with Authority.
- E. The OIT Policy and Procedure Group:
1. Maintains online current versions of the IT policies and maintains offline archives pertaining to older versions of policies.
 2. Designs, implements and administers the IT policy life cycle management process.
 3. Establishes portfolios working in conjunction with policy Owners and provides them with the portfolio status reports on a periodic and as needed basis.
 4. Consults with policy Owners and Authors in the review, assessment and adjustment of policy content in keeping with changes in internal and external requirements.

5. Reviews policy content for style, clarity, format and conformity with other University policies. Provides recommendations regarding policy rationale and relevance.
6. If the policy is a Functional or School/Unit policy makes ongoing assessment of the effectiveness and efficiency of the policy life cycle management process in keeping with the prevailing best practice models.
7. Coordinates publication and dissemination of the policies.

III. PROCEDURES

A. Policy Portfolio Review

Performed By	Action Taken
1. OIT Policy and Procedure Group	<ol style="list-style-type: none"> a. Establishes and maintains policy portfolios working in conjunction with policy Owners. b. Provides the policy Owners with the portfolio status reports on a periodic and as needed basis.
2. Owner	<ol style="list-style-type: none"> b. Designates responsibility for compliance, implementation and monitoring effectiveness of policies within his/her portfolio over the entire life cycle. c. Reviews policies within the portfolio every three years to determine the need for management action to ensure consistency with current environment, business practices and organizational roles.
3. OIT Policy and Procedure Group	<ol style="list-style-type: none"> a. Assists Owner/Author as needed. b. Updates portfolios to reflect outcome of the review.
4. Directors of Office of Information Technology	<ol style="list-style-type: none"> a. Review any changes or updates to policies. b. Determine if it is necessary to review policies with their departments.
5. Vice President for Information Technology & Chief Information Officer	Approves any changes or updates to policies.

B. New Policy Development

Performed By	Action Taken
1. Owner	<ol style="list-style-type: none"> a. Collaborates with areas directly impacted to develop or change the policy. b. Submits a draft for preliminary review to the OIT Policy and Procedure Group. c. Completes a Policy Impact Analysis. d. Completes a Policy Implementation Outline, if required.
2. OIT Policy and Procedure Group	Provides feedback on content and format.
3. Directors of Office of Information Technology	<ol style="list-style-type: none"> a. Review policy proposals. b. Determine if it is necessary to review the new policy with their departments. c. Provide feedback to the OIT Policy and Procedure group indicating endorsements or suggestions for change.

Performed By	Action Taken
4. OIT Policy & Procedure Group	Provides Owner with feedback on content and format.
5. Owner	a. Reviews feedback and makes appropriate changes to content and/or format. b. Submits the final draft to the OIT Policy and Procedure Group for finalization process.
6. OIT Policy Review Committee	a. Reviews the policy and makes recommendations or approves. b. If changes are required, the process starts over at step 4.
7. OIT Policy and Procedure Group	If the policy is a Functional or School/Unit policy, assigns a policy number to the policy and adds it to the database.
1. Directors of Office of Information Technology	a. Review the policy and comment or approve. b. If changes are required, the process starts over at step 4 otherwise the policy is sent to the Vice President for Information Technology & Chief Information Officer for final approval.
2. Vice President for Information Technology & Chief Information Officer	a. Reviews the policy and makes recommendations or approves. b. If changes are required, the process starts over at step 4.
8. OIT Policy and Procedure Group	a. If the policy is a Functional or School/Unit policy, posts the signed policy to the appropriate locations. b. If the policy is a Presidential/Board of Trustees policy, begins the Presidential/Board of Trustees policy process.

C. Policy Revisions

Performed By	Action Taken
1. Owner	a. Collaborates with areas directly impacted to change the policy. b. Submits a marked up draft showing revisions for preliminary review to the OIT Policy and Procedure Group. c. Completes a Policy Implementation Outline, if required.
2. Directors of Office of Information Technology	a. Review policy proposal documentation. b. Determine if it is necessary to review policy revisions with their departments. c. Provide feedback to the OIT Policy & Procedure Group indicating endorsements or suggestions for change.
3. OIT Policy & Procedure Group	Provides Owner with feedback on content and format.
4. Owner	a. Reviews feedback and makes appropriate changes to content and/or format. b. Submits the final draft to the OIT Policy & Procedure Group for finalization process.
5. OIT Policy Review Committee	a. Reviews the policy and makes recommendations or approves. b. If changes are required, the process starts over at step 4.

Performed By	Action Taken
6. Directors of Office of Information Technology	<ul style="list-style-type: none"> a. For significant changes only, reviews the policy and comments or approves. b. If changes are required, the process starts over at step 4, otherwise the policy is sent to the Vice President for Information Technology & Chief Information Officer for final approval.
7. Vice President for Information Technology & Chief Information Officer	<ul style="list-style-type: none"> a. Reviews the policy and makes recommendations or approves. b. If changes are required, the process starts over at step 4.
8. OIT Policy & Procedure Group	<ul style="list-style-type: none"> a. If the policy is a Functional or School/Unit policy, posts the signed policy to the appropriate locations. b. If the policy is a Presidential/Board of Trustees policy, begins the Presidential/Board of Trustees policy process.

D. Policy Rescission

Performed By	Action Taken
1. Owner	<ul style="list-style-type: none"> a. Determines the need to rescind a policy that has become obsolete. b. Assumes or delegates the responsibility to the Author.
2. Author	Requests endorsements from the impacted areas using the designated template.
3. Impacted Areas	Negotiates major disagreements with the Author.
4. Author	Provides OIT Policy and Procedure Group with: <ul style="list-style-type: none"> a. Documentation containing Owner's justification for rescission attesting to the review and agreements by impacted entities. b. Form with signature of impacted area Director's approval.
5. OIT Policy and Procedure Group	<ul style="list-style-type: none"> a. Assesses the impact of the policy rescission on other policies and University operations. Provides appropriate feedback to the Author. b. Provides recommendation to the Directors and the Vice President for Information Technology & Chief Information Officer.
6. Directors of Office of Information Technology	<ul style="list-style-type: none"> a. Review the policy rescission. b. Determine if it is necessary to review policy rescission with their departments. c. Approve or deny rescission.
7. Vice President for Information Technology & Chief Information Officer	Approves or denies rescission.
8. OIT Policy and Procedure Group	<ul style="list-style-type: none"> a. If the policy is a Functional or School/Unit policy, removes the policy from the OIT Policy web site and other locations and stores policy in archive. b. If the policy is a Presidential/Board of Trustees policy, begins the Presidential/Board of Trustees policy rescission process.