



KAY IVEY  
Governor

# STATE OF ALABAMA

## OFFICE OF INFORMATION TECHNOLOGY



JIM PURCELL  
Acting Secretary

### POLICY 101: IT Governance

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VERSION NUMBER	Policy 101-01
VERSION DATE	March 15, 2018
POLICY TITLE	Information Technology (IT) Governance
OBJECTIVES	<p>To ensure the effective and efficient use of IT to enable the State of Alabama government to achieve its goals.</p> <p>To define the IT policy document as a vehicle for recording and communicating IT-related responsibilities to all State agencies, boards, commissions, and departments under the authority cited below.</p>
AUTHORITY	<p>The authority of the Office of Information Technology (OIT) to create and enforce policies relating to the management and operation of IT by State agencies, and exceptions to such authority, are derived from:</p> <p><i>Articles 8 and 11 of Chapter 4 of Title 41, and Chapter 28 of Title 41, Code of Alabama 1975 (Acts 2013-68 and 2017-282).</i></p> <p>Policies of the OIT are approved and signed by the Governor.</p> <p>The Secretary of Information Technology will determine when policy non-compliance is sufficient grounds to deny a user access to State IT systems or withhold agency IT procurement approval. Other policy non-compliance by IT users will be handled in accordance with the applicable disciplinary guidelines established by the user's agency or by State Personnel.</p>
APPLICABILITY	<p>The requirements and responsibilities defined in OIT policies apply to all departments, agencies, offices, boards, commissions, bureaus, and authorities (referred to generally as "agency" or "agencies") and authorized individuals in the employment of the State responsible for the management, operation, or use of State of Alabama IT.</p>

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## STATEMENT OF POLICY

IT Governance is defined as the set of responsibilities and practices exercised by executive management with the goal of providing strategic direction, ensuring that objectives are achieved, ascertaining that risks are managed appropriately, and verifying that organization's IT systems are used responsibly.

IT policies enhance the overall management and strategic value of State IT. Policies provide a framework for agencies throughout state government to recognize the maximum potential of all State IT. Policies are supported by other document types: standards, procedures, guidelines, templates, and forms, to form a complete IT management program. These document types are described in *Standard 101S1: IT Governance Documents*.

Note that within the context of this document, the word "policies" used by itself is intended to indicate policies and all the supporting document types mentioned above.

It is therefore the policy of OIT that:

- a. There shall be defined, implemented, and monitored statewide policies, standards, and procedures applicable to all IT across the whole of state government.
- b. There shall be agency-wide and (as applicable) information system specific policies and procedures applied to IT at an agency to support agency missions and business needs.
- c. The Office of the State Chief Information Security Officer (CISO) is delegated the responsibility of creating and maintaining statewide policies, standards, and procedures and other IT governance documents.

## OIT RESPONSIBILITIES

The Office of the State CISO shall:

- Create and publish statewide IT policies and supporting documentation
- Provide procedures for the review and adoption of IT policies
- Monitor implementation of and compliance with statewide policies, standards, guidelines, and procedures
- Review all agency requests for policy exemption
- Ensure all statewide IT policies, standards, and guidelines are reviewed every three years, and procedures are reviewed at least annually

The Secretary of Information Technology shall review agency exemption appeal requests and shall make the final determination on policy exemption requests.

AGENCY  
RESPONSIBILITIES

Define, implement, and maintain policies, procedures, standards, and guidelines applicable to all IT at the agency; or, adopt the policies, procedures, standards, and guidelines of the OIT and tailor them (where allowable) to fit agency needs.

Ensure agency IT policies are equally or more restrictive than the corresponding OIT statewide policies; never less so (unless by approved exemption).

Ensure that agency IT policies clearly establish the roles, responsibilities, and processes by which agency personnel manage information as an asset and the relationships among technology, data, agency programs, strategies, legal and regulatory requirements, and business objectives.

Agencies shall comply with all applicable OIT statewide policies, and monitor to ensure agency and individual compliance with all statewide and agency IT policies, standards, and procedures.

When an exemption to a mandatory OIT statewide policy, standard, or procedure is required, agencies shall refer to *Procedure 101P3: IT Policy Exemption Request Process* for instructions on requesting the exemption from the OIT requirements.

USER  
RESPONSIBILITIES

Adhere to all applicable IT policies and related requirements.

Report all matters of policy non-compliance to the immediate supervisor, manager, or as defined in the applicable policy, standard, or procedure.

SUPPORTING  
DOCUMENTS

The following documents support this policy:

- Standard 101S1: IT Governance Documents
- Procedure 101P1: IT Policy Workflow and Approval
- Procedure 101P2: IT Policy Review Process
- [Procedure 101P3: IT Policy Exemption Request Process](#)
- [Form 101F1: IT Policy Exemption Request Form](#)

EFFECTIVE DATE

This policy shall be effective upon its approval by the Secretary of Information Technology and Governor of Alabama as evidenced by the signatures of the Secretary and Governor being affixed hereto.

SUPERSEDES

This is the initial policy and does not supersede a previous version.

The undersigned, as Acting Secretary of Information Technology of the State of Alabama, exercising the power vested in that Office by the laws of this State, declares this policy to be adopted as of the date on which the Governor has approved and signed it.



Jim Purcell  
*Acting Secretary of Information Technology*

ORDERED



Kay Ivey  
*Governor*

This 16<sup>th</sup> day of March, 2018.

DOCUMENT CHANGE HISTORY

Version	Version Date	Comments
101-01	03/15/2018	Initial version