GoA IMT Policy Program:

# Operational Processes

IMT Policy Program Team,

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# Revision History

Ensure that this document is current. Printed documents and locally copied files may become obsolete due to changes to the master document.

| Revision | Date | Author | Description of Change |
|---|---|---|---|
| 1.0 | 31May19 | Christine Pastuzyk | Creation |
| 2.0 | 08Aug19 | Christine Pastuzyk | Included a section on IMT Policy Extensions<br>Reviewers sections updated.  SME's will provide feedback directly into IMT Policy using change tracking rather sending to the IMT Policy Program. |

# Introduction

The Information Management and Technology (IMT) Policy Program was created to develop a consistent Government of Alberta (GoA) wide IMT policy instrument process and repository. IMT policy instruments represent a common agreed way of doing things.

This document provides an overview of the IMT policy instruments processes which include: intake and assessments, reviews, and approvals for new and updated IMT policy instruments.

The list below identifies the policy instruments that are in scope of the IMT Policy Program. Acts and Regulations are managed via a partnership with the Service Alberta Corporate Policy team.

The policy instruments listed in order of authority are:

- Acts
- Regulations
- Records Retention and Disposition Schedule
- Policy
- Directives
- Control Framework
- Standards
- Procedures
- Guidelines

# Creating a New IMT Policy Instrument

IMT policy instruments are ratified through the IMT policy instruments review process and represent a common agreed way of doing things.

New IMT policy instruments are created to enable business, prevent risks, or both. A need for a new IMT policy instrument is usually driven by a project, mandate or a change in legislation. Anyone in the GoA can propose an IMT policy instrument for the GoA, however they are typically developed by IMT business units or via project work groups. The IMT Policy Program team may also propose an IMT policy instrument and work with the appropriate IMT business unit to draft an IMT policy instrument.

## Drafting or Updating an IMT Policy Instrument

All IMT policy instruments will be created using the IMT policy instrument template, which is found on the IMT policy repository. The template can be adapted depending on the instrument type. Business areas or IMT professionals are permitted to draft or update an IMT policy instrument if they wish to do so, however this is not a requirement to submit the assessment form.

# Submitting an IMT Policy Instrument Assessment Form

1. IMT policy instrument ideas or opportunities are initiated by sending a completed assessment form to IMT.policy@gov.ab.ca. The assessment form must be completed for the IMT Policy Program team to begin the internal review process.
2. If the requester has completed a draft of the new IMT policy instrument or proposed updates to an existing one, they may choose to send it along with the assessment form. There is no requirement for this to be done in order to submit the assessment form.

The IMT Policy Instrument Assessment Form is available on the IMT policy instruments repository.

## IMT Policy Program Team Review

1. The review process for both new and existing IMT policy instruments is dependent on the instrument type and is managed by the IMT Policy Program team.

2. The IMT Policy Instrument Assessment Form is reviewed to ensure it is complete. If the form is incomplete, it is returned to the requester.

3. A meeting will be scheduled with the requester and the IMT Policy Program Team to review the assessment form and gather more information.

4. After the initial meeting, the IMT Policy Program Team will complete an evaluation to determine if the IMT policy instrument idea or opportunity, or updates to an existing IMT policy instrument are clear, concise, and right for the GoA. The final evaluation will classify the proposed new IMT policy instrument or updates to an existing, as one of the following:

    a. Initial assessment clearly demonstrates the need for the policy.

    b. Initial assessment does not clearly demonstrate the need for the policy.

    c. Initial assessment does not demonstrate the need for the policy.

5. Questions, clarifications or concerns raised by the IMT Policy Program team are sent back to the business area for review. Any changes as a result will be re-submitted to the IMT Policy Program team for another internal review.

6. If the updates to an existing IMT policy instrument are minor and do not affect the actual content or purpose of the IMT policy instrument (minor wording updates or updates to broken links) it may be determined that the IMT policy instrument review process does not need to be initiated with the reviewers. In these instances, the IMT policy instrument

review dates will be updated, to reflect the completed review, in the IMT policy instrument and on the repository. If the updates are deemed to be significant, meaning the content has been updated, then the review process will begin, as identified below.

## IMT Policy Instrument Review

The review process may be completed in stages, with representation from across the GoA. Depending on the type of policy instrument a SME Group, governance committees, Sector CIOs, and/or the approver may complete the reviews. The approver is determined by the IMT policy instrument governance structure which describes the proposed accountability/governance model for new and existing IMT policy instruments. The governance model provides proper oversight and establishes the responsibilities and accountabilities for the IMT Policy Program. More information on the IMT Policy Program governance structure is in the IMT Policy Instruments Oversight document.

The review process is as follows:

1. The IMT Policy Program Team selects the appropriate group(s) for the IMT policy instrument review.

2. If a new SME group is required, a request for resources is sent to the Peer Groups and the Executive Directors of the Enterprise sector.

3. The IMT Policy Program team sends out a IMT Policy review notice to the reviewers.

    a. The notice will include brief highlights of the new IMT policy instrument or updates to the existing IMT policy instrument and an end date for the review.

    b. The SME group will be provided with a link to the IMT Policy instrument and given two weeks to review the IMT policy instrument and provide feedback.

    c. If required, a workshop can be scheduled to review the IMT policy instrument and to allow for group discussions amongst the SMEs.

4. The reviewers complete the review of the IMT policy instrument

    a. SME feedback is provided by the reviewers directly into the IMT Policy instrument using the link provided. Change tracking will be turned on and used to capture all the feedback, recommendations, and concerns from all the reviewers in one location.

5. The IMT policy instrument owner will review the feedback in the IMT Policy instrument and determine if revisions are required to the IMT policy instrument.

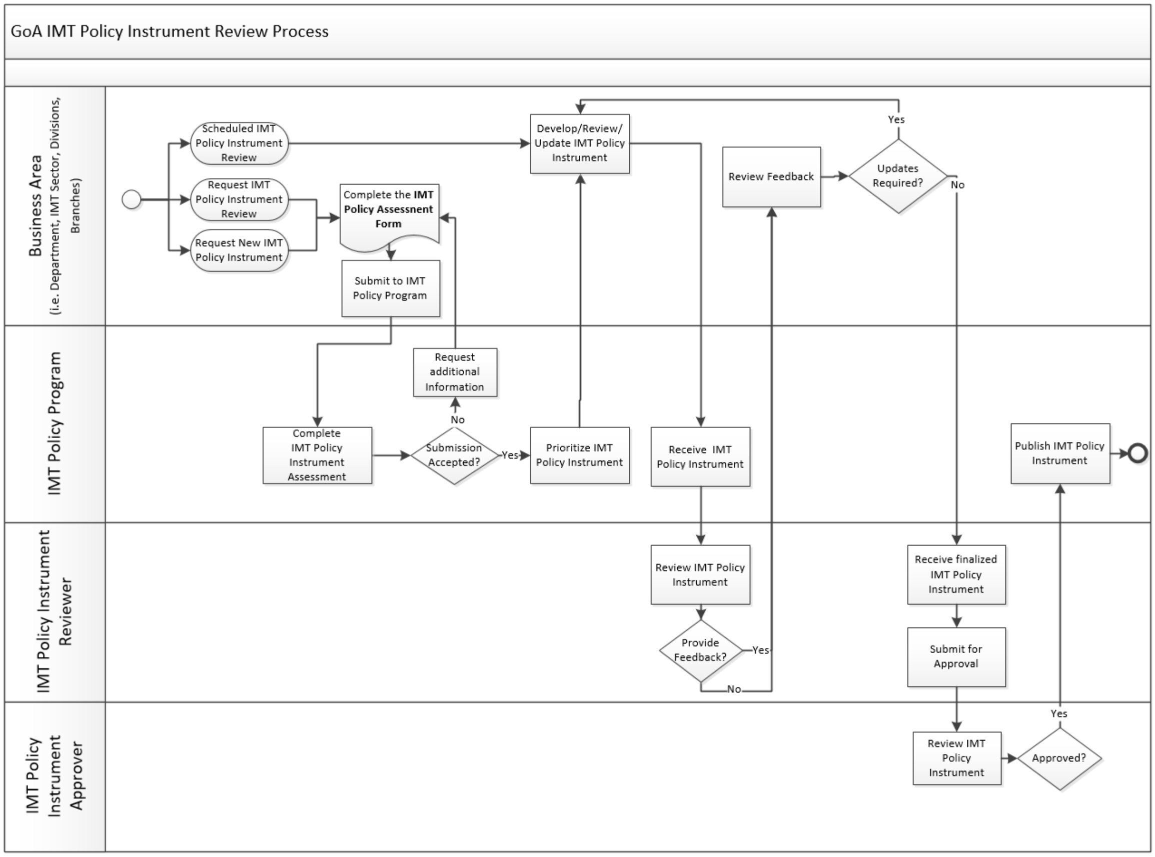
    a. The IMT policy instrument owner will respond to all the reviewers who provided feedback. If feedback is not incorporated into the IMT policy instrument, the owner will provide an explanation to the reviewer who provided the feedback.

b. the IMT Policy Instrument is ready for final approval/ratification after the reviewers have completed the review and the IMT Policy Instrument Owner has reviewed the feedback and made any final updates..

6. The IMT Policy Program Team sends the final ratification request to the approver.

7. If approved, the instrument is then updated on the IMT Policy Repository and communicated to the appropriate groups.

The IMT Policy Instrument Review Workflow;


GoA IMT Policy Instrument Review Process
Business Area
(i.e. Department, IMT Sector, Divisions, Branches)
IMT Policy Program
IMT Policy Instrument Reviewer
IMT Policy Instrument Approver
Scheduled IMT Policy Instrument Review
Request IMT Policy Instrument Review
Request New IMT Policy Instrument
Complete the IMT Policy Assessnent Form
Submit to IMT Policy Program
Develop/Review/ Update IMT Policy Instrument
Review Feedback
Updates Required?
Yes
No
Complete IMT Policy Instrument Assessment
Submission Accepted?
Yes
No
Request additional Information
Prioritize IMT Policy Instrument
Receive IMT Policy Instrument
Publish IMT Policy Instrument
Review IMT Policy Instrument
Provide Feedback?
Yes
No
Receive finalized IMT Policy Instrument
Submit for Approval
Review IMT Policy Instrument
Approved?
Yes

## IMT Policy Instrument Ownership

The IMT business unit that creates the IMT policy instrument will typically become the IMT policy instrument owner, but an IMT policy instrument may be reassigned if it is deemed more appropriate for another area. Ownership could be assigned to the IMT business unit that is most impacted by standardization, or the lack thereof. If multiple IMT business units are affected the IMT Policy Program Team will refer to the accountability/governance model to find where the accountability for those IMT business units converges as either a management role or a governance body.

## IMT Policy Instrument Prioritization

After the IMT Policy Program Team has completed the assessment process, the IMT policy instrument is prioritized by:

- Legislative requirements
- The IMT Sector Plans
- The evaluation score
- Dependencies. If changes are made to an IMT Policy Instrument – what downstream impacts must be mitigated?

IMT policy instrument priorities are tracked in the IMT Policy Instrument Repository and managed by IMT Policy Program Team.

## IMT Policy Instrument Review Escalation Process

An IMT policy instrument reviewer can initiate an IMT policy instrument escalation during an IMT policy instrument review.

A reviewer can escalate their concerns when;

- their departments needs have not been met
- the impact of the IMT Policy Instrument to their department is high
- their concerns have not been addressed via the review process or within an appropriate timeline

The reviewer must provide the reason for the escalation and be able to present their concerns effectively to the IMT policy instruments owner and the IMT Policy Program team.

## IMT Policy Instrument Supporting Documentation

Supporting documentation referenced in an IMT policy instrument will be published on the IMT policy instruments website. These supporting documents should provide additional information to support the IMT policy instrument. Supporting documents are re-evaluated in the annual review process.

## IMT Policy Instrument Extensions

When a business area has a need to exceed the minimum requirements defined in the IMT Policy Instrument an IMT Policy extension is required.  The IMT Policy instrument extensions use the same policy template but are identified as an extension to the main policy.  The extension must be referenced both in the main IMT policy and will be posted on the IMT Policy Instruments repository.

IMT Policy extensions can be easily identified by the title of the policy.  Where there is a policy extension the following naming convention will be followed;

- [Title of Policy] – Extension [Title/Description of Extension]

IMT Policy extensions follow the same IMT Policy Program processes as all IMT Policy documents as described in this document and Operational Processes document.

# Exception Request Process

An exception provides a temporary waiver for a business area to meet specific requirements of a mandatory IMT policy instrument.

The list below identifies, in hierarchal order, the IMT policy instruments that are in scope of the IMT Policy Program exception process:

- Policy
- Directives
- Circulars
- Control Framework
- Standards
- Procedures
- Guidelines

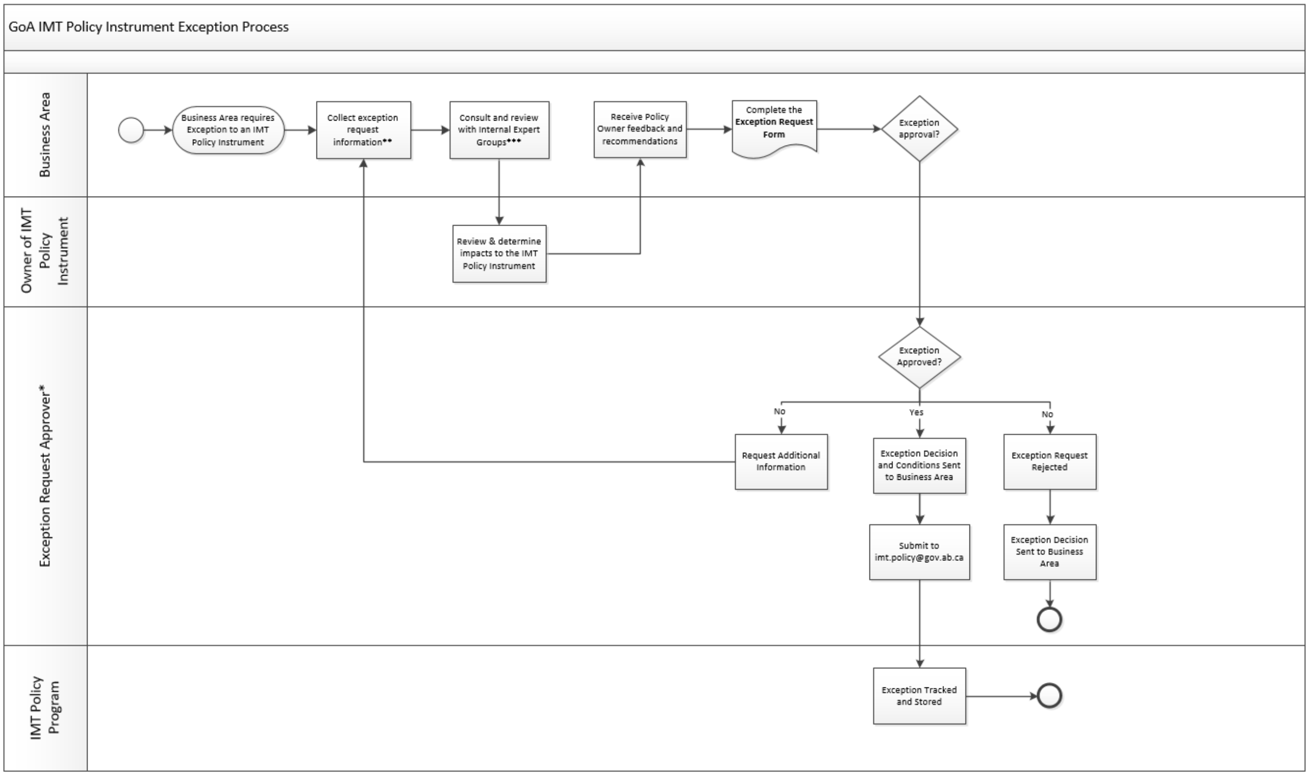
An exception outlines the justification for the exception, assesses the risk to Government of Alberta (GoA) and the Department, and states the duration of the waiver period. The maximum exception duration is one year and all exceptions will be reviewed on the review date to determine if compliance is now in place or if an extension of the exception is required. The following is the exception process:

1. The business area collects the required information for the exception and completes the GoA Exception Request Form.
2. Prior to submission, the IMT policy instrument owner and internal review groups, which may include but are not limited to the IMT Policy Program team, Enterprise Architecture, Information Management, Infrastructure Operations, Information Controllers, and the Corporate Information Security Office, review the exception request. The policy instrument owner and the internal review groups will provide their decisions and recommendations for the exception back to the business area requesting the exception.

3. The business area submits the form to the approver as identified in the Roles, Responsibilities and Accountabilities Matrix for approval.
4. If approved, the IMT policy instrument exception approver submits the Exception Request Form to the IMT Policy Program (imt.policy@gov.ab.ca).
5. The IMT Policy Program will review the exception request, ensure the form is completed, and track the exception. The IMT Policy Program team does not approve or deny exceptions, but can provide advice when requested.
6. The maximum exception duration is one year. All exceptions are reviewed on the review date to determine if compliance is now in place or if an extension of the exception is required.

***Please Note:*** *A business area can choose to exceed the minimum requirements in an IMT Policy Instrument. This will not result in non-compliance and does not require an exception request against the IMT Policy Instrument. See IMT Policy extensions above.*

The IMT Policy Instrument Exception Process Workflow;


GoA IMT Policy Instrument Exception Process
Business Area
Owner of IMT Policy Instrument
Exception Request Approver*
IMT Policy Program
Business Area requires Exception to an IMT Policy Instrument
Collect exception request information**
Consult and review with Internal Expert Groups***
Review & determine impacts to the IMT Policy Instrument
Receive Policy Owner feedback and recommendations
Complete the Exception Request Form
Exception approval?
Exception Approved?
No
Yes
No
Request Additional Information
Exception Decision and Conditions Sent to Business Area
Exception Request Rejected
Submit to imt.policy@gov.ab.ca
Exception Decision Sent to Business Area
Exception Tracked and Stored

***Exception Request Approver** is determined by the IMT Policy Instrument type and is defined in the IMT Policy Program Roles, responsibilities, and accountabilities document

****Collect Information for Exception Request**
Business area to provide the deviation details and non-compliance against a Policy Instrument. The business area must identify the impacts and risks, provide a risk mitigation strategy, and an action plan and dates for future compliance.

*****Internal Expert Groups**
*May include but is not limited to IMT Standards, Enterprise Architecture Office, Enterprise IMT Operations and Infrastructure, Enterprise Information Management, and the Corporate Information Security Office.*