POLICY MANAGEMENT GUIDE

The Department of Information Resources

Abstract

A resource for DIR staff regarding the agency's processes for developing rules and policies

Office of General Counsel

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INTRODUCTION

This guide establishes a consistent, repeatable process for developing, adopting, monitoring, and maintaining rules published in the Texas Administrative Code and internal Department of Information Resources (DIR) policies. Additionally, the Policy Management Guide captures the knowledge of DIR rulemaking and policy development subject matter experts to ensure continuity of institutional knowledge. Therefore, it serves first as a tool for employees establishing new policies or rules and secondly as a tool for employees learning about DIR's processes.

DIR administers policy from two perspectives – external and internal. These are commonly referred to as DIR-Enterprise (DIR-E) and DIR-Agency (DIR-A), respectively. External policies direct statewide initiatives as an enterprise for state agencies and sometimes publicly funded higher education institutions. Internal policies direct the processes and operations of DIR staff and provide deliberate plan of action to guide business decisions and achieve expected outcomes.

DIR administers internal policy based on the general authority of a state agency and on broad authority in TGC §2054.051(b). DIR administers external policy based on specific statutory authority. Examples include but are not limited to Texas Government Code (TGC) §2054.203(e) for state telecommunications services management and on broad authority in TGC §2054.051(b).

This guide applies to DIR's rulemaking process and internal policies (DIR-A). This does not apply to standard operation procedures, such as business continuity, or external policies (DIR-E). This process is specific to policies used internally by DIR. This process covers all internal policies, including human resources.

GUIDE OVERVIEW

The first chapter outlines DIR rule and policy development practices and establishes a common vocabulary. This chapter elaborates on the interconnectedness of policies and rules and creates a common knowledge for developing practices.

The second chapter highlights DIR's process for rulemaking. This chapter emphasizes the essential function of rulemaking by summarizing the need for rules, the internal and statutorily required processes, and the roles and responsibilities for developing rules. Employees searching for information specific to rulemaking should refer to this chapter.

The third chapter focuses on DIR's policy management practices. This chapter discusses the need for policy management, roles and responsibilities, and tools. Employees looking for information specific to policy management should refer to this chapter.

Finally, the appendices contain summaries, tools, and references.

GUIDE OWNERSHIP

This guide was developed by subject matter experts (SMEs) in the Technology Planning, Policy and Governance (TPPG) division and Office of General Counsel (OGC). These SMEs reached out to additional agency resources and SMEs as needed throughout development. This document is owned by the OGC. If you find any errors or have recommendations for improvement, reach out to the OGC with your recommendation. The OGC is eager to improve this document to ensure its ability to serve agency employees in effectively fulfilling DIR's mission and vision.

CHAPTER ONE: INTRODUCTION TO RULES AND POLICIES

Rules and policies are two pieces of the same puzzle. The internal process for creating, drafting, and reviewing a rule or policy will involve the same group of people and the same internal processes. There will be additional administrative steps, external review, and adoption processes for reviewing or creating a rule. For example, the agency provides the Information Technology Council for Higher Education (ITCHE) 90 days to review all rules before they are proposed to the board. Internal policies do not need review from external groups. This chapter, outlines the roles and responsibilities, terminology, and basic practices that apply to both rules and policies.

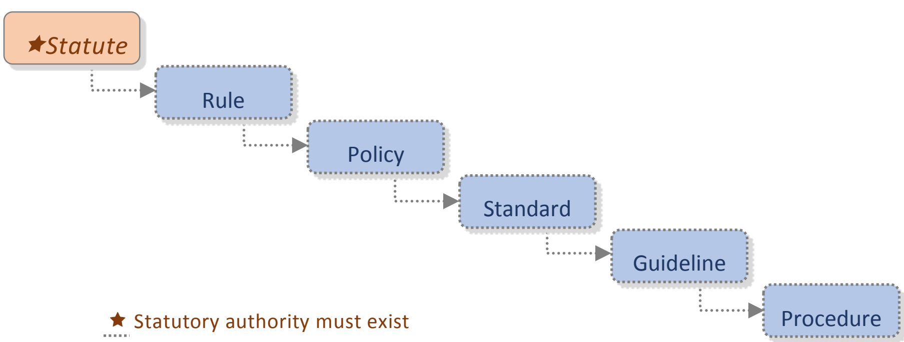
ESTABLISHING A SHARED VOCABULARY

Establishing a shared vocabulary is the essential first step to creating a core knowledge of policy management. While rules differ from policies, they are a key building block and essential component of policy management practices. Below is an introduction the essential terms of rules and policies.

It is essential to understand how these terms work together to create a complete policy toolkit. The section Policy Hierarchy describes the way these words are connected. For a complete list of all terms that are discussed in this guide see Appendix A Glossary.

POLICY HIERARCHY

The policy hierarchy described below is applicable to both rules and policies.



Term	Meaning
Policy management practices	All processes, methods, and activities for performing policy management
Statute	Law as created or amended by the Texas Legislature
Rule	As defined in Texas Administrative Code (TAC) §91.2 (1), Any agency statement of general applicability that implements, interprets, or prescribes law or policy or describes the procedure or practice requirements of an agency. It includes the amendment or repeal of a prior rule, but does not include a statement regarding only the internal management of a state agency not affecting private rights or procedures.
Policy	Formal statements that establish parameters for decision making and action; standards, guidelines, and procedures may follow
Standard	Specifications that contain measurable, mandatory requirements to be applied to a process, technology, and/or action in support of statute definition, format, or specification that has been approved by a recognized, formal, national and international standards organization or is accepted as a de facto standard by the industry
Guideline	Recommended instructions that provide assistance with determining a specific course of action

Term	Meaning
Procedure	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 achieve a desired result

Policy hierarchy establishes a common interpretation of relationships among statutes, rules, and policies. General principles for the policy hierarchy:

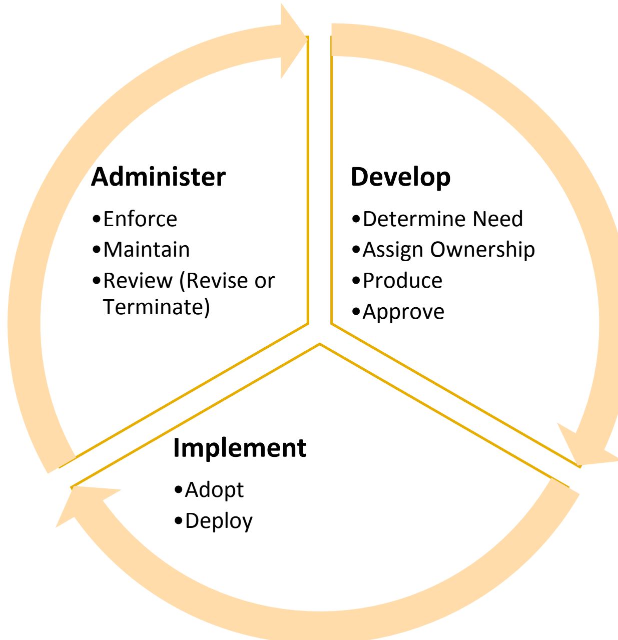
- Relationship is top-down
- Statutory authority must exist in order for rules and associated policies to exist or to be references.
    - Statutory authority does not need to be specific to the policy. For example, many internal policies are developed under the broad authority of TGC §2054.051(b) and the authority given to state agencies.
    - Certain internal policies may have a specific statutory authority. For example, TGC §411.1405 directs state agencies to develop a wellness program. Therefore, DIR developed policy 036 the Wellness Program Policy.
- Existence of a rule is optional even when statutory authority does exist, unless the statute mandates that a rule be adopted.
- If rules do exist, more than one rule may be applicable to a given policy.
- External influences are intentionally not illustrated. These may include but are not limited to industry best practices, emerging technologies, judicial decisions, federal and state regulations, executive orders, legislation, contractual requirements, and management direction.

ESSENTIAL FUNCTIONS OF POLICY MANAGEMENT PRACTICES

DIR recognizes the need to establish a formal, repeatable, and comprehensive process for developing and maintaining internal policies. The purpose of the policy management policy is to ensure policies are regularly reviewed for business necessity, revisions, effectiveness, and efficiency. The goal of this document is to develop a consistent process for all internal policy development.

POLICY LIFECYCLE

Rules and policies follow a lifecycle. It is essential that rules and policies are addressed throughout the lifecycle to ensure their effectiveness. The creation of a new rule or policy requires evaluation of the need and purpose. Careful consideration should be placed on how a rule or policy will help the organization function. Too few rules and policies can increase agency inconsistency and risks, but too many will hinder workflow and slow the organization. Likewise, revising or repealing a current rule or policy requires great care and attention. The rule or policy may be serving a purpose that is not seen, but is felt throughout the agency. While a rule or policy might appear unnecessary, it might be essential to the work of others or legislatively mandated



The lifecycle of each rule or policy must be completed. Any rule or policy developed without attention to implementation or administration will have difficulty being adopted and enforced. Likewise, if a policy is implemented but not administered, there will be no metrics to judge the viability and benefits of a policy and it will quickly become obsolete. Therefore, those with the responsibility of creating rules and policies must consider how will it be implemented, enforced, and maintained and take responsibility for the policy, as appropriate. Upon review of the policy, if it is determined that the need for the policy or rule no longer exists, it should be terminated.

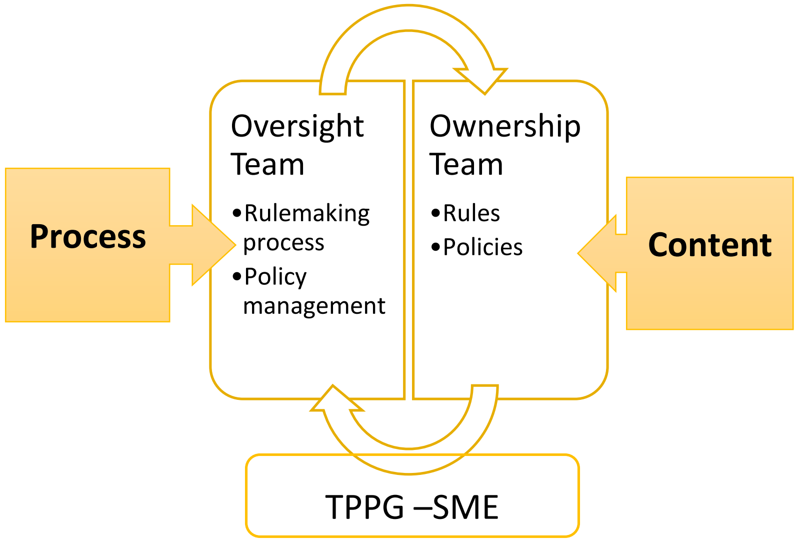
While it is not required, best practices recommend that organization change management be considered when rolling out new rules or policies. These practices can increase the success of adoption and decrease the productivity loss that occurs when new rules policies are implemented.

GENERAL PROCESS AT DIR

The process for developing rules and internal policies are very similar. The same people will be involved, and the same internal process will be followed. Differences arise in the level of formality required for rulemaking and the external stakeholders involved in rules. These differences will be addressed in Chapter Two, Rulemaking. This section introduces the general process and provides guidance on whom to consult if you need to create a rule or internal policy.

ROLES AND RESPONSIBILITY

There will be additional responsibilities added to each role during the rulemaking process. However, these are shared responsibilities between the two processes of developing rules or policies. The differences will be highlighted in Chapters Two and Three focusing on rulemaking and policy development, respectively.



The roles at DIR are divided between two teams, the Oversight Team and Ownership Team. In addition to the two teams, the TPPG may provide subject matter expertise on policymaking, state-wide initiatives, and current trends. They may be called upon by either team to assist throughout the process. Their level of involvement will be determined by the content topic and need.

The Oversight Team focuses on the processes of conducting rule and policy review. In other words, the Oversight Team owns the policy management function at DIR. The Ownership team focuses on content. While the Oversight team owns the system of reviewing rules and policies, the Ownership team owns specific rules and policies. Each is described in greater detail below. People might have multiple roles for certain rules or policies. For example, the Oversight Administrator may also be an Owner in specific circumstances.

OVERSIGHT TEAM

The Oversight Team is responsible for ensuring that policies and rules are reviewed regularly and follow the correct process. Particularly for rules, these roles will be heavily involved in helping others through the process. The Administrator and Facilitator provide oversight by owning the review processes. The Administrator is responsible for the process. The Facilitator conducts the process.

ADMINISTRATOR

The Administrator **owns** the policy and rulemaking **process** at DIR. Below is a brief description of their role.

- Provide legal advice and expertise regarding policies and rules.
- Provide legal advice and expertise regarding the rulemaking process.
- Ensure that all *Texas Register* requirements are met.
- Direct the Facilitator to complete work.
- Support the Facilitator on processes.
- Communicate with the executive team, DIR Board, and external stakeholders, as necessary.

FACILITATOR

The Facilitator **manages** the **process** and reports to the Administrator. The Administrator is the process owner, whereas the Facilitator manages the process. Below is a brief description of their role.

- Manage the Review Cycle.
- Notify all parties when it is time to review a rule or policy.
- Develop documents, as appropriate, to support the rule such as submissions to the Texas Register.
- Act as project manager for rulemaking and rule reviews.
- Raise issues as necessary to the Administrator.

- Provide guidance to the Owner on the process.
- Advise Owners of the appropriate content to include in a rule or policy, as appropriate.
- Communication liaison between all parties, as appropriate.
- Combine edits and prepare formatting for the *Texas Register* for rules.

OWNERSHIP TEAM

Each rule and policy at DIR is owned by an Executive Sponsor, division Owner, and legal Owner. Usually, it is clear who should own a rule or policy. However, some rules or policies may be related to multiple divisions. In this case, the Administrator will work with the stakeholders and executive team to determine and assign ownership.

EXECUTIVE SPONSOR

A sponsor is a member of the executive team to which an **Owner** of a rule or policy **reports**. The level of involvement of a sponsor is determined by the subject matter of the policy and in consultation with the Administrator and Owner. Some Sponsors may take on the role of Owner throughout the lifecycle. The role of Sponsor may be reassigned to a non-Executive level as determined in consultation with the Administrator and Owner. Therefore, this description of their role may include the following:

- Support Owner throughout the rulemaking and policymaking process.
- Communicate with the executive team, DIR Board, and external stakeholders, as needed.
- Represent the Owner, as needed.
- Assist in the policy lifecycle, as needed.
- Work with the Owner and Administrator to determine level of involvement.

OWNER

The Owner **manages** the **content** for a rule or policy.

- Conduct research and analysis to make sure rule or policy is effective.
- Enforce rule or policy, as appropriate.
- Communication to and training for end users.
- Draft language changes.
- Follow direction and guidance provided by the Oversight team.

LEGAL OWNER

The Legal Owner **manages** the **legal** content for a rule or policy and provides legal advice specific to that rule or policy. They will work closely with the Owner on specific rules or policies.

- Provide knowledge of statute, legislative history, and legal precedence.
- Provide edits and content knowledge for any Texas Register documents.
- Ensure the content is within legal authority for DIR.
- Advise as necessary
- Communicate with stakeholders, as necessary.
- Provide legal support for the Owner.

RESOURCES

These are roles that might be called upon as needed throughout the process. It is recommended to consult with DIR divisions at the beginning of a rulemaking or policymaking process to determine their level of involvement. This may include, but is not limited to, TPPG and Internal Audit. Owners should be aware of other divisions that may have interest in a rule or policy and include them in any workgroups and processes, as needed.

POLICY DIVISION

TPPG acts as subject matter experts on developing rules and policies, and in some cases will be designated as the content Owner.

- Advise others of the appropriate content to include in a rule or policy, as appropriate.

INTERNAL AUDIT

The Audit team might identify the need for a rule or policy that kick starts a rulemaking or policy initiative. Owners might consult audit on the ability to enforce a new rule or policy.

PROCESS

The process for reviewing rules and policies at DIR follows the following process.

1. Determine level of need
2. Assign ownership
3. Create workgroup
4. Workgroup creates draft
5. Workgroup vets draft with stakeholders as necessary
6. Route for approval
7. Adoption
8. Communication and deployment
9. Prepare for next review date

This is a general overview of the process at DIR. For specific steps and procedures, see the chapters on rulemaking and policymaking respectively.

CHAPTER TWO RULEMAKING

The rulemaking process is set forth in the Texas Government Code, Chapter 2001 and Chapter 2002. The Texas Secretary of State administers the rulemaking process for the state including the Texas Administrative Code and the *Texas Register*. The Texas Administrative Code is the Code in which all rules developed by state agencies are published. The *Texas Register* is a weekly publication produced by the Texas Secretary of State which "serves as the journal of state agency rulemaking for Texas"[1] according to the Secretary of State:

> Information published in the *Texas Register* includes proposed, adopted, withdrawn and emergency rule actions, notices of state agency review of agency rules, governor's appointments, attorney general opinions, and miscellaneous documents such as requests for proposals. After adoption, these rulemaking actions are codified into the *Texas Administrative Code*.[2]

There are prescribed steps that a state agency must follow in order for a rule to be adopted. If these steps are not followed, the rule may be challenged in a court of law and overturned. DIR must follow all prescribed steps in order to ensure the validity of the rules in court.

DEVELOP

The rule review process officially begins when the Notice of Intent to Review is published in the Texas Register. However, work begins several weeks before publication of that notice.

DETERMINE NEED

The Oversight Team is responsible for knowing when a rule review needs to take place and notifying the Ownership Team. The Facilitator will draft the Notice, and the Administrator will take the Notice to the DIR Board for approval to publish it in the Texas Register.

Once a rule review notice has been published, all roles work together to review the rule. All related policy documents will be reviewed simultaneously with the rule. There are three essential questions to ask when reviewing a rule.

Do the reasons for adopting the rule continue to exist?

Does legislation or recent statutory changes affect the rule?

Are there other reasons to change the rule?

When reviewing the rule, these questions will determine how you want to modify the rule. A rule review can conclude in four ways: 1.) adopt without changes, 2.) adopt with changes, 3.) repeal and replace, or 4.) repeal.

- If the reasons for adopting the rule continue to exist, then the rule cannot be repealed. It must be
    - adopted without changes,
    - adopted with changes or
    - repealed and replaced.
- If the reasons for adopting the rule do not continue to exist, then the rule must be repealed.
- When changes are extensive, it is best to repeal the old rule and replace it completely with a new one.

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[1] Texas Secretary of State. State Rules and Open Meetings. 2015. Retrieved October 5, 2015 from http://www.sos.state.tx.us/texreg/index.shtml

[2] Ibid.

Proposed Rule

Adopt without changes | Adopt with changes | Repeal/ Replace | Repeal

ASSIGN OWNERSHIP

Owners do not need to know the specific steps or formal ways to work with the *Texas Register* to ensure rules are properly adopted. The Owners essential function lies in following the Facilitator's and Administrator's instructions. Owners should never start a rulemaking project without first speaking to the Administrator and Facilitator. Starting a rulemaking project without consulting them could invalidate the work and require starting the project over at a later date. The main takeaway for Sponsors and Owners is to:

1. Always **inform** and **include** the Administrator and Facilitator on rulemaking projects.
2. **Follow the instructions** provided by the Administrator and Facilitator.
3. **Rely** on the Administrator and Facilitator to **communicate with the DIR Board, the Texas Register, and other external stakeholders**, unless otherwise directed by the Administrator.

PRODUCE

The Owner is responsible for drafting new language and recommending changes to the Rule. These edits are usually made in consultation with the Legal Owner. Often the edits are made in meetings with all parties involved. The Facilitator acts as the project manager throughout this process. Owners may choose to not rely on the Facilitator for project management. If the Owner decides not to use the Facilitator as the project manager, then they must keep the Facilitator informed throughout the entire process.

After language changes are developed by the Owner in coordination with the internal workgroup, the drafted rule is presented to the external workgroup for comments. It is highly recommended and preferred to request feedback from additional stakeholders regarding the proposed changes during the ITCHE review period. Vetting rules with external stakeholders helps DIR identify any additional changes or mistakes in the proposal. Additionally, this provides the impacted parties time to ask questions and understand the consequences of the proposal. Historically, DIR has found that vetting questions with external stakeholders decreases the amount of comments received during the official commenting period.

When a rule has been drafted, DIR is statutorily required to consult with the Information Technology Council for Higher Education (ITCHE), per Texas Government Code §2054.121. DIR staff continually strive to maintain a positive relationship with ITCHE. Therefore, DIR staff strives to give ITCHE ninety (90) days to review proposed changes to any rules and associated policy documents, unless significant reasons exist to narrow the time.

APPROVE

After considering feedback from ITCHE and external stakeholders, the Facilitator prepares the documentation for the *Texas Register* and the Board. The DIR Board is required to approve all rules before proposing them in the *Texas Register*. After receiving approval from the Board, the proposal is submitted to and published in the *Texas Register* for a minimum thirty-day public comment period. At the end of the comment period, the rules are eligible for adoption. Depending upon the significance of the comments received, the rule may have to be edited and re-proposed before adoption.

IMPLEMENT

The implementation stage begins when a final draft of the rule or policy content is agreed upon by the workgroup and stakeholders.

ADOPT

The facilitator prepares the documentation for the *Texas Register* and the Board for adoption. After receiving approval from the Board and receiving the Board Order, the adoption is submitted to and published in the *Texas Register*, as required by statute. The adopted rule is effective twenty days after submission to the Texas Register

DEPLOY

The Facilitator then drafts and submits a Close-Out Notification to complete the Rule Review process. This step is essential as the rule review cycle is based upon the receipt of this document.

The Facilitator will also delegate communication of the rule publication to the Administrator, Owner, or Sponsor. Deployment of the rule will be communicated through channels determined appropriate for the rule, including webinars, meetings with agencies, and email lists.

ADMINISTER

ENFORCE

The Owner and Facilitator will work together to determine a schedule for rule implementation training, if necessary.

MAINTAIN

The Facilitator will update the comprehensive list of rules to reflect the rule, including the next review date to develop a policy review cycle.

All working files used in the development of the rule must be retained according to the DIR Records Retention Schedule.

REVIEW AND REVISE

Rules must be reviewed every four years, per Texas Government Code, §2001.039.

CHAPTER THREE: POLICYMAKING

A comprehensive policy process will enhance the implementation and enforcement of DIR policies, prompt regular reviews of existing policies and make those policies readily available on an enterprise-wide basis. This guide provides each DIR division the flexibility and discretion to develop policy efficiently, and to increase the opportunity to achieve policy goals, while establishing accountability for policy development, implementation, enforcement, and objectives.

Good policy-making will be based on evidence setting out what the need is and potentially evidence surrounding how best to intervene to meet the need also. This is particularly important when policies come forward for consideration by the Executive Sponsor, which must decide among a wide range of competing priorities.

POLICYMAKING PROCESS

Similar to the rulemaking process, the policymaking process involves a number of steps that must be followed to successfully implement a policy.

DEVELOP

DETERMINE NEED

The first step of the policymaking process is to determine the level of need. Aside from statutorily required policies, the need for a policy is typically identified when problems surrounding a particular issue occur frequently or hinder performance. Problems that occur due to existing policies create need for policy revision. Questions to ask while determining need:

1. **Is the policy necessary?** Can the desired outcome or solution be achieved without implementing a policy? Is the existing policy still serving a purpose? Have the goals of the policy been met or have become outdated?
2. **Is the policy serving its intended purpose?** Assuming the policy is still necessary, is it achieving the desired goals as currently written? Do any of the terms of the policy, including its procedures, need modification?

Owners or Executive Sponsors may identify the need for a new policy or for revisions to an existing policy. The policymaking process begins once the Sponsor has approved the need for the new policy or policy revision.

ASSIGN OWNERSHIP

Once the need for the policy has been approved by the Sponsor, the Administrator will assign ownership to the appropriate content owners depending on the level of involvement. The Administrator will work with the Sponsor to assign a Facilitator, Owner, and suggest internal division liaisons to be included in the workgroup for the specific policy, which may include a Legal Owner.

PRODUCE

Once an internal workgroup has been set up, the next step in the policy making process concerns the drafting of the policy. The Facilitator will develop a schedule and administer the process of drafting content for the policy. The Owner and workgroup members will be responsible for content as assigned. For consistency, policymakers should adhere to the DIR Policy Template.

APPROVE

The Facilitator routes the drafted policy for review to additional internal SME's as necessary. These SMEs will provide guidance and knowledge on policy development and appropriateness of policies. They will also review the final policy once completed.

The Facilitator and SME's may decide to consult with an optional workgroup, people outside of the policy making process, who may provide additional perspective on the effects of the policy. This workgroup can be made up of higher level SMEs from Institutions of Higher Education or other agencies. The policy draft may be reviewed with this workgroup as well.

IMPLEMENT

ADOPT

Every policy should be circulated for approval. The Facilitator should route the policy for approval from:

- Owner
- Legal Owner, if applicable
- Sponsor
- Administrator
- Executive Director

Signatures may be provided consecutively or concurrently. Adoption of the policy is complete when it is signed by the executive director of DIR, or designee.

DEPLOY

The final approved policy will be published on DIR's intranet site, The DROP Zone. The Facilitator will work with DROP Zone publishers to upload the policy to the site. The Facilitator will also delegate communication of the policy publication to the Administrator, Owner, or Sponsor. Deployment of the new policy will be communicated through channels determined appropriate for the policy, including internal social media channels and email lists.

The effective date of the policy is determined by its published date on the DROP Zone.

ADMINISTER

ENFORCE

The Owner and Facilitator will work together to determine a schedule for policy implementation training, if necessary. For new policies, a notification to executive leadership on the effects of the policy to their employees should be scheduled.

Specifications within policy should determine individuals responsible for compliance and disciplinary actions regarding the policy.

MAINTAIN

With the help of the policy division, the Facilitator will update the comprehensive list of policies to reflect the new or revised policy, including summaries and review date to develop a policy review cycle. The policy division and Facilitator will also propose to retire certain policies that are deemed unnecessary and if needed.

All working files used in the development of the policy must be retained according to the DIR Records Retention Schedule.

REVIEW AND REVISE

The policy must be reviewed every two years for renewal, revision, or repeal after the effective date of the policy.

APPENDIXES

Most appendixes included here can also be found as separate documents. They are included here for convenience.

APPENDIX A: GLOSSARY

Administrator: The owner the policy and rulemaking process at DIR.

Executive Sponsor: A member of the executive team to which an Owner of a rule or policy reports.

Facilitator: The role responsible for managing the process that reports to the Administrator.

Guideline: Recommended instructions that provide assistance with determining a specific course of action.

Legal Owner: The role responsible for managing the legal content for a rule or policy and providing legal advice specific to that rule or policy.

Policy: Formal statements that establish parameters for decision making and action; standards, guidelines, and procedures may follow.

Policy lifecycle: The process in which rules and policies are developed, implemented, and administered.

Policy management practices: All processes, methods, and activities for performing policy management.

Procedure: 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 achieve a desired result.

Oversight Team: The roles responsible for ensuring that policies and rules are reviewed regularly and follow the correct process.

Owner: The role responsible for managing the content for a rule or policy.

Ownership Team: The roles responsible for owning the content in rules and policies.

Rule: As defined in Texas Administrative Code (TAC) §91.2 (1), Any agency statement of general applicability that implements, interprets, or prescribes law or policy or describes the procedure or practice requirements of an agency. It includes the amendment or repeal of a prior rule, but does not include a statement regarding only the internal management of a state agency not affecting private rights or procedures.

Standard: Specifications that contain measurable, mandatory requirements to be applied to a process, technology, and/or action in support of statute definition, format, or specification that has been approved by a recognized, formal, national and international standards organization or is accepted as a de facto standard by the industry

Statute: Law as created or amended by the Texas Legislature.

APPENDIX B: QUICK REFERENCE CHART

Policy Management Guide Quick Reference

The table depicts all major actions and associated activities for technology policy management.

Action	Role	Development Activities	Tools/Deliverables
DEVELOP			
Determine Need Decide that a problem or reason for change exists	Anyone	• Use stakeholder, monitoring, maintenance, or other feedback to pinpoint a potential problem or reason for change • Explore the potential change against business needs with stakeholders as needed • Perform analysis and resolve whether a change is needed • Notify the Administrator that a change might be needed	–
	Administrator	• Consult and advise with stakeholders, sharing historical information for domain product changes as needed • Agree that a need exists	
Define Recommend and characterize deliverable (i.e rule or policy)	Executive Sponsor	• Identify Owner for a new deliverable or confirm Custodian of an existing rule or policy • Review change and advise as needed • Work with Owner to determine level of involvement	–
	Owner	• Review, analyze, and validate with stakeholders • Notify Facilitator that a change is needed	
	Facilitator	• Review, analyze, and validate changes • Consult and advise with Owner, sharing historical information for changes and ensuring Owner reviews current version of the Handbook and other tools • Develop a work plan and timeline • Develop board materials and Texas Register notifications as appropriate	
	Administrator	• Identify Owner • Review draft and advise as needed • Communicate with the executive team, the board as appropriate	
Produce Draft and define a deliverable for creation, revision, or retirement of a domain product	Executive Sponsor	• Work with Owner to determine level of involvement	• Board Memo • Texas Register Notice • Policy
	Owner	• Create or revise the domain product using the appropriate domain product template, or markup changes to revise or retire domain product • Seek input from stakeholders before the domain product is routed for adoption • Ensure domain product aligns with policy building blocks • Identify inconsistencies with other related domain products • Follow facilitator directions	
	Facilitator	• Preliminarily, review, analyze, and validate changes • Assess whether the domain product aligns with policy building blocks • Consult and advise with Owner, focusing on use of policy building blocks and operational activities that may be impacted as a result of development and administration of the domain product	
	Administrator	• Review draft and advise as needed • Communicate with the executive team, the board, and external stakeholders as appropriate	
DEPLOY			
Adopt Formally accept the new policy or rule	Executive Sponsor	• Work with team to assess level of comments and continue to adopt or return to produce	• Board Memo • Board Order • Texas Register Notice • Executed Policy
	Owner	• Work with team to assess level of comments and continue to adopt or return to produce	
	Facilitator	• Work with team to assess level of comments and continue to adopt or return to produce • Finalize content, address formatting, comments • Develop board materials and Texas Register notifications as appropriate	
	Administrator	• Work with team to assess level of comments and continue to adopt or return to produce • Review draft and advise as needed • Communicate with the executive team, the board as appropriate	
Deploy	Executive Sponsor	• Support Owner in communicating and training, as necessary • Advocate adoption, as necessary	• Communication Plan • Training Tools
	Owner	• Communicate and train as necessary • Clarifies content and intent	

	Facilitator	• Update the lifecycle • Support teams as appropriate • Manage documents from review process according to RRS.	
	Administrator	• Support teams as appropriate	
Administer			
Enforce	Executive Sponsor	• Support efforts of Owner • Work with team members as necessary	—
	Owner	• Work with management to ensure compliance • Work with audit, as necessary	
	Facilitator	• Support efforts of Owner • Work with team members as necessary	
	Administrator	• Support efforts of Owner • Work with team members as necessary	
Maintain	Executive Sponsor	• Support efforts of Owner • Work with team members as necessary	—
	Owner	• Hold refresher trainings as needed • Continue to communicate with staff about the policy • Continue to analyze and research	
	Facilitator	• Support efforts of Owner • Work with team members as necessary	
	Administrator	• Support efforts of Owner • Work with team members as necessary	
Review (Revise or Terminate)	Executive Sponsor	• Support efforts of Owner • Work with team members as necessary	—
	Owner	• Continue to analyze and research • Consider the need to conduct an official review	
	Facilitator	• Maintain the rulemaking schedule • Notify the teams when it is time to review a rule or policy	
	Administrator	• Support efforts of Owner • Work with team members as necessary	

APPENDIX D: POLICY TEMPLATE

The standard DIR policy template includes sections on policy versioning and review, purpose, scope, policy, compliance (if applicable), disciplinary action (if applicable), change management, definitions, references, and version history.

Department of Information Resources (DIR)
Policy Version: X.x
Adopted: Month DD, YYYY
Next Review: Month DD, YYYY

Policy Name Policy

Overview

Provide a brief overview of what the policy is doing (state the policy) and the principles of the policy. This will allow for those who read this section only an idea of what the policy is and how it applies.

Scope

Provide information concerning the applicability of the policy. It is important to clearly define when a policy should, and should not, be taken into consideration.

Purpose

Provide an explanation for why the policy is being created. This may include any reasons, history, or intent that led to the creation of the policy. This information is valuable when policies are revisited or used in ambiguous situations to reduce unintended outcomes.

Policy

Describe the actual content of the policy. Good policies are detailed, but also brief. It is important that the policy address all aspects of the original reason for developing the policy. The policy should be written in such a way that it is easily understandable and can clearly guide decisions, if possible.

Section Heading

Text…

Section Heading

Text…

Section Heading

Text…

Policy Compliance – If applicable, remove this section for DIR-E policy.

Detail who is responsible for ensuring adherence to this policy (i.e. the Executive Director, each member of management).

Disciplinary Action – Remove this section for DIR-E policy.

Describe the ramifications for violating the policy, if applicable. Including the responsible parties for administering the disciplinary action, and the extent of the action itself.

Change Management

This policy is subject to change. All changes to this policy shall follow the DIR Policy Management Guide.

Definitions and Acronyms

IT Services – Remove this term for DIR-E policy.
A workgroup within DIR under the direction of the Information Resources Manager (IRM).
User – Remove this term for DIR-E policy.
Any individual, including, but not limited to, DIR personnel, temporary employees, employees of independent contractors, vendors, or volunteers, who is authorized to access DIR electronic information resources and data for legitimate government purposes. This definition excludes guest network users.
Term3
Definition…

References

Provide a list of similar policies, laws specifying why this policy must be established, or statutes that are required by this policy:

- Resources, citations, and domain products related to this policy
- Related Standards, Laws, or Statutes

Version History

Version 1.0 – Month DD, YYYY – Adopted policy.

APPENDIX E: POLICY EXAMPLES

Data Management- to develop and execute policies and procedures that properly manage full data management for the needs of an agency.
Texas Department of Information Resources Internal Policy: Data Classification and Management Policy, 07/22/2014
University of Texas at Austin: Data Classification , 8/24/2015

Security- what it means to be secure for a system or agency and to address the constraints on behavior of its members and systems.
State of New York: Information Security Policy, 06/19/2015
State of South Carolina: Information Security Policy, 11/03/2014

Disaster Recovery- How agency work can be resumed quickly and effectively following a disaster. These policies allow for business continuity planning and can be applied to aspects of the agency or organization that rely on IT infrastructure.
State of Arizona: Incident Response Planning Policy, 07/01/2015