

## TITLE 2. ADMINISTRATION

## CHAPTER 18. GOVERNMENT INFORMATION TECHNOLOGY AGENCY

(Authority: A.R.S. § 41-3504 et seq.)

## ARTICLE 1. GENERAL PROVISIONS

*Article 1, consisting of Section R2-18-101, adopted effective July 9, 1998 (Supp. 98-3).*

## Section

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## ARTICLE 2. INFORMATION TECHNOLOGY PROJECTS

*Article 2, consisting of Section R2-18-201, adopted effective July 9, 1998 (Supp. 98-3).*

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## ARTICLE 3. INFORMATION TECHNOLOGY PLANNING

*Article 3, consisting of Section R2-18-301, adopted effective July 9, 1998 (Supp. 98-3).*

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## ARTICLE 4. APPEALS OF GOVERNMENT INFORMATION TECHNOLOGY AGENCY DECISIONS

*Article 4, consisting of Section R2-18-401, adopted effective July 9, 1998 (Supp. 98-3).*

## Section

R2-18-401. Appeals

## ARTICLE 1. GENERAL PROVISIONS

## R2-18-101. Definitions

Unless the context requires otherwise, the following definitions apply:

1. "Appeal" means a written request filed with the Information Technology Authorization Committee (ITAC) by a budget unit challenging a decision by the Government Information Technology Agency (GITA) to reject the budget unit's proposed IT Plan or project.
2. "CEO" means chief executive officer.
3. "Critical information technology project," as used in A.R.S. Title 41, Chapter 32, means an IT project having development costs greater than \$1 million that GITA or ITAC determines warrants monitoring because it:
  - a. Is complex,
  - b. Involves advanced technology not previously deployed in any budget unit, or
  - c. Requires technical expertise that is not available in the budget unit.
4. "Development costs" means the sum of IT project start-up costs, as defined in the PIJ instructions.
5. "Disapprove" means reject.
6. "GITA" means Government Information Technology Agency, which is established under A.R.S. § 41-3501, et seq.
7. "Incomplete IT Plan or PIJ" means an IT Plan or PIJ that is missing information, sections, or approvals, as determined by GITA.
8. "Information technology plan" ("IT Plan"), as used in A.R.S. Title 41, Chapter 32, means a documented strategy for IT resources and practices to support business direction over a specific period of time.

9. "Information technology project," as used in A.R.S. Title 41, Chapter 32, means a series of activities, events, and investments to develop and implement a new or enhanced IT system over a prescribed period of time.
10. "IT" means information technology.
11. "ITAC" means Information Technology Authorization Committee, which is established under A.R.S. § 41-3521.
12. "Major information technology project," as used in A.R.S. Title 41, Chapter 32, means an IT project that has development costs greater than \$1 million and:
  - a. Is necessary to the state or budget unit mission;
  - b. Is necessary to protect health, welfare, or safety of the public;
  - c. Is necessary for homeland security;
  - d. Is legally mandated;
  - e. Is necessary to improve government efficiency and effectiveness;
  - f. Involves a political subdivision; or
  - g. Involves multiple budget units.
13. "PIJ" means project investment justification document.
14. "Priority category," as used in A.R.S. Title 41, Chapter 32, means a grouping of approved GITA projects by GITA-defined criteria.
15. "Project investment justification template" means a standard set of forms and reporting formats to be prepared by a budget unit and submitted to GITA to describe an IT project and to identify resources, technologies, values, costs, goals, risks, quality assurance issues associated with the project, and to establish a specific time period for development and implementation of the project.
16. "Project status report" means a standard project status summary that is used by a budget unit to report progress on IT projects.
17. "Quality assurance plan," as used in A.R.S. Title 41, Chapter 32, means a budget unit's process of evaluating overall program or project activities and tasks on a regular basis to provide the confidence that the IT program or project will produce the desired outcomes.
18. "Standards" as used in A.R.S. Title 41, Chapter 32 means requirements relating to technical coordination and security components of information technology adopted by GITA for the purpose of developing and maintaining statewide coordinated use of, and access to, information technology resources.
19. "Temporarily suspend the expenditure of monies," as used in A.R.S. Title 41, Chapter 32, means an order from GITA to a budget unit to immediately cease all expenditures of monies for a specific IT project if GITA determines that the IT project is at risk of failing to achieve the intended results, or does not comply with A.R.S. Title 41, Chapter 32 requirements.
20. "Total project costs," as used in A.R.S. Title 41, Chapter 32, means the costs associated with a series of activities, events, and investments to develop and implement a new or enhanced IT system.

**Historical Note**

Adopted effective July 9, 1998 (Supp. 98-2). Amended by final rulemaking at 10 A.A.R. 4449, effective December 4, 2004 (04-4).

**ARTICLE 2. INFORMATION TECHNOLOGY PROJECTS****R2-18-201. Information Technology Project Justification and Monitoring**

- A. If an IT project requires GITA approval, under A.R.S. Title 41, Chapter 23 and Chapter 32, a budget unit shall not commit or spend funds on the project and shall not enter into a project-related contract or vendor agreement until the budget unit receives written GITA approval.
1. A budget unit shall submit a PIJ describing the value to the public and the State for the IT project, consistent with the approved budget unit IT Plan submitted to GITA under R2-18-301. The budget unit shall use the current PIJ template and submit the completed PIJ to GITA.
  2. If the PIJ is incomplete, GITA shall identify deficiencies and either request additional information or return the PIJ to the budget unit for completion and resubmission.
  3. GITA shall use the following general criteria to review each completed PIJ and approve, conditionally approve, or disapprove the proposed IT project:
    - a. Whether the proposed solution addresses the stated problem or situation;
    - b. Whether the budget unit is competent to carry out the project successfully;
    - c. Whether sufficient sponsorship and support by budget unit leadership exists;
    - d. Whether cost estimates provided are accurate;
    - e. Whether the proposed solution is compatible with other budget unit solutions;
    - f. How likely unintended consequences are;
    - g. Whether the proposed project plan is reasonable; and
    - h. Whether the proposed solution complies with state-wide IT standards.
  4. GITA shall inform the budget unit CEO of its review decision in writing.
  5. If GITA conditionally approves the IT project, it shall identify the conditions that the budget unit shall satisfy to proceed with the project. Unless otherwise stated in GITA's communication to the budget unit CEO, the budget unit may begin the IT project, with GITA monitoring, while the identified conditions are in the process of being satisfied by the budget unit.
  6. If GITA disapproves the IT project, the budget unit shall not begin the IT project and shall not enter into any project-related contract or vendor agreement.
  7. A budget unit may appeal GITA's decision to disapprove an IT project in accordance with Article 4 of this Chapter.
- B. If an IT project is within the jurisdiction of ITAC, in accordance with A.R.S. Title 41, Chapter 32, GITA shall process a budget unit's PIJ and recommend to ITAC approval, conditional approval, or disapproval of the IT project.
- C. GITA shall determine if an IT project is critical or major. For critical or major IT projects, GITA shall monitor project progress.
- D. If GITA determines that an IT project is at risk of failing to achieve its intended results or does not comply with A.R.S. Title 41, Chapter 32, GITA shall:
  1. Temporarily suspend the expenditure of monies for the IT project, or,
  2. Recommend to ITAC that ITAC temporarily suspend the expenditure of monies for the IT project.

## Historical Note

Adopted effective July 9, 1998 (Supp. 98-2). Amended by final rulemaking at 10 A.A.R. 4449, effective December 4, 2004 (04-4).

**ARTICLE 3. INFORMATION TECHNOLOGY PLANNING****R2-18-301. Information Technology Planning**

- A. Under A.R.S. Title 41, Chapter 32, each budget unit shall annually develop and submit to GITA an IT Plan containing goals, objectives, and performance measures, on or before September 1 each year.
- B. If an IT Plan is incomplete, GITA shall identify deficiencies and return the IT Plan to the budget unit for completion and resubmission to GITA.
- C. GITA shall review the proposed, complete, budget unit IT Plan to determine the degree of change from previous plans and whether:
  1. Performance measures are measurable,
  2. Quality assurance measures are included,
  3. Exposed gaps are addressed, and
  4. IT goals and business goals align.
- D. GITA shall either approve or disapprove the IT Plan and shall notify the budget unit CEO of its decision. An approved budget unit IT Plan remains in effect until the end of the fiscal year for which it is submitted, or until it is modified or replaced according to subsection (F).
- E. A budget unit may appeal a GITA decision to disapprove a budget unit IT Plan to ITAC, in accordance with Article 4 of this Chapter.
- F. Modification of an approved budget unit IT Plan.
  1. A budget unit may submit a modified, amended, or revised IT Plan to GITA for approval. An approved budget unit IT Plan shall remain in effect until a replacement IT Plan is approved by GITA or until the end of the fiscal year for which it is written.
  2. GITA shall review a proposed modification of a budget unit IT Plan, in accordance with subsections (B) and (C).

## Historical Note

Adopted effective July 9, 1998 (Supp. 98-2). Amended by final rulemaking at 10 A.A.R. 4449, effective December 4, 2004 (04-4).

**ARTICLE 4. APPEALS OF GOVERNMENT INFORMATION TECHNOLOGY AGENCY DECISIONS****R2-18-401. Appeals**

- A. A budget unit, which appeals a decision by GITA regarding the disapproval of a budget unit IT Plan or a budget unit IT project, shall file a written appeal with ITAC within 30 days from receipt of notice of the GITA decision being appealed.
- B. An appeal shall include:
  1. The decision being appealed,
  2. The specific facts on which the appeal is based,
  3. The associated errors in GITA's decision, and
  4. The action requested of ITAC.
- C. An appealed decision shall remain in effect during the appeal. An appealing budget unit shall not resume or initiate any project activity or expense unless instructed otherwise by the Director of GITA.

## Historical Note

Adopted effective July 9, 1998 (Supp. 98-2).