



# Iowa CERT Support Committee

## Document Review & Approval Process

ID: CERT-COM-PRO-004	Revision: 03-01-2021	Effective Date: 03-01-2021
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This revision shall supersede all previous versions of this document.

**Purpose and Scope:**

To establish a process to develop, place into force and review Committee documents.

**Document Types:**

Documents broadly can be divided into two types: 1) Committee Operation related and 2) CERT Support related. The two tables below list the various documents type and function.

**1) Committee Operation**

Type	Function
Policy	<p>A policy is a document that describes a deliberate system of principles to guide decisions and achieve rational outcomes. A policy is a statement of intent, and is implemented as a procedure.</p> <p>Policies are adopted / approved by the governing bodies of the Committee.</p>
Procedure	<p>A procedure is a document that instructs workers on executing one or more activities of a process. It describes the sequence of steps, and specifies each step that needs to be done, often including when the procedure should be executed and by whom.</p> <p>Procedures are adopted / approved by the Committee.</p>

**2) CERT Support**

Type	Function
Best Practice	<p>A best practice is a document that describes a method or technique that has been generally accepted as superior to any alternatives. This is because it produces results that are superior to those achieved by other means or because it has become a standard way of doing things.</p> <p>Note: The best practices will contain Policies, Standard Operating Guidelines and other documents that CERT team may use their specific situations. It is highly recommended that the minimum changes be made to any best practice document. As much research and vetting has been performed when creating a best practice, they are the standard that should be used by CERT organization in Iowa.</p> <p>The jurisdiction having authority over the CERT team has the final authority over any resulting documents based upon any best practices offered by the Committee.</p>

Type	Function
Sample	<p>A sample is a document that describes serves as a pattern to be imitated. Samples provided are established or proposed as being suitable for widespread adoption.</p> <p>Note: The samples will contain Policies, Standard Operating Guidelines and other documents that CERT team may use and modify for their specific situations. CERT organizations should use these as a starting point to develop documents that fit their needs.</p> <p>The jurisdiction having authority over the CERT team has the final authority over any resulting documents based upon any samples offered by the Committee.</p>

**Document Identification:**

In order to manage, identify and revise the documents created by the committee an identifier will be assigned to each document. Each document type has and unique identifier prefix so the user can quickly know what type of document it is. A sequential numerical suffix will be added to each identifier. The suffix holds no other meaning other than noting the order the document was released.

<b>Committee Operation Documents</b>		
Type	Identifier	Definition
Policy	CERT-COM-POL	<p>Identification prefix used for policies created by the CERT Support Committee.</p> <p>A Policy is an internal committee document that governs the operations of the Committee.</p>
Procedure	CERT-COM-PRO	<p>Identification prefix used for procedures created by the CERT Support Committee.</p> <p>A Procedure is an internal committee document that governs how the committee accomplishes a task.</p>
<b>CERT Support Documents</b>		
Best Practice	CERT-COM-BP	<p>Identification prefix used for best practices created by the CERT Support Committee.</p> <p>A Best Practice document is information reviewed and endorsed by the Committee as a practice teams in the state should follow.</p>
Sample	CERT-COM-SAM	<p>Identification prefix used for samples created by the CERT Support Committee.</p>

<b>Committee Operation Documents</b>		
<b>Type</b>	<b>Identifier</b>	<b>Definition</b>
		A Sample document is information reviewed by the Committee as a document a team in the state may want to consider.

**Document Creation:**

When the committee determines a document is needed, an author will be selected to create a strawman of the document. When the author determines that the document is ready for an initial review, it will be placed on the agenda for an upcoming meeting. The draft will be sent out to the committee members as a part of the meeting package.

Notes and comments for changes to the document will be captured. The author will use those notes to implement / address the comments from the review. When the updates are complete the updated document will be placed on a meeting agenda for its next review.

After this review the committee will determine if the document should be:

- 1) Approved as is
- 2) Approved with noted changes
- 3) Update and place on next meeting for review and approval

After all the required updates are completed and the committee has approved the document, if required, the document is routed to the IDHRC level for review and approval.

**Document Final Review Levels:**

Depending on the purpose of the document different levels of review and approval is required. Refer to the table below to determine what levels of approval is required for each document type.

<b>Type</b>	<b>Internal or External Use</b>	<b>Approval Levels</b>		
		<b>CERT Committee</b>	<b>IDHRC Board</b>	<b>HSEMD</b>
Policy	<b>Internal</b>	<b>X</b>	<b>X</b>	<b>X</b>
Procedure	<b>Internal</b>	<b>X</b>	<b>X</b>	
Best Practice	<b>External</b>	<b>X</b>		
Sample	<b>External</b>	<b>X</b>		

If the new document requires an IDHRC level approval, the Committee Chair will refer the document to the IDHRC for review and approval. If any changes are required that Chair will bring the document back to the Committee for updates and restart the review process.

If the new document requires an HSEMD level approval, the Committee Chair will refer the document to the HSEMD for review and approval after the document has been approved by the IDHRC Board. If any changes

are required that Chair will bring the document back to the Committee for updates and restart the review process.

After the document is approved, the document will have its Header completed, Approval and Revision History table completed, footer revision updated and be released.

**Document Review / Evaluation:**

On a regular basis the documents need to be reviewed. The review cycle is different for each document type.

Items to be reviewed / evaluated include:

- Referenced materials
- Content is current information
- Relevance
- Updated for changes in current practices
- Any other updates needed for the document to meet its purpose

If any changes are made to a document it will be ran through its applicable review process.

The table below list the various document types standard review frequency. The document release / revision date is used as the starting date for when a review is due to occur.

<b>Type</b>	<b>Frequency</b>
Policy	24 Months
Procedure	24 Months
Best Practice	24 Months
Sample	36 Months

**Approval and Revision History**

Approved By	Rev	Description
	-	Initial Release