

## SUBSTANTIVE POLICY STATEMENT

This Substantive Policy statement is advisory only. A substantive policy statement does not include internal procedural documents that only affect the internal procedures of the agency and does not impose additional requirements or penalties on regulated parties or include confidential information or rules made in accordance with the Arizona Administrative Procedure Act. If you believe that this substantive policy statement does impose additional requirements or penalties on regulated parties, you may petition the agency under Arizona Revised Statutes section 41-1033 for a review of the statement.


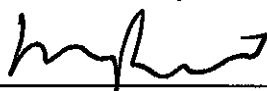
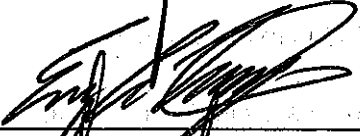
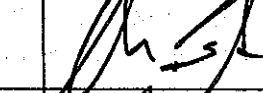

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|--|----------------|------------|
| <b>ADEQ GIS DATA DISTRIBUTION POLICY</b> | Document No.   | 0905.001   |
|  | Revision No.   | 002        |
|  | Effective Date | 09/01/2010 |

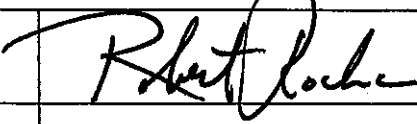

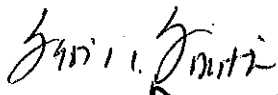
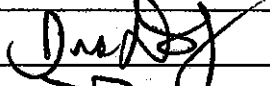

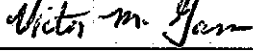
### 1.0 Revision History

#### 1.1 Revision Table

| Date                 | Rev. No. | Change   | Ref. Section |
|----------------------|----------|--|--------------|
| <b>April 1999</b>    | 0.0      | New policy drafted   | 0141.000     |
| <b>January 2008</b>  | 1.0      | General revisions. Revised to standard format.<br>4.1 Focus ADEQ Records Center as contact point.<br>7.6 Added <i>Restricted, Sensitive Secure Data Access</i> section.<br>5.0 Added definitions for clarification |              |
| <b>June 14, 2010</b> | 2.0      | Rewritten to modify non-commercial / commercial use and charges language.  |              |

#### 1.2 Approval Signatures

| Title                    | Name                 | Signature  | Date    |
|--------------------------|----------------------|--|---------|
| Director                 | Benjamin H. Grumbles |  | 8/26/10 |
| Deputy Director          | Henry Darwin         |  | 8/25/10 |
| Acting Division Director | AQD – Eric Massey    |  | 8/22/10 |
| Division Director        | WPD – Amanda Stone   |  | 8/18/10 |
| Division Director        | WQD – Mike Fulton    |  | 8/17/10 |

|                     |                    |  |         |
|---------------------|--------------------|--|---------|
| Division Director   | ASD – Robert Rocha |  | 8/11/10 |
| Acting SRO Director | Bill Ellett        |  | 8/11/10 |
| Acting NRO Director | Sybil Smith        |  | 8/6/10  |
| CIO                 | Ira Domsky         |  | 8/2/10  |
| CBPO                | Dan Borns          |  | 8-2-10  |
| CBPO                | Victor Gass        |  | 7/26/10 |

2.0 Purpose

This policy establishes the Arizona Department of Environmental Quality (ADEQ) policy and procedures for distributing electronic Geographic Information System (GIS) data created at the ADEQ to be shared with external requestors. AUTHORITY: A.R.S. § 39-121.03, A.R.S. § 39-121, A.R.S. § 39-121.01, and A.R.S. § 37-178.01B.

3.0 Persons Affected

- 3.1 External data requestors,
- 3.2 ADEQ Records Center,
- 3.3 Division GIS Liaisons,
- 3.4 ADEQ GIS Coordinator and
- 3.5 GIS users.

4.0 Policy

The policy of ADEQ is to ensure that:

- 4.1 ADEQ provides accurate, up-to-date ADEQ GIS data to meet the needs of the agency to ensure compliance with all related statutes, particularly those requiring recovery of reasonable costs, based upon clearly defined procedures in the following categories:

- 1. *General*
- 2. *Restricted, Sensitive Secure access*

- 4.2 Any non-ADEQ GIS data that is considered to be a public record should also be made available for public inspection; however, external parties wishing to acquire this data should be directed to the original source of the data.
- 4.3 Care should be taken to ensure that ADEQ customers' requests are processed promptly and managed efficiently by ADEQ employees. Customers may be informed that the data, if generated by ADEQ, could be less accurate than if generated by Arizona Land Resources Information System (ALRIS).
- 4.4 Multiple methods of distribution are allowed for external data access and viewing. These methods include hard media such as CDs or DVDs, web based access (such as ArcGIS services, ADEQ node server) and data residing on secure external nodes or portals.

## 5.0 Definitions

- 5.1 "ADEQ GIS data" means any information created originally and maintained by ADEQ staff in the Environmental Systems Research Institute (ESRI) format. It includes directly related or linked data found in the agency Oracle databases. It does not include electronic data created by ADEQ in other applications and that are not stored in the ESRI formats, not directly related or linked to the ESRI format files. It also does not include any subsets of data originating from outside sources that have been edited or modified by any method.
- 5.2 "ADEQ Records Center" means the agency's central records office which is the primary group responsible for fulfilling ADEQ's policy to recognize the public's right of access to public records based on Arizona law.
- 5.3 "ALRIS" means the Arizona Land Resources Information System, State Land Department, ALRIS is the primary repository for GIS data for the State of Arizona.
- 5.4 "ArcGIS // ArcCatalog / ArcInfo / ArcView / ArcGIS Server" means specific software tools and products used for data creation, management, storage, analysis and map making.
- 5.5 "Clipping" means a method of making subset of GIS data by selecting geographic features such as area boundaries.
- 5.6 "ESRI" means software vendor, Environmental Systems Research Institute.
- 5.7 "Coverage" means a set of files created by ESRI ARC/INFO software that contain coordinate and attribute (descriptive) information about locations (features) on the earth.
- 5.8 "Geodatabase" within ArcGIS means a well-defined model for working with data. This generic model defines all the types of data that can be used in ArcGIS and how

they are represented, accessed, stored, managed and processed. The geodatabase is a common framework shared by all ArcGIS products and applications (definition source: ESRI).

- 5.9 “GIS” means Geographic Information System and is a system of hardware, software and procedures designed to support the capture, management, manipulation, analysis, modeling and display of spatially-referenced data for solving complex planning and management challenges. GIS uses geographically referenced data as well as non-spatial data and includes operations which support spatial analysis.
- 5.10 “GIS Coordinator” means the individual in the agency designated and responsible for oversight of the agency’s strategic GIS initiatives and procedures designed to support the utilization of the agency’s GIS systems.
- 5.11 “GIS Liaisons” means the individuals in each Division designated and responsible for management of GIS data within the Division.
- 5.12 “Metadata” means a summary document providing content, quality, type, creation, and spatial information about a data set.” (Definition source: ESRI)
- 5.13 “Non-ADEQ GIS data” means any information maintained by ADEQ staff in the Environmental Systems Research Institute (ESRI) ARC/INFO format that was obtained from sources outside of the ADEQ.
- 5.14 "Shapefile" means a set of files created by ESRI software that contains coordinate and attribute (descriptive) information about locations on earth.

## 6.0 Responsibilities

- 6.1 Responsibility for implementing the policy lays with the ADEQ Records Center, GIS Liaisons, GIS Coordinator and all other ADEQ personnel managing, creating or using ADEQ GIS data.
- 6.2 Requests for public records, i.e., GIS data, shall be directed initially to the ADEQ Records Center. Copies of requests and distributions for the agency are kept by the ADEQ Records Center.
- 6.3 GIS liaisons are responsible for responding to Requests for GIS data initially submitted to the ADEQ Records Center. Additionally, Division’s GIS Liaisons are responsible for the data creation and stewardship (including update frequency and keeping archival copies of data), actual distribution of data and tracking of requests.
- 6.4 It is the responsibility of the ADEQ GIS Coordinator to facilitate access through ADEQ website and ensure that all agreements are officially in place in providing access through any external nodes and portals.

## 7.0 Procedures

### 7.1 General

- 7.1.1 Only entire datasets will be distributed. Metadata is required for all datasets released.
- 7.1.2 Formats for data distribution through ALRIS shall be governed by ALRIS policy and procedures. Formats for data distribution by ADEQ shall be in the standard coverage file transfer format (\*.e00 extension) for ARC/INFO and shapefile format (or geodatabase format if available and so stored).
- 7.1.3 Data made available for access through the ADEQ node and / or external GIS nodes or portals will follow the procedural requirements of the hosting agency or entity.
- 7.1.4 Copyrighted material or licensed data shall not be distributed.
- 7.1.5 Non-ADEQ GIS data shall not be distributed under any circumstances. This includes and applies to any business or individual doing business under contractual agreement with ADEQ for any GIS or other environmental work. Requestors for such data should be directed to the original source or distribution location of the data if known.

### 7.2 GIS Data Requests and Distribution:

- 7.2.1 For all requests for data, distribution of ADEQ GIS data will be conducted primarily through the ADEQ Records Center, and/or associated State sites (e.g., the AGIC Portal or proposed State clearinghouse). This process requires requestors to provide valid information before proceeding to download the data. This information shall be recorded and used as a record of the transaction. This process should allow for individual selection of data sets only. Email distribution may be possible on a case-by-case basis.
- 7.2.2 Complete sets of all data available for release may also be requested on transportable media such as CDs or DVDs. This does not allow for individual selection of data sets. Complete sets are not available via email.
- 7.2.3 All ADEQ GIS data created at ADEQ will be "approved for release" by the section and unit manager generating the data, GIS Liaisons and by the ADEQ GIS coordinator on the "ADEQ GIS Data Release Form" (attachment I). Primary records (Data requests) should follow current **ADEQ Records Center** procedures and policy (ADEQ Policy 0205.002 Records Management – Access to Public Records).

7.2.4 The following criteria may be used for determining the charges for distribution of data to all government agencies; consultants or contractors working for government agencies on a defined project; private businesses, companies or individuals:

- Handling Fee
- Cost of media (CD, container)
- No charge for data
- Mailing costs (postage).

*7.3 Restricted, Sensitive Secure Data Access:*

Sensitive, restricted or secure GIS data sets (e.g., critical infrastructure – Drinking Water Systems, wells, etc.) may only be distributed through restricted or secure processes. A completed and approved GIS Data Release form must be presented before this type of data will be released. Distribution approval must be obtained from the Divisions' or Agency leadership. Documentation of data provided, requestor, data and any other pertinent information must be maintained by the Divisions' GIS Coordinator(s). Access points for approved government agencies may include a secure web services (e.g., ArcGIS service, ADEQ node, ArcGIS Server), portal or through the State Clearinghouse. These access mechanisms would be available for both prevention activities and event driven use of the data.

8.0 Additional Documentation

8.1 **Attachments**

**ARIZONA DEPARTMENT OF ENVIRONMENTAL QUALITY**  
**ADEQ GIS DATA RELEASE FORM**

**DATE:** \_\_\_\_\_

Please indicate your acceptance of:

**ADEQ GIS Data - Dataset Name:** \_\_\_\_\_

**Version:** \_\_\_\_\_ **Sensitive or Restricted Access Approval required (circle):** Y\* N

(Brief Description of Cover, Shape file or Geodatabase):

\_\_\_\_\_  
\_\_\_\_\_

The above referenced cover or shapefile is an accurate, valid representation of the subject matter and your approval for release outside of ADEQ is acknowledged by signing the following:

**Name:** \_\_\_\_\_

**Title:** *Section Manager*

**Division, Section:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Name:** \_\_\_\_\_

**Title:** *Unit Manager*

**Division, Section:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Name:** \_\_\_\_\_

**Title:** *Division GIS Liaison*

**Division, Section:** \_\_\_\_\_

**Date:** \_\_\_\_\_

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**\* Sensitive or Restricted Access: Division or Agency Deputy Director Approval:**

**Name:** \_\_\_\_\_

**Title :** \_\_\_\_\_

**Division:** \_\_\_\_\_

**Date:** \_\_\_\_\_

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Tracking Number: \_\_\_\_\_

Agency GIS Coordinator

Name: \_\_\_\_\_ Date: \_\_\_\_\_